



Cumberland
Council

**Cumberland Council
Clerks' (Governance
Professional) Handbook**

www.cumberland.gov.uk

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V1, The information contained in this handbook was correct as of 1 April 2023

The information contained in this publication, in the first instance, relates to Local Authority maintained schools. Where there is no legal requirement, we advise best practice based on the principles of effective governance, which could be applied to all categories of schools.

Throughout the handbook, references to 'board' should be taken to mean the accountable body for the school or group of schools (governing body/governing board/management committee).

In addition, references to 'clerk' should be taken to mean clerk (governance professional).

INTRODUCTION

Welcome to the Cumberland Clerk's (Governance Professional) Handbook.

The role of clerk to governors is recognised by the Department for Education (DfE) as a key contributor to the effectiveness of the governing board (GB) and the resulting benefit in terms of school improvement.

The Handbook has been produced to provide helpful information, along with model procedures and templates to support you in your role and should always be used together with the latest edition of the Governance Handbook. [The Governor Support Team \(GST\) website](#) also provides a variety of links to other sources of support.

How is Governance Established?

There are various categories of school. The clerk to governors should be aware of the category of the school that they work in. The following categories of school are classified as Local Authority (LA) maintained:

- community and community special schools
- maintained nursery schools
- foundation schools
- voluntary controlled (VC) schools
- voluntary aided (VA) schools
- pupil referral units (PRU) – are alternative education providers. The governance of a PRU is undertaken by a Management Committee which consists of members
- federations - groups of two or more maintained schools, each of which remain on their own site and continue to be inspected independently by the Office for standards in education (OFSTED). The schools benefit from a shared GB.

All LA maintained schools have an Instrument of Government (IoG). This is the legal document that details the constitution of the GB and shows:

- The category of school
- Types/numbers of governors in each category
- The term of office
- Date of constitution.

A GB can reconstitute their IoG at any time (see appendix 18) - it may be agreed that a smaller GB is more likely to be cohesive and dynamic and able to act more decisively. Equally a GB may wish to increase their number to gain access to further skills to enable them to fulfil their statutory responsibilities.

The effectiveness of a GB depends on the quality of its people and how they work together. A GB is able to choose the number of governors they have, bearing in mind that they should have the necessary skills to carry out their functions effectively.

What is Statutory?

- A minimum of 7 governors (depending on the category of school)
- At least 2 parent governors
- The headteacher
- 1 staff governor
- 1 LA governor
- In VC schools they must have at least 2 but no more than a 1/4 foundation governors
- In VA schools the foundation governors must outnumber all the other governors by 2
- Such number of co-opted governors as the GB considers necessary, this agreed number will appear on the IoG.

All decisions around appointments must be minuted as evidence of due process being followed.

Other categories of school

Academies:

Academies do not have an IoG. The details of their arrangements for governance are reflected in their Articles of Association (Articles).

Articles should contain details of the different types and numbers of members/trustees that make up the constitution as well as details around the process of election or appointment for the different categories.

Academy Trusts have almost complete flexibility to shape their governance arrangements. Each Academy Trust must have at least 3 members but there is no maximum that applies. There are different types of academies:

- Single Academy or Free School
There is only one school which is governed by one set of Articles and a funding agreement between the school and the Secretary of State.
- Multi Academy Trust (MAT)
There is only one legal entity accountable for all schools within the chain, the MAT. The MAT has one set of Articles which govern all the academies in that chain. The MAT has a master funding agreement with the Secretary of State. Each academy also has a supplemental funding agreement.
- Independent Schools
Totally autonomous.

Roles and Responsibilities of the Governing Board

The Purpose of Governance

All boards, no matter what type of school or how many schools they govern, have 3 core functions:

- Ensuring clarity of vision, ethos and strategic direction
- Holding executive leaders to account for the educational performance of the organisation and its pupils, and the effective and efficient performance management of staff; and
- Overseeing the financial performance of the organisation and making sure its money is well spent

The purpose of governance is to provide confident, strategic leadership and to create robust accountability, oversight and assurance for educational and financial performance.

The clerk plays a central role in providing procedural, legislative, administrative and organisational support to the GB, to ensure that they are meeting their statutory duties and working in accordance with the legal framework.

Categories of Governors

The composition of a GB reflects a wide range of groups from the community sometimes referred to as stakeholders. The constitution for each school will vary in relation to categories and number of governors.

Below we have listed the various categories of governors, along with details of how and by whom they are either elected or appointed. We have also noted details of any disqualifications that apply:

PARENT GOVERNOR	<p>Elected by parents/carers of registered children at the school.</p> <p>Disqualifications:</p> <ul style="list-style-type: none">• Parent/carer, who works at the school for more than 500 hours per year (within the previous 12 months)• Elected members of the LA• Registered pupils at the school• Anyone under the age of 18 <p>Note: Parent governors do not have to stand down if their child leaves the school during the period of their current term of office.</p> <p>Procedure for the election of parent governors, see Appendix 1</p>
HEADTEACHER	<p>The headteacher, by virtue of their office, hold the role of governor (*ex-officio). The headteacher can choose not to be a governor but no one other than the headteacher can fill the governor position.</p>
STAFF GOVERNOR	<p>Elected by staff at the school</p> <p>Disqualifications:</p> <ul style="list-style-type: none">• Anyone who is not employed at the school• Registered pupils at the school• Anyone under the age of 18

	Procedure for the election of staff governors, see Appendix 2
LA GOVERNOR	<p>Appointed by GB via an LA nomination. Exception: PRUs, appointed by the LA</p> <p>Disqualifications:</p> <ul style="list-style-type: none"> • Anyone who is eligible to be a staff governor • Registered pupils at the school • Anyone under the age of 18 <p>Procedure for the nomination/appointment of LA governors, see Appendix 14</p>
CO-OPTED GOVERNOR	<p>Appointed by the GB.</p> <p>Disqualifications:</p> <ul style="list-style-type: none"> • Registered pupils at the school • Anyone under the age of 18 <p>Note: any member of staff may be appointed as a co-opted governor, provided no more than $\frac{1}{3}$ of the GB are eligible to be staff governors.</p> <p>Procedure for appointment, vacancy listed on GB agenda. Expressions of interest considered; GB decision recorded in minutes.</p>
FOUNDATION GOVERNOR	<p>Appointed by the diocese or by another foundation organisation named on the IoG.</p> <p>Disqualifications:</p> <ul style="list-style-type: none"> • Refer to your diocese, local church or founding body/organisation • Registered pupils at the school • Anyone under the age of 18 <p>Procedure for appointment, contact the appointing body as listed in the IOG.</p>
EX-OFFICIO FOUNDATION GOVERNOR	<p>An ex-officio foundation governor holds their position 'by virtue of office' as detailed on the IoG.</p> <p>Procedure for appointment, contact the appointing body as listed in the IOG.</p>
PARTNERSHIP GOVERNOR	<p>In a foundation school that has no foundation or equivalent body, partnership governors replace the category of foundation governors.</p> <p>Disqualifications:</p> <ul style="list-style-type: none"> • Parent of a registered child at the school • Anyone eligible to be a staff governor • Elected members of the LA

	<ul style="list-style-type: none"> • Anyone employed by the LA in connection with their education functions • Registered pupils at the school • Anyone under the age of 18 <p>Appointed by the GB after seeking nominations from parents and others in the community. Procedure for appointment, vacancy listed on GB agenda. Expressions of interest considered; GB decision recorded in minutes.</p>
ASSOCIATE MEMBER	<p>Appointed by the GB due to their particular skills and experience</p> <ul style="list-style-type: none"> • Associate Members are not governors • Associate Members do not have voting rights within the full GB • Associate Members may be appointed to committees and may be delegated voting rights by the GB <p>Procedure for appointment, Associate Member Appointment listed on GB agenda. Expressions of interest considered; GB decision recorded in minutes. Noted; at time of appointment board to determine term of office ie 1, 2, 3 or 4 years.</p>

***Ex-officio** – indicates that the person is a governor 'by virtue of office'. This usually applies to headteachers and local incumbents who are a governor as long as they are in post.

Election/Appointment/Induction of Governors

It is good practice to confirm to governors and associate members details of their appointment/election, including category of governor and their term of office dates.

In Appendix 3 we have provided a model appointment/election letter, which includes information which may be useful as part of an induction to the board.

Election Process for Chair and Vice Chair of Governors

Regulations state that a GB **MUST** elect a chair and vice chair of governors, from amongst their number, who is a governor and who is not in the employment of the school. The term of office (1, 2, 3 or 4 years) should be determined (and recorded) at the time of election.

A chair can resign from the role of chair at any time. In this instance or in the absence of your chair, the vice chair will take on the role.

A model procedure for the process which the GB could adopt/amend to their needs can be found in Appendix 4.

Code of Conduct

The National Governance Association (NGA) has for a number of years, recommended that GBs adopt a code of conduct which sets out the purpose of the GB and including the behaviours and professional standards expected of the role ie appropriate relationships between individual governors, the whole GB and the leadership team of the school.

We recommend that the code of conduct should be thoroughly discussed so that the whole GB has ownership of it, and once it has been adopted, the governors should be asked to review it on an annual basis, ideally at the first GB meeting of the autumn term.

Model code of conduct documents for both maintained schools and academies can be found on the NGA website <http://www.nga.org.uk/Guidance/Legislation,policies-and-procedures/Model-Policies/Code-of-Practice.aspx>.

Disclosure Barring Service

DfE require **ALL** governors to have a Disclosure Barring Service check in place.

GBs should also take notice of the DfEs recommendation (in line with 'Keeping children safe in education') that members of the board should undertake a Section 128 check.

Checks for volunteers incur an administration fee and can be done via the Disclosure Barring Service:

www.gov.uk/government/organisations/disclosure-and-barring-service

Roles and Responsibilities of the Clerk

Functions of the clerk to the governing board

Legislation states that a GB **MUST** have a clerk who is appointed by, and responsible to the GB.

The clerk to the governing board must:

- a. attend meetings of the governing board and ensure minutes of the proceedings are produced in accordance with regulations
- b. maintain a register of members of the governing board and of associate members and report any vacancies to the governing board; and
- c. perform such other tasks as may be determined by the governing board from time to time

The School Governance (Roles, Procedures and Allowances) (England) Regulations, places a clear focus on the expectation of the role of clerk as well as an obligation on GBs to have regard to advice from the clerk to governors.

Governing Board Meetings

GB business is carried out at meetings, either at the full GB or in committees. An effective clerk will be planning ahead in preparation for all meetings of the GB.

Legislation enables GBs to delegate certain functions to committees or individuals if they wish, and must take note of the following statutory duties:

- GBs must hold at least 3 full GB meetings per year
- The meetings are convened by the clerk
- Agenda and supporting papers need to be distributed 7 days in advance, except in the case of an extraordinary meeting
- Any governor can request an agenda item
- Any 3 members of the GB may request a meeting by giving written notice to the clerk.

Preparing for meetings

Part of preparing for meetings will involve the producing of a purposeful agenda; the clerk can provide the draft agenda for the chair and headteacher in the first instance. As a guideline we have broken this down into 4 steps which may assist you with preparation:

Producing a purposeful agenda: the process

Step 1 <ul style="list-style-type: none">• Ensure any correspondence received has been dealt with appropriately• Check the minutes of the last meeting:<ul style="list-style-type: none">▪ To see if there are any requested items for the agenda from previous meeting▪ Any actions for the clerk to carry out▪ Any apologies/quorate• Prepare draft agenda:<ul style="list-style-type: none">▪ Check the GB Planner▪ Include agenda items from members of the GB▪ Check GB membership for upcoming vacancies▪ Check Policy Review Schedule
Step 2 <ul style="list-style-type: none">• Meet (physically/virtually/telephone) with the headteacher and chair to discuss/finalise the agenda• Confirm the date for circulation of agenda• Circulate email reminder to GB informing of deadline for submission of reports/documents• Determine if any agenda items are to be confidential
Step 3 <ul style="list-style-type: none">• Prepare the final agenda• Collate all documents and papers to be circulated
Step 4 <ul style="list-style-type: none">• It is a legal requirement to circulate the agenda and all supporting paperwork 7 days in advance of a meeting• Governors to receive the notice of the meeting, agenda and papers

- As the chair directs, for matters of urgent consideration the agenda and papers could be sent within a shorter period ie extraordinary meetings

The Agenda

There is no set example for a GB agenda and no two GBs agendas will be the same. However, below we have an example that shows some of the most common items that should be included in a GBs agenda:

*Name of school
Date and time of meeting
Venue of meeting*

1. Attendance
2. Apologies
3. Declaration of Interests
4. Approval of previous minutes
5. Matters arising
6. Receive committee minutes
7. Matters arising from committee meetings
8. Headteacher report
9. School Development Plan
10. Safeguarding
11. Wellbeing
12. Governor updates
13. Governing board membership
14. Policies
15. Any other business
16. Date and time of next meeting

Below we have detailed information in relation to each of the items listed:

Attendance
Those present and the person clerking is recorded at the top of the minutes.
Apologies for absence
Governors should present their apologies as far in advance of the meeting as possible to the clerk. At the meeting, the GB must consider whether or not to accept any apology for absence received. A governor may be disqualified from office if they are absent from meetings for a period of six months without the consent of the GB (not applicable to ex - officio governors), see Appendix 6 for further guidance.
Declaration of interests
Governors are required to declare an interest in any item on the agenda or any matter discussed during the meeting. The governor may be asked to withdraw from the meeting whilst the item is discussed. The chair should point out that it is important that governors and staff not only act impartially but are also seen to act impartially. The GB and school staff have a responsibility to avoid any conflict between their business and personal interests and those of the school.
Note: There is a legal duty for all governors to declare a pecuniary or personal interest for example should there become a need for an individual to sit on a pay, performance, grievance or disciplinary panel. Governor declarations MUST be displayed on the school website.

<p>There is also an additional requirement for all school staff to complete a 'Declaration of Personal and Pecuniary Interest' form and the clerk to hold this information. Staff declarations should NOT be displayed on the school website.</p> <p>We have included model staff and governor 'Declaration of Personal and Pecuniary Interests' with some guidance notes, see Appendix 9 and 10.</p>
<p>Approval of previous minutes</p> <p>All minutes are draft and confidential until approved by the GB. Governors are asked to confirm that the minutes are a true and accurate record of the meeting. If minor amendments are required they should be handwritten and initialled by the chair. Once agreed by the GB, and signed by the chair, the minutes become a public record (except any items deemed as confidential).</p>
<p>Matters arising</p> <p>Governors discuss any matters arising from the minutes if not already included on the agenda.</p>
<p>Receive committee minutes</p> <p>The GB receives minutes from committee meetings for information, however the GB remains accountable for decisions made.</p>
<p>Matters arising from committee minutes</p> <p>If necessary, governors have an opportunity to raise any questions arising from the minutes.</p>
<p>Headteacher report</p> <p>The headteacher's report is the main mechanism by which they account for the developments/challenges in the school. The report must be provided in advance of the meeting with all other papers. This enables governors to read and digest the information and prepare any questions they may have.</p>
<p>School development plan</p> <p>The GB should have the opportunity to discuss the School Development Plan, receiving updates on progress and being able to comment/challenge progress.</p>
<p>Safeguarding</p> <p>The GB have the overall responsibility for safeguarding.</p>
<p>Wellbeing</p> <p>The GB have an obligation for the wellbeing of all staff, with a direct responsibility for the wellbeing of the head teacher.</p>
<p>Governor updates</p> <p>This can be the time for governors to report back to the GB regarding any training they have attended, visits to the schools and to highlight any monitoring reports.</p>
<p>Governing board membership</p> <p>The clerk must be aware of the term of office for each member of the GB and should bring to the attention of the GB any vacancies and when a term of office is coming to an end. It is also the responsibility of the clerk to hold an accurate, up-to-date record of the membership of the GB along with contact details. Please ensure the GSA for your school has the up to date details for the chair, LA governor, headteacher and clerk to governors, see Appendix 17.</p> <p>The clerk should also ensure that the GB membership is uploaded onto the Get Information About Schools (GIAS) system.</p> <p>We have included a template to help record details of the governing board membership, including attendance and additional roles and responsibilities, see Appendix 11.</p>

Policies
The clerk should make reference to their policy schedule and bring to the attention of the GB any policies due for review.
Any other business (AOB)
As good practice, try to avoid having AOB on the agenda. However, if the GB chooses to have AOB on the agenda, it is essential that the item is well chaired and does not result in lengthy unproductive items at the end of a meeting. The chair can decide to defer items tabled at the meeting, however if the item is urgent, we would advise that it is discussed.
Date and time of next meeting
The date and time for the next meeting should be confirmed by the GB. It is good practice for GBs to set dates for the full academic year.
For GB and committee meetings, it is good practice to record the time the meeting ends.

During the meeting

Minutes

The role of the clerk during the meeting, is to take notes. The clerk should ensure the following is recorded:

- The important facts and discussion, in particular questioning and challenge
- The agreed actions/decisions taken by the GB
- Who is responsible for implementing the agreed action/decisions taken
- The date/timescale for the implementation of the agreed action/decisions taken
- Jargon, use as little as possible. If an acronym must be used, then in the first instance write in full and put acronym in bracket following ie governing board (GB).

Always ask for clarification from the chair if in doubt.

Voting

At a GB meeting decisions will be made, sometimes by taking a vote. Best practice is for a secret ballot to be undertaken. If there is an equal division of votes the chair or the person who is acting as chairperson (provided that such person is a governor) for the purposes of the meeting will have a second or casting vote.

Note: The clerk may also act as a non-voting chair during the part of the meeting at which the chair is elected.

Quorate for Local Authority maintained schools

The quorum for a full GB meeting to make decisions must be half (rounded **up** to the whole number) of the membership of the GB, excluding vacancies for example, if the full membership is 12 and there are 3 vacancies, then the quorum for the full GB meeting is 5.

A decision can be made to hold a meeting that is not quorate but only discussions can take place, no decisions can be made.

Quorate for Academies

Quorate for academies (this is for meetings and for decision purposes) is detailed in your Articles.

What if the clerk cannot attend a full governing board meeting?

The GB may, if the clerk cannot attend a full GB meeting, appoint any member of the GB (excluding headteacher) to act as clerk for the purpose of the meeting.

After the meeting

Producing effective minutes

Minutes are a true and accurate record of the GB discussions and decisions and are used as evidence that the GB are carrying out their statutory responsibilities. Ofsted will want to see that the GB are supporting and challenging the school. Questions evidence that governors are performing their statutory responsibilities and must therefore be captured in the minutes.

Distribution of minutes

Once the draft minutes of the full GB meeting have been approved by the head and chair, they should be distributed to all governors.

Storage of approved minutes

Regulations state that the GB must make available for inspection to any interested person, a copy of the agenda, signed minutes and reports or papers considered at the meeting as soon as is reasonably practical.

Approved minutes should be kept in the minute file or book within the school, (with the exception of confidential minutes).

Any draft minutes/notes must be destroyed.

Guide to confidential minutes

Legislation states the following in relation to confidential minutes:

(3) The governing board may exclude from any item required to be made available in pursuance of paragraph (2) any material relating to;

- a) a named person who works, or who it is proposed should work, at the school;*
- b) a named pupil at, or candidate for admission to, the school; or*
- c) any other matter that, by reason of its nature, the governing board is satisfied should remain confidential.*

How to record a confidential minute

Any confidential minute should be recorded as an agenda item on a separate sheet. The following applies:

- It should include the name of the school, date of the meeting and those present for the confidential item, including the clerk at the top of the page
- It should record the heading and number of the agenda item
- In the **general minutes** the agenda item number and heading only should be recorded, along with a reference to the minute being found in the confidential minutes for those in attendance ie '*A confidential item was discussed as part of the agenda and minuted accordingly*'.
- The page number of the confidential minute should carry on from the last page number of the ordinary minutes
- Good practice: print confidential minutes on a different coloured paper to make them easily identifiable
- Good practice: minutes referring to any confidential item are only distributed to those who were present for the discussion.
- Confidential minutes should be kept separate from the general minutes in a confidential minute file or book, in a locked cupboard/drawer at the school. Confidential minutes are not public documents.

Committees

Committees with delegated powers must have:

- Terms of reference setting out the membership, quorum, whether Associate Members have voting rights and powers the committee has been delegated and be reviewed annually
- A chair who is elected by the GB or by the committee, as determined by the GB
- A clerk, who may be a member of that committee, but not the headteacher.

Functions that cannot be delegated to a committee are those relating to the:

- Constitution of the GB
- Appointment or removal of the chair and vice chair of the GB
- Establishment of committees
- Delegation of functions
- Suspension of governors.

Who can attend committee meetings?

- Any member of the committee, provided that the member of the committee is not a governor who has been suspended
- The headteacher of the school, whether or not they are a member of the committee (please note the headteacher does not have a vote unless they are a member of the committee)
- The clerk to the committee
- Other persons that the committee decide can make a valuable contribution due to their skills and expertise.

Accountability

The full GB remains accountable for any decisions, including those relating to functions delegated to a committee.

Quorate for Local Authority maintained school committees

The quorum for a committee meeting is 3 governors (must be governors and not Associate Members) who are members of the committee or half of the committee membership, if the membership is greater than 6.

A decision can be made to hold a meeting that is not quorate, but only discussions can take place and no decisions can be made.

Quorate for academy committee meetings

Please refer to your Articles.

School Website

Every school must publish specific information on its website including details pertaining to their GB. LA maintained schools must comply with The School Information (England) (Amendment) Regulations, <https://www.gov.uk/guidance/what-maintained-schools-must-publish-online>.

Appendix 15 details the information required on a school website in relation to the GB. The role of the clerk is to ensure this information is made available to the school to publish on its website.

Please note; 'The constitution of governing bodies of maintained schools: Statutory Guidance', states that information in relation to governance on the school website needs to be in a readily accessible form, they clarify this by stating the following: *Readily accessible means that the information should be on a webpage without the need to download or open a separate document.*

For academies/free schools please visit DfE: [What academies, free schools and colleges must or should publish online - GOV.UK \(www.gov.uk\)](#).

Clerks Health Check

In Appendix 5 there is a Clerks Health Check which is a valuable exercise to look at current practices and processes to ensure that statutory requirements are being met. We have also provided some models/templates which can be adapted and may be useful:

- Appendix 7 provides an example of a 'Policy Review Chart' (which can be amended as required); this can be used to keep a record of when policies are due for review and when they have been reviewed
- Appendix 8 is an example of 'Governor meeting attendance record'; this can be used to keep a record of individual governors' attendance at meetings. By inserting a tick for attendance, cross for non-attendance (including non-acceptance of apologies) and writing in apologies, this provides an easy to access overview for monitoring purposes and can also be used as part of the information required on your website
- Appendix 6 provides some guidance and a template disqualification letter in relation to governors' non-attendance at meetings.

Contact Details

Members of the team can be contacted either by telephone, email or by post.

Governor Support Assistant	
Faith Matthews (part-time) Email: faith.matthews@cumberland.gov.uk	Tel: 01228 226922, Mob: 07384825941

Governor Support Team Manager	
Sonia Southern Email: Sonia.southern@cumberland.gov.uk	Mob: 07880 02733

Senior and General Advisers	
Carlisle Office	Tel: 01228 226805
Whitehaven Office	Tel: 01946 506175

Address: Governor Support Team
Cumberland Council
Cumbria House
117 Botchergate
Carlisle
CA1 1RD

Team Fax: 01228 226922

Website: [Governor Support Team](#)

Appendices

PLEASE NOTE THAT ITEMS IN RED OR ITALICS WILL NEED EITHER CORRECTED OR AMENDED DEPENDING ON THE POLICY & PROCESS ADOPTED BY AN INDIVIDUAL SCHOOL

PROCEDURE FOR THE ELECTION OF PARENT GOVERNORS

The Appropriate Authority

Cumberland Council is the appropriate authority with regard to the election arrangements for parent governors in community, community special, maintained nursery and voluntary controlled schools. The Local Authority has delegated that responsibility to the headteacher. In voluntary aided, foundation and foundation special schools, the appropriate authority is the governing board, who may adopt these procedures.

1. When a parent* governor vacancy occurs, the first stage in the procedure for filling that vacancy is for the *headteacher/chair/clerk* to distribute a letter to the parents and legal guardians of all pupils in the school via their children. The letter should outline the procedure to be adopted, see Appendix A.

Parents will be asked to declare their interest by submitting a letter of nomination countersigned by at least two sponsors, who should be parents/carers of children currently at the school, see Appendix B.

2. If the number of nominations received is equal to or less than the number of vacancies, then those nominees will automatically be **elected unopposed**. Once the successful nominee(s) has been informed, all parents should be notified of their name(s), see Appendix C.
3. Where no nominations are received and the governing board has made every reasonable effort to fill the vacancy by other means, the governing board can appoint to the role of parent governor someone who is:
 - (a) a parent of a registered pupil at the school,
 - (b) a parent of a former registered pupil at the school, or
 - (c) a parent of a child under or of compulsory school age
4. In circumstances where there are more nominations than vacancies, there must be a secret ballot. The procedure for which is as follows:
 - (i) The *headteacher/chair/clerk* should inform the candidates that such an election is necessary, see Appendix D. If they wish a written statement in support of their nomination, the statement:
 - (a) should be limited to one side of A4 paper
 - (b) all nominations will be in a standard format, preceded by the candidate's name

It should be made clear that candidates are responsible for the contents of their statements and that school is unable to provide further assistance in the conduct of their election campaigns.

- (ii) The *headteacher/chair/clerk* should circulate a letter to all parents and guardians (via the children unless other arrangements have been made with individual parents), informing them that a ballot is to take place. The letter should specify the precise period during which the ballot papers may be returned and should be accompanied by:
 - (a) the candidates' statements
 - (b) numbered ballot papers showing the candidates' names with a box alongside in which voters can make their mark, see Appendix E. It would be helpful to include a reminder of the number of candidates to be elected i.e. 'you may vote for one/two/etc candidates'

- (c) envelope per household, marked in the top left hand corner **'BALLOT PAPER – PARENT GOVERNOR ELECTIONS'**
- (iii) Parents should be given the choice of returning their envelopes either by post, via their children or delivered by hand. It would be helpful if a ballot box is placed in a prominent position in school for the duration of the election period.
- (iv) All parents* of children who, at the time of the election, are on the school register are entitled to receive a ballot paper. In light of the Children Act, eligibility to vote has widened to include those with parental responsibility. For example, both the natural mother and father have the right to vote. In addition, a stepfather/stepmother who has parental responsibility also has the right to vote. Parental responsibility implies a degree of permanency rather than, say, looking after a child at the weekend or during holidays.
- Reasonable measures should be taken to ensure that those eligible to vote are informed of their rights. 'Reasonable' is not easy to interpret but be wary of rejecting a claim from a parent or other carer who claims the right to vote. Each family unit should receive the appropriate number of ballot papers irrespective of the number of children who are pupils of the school, i.e. one for each parent.
5. Once the specified period for the return of ballot papers has passed, the votes cast should be counted. A serving governor (preferably the chair or vice chair) should be asked to supervise the count. The candidate(s) receiving the highest number of votes will be elected parent governor(s). In the event of a tie, lots should be drawn.
6. On the completion of the count the *headteacher/chair/clerk* should inform the candidate(s) in writing of the outcome of the election. For unsuccessful candidate(s) see Appendix F and for successful candidate(s) see Appendix 3.
7. The *headteacher\chair\clerk* should write to all parents\carers informing them of the election result, see Appendix C.

***DEFINITION OF "PARENT"**

See Section 576 of the Education Act 1996

SCHOOL LETTERHEAD

Dear PARENT/CARER

PARENT GOVERNOR ELECTION – INSERT NAME OF SCHOOL

I am writing to inform you of a (INSERT NUMBER IF MORE THAN 1) vacancy(ies) on the school governing board for (a) parent governor(s). Details of the process to fill the vacancy follow.

THE NOMINATION OF PARENTS AS CANDIDATES

Each parent* of a pupil attending the school is to be given the opportunity of putting their name forward with a view to becoming a parent governor. If you want to submit a nomination on your behalf you should do so, in writing, to the HEAD OF THE SCHOOL\CHAIR\CLERK. Letters of nomination, enclosed, must be countersigned by two sponsors, who must also be parents of children currently attending the school. The closing date for the receipt of nominations by the school is INSERT DATE. Please note that incomplete nominations will not be accepted.

In the event of there being no more than one nomination, the person nominated will automatically be elected, unopposed as a parent governor.

THE ELECTION PROCEDURE

If the school receives more nominations than vacancies, an election by secret ballot will be held as soon as possible. Each parent* of a child who at the time of the election is a pupil at the school will be entitled to vote.

In the event of an election, the HEAD OF THE SCHOOL\CHAIR\CLERK will issue all parents with further details concerning the way in which the ballot (which will be entirely secret and as foolproof as possible) is to be organised and supply the official ballot papers.

CANDIDATES' CONTRIBUTION TO THE ELECTION

Candidates will be given the opportunity to write a short statement, which will be circulated to all parents of the school. Should candidates wish to seek support in any other way, this will be entirely their own responsibility.

Following an election, parents will be told the name of the successful candidate(s).

TERM OF OFFICE OF PARENT GOVERNORS

An elected parent governor will hold office for a period of four years (CHECK INSTRUMENT OF GOVERNMENT FOR TERM OR OFFICE).

PARENTS' PARTICIPATION

It is very important for the efficiency and effectiveness of schools, that parents should be encouraged to have an active involvement in their children's education. Consequently, parents are encouraged to participate and take an interest in the election process, whether as candidates or voters.

If you would like to know more about what the role of a governor entails, or you have any other queries at this stage, please contact the **HEAD OF THE SCHOOL\CHAIR\CLERK**, who will be pleased to try to help you.

Yours faithfully

NAME OF HEADTEACHER/CHAIR/CLERK
HEADTEACHER/CHAIR OF GOVERNORS/CLERK TO GOVERNORS

*DEFINITION OF "PARENT"

See Section 576 of the Education Act 1996

SCHOOL LETTERHEAD

Parent Governor Nomination Form

Name of Nominee:

Address of nominee:

Signature of nominee:

The above-named has a child at the school, is willing to serve if elected, and is hereby nominated to stand for election.

Sponsored by (Name in capitals and address):

Signature of sponsor:

Sponsored by (Name in capitals and address):

Signature of sponsor:

Candidate's statement for inclusion on ballot paper (limited to one side of A4):

Completed nomination must be returned to the school by:

INSERT TIME

INSERT DATE

Appendix C

SCHOOL LETTERHEAD

Dear **PARENT/CARER**

Re: Election of Parent Governor(s) at INSERT NAME OF SCHOOL

I am pleased to inform you of the result of our election for parent governor(s).

Elected: Name(s) of candidate(s)

We would like to thank all those who expressed an interest and put their names forward for consideration **(ONLY INCLUDE IF ELECTION HAS GONE TO A BALLOT)**.

Yours faithfully

**NAME OF HEADTEACHER/CHAIR/CLERK
HEADTEACHER/CHAIR OF GOVERNORS/CLERK TO GOVERNORS**

SCHOOL LETTERHEAD

NOMINEE ADDRESS

Dear **NOMINEE NAME**

Re: Election of Parent Governor at INSERT NAME OF SCHOOL

Thank you for your nomination to become a parent governor at our school.

As there are more nominations than vacancies, there will be a ballot.

The count will be held at the school on **INSERT DATE** at **INSERT TIME am/pm**, and you are entitled to attend this count. If you wish to attend please let me or the school office know. If you are unable to attend, I will inform you in writing of the result.

If you have any queries about the election process I shall be glad to answer them.

Yours sincerely

**NAME OF HEADTEACHER/CHAIR/CLERK
HEADTEACHER/CHAIR OF GOVERNORS/CLERK TO GOVERNORS**

SCHOOL LETTERHEAD

Dear **PARENT/CARER NAME**

Due to more nominations coming forward than vacancies available, a ballot has to be conducted, please see below instructions:

Ballot Paper - Election of Parent Governor

Number of vacancies to be filled **INSERT WORD**.

1. Each parent must vote on a separate form
2. Each parent is entitled to a number of votes equal to the number of vacancies e.g. one vacancy one vote; three vacancies three votes but only one vote can be used per candidate.
3. Please vote in ink by placing an X against the candidate(s) of your choice

Papers recording more than the required votes or marked in any other way will be invalid.

CANDIDATES:

INSERT NAME Candidate's Statement enclosed:	
INSERT NAME Candidate's Statement enclosed:	
INSERT NAME Candidate's Statement enclosed:	

Completed ballot papers must be returned to the school by:

INSERT TIME

INSERT DATE

Yours sincerely

**NAME OF HEADTEACHER/CHAIR/CLERK
HEADTEACHER/CHAIR OF GOVERNORS/CLERK TO GOVERNORS**

Appendix F

SCHOOL LETTERHEAD

NOMINEE ADDRESS

Dear **NOMINEE NAME**

Re: Ballot Result for the Election of Parent Governor at INSERT NAME OF SCHOOL

Following the recent ballot for the election of Parent Governor, unfortunately I have to notify you that on this occasion your nomination was not successful.

I am very grateful to you, however, for agreeing to stand for election and for your wish to support the work of the school in the role of school governor.

Yours sincerely

**NAME OF HEADTEACHER/CHAIR/CLERK
HEADTEACHER/CHAIR OF GOVERNORS/CLERK TO GOVERNORS**

PROCEDURE FOR THE ELECTION OF STAFF GOVERNOR

This procedure applies to the election of staff* governor in community, community special, maintained nursery and voluntary controlled schools. Voluntary aided, foundation and foundation special schools may adopt these procedures.

Staff governors include staff employed under a contract of employment in the school and are elected by the teachers and support staff paid to work at the school. The term of office for a staff governor is stated on the Instrument of Government. When a staff governor ceases to work at the school they must stand down from the governing board.

The headteacher is a member of the governing board by virtue of their office and their place remains reserved for them and cannot be taken by anyone else, even if they elect not to be a governor.

The governing board can only have one elected staff governor, however, other staff members can be appointed as co-opted governors as long as the number of staff members does not exceed a third of the total number of governors.

1. When a staff governor vacancy occurs, the first stage in the procedure for filling that vacancy is for the *headteacher/chair/clerk* to notify all members of staff of the vacancy. The letter should outline the procedure to be adopted, see Appendix A.

Staff will be asked to declare their interest by submitting a letter of nomination countersigned by at least two sponsors, who should be members of staff at the school, see Appendix B.
2. If only one nomination is received, then the nominee will automatically be elected unopposed. Once the successful nominee has been informed, all members of staff should be notified of their name, see Appendix C.
3. If no nominations are received, the position on the governing board remains vacant. The governing board should ensure that the vacancy continues to be advertised until the vacancy is filled. The GB has no authority to appoint to the position of staff governor.
4. In circumstances where there are more nominations than vacancies, there must be a secret ballot. The procedure for which is as follows:
 - (i) The *headteacher/chair/clerk* should inform the candidate(s) that such an election is necessary, see Appendix D, if they wish a written statement in support of their nomination. The statement:
 - (a) must be limited to one side of A4 paper
 - (b) all nominations will be in a standard format, preceded by the candidate's name.

It should be made clear that candidates are responsible for the contents of their statements and that school is unable to provide further assistance in the conduct of their election campaigns.

- (ii) As soon as possible following the closing date given for the submission of nominations/statements, *headteacher/chair/clerk* should circulate a letter to all members of staff, informing them that a ballot is to take place. The letter should specify the precise period during which the ballot papers may be returned and should be accompanied by:

- (a) the candidates' statements
- (b) numbered ballot papers showing the candidates' names with a box alongside in which voters can make their mark, see Appendix E
- (c) one envelope per member of staff, marked in the top left hand corner '**BALLOT PAPER – STAFF GOVERNOR ELECTION**'

(iii) Staff should be given the choice of returning their envelopes either by post, or delivered by hand. It would be helpful if a ballot box is placed in a prominent position in school (staff room) for the duration of the election period.

5. Once the specified period for the return of ballot papers has passed, the votes cast should be counted. A serving governor (preferably the chair or vice chair) should be asked to supervise the count. The candidate receiving the highest number of votes will be elected staff governor.
6. On the completion of the count the, *headteacher/chair/clerk* should inform the candidate(s) in writing of the outcome of the election. For unsuccessful candidate(s) see Appendix F and for successful candidate(s) see Appendix 3.
7. The *headteacher/chair/clerk* should notify all members of staff informing them of the election result, see Appendix C.

***DEFINITION OF "STAFF"**

Teaching and support staff who, at the time of the election, are employed by either the governing board or the local authority to work at the school under a contract of employment, are eligible to be staff governors. The headteacher cannot be nominated but is entitled to vote.

SCHOOL LETTERHEAD

Dear **STAFF MEMBER**

STAFF GOVERNOR ELECTION – INSERT NAME OF SCHOOL

I am writing to inform you of a vacancy on the school governing board for a staff governor. Details of the process to fill the vacancy follow.

THE NOMINATION OF STAFF AS CANDIDATES

Each member of staff* is to be given the opportunity of putting their name forward with a view to becoming a staff governor. If you want to submit a nomination on your behalf you should do so, in writing, to the **HEAD OF THE SCHOOL\CHAIR\CLERK**. Letters of nomination, enclosed, must be countersigned by two sponsors, who must also be members of staff. The closing date for the receipt of nominations by the school is **INSERT DATE**. Please note that incomplete nominations will not be accepted.

In the event of there being no more than one nomination, the person nominated will automatically be elected, unopposed as staff governor.

THE ELECTION PROCEDURE

If the school receives more than one nomination then an election by secret ballot will be held as soon as possible. Each member of staff* at the time of the election will be entitled to vote.

In the event of an election, the **HEAD OF THE SCHOOL\CHAIR\CLERK** will issue all members of staff with further details concerning the way in which the ballot (which will be entirely secret and as foolproof as possible) is to be organised and supply the official ballot papers.

CANDIDATES' CONTRIBUTION TO THE ELECTION

Candidates will be given the opportunity to write a short statement, which will be circulated to all members of staff. Should candidates wish to seek support in any other way, this will be entirely their own responsibility.

Following an election, staff will be told the name of the successful candidate.

TERM OF OFFICE OF STAFF GOVERNOR

An elected staff governor will hold office for a period of four years (**CHECK INSTRUMENT OF GOVERNMENT FOR TERM OR OFFICE**).

STAFFS' PARTICIPATION

It is very important for the efficiency and effectiveness of schools that staff are encouraged to participate and take an interest in the election process whether as candidates or voters.

If you would like to know more about what the role of a governor entails, or you have any other queries at this stage, please contact the **HEAD OF THE SCHOOL\CHAIR\CLERK**, who will be pleased to try to help you.
Yours faithfully

NAME OF HEADTEACHER/CHAIR/CLERK
HEADTEACHER/CHAIR OF GOVERNORS/CLERK TO GOVERNORS

***DEFINITION OF "STAFF"**

Teaching and support staff who, at the time of the election, are employed by either the governing board or the local authority to work at the school under a contract of employment, are eligible to be staff governors. The headteacher cannot be nominated but is entitled to vote.

SCHOOL LETTERHEAD

Staff Governor Nomination Form

Name of nominee:

Address of nominee:

Signature of nominee:

The above-named is in the employment of the school, is willing to serve if elected, and is hereby nominated to stand for election.

Sponsored by (Name in capitals and address):

Signature of sponsor:

Sponsored by (Name in capitals and address):

Signature of sponsor:

Candidate's statement for inclusion on ballot paper (limited to one side of A4):

Completed nomination must be returned to the school by:

INSERT TIME

INSERT DATE

Appendix C

SCHOOL LETTERHEAD

Dear **STAFF MEMBER**

Re: Election of Staff Governor at INSERT NAME OF SCHOOL

I am pleased to inform you of the result of our election for staff governor:

Elected: Name of candidate

We would like to thank all those who expressed an interest and put their names forward for consideration **(ONLY INCLUDE IF ELECTION HAS GONE TO A BALLOT)**.

Yours faithfully

**NAME OF HEADTEACHER/CHAIR/CLERK
HEADTEACHER/CHAIR OF GOVERNORS/CLERK TO GOVERNORS**

Appendix D

SCHOOL LETTERHEAD

NOMINEE ADDRESS

Dear **NOMINEE NAME**

Re: Election of Staff Governor at INSERT NAME OF SCHOOL

Thank you for your nomination to become a staff governor at our school.

As there are more nominations than vacancies, there will be a ballot.

The count will be held at the school on **INSERT DATE** at **INSERT TIME am/pm**, and you are entitled to attend this count. If you wish to attend please let me or the school office know. If you are unable to attend, I will inform you in writing of the result.

If you have any queries about the election process I shall be glad to answer them.

Yours sincerely

**NAME OF HEADTEACHER/CHAIR/CLERK
HEADTEACHER/CHAIR OF GOVERNORS/CLERK TO GOVERNORS**

SCHOOL LETTERHEAD

Dear **STAFF MEMBER NAME**

Due to more than one nomination coming forward, a ballot has to be conducted, please see below instructions:

Ballot Paper - Election of Staff Governor

1. Each member of staff is entitled to vote.
2. Please vote in ink by placing an X against the candidate of your choice

Papers recording more than the required votes or marked in any other way will be invalid.

CANDIDATES:

INSERT NAME Candidate's Statement enclosed:	
INSERT NAME Candidate's Statement enclosed:	
INSERT NAME Candidate's Statement enclosed:	

Completed ballot papers must be returned to the school by:

INSERT TIME

INSERT DATE

Yours sincerely

NAME OF HEADTEACHER/CHAIR/CLERK
HEADTEACHER/CHAIR OF GOVERNORS/CLERK TO GOVERNORS

Appendix F

SCHOOL LETTERHEAD

NOMINEE ADDRESS

Dear **NOMINEE NAME**

Re: Ballot Result for the Election of Staff Governor at INSERT NAME OF SCHOOL

Following the recent ballot for the election of Staff Governor, unfortunately I have to notify you that on this occasion your nomination was not successful.

I am very grateful to you, however, for agreeing to stand for election and for your wish to support the work of the school in the role of school governor.

Yours sincerely

**NAME OF HEADTEACHER/CHAIR/CLERK
HEADTEACHER/CHAIR OF GOVERNORS/CLERK TO GOVERNORS**

SCHOOL LETTERHEAD

Dear **Governor/Associate Member**

Congratulations on your *appointment/election* to the role of *insert category of governor* at *insert name of school*. You were *appointed/elected* on *insert date* and your term will end on *insert date*.

The purpose of governance is to provide confident, strategic leadership and to create robust accountability, oversight and assurance for educational and financial performance.

All boards, no matter what type of school or how many schools they govern, have three core functions:

- Ensuring clarity of vision, ethos and strategic direction;
- Holding executive leaders to account for the educational performance of the organisation and its pupils, and the performance management of staff; and
- Overseeing the financial performance of the organisation and making sure its money is well spent.

Governors have a responsibility to abide by the principle of collective decision making, and stands by the views of the board even where their own view differs.

With these responsibilities in mind, we have included the following information in your induction pack to support your understanding of your role:

- A copy of the *Instrument of Government/access to our Articles of Association*
- A link to the [Governance Handbook](#)
- The School Development Plan
- The school's Self-Evaluation Form
- Minutes from the last two full governing board meetings
- Link to any available governor training
- A copy of the School Prospectus (*if you have one*)
- Details of governing board committees including their terms of reference
- Details of the governing board membership
- Contact details for the school
- A calendar of school events
- A list of meeting dates – governing board and committees
- A copy of the most recent Ofsted report
- A plan of the school (*if available*)
- A copy of the School Visitor Policy
- The governing board [Code of Conduct](#)
- A copy of the schools Complaints Policy
- Copies of recent school newsletters
- A link to the school's website

In addition, to the above information, we will need you to complete the following:

- The application for an enhanced DBS check – attached
- A Skills Audit – attached
- Keeping Children Safe in Education:
 - National Governance Association Learning Link, Safeguarding Module
 - [Level 1 safeguarding](#) *or include information of your preference*

- Channel Awareness E [Learning](#) (prevent duty) *or include information of your training preference*
- Governor self-declaration form – attached *See appendix 16*
- Personal/pecuniary interest form – attached *See appendix 12*

As a governing board, to contribute to your effectiveness as a new *governor/associate member* we will support you by:

- Ensuring the chair of governors welcomes you to the governing board at your first meeting
- Arrange for you to meet with the headteacher
- Arrange for you to visit school to experience its atmosphere and understand its ethos
- Allocate you a mentor
- Provide the opportunity to review your first meeting with your mentor
- Provide details of how to access all school policies
- Details of how to access a list of school staff including subject areas

Amongst other things we expect you to;

- Understand that the role of the governing board is strategic
- Be prepared to commit the time to your role
- Know that all governors are equal, putting aside vested or personal interests to make decisions that are in the best interests of all pupils/students
- Act in the best interests of all the pupils in the school
- Abide by governing board decisions
- Behave in a professional manner
- Adhere to confidentiality as outlined in the Code of Conduct
- Establish whether your employer provides time off for volunteer duties
- Read all papers before a meeting. These should be circulated 7 days prior to a meeting and should include agenda, minutes, headteacher report, copy of the school improvement plan, relevant policies etc
- Attend meetings (full governing board and committee meetings), remember to declare an interest in any matter on an agenda where you have a personal or pecuniary interest
- Ask questions to evidence that you are holding executive leaders to account and for clarification
- Provide your apologies in advance
- Ensure that any tasks that you have been delegated are performed within the deadlines set

We look forward to supporting you on your journey, however if you require any further assistance please do not hesitate to contact me. I have also provided below the details of our local [Governor Support Team](#), should you wish to contact them for any additional support.

Yours sincerely

Chair of Governors

Enc

PROCEDURES FOR THE ELECTION OF GOVERNING BOARD CHAIR AND VICE CHAIR

INSERT NAME OF SCHOOL

*****ITEMS IN BOLD ARE REQUIRED BY REGULATION AND ARE NOT OPTIONAL *****

1. The governing board will agree the election procedure for chair and vice chair at its first:
 - Summer term meeting
 - Spring term meeting
 - Autumn term meeting

2. Term of office as the chair **will be for 1, 2, 3 or 4 year(s) from date of election**

3. Term of office as the vice chair **will be for 1, 2, 3 or 4 year(s) from date of election**

If the term of the office is broken or ended, the governing board will, at the next meeting hold an election following the agreed procedure and the full term of office will commence from that date.

4. Nomination procedures: All nominations to be

- written nominations in advance only OR
- nominations at meeting only OR
- nominations in advance and at meeting OR
- self-nomination OR
- nominee to be proposed (and seconded)

5. Election Procedure: Elections to be conducted by the clerk. The GB should hold a secret ballot regardless of the number of nominations received.

6. Election results in a tie, the person acting as chair has a casting vote (**only if a governor**). If no casting vote available, nominees to leave the room for the board to discuss suitability of each nominee, followed by another vote.

7. Committee chairs:

- The governing board will elect a chair for its committees OR
- Each committee will elect its own chair

Signed: _____

Date: _____

(Chair of Governors, on behalf of the governing board)

CLERKS' HEALTH CHECK

The Health Check will support clerks to begin the process of self-evaluation. It is a simple exercise to look at your current practice/processes to ensure statutory requirements are met. The check covers a number of areas and requires a simple 'yes/no' response, including an Evidence/Personal action column.

The Health Check may also contribute to identifying any additional training/support required and could form part of your appraisal process.

	Yes	No	Evidence / Personal Actions
Do you have a copy of your Instrument of Government or Articles of Association?			
Do you keep an accurate membership of governing board details including contact details, category of governor and term of office?			
Are your governors all within their term of office?			
Are you clear of the process to elect or appoint different categories of governors?			
Have new members of the board received a confirmation of appointment/election letter and induction pack?			
Do you inform the Governor Support Team of any changes in membership relating to the headteacher, chair of governors, Local Authority governor and clerk?			
Are you involved in agenda setting?			
Is the agenda and supporting papers sent to governors at least 7 days prior to the meeting?			
Do you record governor challenge, questioning and support in your minutes?			
Are your meetings quorate? <ul style="list-style-type: none"> Do you ensure meetings are still quorate during meetings, especially when governors may have to leave due to declaration of interest? 			
Do you advise the chair of potential disqualification through lack of attendance?			
Do you provide advice, to governors, on legislation and procedural matters where necessary before, during and after the meeting?			
Are governors actions clearly detailed in your minutes?			

Do you have a good professional relationship with the chair, headteacher and governors?			
Do you maintain copies of current terms of reference and membership of committees?			
Are the approved signed minutes kept in school?			
Are confidential minutes kept in a locked cupboard in the school?			
Do you maintain a 'Declaration of Personal and Pecuniary Interests' for governors and members of staff?			
Are all policies up to date and reviewed when necessary? <ul style="list-style-type: none"> • Are all statutory policies in place? • Are copies of policies kept in school? 			
Are statutory details in relation to governance on the school website up to date? <ul style="list-style-type: none"> • Do you check these regularly? 			
Do you keep up to date with governance legislation? <ul style="list-style-type: none"> • Governor Support Team website • DfE website 			
Do you distribute and read the Governor Support Team Newsletters?			
Do you undertake training to maintain knowledge and improve practice?			
Are you part of a Clerk Cluster Group?			

NOTES:

GUIDANCE NOTES ON GOVERNORS NON-ATTENDANCE AT MEETINGS

Legislation states (School Governance (Constitution) (England) Regulations), that governors who fail to attend meetings (full governing board (GB) or committees) for a consecutive 6 month period, without permission of their fellow governors will disqualify themselves from the GB. The 6 months commences on the date of the first meeting, where the governor failed to attend or the GB did not accept apologies.

The National Governance Association provides a model [Code of Conduct](#), which a GB can adopt or adapt to their needs. The code clearly sets out the expectations of the commitment involved when volunteering to be a governor. Your clerk should keep an attendance record, so that any persistent absences can be easily identified and brought to the attention of the GB.

There is an expectation of all governors to know their school and its activities. To achieve this, the expectation means that governors need to attend full GB meetings and committee meetings, where governors have agreed to be members.

There may be occasions when a governor cannot attend a meeting; the governor should make every effort to explain in advance why they cannot attend.

The GB should consider all apologies. The minutes should reflect that they have been considered and whether they have been accepted or not.

In the case of persistent absences with or without the provision of apologies, again governors should consider all absences and the minutes reflect if no apologies have been provided.

In such cases, the GB can/may have a discussion about the persistent absence from meetings. Good practice would be for the GB to delegate a governor (usually the chair of governors), to make contact with the absent governor regarding their persistent absence.

When the delegated governor makes contact with the absent governor, they should enquire if there are any specific reasons for their absence (for example ill health, change in personal circumstances, timing of meetings clashes with personal commitments etc), and if there is anything the GB could do to help support them to attend meetings. The delegated governor needs to also explain that if the unauthorised absence continues, they are at risk of disqualifying themselves from the role of governor.

The delegated governor should report back to the GB at the next meeting. The GB will then make the decision as to whether they can do anything to support the absent governors attendance. If non-attendance continues, the absent governor has disqualified themselves. The GB should notify them in writing, see suggested model letter Appendix A. The GB is free to amend/adapt the model letter to their needs.

SCHOOL LETTERHEAD

NAME
GOVERNOR ADDRESS

Dear **INSERT NAME**

Disqualification as INSERT CATEGORY Governor at INSERT NAME OF SCHOOL.

We are writing to you due to your non-attendance at meetings of the full governing board or committees for a period of 6 months, starting from **INSERT DATE OF FIRST MEETING GOVERNOR WAS ABSENT WITHOUT CONSENT OF THE GOVERNING BOARD** without the approval of the governing board.

Under the terms of The School Governance (Constitution) (England) Regulations 2012, Schedule 4, 9, (2), I regret to inform you that you have ceased to be a governor as a result of your record of attendance. You have, therefore, been removed from the governing board.

YOU MAY WANT TO INSERT A SENTENCE THANKING THEM FOR THEIR PREVIOUS CONTRIBUTION, IF APPLICABLE ie:

I understand that your personal commitments may have affected your ability to attend meetings and wanted to take this opportunity to express the governing board's thanks for your support in the past and wish you all the best for the future

Yours sincerely

INSERT NAME
Chair of Governors

GOVERNOR MEETING ATTENDANCE RECORD

Name	Date of meeting	Date of meeting	Date of meeting	Date of meeting	Date of meeting	Date of meeting	Date of meeting	Date of meeting	Date of meeting

GOVERNING BOARD DECLARATION OF PERSONAL AND PECUNIARY INTERESTS - GUIDANCE NOTES

The governing board and individual governors should always act in the best interest of the school. Declaring conflicts of interest is a legal requirement as laid out in the School Governance (Roles, Procedures and Allowances) (England) Regulations.

Governors are required to make an annual declaration. If circumstances change then please amend/submit an updated declaration; however this does not remove the requirement for a governor to make a declaration of interest at a meeting, where an interest is relevant to something being discussed.

Pecuniary Interests

Pecuniary interests are quite wide in their scope for example:

- Where a governor may personally benefit from the consequences of a decision of the governing board
- A governor's employer, or a partner in a partnership, company directorship(s), charity trusteeships, membership of professional bodies, etc, may benefit from the consequences of a decision of the governing board
- Offers of gifts or hospitality (declined or accepted)
- The supply of goods/services to the school
- Any other perceived possible conflict

Personal Interests

A personal interest should be declared if there is any chance that a governor's personal interest could unfairly prejudice, influence or conflict with decision making processes for example:

- Where a governor has immediate family/personal connections to another governor or member of staff
- Where a governor is a governor at another educational establishment

It is important that any declarations, pecuniary or personal, made at meetings of the governing board or committees, are minuted and whether a governor(s) withdrew from the meeting. There is now a legal duty for schools to display on the school website, a Register of Personal and Pecuniary Interests for the governing board.

Useful Links:

The Seven Principles of Public Life (*originally published by the Nolan Committee: The Committee on Standards in Public Life was established by the then Prime Minister in October 1994, under the Chairmanship of Lord Nolan, to consider standards of conduct in various areas of public life, and to make recommendations*) <https://www.gov.uk/government/publications/the-7-principles-of-public-life>.

The Charity Commission has produced [guidance on dealing with conflicts of interests](#) which may be useful, even for schools that do not have charitable status.

STAFF DECLARATION OF PERSONAL AND PECUNIARY INTERESTS - GUIDANCE NOTES

School staff should always act in the best interest of the school. All school staff are required to make an annual declaration. If circumstances change then please amend/submit an updated declaration. It is important for anyone involved directly/indirectly in spending public money to demonstrate that they do not benefit personally from decisions that they make.

Pecuniary Interests

Pecuniary interests are quite wide in their scope for example:

- Where a member of staff may personally benefit from the consequences of a decision or by being involved in the decision
- A partner in a partnership, company directorship(s), charity trusteeships, membership of professional bodies, etc, may benefit from the consequences of a decision of the governing board
- Offers of gifts or hospitality (declined or accepted)
- The supply of goods/services to the school
- Any other perceived possible conflict

Personal Interests

A personal interest should be declared if there is any chance that a member of staff's personal interest could unfairly prejudice, influence or conflict with decision making processes for example:

- Where a member of staff has immediate family/personal connections to a governor or member of staff
- Where a member of staff works at another educational establishment

Useful Links:

The Seven Principles of Public Life (*originally published by the Nolan Committee: The Committee on Standards in Public Life was established by the then Prime Minister in October 1994, under the Chairmanship of Lord Nolan, to consider standards of conduct in various areas of public life, and to make recommendations*)
<https://www.gov.uk/government/publications/the-7-principles-of-public-life>.

The Charity Commission has produced [guidance on dealing with conflicts of interests](#) which may be useful, even for schools that do not have charitable status.

GOVERNING BOARD REGISTER OF PERSONAL AND PECUNIARY INTERESTS

NAME OF SCHOOL:

NAME	NAME OF ORGANISATION	NATURE OF INTEREST <i>ie business, relationship or governorship roles in other educational establishments</i>	DATE INTEREST WAS REGISTERED	DATE OF CESSATION OF INTEREST	COMMENTS/NOTES

Record of Update

DATE	
SIGNATURE	

STAFF REGISTER OF PERSONAL AND PECUNIARY INTERESTS

**staff detail NOT for publication on school website*

NAME OF SCHOOL:

NAME	NAME OF ORGANISATION	NATURE OF INTEREST	DATE INTEREST WAS REGISTERED	DATE OF CESSATION OF INTEREST	COMMENTS/NOTES

Record of Update

DATE	
SIGNATURE	

Local Authority Governor Nomination Process
Maintained Schools

<p>1. Governor Support Team (GST) contacts clerk of Governing Board three months before the current LA Governor's term of office expires.</p> <p><i>Please proceed straight to Section 2 if the LA Governor resigns mid-term.</i></p>	<p>GST sends clerk standard letter.</p> <p>Clerk sends letter to current LA Governor to request confirmation of their interest in being considered for reappointment. LA Governor returns letter to GST.</p> <p>GST also sends <i>LA Governor Nomination and Appointment Form</i> to the clerk. Governing Board completes Section 1 of form, noting skill set and experience required. Analysis of the annual skills audit will assist the board in deciding on required experience.</p>
<p>2. Clerk returns <i>LA Governor Nomination and Appointment Form</i> to GST via email.</p>	<p>GST completes Section 2 of <i>LA Governor Nomination and Appointment Form</i>, including details supplied by the current LA Governor.</p>
<p>3. GST sends form to local Member(s) and Area Manager.</p>	<p>For primary schools, this is the Member whose division the school is located. For secondary schools, the form is sent to Members for all divisions covered by the school catchment area.</p> <p>Member(s) and Area Manager review the form, considering indication from the current LA governor as to whether they wish to continue or not.</p> <p>If the Member is unable to identify an individual to be nominated, they may wish to contact the school to discuss suggestions the school may have.</p> <p>If, in the case of secondary schools, several names are put forward by Members, the Area Manager brokers consensus as to the LA's nomination.</p> <p>Member complete Section 3 of the form and return to GST within 14 days. In the case of secondary schools, the Area Manager returns the form to GST.</p>
<p>4. GST sends form to the Governing Board.</p>	<p>Governing Board considers the nomination, referring to their required skill set.</p> <p>The Governing Board makes a decision regarding appointment of the nominee and completes Section 4 of the form. The Governing Board's decision is also recorded in the minutes of the meeting.</p>
<p>5. Clerk sends form to GST.</p>	<p>GST record appointed LA governor details on One database.</p>

LA Governor Nomination and Appointment Form

1. To be completed by the Governing Board

School	
Governor skill set / experience required	

Clerk please now email form to Governor Support Team (GST)
(gst.mailbox@cumbria.gov.uk)

2. To be completed by GST

Name of current LA Governor	
Does the current governor wish to continue for another term of office?	
Current LA governor skill set / experience	

GST sends form to local Member and Area Manager

3. To be completed by the local Member

LA nominee	
Nominee skill set / experience	
Contact details (if nominee not known to school)	

Member (Area Manager in the case of secondary schools) please now email form to Governor Support Team within 14 days (gst.mailbox@cumbria.gov.uk)

4. To be completed by the Governing Board

Date of GB meeting	
Name of appointed LA governor	

Clerk please now email form to Governor Support Team
(gst.mailbox@cumbria.gov.uk)

**Local Authority PRU Management Committee
Member Appointment Process**

<p>6. Governor Support Team (GST) contacts clerk of PRU Management Committee three months before the current LA PRU Management Committee member's term of office expires.</p> <p><i>Please proceed straight to Section 2 if the LA Management Committee member resigns mid-term.</i></p>	<p>GST sends clerk standard letter.</p> <p>Clerk sends letter to current LA PRU Management Committee member to request confirmation of their interest to be considered for reappointment.</p> <p>LA PRU Management Committee Member returns letter to GST.</p> <p>GST also sends <i>LA PRU Management Committee Member Appointment Form</i> to the clerk of the PRU Management Committee. PRU Management Committee completes Section 1 of form, noting skill set and experience required. Analysis of the annual skills audit will assist the PRU Management Committee in deciding on required experience.</p>
<p>7. Clerk returns <i>LA PRU Management Committee Member Appointment Form</i> to GST via email.</p>	<p>GST completes Section 2 of form, including details supplied by the current LA PRU Management Committee member.</p>
<p>8. GST sends form to local Members and Area Managers.</p>	<p>Gillford Centre and West Cumbria Learning Cetnre these are all Members for Carlisle, Allerdale and Copeland.</p> <p>Members and Area Managers review the form, considering indication from the current LA PRU Management Committee member as to whether they wish to continue for another term of office.</p> <p>If local Members are unable to identify an individual to be appointed, they may wish to contact the PRU to discuss suggestions the PRU may have.</p> <p>Area Managers and Members agree LA appointee and return the form to GST stating the appointment within 14 days.</p>
<p>9. GST sends form to the PRU Management Committee.</p>	<p>The appointment is recorded in the minutes of the next PRU Management Committee meeting.</p> <p>GST record appointed LA PRU Management Committee member details on One database.</p>

LA PRU Management Committee Member Appointment Form

5. To be completed by the PRU Management Committee

PRU	
LA PRU Management Committee member skill set / experience required	

Clerk please now email form to Governor Support Team (GST)
gst.mailbox@cumbria.gov.uk

6. To be completed by GST

Name of current LA PRU Management Committee member	
Has the current LA PRU Management Committee member expressed interest in continuing for another term of office?	
Current LA PRU Management Committee member skill set/experience	

GST sends form to local Members and Area Managers

7. To be completed by local Members and Area Managers

LA PRU Management Committee appointee	
Appointee skill set / experience	
Contact details (if appointee not known to PRU)	

Area Manager please now email form to GST within 14 days
gst.mailbox@cumbria.gov.uk

INFORMATION FOR WEBSITE (TEMPLATE)

LA Maintained Schools:

The remit of the governing board:

It is stated in the Governance Handbook that all boards, no matter what type of schools or how many schools they govern, have three core functions:

- Ensuring clarity of vision, ethos and strategic direction;
- Holding executive leaders to account for the educational performance of the organisation and its pupils, and the performance management of staff; and
- Overseeing the financial performance of the organisation and making sure its money is well spent.

The constitution of our governing board is as follows:

- X Parent governors
- 1 Local Authority governor
- 1 Headteacher
- 1 Staff governor
- X Foundation governors (if applicable)
- X Co-opted governors (if applicable)
- X Partnership governors (if applicable)

Term of office for all governors is 4 years (*amend as necessary*)

Committee Structure is:

List name(s) of committee(s)

Include committee terms of reference

Academies:

The structure and remit of the members, board of trustees, its committees, local governing bodies and the full names of the chair of each (where applicable), including Scheme of delegation for the Trust and terms of reference detailing clear lines of accountability.

The academy memorandum, articles of association, annual accounts, annual report and funding agreement. Trusts must publish their annual accounts no later than the end of January following the financial year to which the accounts relate.

Appendix 16 – GBs may used as part of pre-appointment checks

GOVERNOR SELF-DECLARATION FORM

FULL NAME	
PREVIOUS NAME(S)/MAIDEN NAME	
ADDRESS	
POSTCODE	
TELEPHONE	Home
	Work
	Mobile
DATE OF BIRTH	

Qualifications and disqualifications, regulation 17 and Schedule 4 to ‘The School Governance (Constitution) (England) Regulations 2012.

Grounds for disqualification fall into three broad categories:

- general grounds
- grounds that apply to particular categories of governor; and
- grounds that arise because of particular failings or actions on the part of the governor

All the grounds for disqualification apply also to associate members except that associate members can be registered pupils at the school and can be under 18.

I declare that I am not disqualified from serving as a school governor:

Signed _____ Governor

CONFIRMATION OF IDENTITY

I can confirm that I have seen one of the following means of identification:

Driving Licence

Passport

Marriage Certificate

Birth Certificate

Signed _____ on behalf of _____ school

Signed _____ Governor

GOVERNOR SUPPORT TEAM NOTIFICATION FORM

Appendix 17

Resignations\End of Term						
Category	Title	First name	Surname	Address	Date of resignation	
Chair of governors						
Headteacher						
LA governor						
Clerk to governors						
New Appointments						
	Title	First name	Surname	Address	Email Address	Date of appointment
Chair of governors						
Headteacher						
Clerk to governors						
Name of School					Date	
Signed			Name (printed)			
PLEASE RETURN COMPLETED FORMS TO: GOVERNOR SUPPORT TEAM, CHILDREN'S SERVICES, 117 BOTCHERGATE, CARLISLE, CA1 1RD GST.mailbox@cumbria.gov.uk						

Commented [LJ1]: Amend to reflect structure and base address for appropriate authority? Email will need to change

Reconstitution Process

All maintained schools are required to be constituted in line with the following regulations:

- The School Governance (Constitute) (England) Regulations
- The School Governance (Federations) (England) Regulations, and
- Any applicable amendments.

An Instrument of Government (IoG) is the legal document for Local Authority (LA) maintained schools that records the constitution of the governing body (GB) and the term of office for each category of governor as well as the name of the school. It can be reviewed or changed at any time by the GB, the correct legal procedure which **MUST** be followed as outlined in Appendix 1.

When reviewing an IoG, governing bodies should ensure that they have the skills needed to conduct the GBs business effectively. The National Governors' Association (NGA) has developed a skills audit which is structured around the core functions of the governing GB as defined in the [Governance Handbook](#), is available from the [NGA site](#).

The School Governance (Miscellaneous Amendments) (England) Regulations 2015 enables governing bodies or appointing bodies to set a different length of term of office for individual governors. However, this needs to be detailed on the instrument of government and is only applicable if the governing body has determined to permit appointing bodies to decide the term of office for an individual governor within a particular category. http://www.legislation.gov.uk/ukxi/2015/883/pdfs/ukxi_20150883_en.pdf

For an Academy Trust the composition of its governing body is reflected in its Articles of Association. The LA is not involved in drawing up this document.

Drawing Up an Instrument of Government

Whenever a GB of a LA maintained school decides to change its composition, the term of office of a category of governor, the name of the school or the school category, a new IoG must be drawn up. IoGs are drawn up using standard formats and once agreed, are sealed by the LA to make them legal documents. The LA has a statutory duty to make sure that it complies with the appropriate regulations.

The Governor Support Team (GST) can advise on any changes to instruments to ensure the suggested amendments comply with the appropriate regulations. In the case of voluntary aided or voluntary controlled schools, there must also be consultation and agreement with the foundation governors, any trustees (named on the IoG) and the appropriate religious authority before any changes can be made.

Any review or change to the IoG must be considered by the GB as an agenda item at a full GB meeting.

In the case of a suggested change in the name of the school this should be listed as a separate item on the agenda.

Any agreed changes/amendments (ie categories and numbers for each category) must be recorded in the minutes/draft IoG along with a note that the GB has agreed to the

changes/amendments.

A copy of the relevant GB minutes/draft loG/agenda (if amending the name of the school) should be sent to GST who will check to see that it complies with legal requirements, see Annex B.

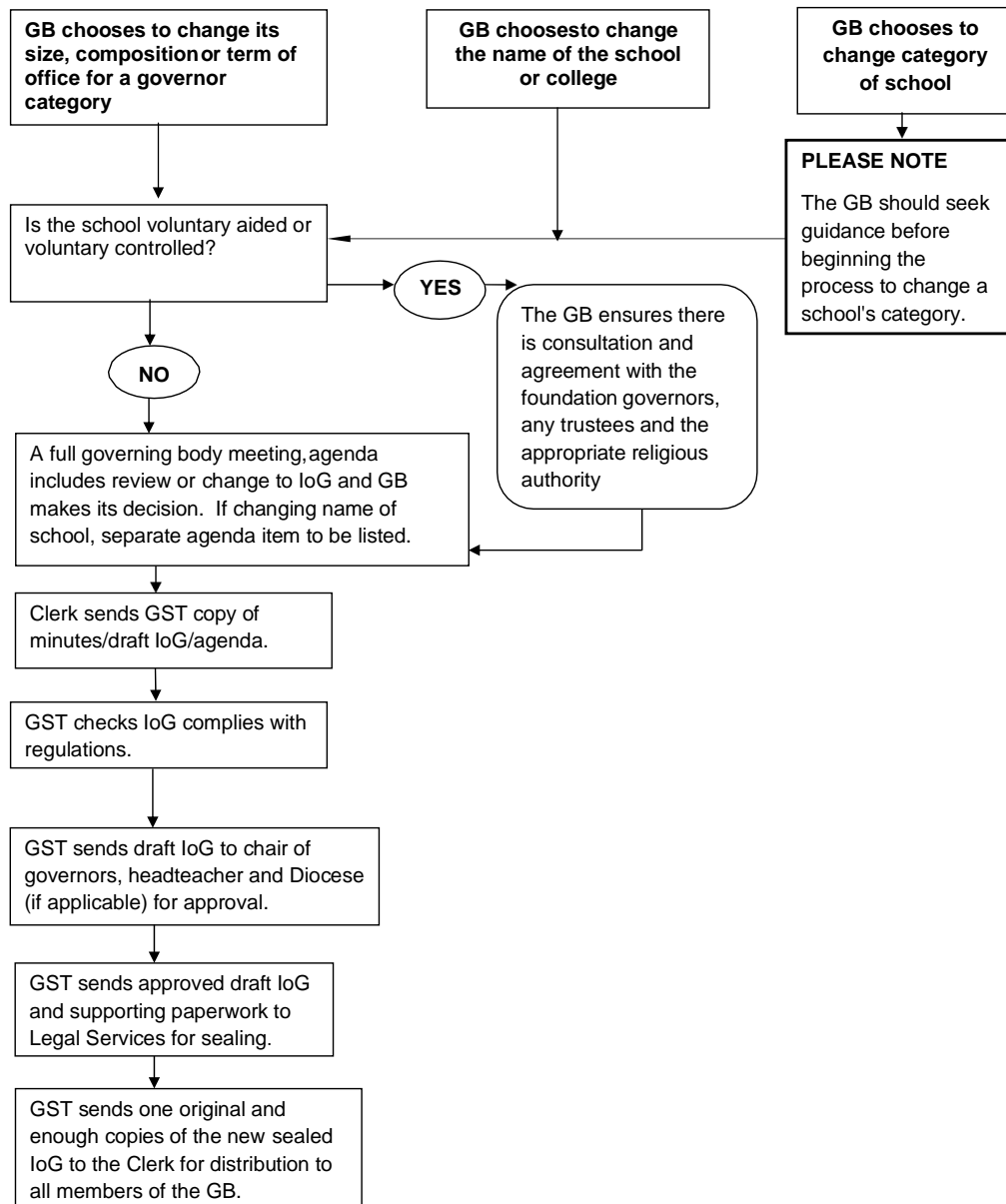
A final draft loG will then be sent to the chair, headteacher and Diocese (if applicable) for final approval. Once approvals have been received the draft loG will then be sent to Legal Services with supporting documentation - who will apply an official seal.

There will be two originals produced. One will remain with the LA and the other original will be sent by GST to the school (by recorded delivery) marked for the attention of the clerk, along with enough copies of the new loG for distribution to each member of the GB.

A flow chart outlining the full process is listed in Appendix 1.

Flow Chart for the process of drawing up a new Instrument of Government

In each of the three circumstances below, a new Instrument of Government (IoG) must be drawn up. The changes often involve other, far more complex procedures that must be completed before the governing body (GB) can make the decision that requires a new IoG.



Annex B: A Summary of Maintained School Governing Body Constitution under the 2012 Constitution Regulations

School Type	Foundation/trust governors	Partnership governors	Parent governors	Staff governors (including headteacher)	Local authority governors	Co-opted Governors
Community ⁶	N/A	N/A	At least 2	Headteacher + 1	1	As determined by the GB and no more than 1/3 where they are also eligible to be elected as staff governors when counted with the staff governor and headteacher.
Foundation with no foundation ⁷	N/A	At least 2 but no more than ¼				
Foundation with a foundation that appoints a minority of the GB	At least 2 but no more than 45%	N/A				
Qualifying Foundation	Overall control of GB. A majority of up to 2 over all other categories of governor	N/A				
Voluntary controlled	At least 2 but no more than ¼	N/A				
Voluntary aided	Overall control of GB. Majority of 2 over all other categories of governor	N/A				

⁶ Including community special schools and maintained nursery schools

⁷ Including foundation special schools

Annex C: Model instrument of government

Instrument of government

1. The name of the school is.....
2. The school is a *[insert category]* school.

Also [If applicable] whether the school has a foundation, and whether the school is a qualifying foundation school. (VA, VC, QF, F)
3. The name of the governing body is "The governing body of"
[insert the name of the school as set out in paragraph 1. above].
4. The governing body shall consist of⁸ :
 - a. X parent governors
 - b. One LA governor
 - c. One staff governor
 - d. One headteacher
 - e. (if applicable) X foundation governors [*at least two (but no more than 45%)*] or X partnership governors if the foundation school has no foundation [*at least two (but no more than 1/4)*] **(F)**, or
 - e. X foundation governors [*must outnumber the other governors by up to two*] **(QF)**, or
 - e. X foundation governors [*must outnumber the other governors by two*] **(VA)**, or
 - e. X foundation governors [*at least two (but no more than 1/4)*] **(VC)**
 - f. [*If applicable*] X co-opted governors.
5. Total number of governors [*.....including additional foundation governors where appropriate*].
6. [*Applicable if the term of office of one or more categories of governor is shorter than four years*] **The term of office of [category of governor] is [insert period between one and four years].**
7. [*Applicable if the governing body has determined to permit appointing bodies to decide the term of office for an individual governor within a particular category of governors*] **The term of office for [insert category of governor] shall be between one year and [insert maximum for that category] years as determined by the appointing body at the time of appointment and notified to the clerk.**
8. Set out the name of any foundation body or person entitled to appoint foundation

⁸ For paragraph 4, the required numbers of governors by category are provided at Annex A and B to this guidance

governors. If this is more than one person set out the basis on which appointments are made. **(VA, VC, QF, F)**

9. *[where applicable]* **(VA, VC, QF, F)**

- (a) the holder of the following office shall be a foundation governor ex officio: [name of office]
- (b) The foundation body or person named in paragraph 8 shall be entitled to appoint a foundation governor to act in the place of the ex officio foundation governor whose governorship derives from the office named in (a) above, in the event that that ex officio foundation governor is unable or unwilling to act as a foundation governor, or has been removed from office under regulation 21(1) of the Regulations.

10. *[Repeat 9(a) and (b) as necessary where there is more than one ex officio foundation governorship].* **(VA, VC, QF, F)**

Set out the name of any person entitled to request the removal of any ex officio foundation governor and to appoint any substitute governor.

11. *[Where the school has a trust]* the fact that a trust exists. **(VA, VC, QF, F)**

12. *[If the school has a religious character]* a description of the ethos of the school. **(VA, VC, QF, F)**

13. This instrument of government comes into effect on [...]

14. This instrument was made by order of Local Authority on

A copy of the instrument must be supplied to every member of the governor body (and the headteacher if not a governor), any trustees and to the appropriate religious body.

Key:

- VA - Voluntary Aided
- VC - Voluntary Controlled QF - Qualifying foundation
- F - Foundation

Clauses 1 to 5, 13 and 14 apply to all schools

Clause 6 applies to schools with governor terms of office of shorter than 4 years Clause 7 applies to schools where a governor's term of office may be decided by an appointing body

Clause 8 applies to schools with foundation governors

Clauses 9 and 10 apply to schools with ex-officio foundation governors Clause 11

applies to schools with a trust

Clause 12 applies to schools with a religious character

Insert School Name

POLICY FOR FINANCIAL DELEGATION

The purpose of this document is to indicate the areas of responsibility held and delegated by the Governing Body. The overall aim is to establish a clear, efficient and effective system of financial management and to clarify the roles and responsibilities involved.

The Headteacher has overall executive responsibility for the day-to-day financial management of the school. The Governing body (or Finance Committee if applicable) has a Terms of Reference which defines the extent of its delegated authority. The Governing Body is aware of the Cumberland LA Scheme for Financing Schools which is adopted by the Governing Body and covered in governor induction training.

It should normally be the case that, in addition to all Governors, a copy be given to each person named in the document and that there be a copy available, in the care of the Headteacher, so that other members of staff who wish to view it may do so. The contents of this document should be subject to an annual review by the governing body. The review should be evidenced in meeting minutes and the 'delegation policy' signed and dated.

Accordingly the Governing Body have made the following decisions with regard to the delegation of powers and responsibilities:

Area of Responsibility	Level of Responsibility			
	Governing Body	Finance Committee	Headteacher	Other Staff Member
Financial Management				
Ensure the school has written financial procedures that sets out how specific tasks are completed.			✓	

Approve the school's financial procedures manual annually or when there is a change of key staff.		✓		Named individual
Ensure the school's compliance with the Department of Education (DfE) Schools Financial Value Standard (SFVS).	✓		✓	Named individual
To review the school's SFVS self-assessment and the action plan drawn up to address issues identified, as required.		✓		
Approve the school's whistleblowing, anti-fraud and corruption policies and pay policies. Ensure that these are reviewed by the governing body on an annual basis	✓			
Maintain a register of business interests for all governors and relevant staff. And ensure that this is maintained up-to-date and published on the school's website.				Named Individual should be the Clerk to Governing Body)
Ensure that financial updates are brought to the attention of the Finance Committee / Governing Body on a regular and timely basis (at least 6 times per year for financial monitoring reports).			✓	
To consider all relevant financial updates and advise the Governing Body of any issues affecting the school's financial administration.		✓		
Annual Budget Plan				

Prepare the school's draft annual budget based on the agreed objectives of the school as set out in the improvement plan for consideration by governors.			✓	Named individual
Consider the draft school budget, links to the school's costed school improvement plan, key issues and the proposal of the balanced budget for the year for the approval of the Governing Body.		✓		
Approve the school's annual budget and, if applicable, the deficit recovery plan.	✓			
Undertake benchmarking exercises on an annual basis with reference to the SFVS dashboard data for review by the Finance Committee.			✓	
Consider the benchmarking work undertaken by the school and propose changes, as required, to ensure that the school budget achieves value for money.	✓	✓		
Budget Monitoring and Control				
Approve virements between budget headings. Movements above this value to be referred to the Finance Committee before being undertaken.			Up to £X	
Approve virements between budget headings. Virements in excess of this amount to be approved by the Governing Body.		£X to £Y		
Approve virements between budget headings in excess of the delegation to the Finance Committee.	Above £Y			

Monitor and control expenditure against the budget during the financial year, including preparation and approval of reports for the Finance Committee and Governing Body.			✓	
Reconciliation of school financial records to LA information.				Named Individual
Orders for Goods and Services				
The authority for the signing of official orders for the purchase of goods and services other than by the Headteacher. (Note named individual for ordering, receipting and approval of invoice for payment should not all be the same. Should be at least 2 people to provide adequate segregation as fraud prevention measure).				Named individual up to £X
Control the placing of orders for the purchase of all goods and services, up to a value of [£ AMOUNT]. For amounts above [£ AMOUNT] prior agreement of governing body must be obtained and a member of the Governing Body must countersign orders above that amount.			✓ (Between £X and £Y)	
Approve orders for all goods and services (taking into consideration CCC Contract Regulations and other purchasing guidance provided by the Local Authority).	Over £Z	Between £Y and £Z		
Checking goods and services received for quality, quantity and price.				Named Individual
Payment for Goods and Services				
Certifying payments for goods and services.			✓	Named Individual(s)
Maintain a list of named school payment cardholders.				Named individual

Cardholder responsible for reviewing and recording transactions and VAT in the RBS Smart Data Online System (non-chequebook schools only).				Named individual
Review and sign-off monthly payment card reports produced by the SDOL system (non-chequebook schools only).			✓	
The use of BACs for payments has dual authentication levels set up and payments are made in accordance with those authentication levels (chequebook schools only).			✓	Named individuals
Income				
Draw up proposed charges for the various areas of school income, including lettings, music tuition and school meals, on an annual basis.			✓	
Approve the annual review of charges for the various areas of school income (the approval to be formally recorded in the Governing Body minutes).	✓			
The control and collection of cash.				Named individual
The preparation of receipts for banking.				Named individual
Ensure the security of monies held on site.			✓	
The write-off of debts after all steps and efforts have been made to recover the debt	✓			
School Fund Account				

Appoint an auditor and treasurer to the School Fund Account.	✓			Add name of treasurer and auditor here
Ensure that an annual return or audit certificate is completed for every private, voluntary or trading account controlled by the Governing Body.		✓ (both apply)	✓ (both apply)	
The preparation of cheques for payment of goods and services.				Named individual
Approve a list of authorised signatories against the School Fund Account(s) list appended to this document.	✓			
Banking Arrangements				
Open bank accounts and approve or vary signatures thereto, taking into consideration the restrictions set out in the Scheme for Financing Schools and any effect that this may have on the way the annual budget is advanced to the school.		✓		
The signing of cheques/payments for more than £X and reimbursements to the Headteacher. <i>NB the school should always ensure that the cheque signatory has no connection to the cheque payee.</i>			Headteacher plus one named individual	
The signing of cheques/payments for less than £X and reimbursements to the Headteacher (where the school has more than two authorised signatories).				2 Named Individuals
The control and reconciliation of the school's bank accounts for consideration by the school's Headteacher.				Named Individual

Approve the bank reconciliation on a monthly basis.			✓	
Petty Cash				
Agree, with the Governing Body, an appropriate amount of petty cash to be held, currently £x, and the periodic check of completeness of financial records.	✓ (both apply)		✓ (both apply)	
The maintenance of accounting records, the security and regular reconciliation of petty cash.				Named Individual
Staffing and Payroll				
Review the staff structure of the school [FREQUENCY, e.g. biennially].			✓	
Periodically reconcile gross pay with contracts and other authorised documents.			✓ (or named individual)	Named Individual
Authorise all employee-related expenses to be paid through payroll (e.g. employees' overtime, special allowances, travel expenses, etc).			✓	
Preparing/certifying prime documents and claims relating to the appointment, dismissal and payment of employees.				Named Individual
Review monthly payroll report and certify payments.			✓	
Approve all payments made to the Headteacher personally, i.e. reimbursement of payments for goods / services purchases on behalf of		✓ Up to £x per claim		

the school and / or personal expenses incurred, e.g. travel expenses. (Refer also to the banking arrangements section above.)				
Procurement of Contracts				
Ensure that quotes are obtained for purchases and contracts in accordance with the minimum requirements set out in the CCC Contract Regulations – see details below:			✓	
Ensure that at least one oral quotation is obtained (confirmed in writing where the quotation exceeds £500) for contracts valued up to £2,000.				Named Individual
Ensure that at least 2 written quotations are obtained for contracts valued between £2,001 - £50,000.		✓		
Ensure that at least 3 written quotations are obtained for contracts valued between £50,001 - £100,000.	✓			
Ensure open advertisement of contract appropriate to the relevant market for contracts exceeding £100,000 but below relevant public contracts regulations threshold.	✓			
Ensure that public procurement regulations are applied for all contracts over the public contracts regulations threshold.	✓			
Maintain a register of all contracts and significant purchases including all operating leases.			✓	
Financial Reporting to the Authority				

The preparation of the year-end accounts and other returns required by the Local Authority for consideration by the Headteacher.				Named Individual
In conjunction with the Chair of Governors, the governing body approve all year-end accounts and any financial returns required by the Local Authority.	✓ (both apply)		✓ (both apply)	
Advising the S151 Officer of significant financial decisions to be considered by the governing body, any suspected fraud or theft and any financial irregularities.			✓	
Internal Audit Reports				
Produce a formal response to any Internal Audit reports and an action plan showing how the recommendations will be implemented, by whom and by when.			✓	
Ensure that the recommendations agreed by the school have been implemented.	✓ (or finance committee)	✓		
Security of Assets				
Ensure the physical security of the school's assets, and maintain and periodically inspect an up to date inventory/asset register.			✓	
Administering and controlling inventories and stores.				Named individual
Authorise items for disposal above a residual value of [£ AMOUNT].	✓		✓	

	above £x		below £x	
Maintain a list of keyholders.				Named individuals
Insurance				
Arranging insurance cover for the school.			✓	
Undertake an assessment of risk management for insurance purposes at the school.		✓		
Security and non-disclosure of Confidential data				
Ensure that the school complies with the requirements of GDPR and the Data Protection Act 1998.			✓	Named individual
Ensure that the school's Data Protection registration is renewed annually with the Information Commissioners Office.	✓			
The setting up and maintenance of access profiles for system users and the production and security of back-ups e.g. cloud based.			✓	Named individual
Retention of Accounting Records				
The retention, secure storage and disposal of accounting records in accordance with both legal and Local Authority requirements.				Named individual
The maintenance of full financial records for all accounts.				Named individual

Authorised _____ *(Chair of the Governors)* **Date** _____

The authorised signatories for the School Fund Account are:

Name	Post	Signature

