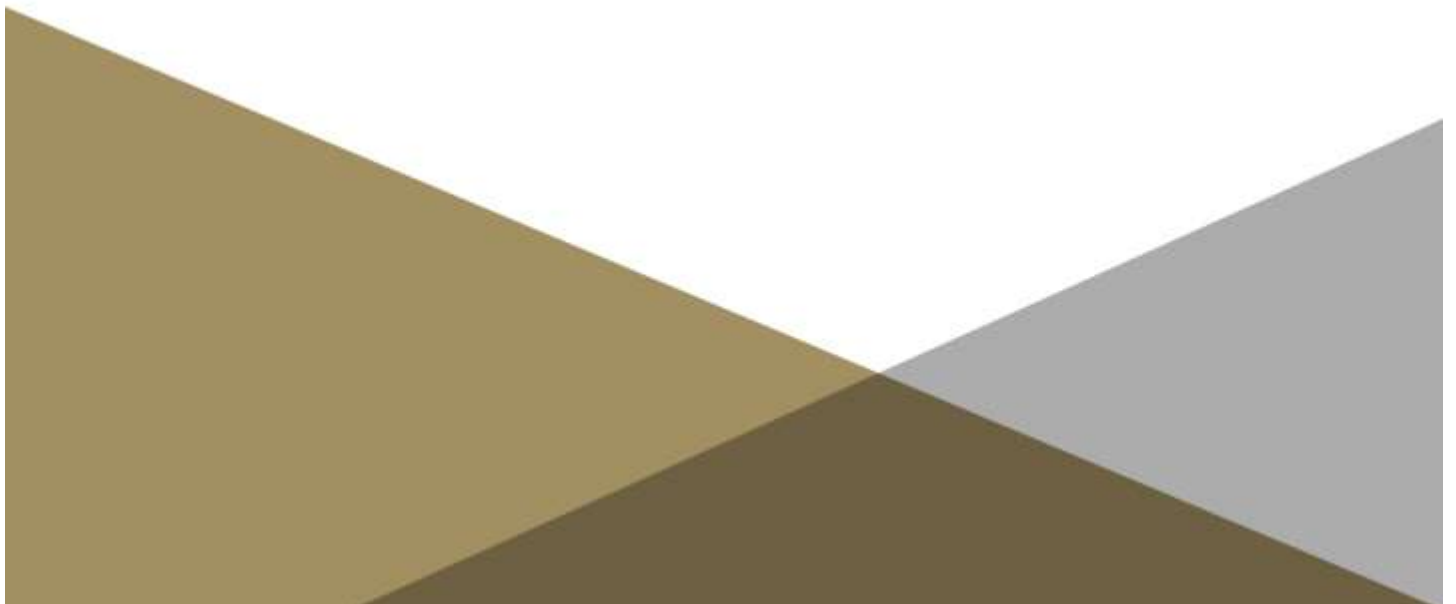




Governance Handbook

2018/19

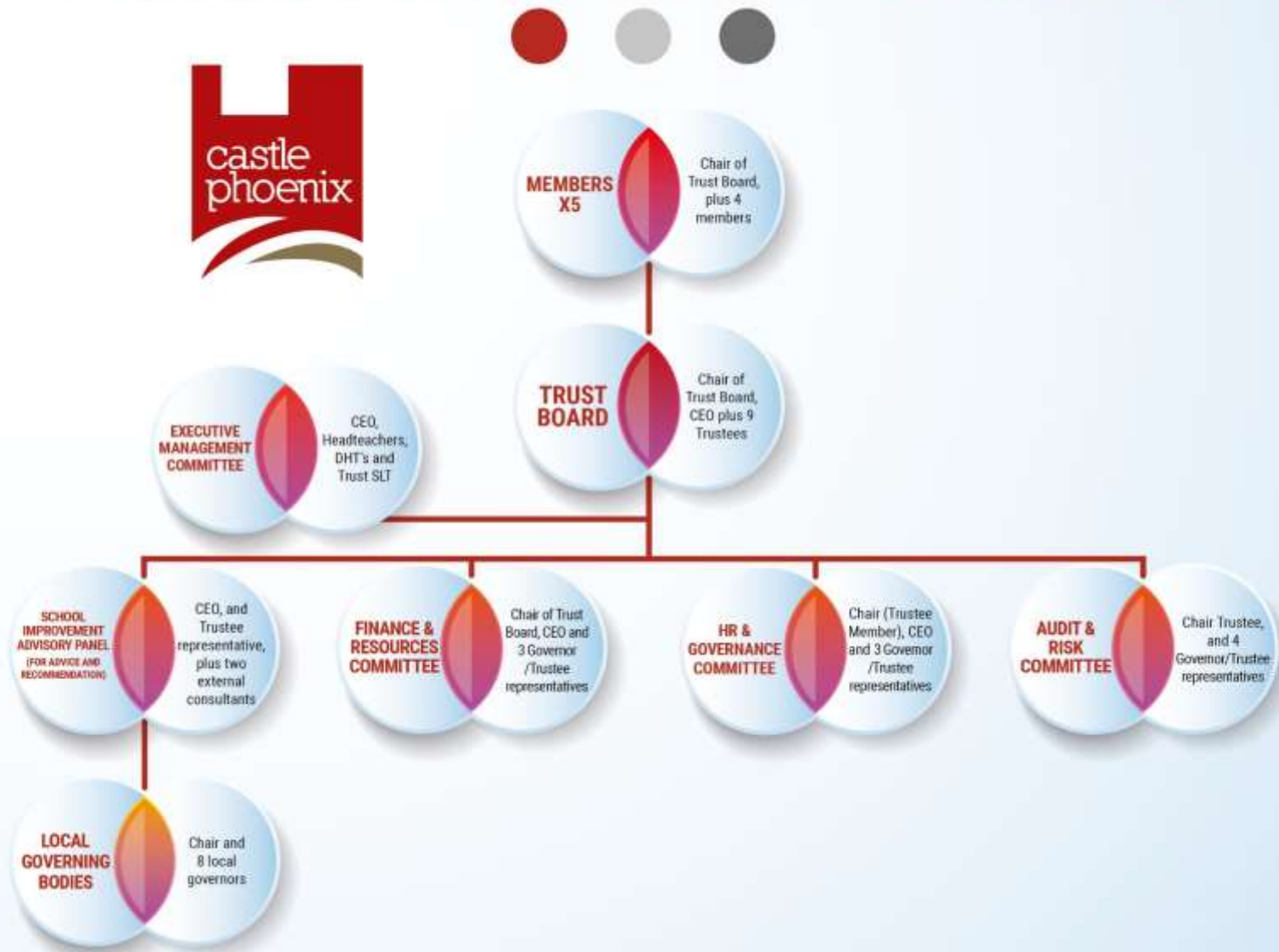


Governance Handbook

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GOVERNANCE STRUCTURE 2018-19



Castle Phoenix Trust Governance Structure – Proposed Structure 2018-19 onwards

Governance Level	Membership	Meetings per year	Responsibilities	Reporting
Members	5 Chair of Trust Board plus 4 others	2	<ul style="list-style-type: none"> • are signatories to the articles of association • may, by special resolution, amend the articles of association, subject to any restrictions created by the trust’s funding agreement or charity law • may, by special resolution (which requires 75% rather than a simple majority of Members to agree) appoint new Members or remove existing Members • have power to appoint Trustees as set out in the trust’s articles of association, and have power under the Companies Act to remove any or all serving Trustees • may by special resolution issue direction to the Trustees to take a specific action • appoint the trust’s auditors and receive the trust’s annual audited accounts • have power to change the name of the charitable company and ultimately, wind up the academy trust. 	None
Board of Trustees	11 including CEO	6 per year (including 2 half day strategy planning events)	<ul style="list-style-type: none"> • 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 • Overseeing the financial performance of the organisation and making sure its money is well spent <p>Link trustees for</p> <ul style="list-style-type: none"> • SEND • Safeguarding • School Improvement • Standards of Attainment and progress • Grant funding – Pupil premium, sports premium, Year 7 catch up • Stakeholder communication / marketing • Legal and compliance • Governance and training • Finance • Risk Management • HR <p style="color: #00AEEF;">Approval of terms of reference and election of chairs of all LGBs and committees</p>	<p>Link Trustees termly reports including SIAP reports which identify the effectiveness of each school and recommendations for support / resources</p> <p>Recommendations for committee and LGB action</p>
Finance and Premises	5 Majority must be Trustees	5 per year	<p>The trustees must ensure regularity and propriety in use of the trust’s funds, and achieve economy, efficiency and effectiveness – the three key elements of value for money</p> <ul style="list-style-type: none"> • Financial oversight - Trustees and managers must maintain robust oversight of the academy trust. • Internal control principles 	Termly financial report for the Trust board and LGB identifying

Audit and Risk	5 Majority must be Trustees 3 Trustees 2 governors NB Associate governors possible	3 per year plus visits to schools	<p>Audit committees - The academy trust must establish a committee, appointed by the board of trustees, to provide assurance to the board over the suitability of, and compliance with, its financial systems and operational controls, and to ensure that risks are being adequately identified and managed.</p> <p>Risk management - The trust must manage risks to ensure its effective operation. The trust should maintain a risk register.</p> <p>Whistleblowing - The academy trust must have appropriate procedures in place for whistleblowing,</p> <p>For info the committee may not make any decision unless those present at the meeting includes a majority of trustees (Article 101).</p>	Termly report for Trust Board and LGB to identify compliance and risk
HR and Governance	5 Majority must be Trustees 3 Trustees including CEO 2 governors NB Associate governors possible	3 meetings a year	<ul style="list-style-type: none"> • Strategy development and overview for the employment of staff and all strategic issues relating to staff salary and benefit packages including performance management and approval of staffing structures. • Review of salary, benefits, contracts of employment and performance management of CEO and SLTs • Oversee processes for the recruitment, induction, appraisal and training of all Trustees, governors and committee members. • Keep under review the skills, knowledge and experience on the board, local governing bodies and all board committees and advise the board of Trustees on succession planning and renewal. • Oversee the Trust's strategy in relation to equality, diversity, inclusion and wellbeing. • To support the board of Trustees in providing an added level of scrutiny in the monitoring of HR and governance • Review of policies in accordance with policy review schedule <p>For info the committee may not make any decision unless those present at the meeting includes a majority of trustees (Article 101)</p>	Termly report for Trust Board and LGB identifying staffing status and employment related updates
LGB	9 To include 2 staff governors 2 parent governors 5 community governors could include parents	6 meetings a year	<ul style="list-style-type: none"> • To ensure all pupils within the Trust have access to a high quality education provision in line with the shared vision and values • To monitor the implementation of each individual academy's development/improvement plans ensuring that it is delivering against agreed strategic and local objectives; moving the MAT as a whole towards achieving and sustaining a regulatory judgement of outstanding in all areas. • To ensure that the academic and wellbeing needs of pupils are being met effectively through the design and delivery of a broad and balanced curriculum which, through use of personalised, developmental support helps to maximise each pupil's success and enjoyment. • To ensure all pupils are safeguarded. 	Termly report for Trust board following scrutiny and challenge of the termly KPI document

			<ul style="list-style-type: none"> • To ensure the published admission number (PAN) is full. • Promoting the Trust's strategy for stakeholder (including parents) engagement and communication • Review of policies in accordance with policy review schedule 	
Governor Panels			<p>Panels in connection with pupil exclusions or to hear formal complaints about areas falling under the LGB committee's remit (i.e. curriculum, teaching and learning / behaviour or wellbeing of pupils) will be heard by a panel from the relevant school's LGB. However in the event of insufficient availability of local governors, the Trust will seek support from Trustees or local governors of other schools in order to form a panel.</p> <p>Panels in connection with staffing issues will be heard by a panel made up of governors from the relevant school's LGB, Trustees and/or with local governors of other schools in order to form a panel. This will be based on availability, skills and experience and to ensure no conflict of interest. Panels will be formed through the Trust HR team.</p>	
EMT (Executive management team)	Trust SLT Plus Headteacher and deputy Headteacher representative from each school	6 times a year	<p>The overall purpose of the executive management team (EMT) is to support the board of trustees, local governing bodies and trust-wide committees in:</p> <ul style="list-style-type: none"> • setting strategy, policy and standards • exercising financial management and control • strategic planning • monitoring of performance • service development <p>In addition its purpose is to lead and manage all staff in:</p> <ul style="list-style-type: none"> • implementing strategy and policy agreed by the board of directors, local governing bodies and trust-wide committees • delivering high quality front line, central and support services to agreed standards • maintaining and improving the standards of education and outcomes for the federation's students • engaging with students, parent/carers, staff and the local community • managing budgets and maximising income • developing effective relationships with partner organisations, local authorities, regulatory bodies, and all other stakeholders 	
<p>All governors complete a skills audit and this is used to identify the best fit for governor representation on the Trust committees (Finance and Premises, HR and Governance, Audit and Risk). There will not necessarily be representation from each school on the central committees although associate membership can facilitate this.</p>				

Castle Phoenix Trust Central Services – Roles and Responsibilities

CHIEF EXECUTIVE – Michele Marr

<p>SCHOOL SUPPORT / TRAINING Director of Learning and Teaching – Ann Rayns Head of Teaching School/Leadership Development – Ann Dudgeon Lead for NQTs – Lindsay James</p> <ul style="list-style-type: none"> • Learning and Teaching • Leadership development • Quality Assurance and self- evaluation • Subject specialisms • PP Reviews 	<p>TRUST MONITORING of PERFORMANCE CEO – Michele Marr School Improvement Advisory Panel / External Trust Challenge Partners - Balraj Hare, Andy Swallow (teaching and learning Consultant and experienced inspector), Catherine Crisp (Primary NLE)</p> <ul style="list-style-type: none"> • Performance management
<p>ASSESSMENT TEAM Data and Assessment Manager – Emma Phillips SIMS Manager and school support - Anne Oldfield Data Analyst – Tim Wager ITT administrator – Karen Brown</p> <ul style="list-style-type: none"> • Production of data reports • Data analysis • Preparation of data dashboards • Initial Teacher Training administration 	<p>PREMISES Trust Estates & Facilities Manager: Ian Houghton</p> <ul style="list-style-type: none"> • General premises advice and management • Health & Safety • Site maintenance advice • Buildings reports • Project and resource management • Oversight of site teams • Cleaning and catering advice
<p>FINANCE and OPERATIONS Director of Finance: Helen Harrison</p> <ul style="list-style-type: none"> • Overall Financial Management • Compliance of financial regulations in line with the Academies Financial Handbook and the Trust Finance Policy • External audit recommendations • Financial planning assistance for Budget planning and 3 year forecast • Use of Finance system • Compliance and Risk Management 	<p>HR HR Director: Emma Over</p> <ul style="list-style-type: none"> • Employee resourcing • Provision of general HR advice • Employee relations support • HR compliance • Wellbeing, reward and recognition • Employee development • HR Metrics
<p>GOVERNANCE CEO - Michele Marr supported by Karen Steele</p> <ul style="list-style-type: none"> • Structure • Advice, guidance and support • Administration and Clerking • Access to training and development 	<p>OTHER OPERATIONS Director of Finance: Helen Harrison</p> <ul style="list-style-type: none"> • Academy conversions -Project management of Trust growth • Audit and Risk – Risk Registers (RALs) • Company Secretary duties • Trips
<p>ICT</p> <ul style="list-style-type: none"> • ICT advice and support • SIM's and management information systems advice • ICT Procurement advice • Graphic design service • Website compliance support 	<p>SAFEGUARDING Trust Safeguarding Lead – Caroline Waring</p> <ul style="list-style-type: none"> • Oversight of Trust Safeguarding

Castle Phoenix Trust – Risk Register

RISK 1: Strategic and Reputational Risks

Risk No.	Risk Description	Risk Consequences
1.1	Admissions - Failure of the Trust to recruit sufficient learners to make it viable	<ul style="list-style-type: none"> • Significant financial risk; • Risk that the confidence of stakeholders is diminished
1.2	Trust Objectives - Failure to ensure that the objectives of the Trust are met	<ul style="list-style-type: none"> • Risk that the individual academies fail to operate within the strategic objectives agreed by the Board of Directors; • Risk that the individual academies strategic objectives become out of date or no longer appropriate; • Risk that the individual academies receives an unfavourable OFSTED report; • Risk that the objectives of the Trust are seen as controversial
1.3	Teaching School Competitors - Failure to monitor and react accordingly to the risks associated with competitor establishments	<ul style="list-style-type: none"> • Risk of competition for the same share of the market
1.4	Parental and Community Engagement - Failure to monitor and react accordingly to the requirement of the Trust stakeholders	<ul style="list-style-type: none"> • Risk that stakeholders do not consider the individual academies services to be valuable and of high quality
1.5	Trust Partnership - Failure to assess and review the alliances and partnerships with other organisations / academies within the Trust	<ul style="list-style-type: none"> • Risk that an alliance or partnership of individual academies is no longer appropriate; • Risk to the integrity of the Trust
1.6	Failure to ensure that the Trust has adequate insurance cover or monitors the effect of risks over which the individual academies have no or little control, such as economic and natural disaster	<ul style="list-style-type: none"> • Financial risk; • Risk of litigation; • Reputational risk
1.7	Future Planning - Failure to monitor and react accordingly to reductions in income	<ul style="list-style-type: none"> • Financial risk; • Risk to the individual academy / Trust; • Risk to the future of the Teaching School; • Reputational risk increasing the risk that the Teaching School will not be self-funding
1.8	Safeguarding - Failure of the individual academies to have appropriate safeguarding arrangements caused by not implementing Trust policies and procedures resulting in children not being identified at risk	<ul style="list-style-type: none"> • Risk to pupils; • Risk of litigation; • Reputational risk
1.9	ICT Security - Failure to ensure that Information Technology in the individual academies is maintained to the highest standard	<ul style="list-style-type: none"> • IT security risk; • Risk to the corruption or loss of data; • Risk that IT equipment and services are outdated and no longer fit for purpose; • Financial risk; • Pupils put at risk • Risk of litigation
1.10	Governance Profile - Failure of the Trust to recruit Governors who have the correct profile	<ul style="list-style-type: none"> • Risk that a governor could attract negative publicity; • Risk that stakeholders lose confidence in the Trust governors

1.11	Failure of the Trust to produce open and regular management accounts	<ul style="list-style-type: none"> • Management and admin costs of the individual academies are perceived as too high by the stakeholders; • Leader Salaries are perceived as being too high; • School reserves are seen to be too high and not directed towards meeting the individual academies objectives • Risk of compromising ability of Governors to challenge and monitor standards
1.12	Financial Integrity - Failure of the Trust to have financial management systems that prevent fraud	<ul style="list-style-type: none"> • Financial risk; • Risk of litigation; • Reputational risk; • Risk to the future of the individual academies
1.13	Conforming to legislation - Failure of the Trust to comply with legislative requirements	<ul style="list-style-type: none"> • Financial risk; • Reputational risk; • Risk of litigation; • Risk of prosecution • Risk of poor morale affecting staff and beneficiaries; • Risk to the future of the individual academies
1.14	Governance strategic role - Failure of the Trust and the Board of Directors to ensure that the individual academies have a robust organisational approach in place to deliver governance of Trust	<ul style="list-style-type: none"> • Risk that committees fail to operate; • Risk that committee delegation is poor; • Risk that the Governing Body do not delegate or delegate too much to the Chief Executive/Headteachers or SLT; • Risk that terms of reference are inadequate and unfit for purpose
1.15	Leadership Contingency - Failure of the Trust and the Governors to have procedures in place to cover the absence of the Head of each individual academy or other members of SLT	<ul style="list-style-type: none"> • Financial risk; • Reputational risk; • Risk of poor morale affecting staff and beneficiaries; • Risk to the day to day operation of the individual academies

RISK 2: Operational Risks

Risk No.	Risk Description	Risk Consequences
2.1	<p>Management of information - Failure to ensure that the quality of Management Information produced by the school is timely and of a high quality; good enough to aid decision making</p>	<ul style="list-style-type: none"> • Risk that financial and non-financial performance can't be managed or reviewed by SLT; • Risk that financial and non-financial performance can't be challenged or reviewed by the Trust or Governing Body; • Risk to the individual academies of receiving poor audits and inspections • Risk that information is out of date and cannot be reviewed by SLT or the Governors
2.2	<p>Governor Training and Performance- Failure to ensure that Governors who are recruited to the Governing Body possess the skills and experience required to run the individual academies</p>	<ul style="list-style-type: none"> • Risk of insufficient educational knowledge within the Governors; • Risk that the Governors do not have the required experience; • Risk that Governors fail to honour their obligations leading to poor availability and attendance at meetings; • Risk that too much emphasis is placed on entrepreneurial work and the strategic objectives of the individual academies are then ignored; • Risk that Governors become too involved with management of the individual academies; • Risk that Governors do not act solely in the interest of the school but for other interests e.g. business; • Risk that the Governors have no financial expertise; • Risk that Governors play a "passive" role
2.3	<p>Leadership Skills and performance -Failure to ensure that the members of SLT of the individual academies possess the skills and experience required to manage the academies</p>	<ul style="list-style-type: none"> • Risk that members of SLT do not have the capability or experience within the sector; • Risk that SLT do not have the integrity required; • Risk that succession planning is ignored; • Risk that too much emphasis is placed on entrepreneurial work and the strategic objectives of the individual academies are ignored
2.4	<p>Staff Recruitment - Failure to ensure that staff recruited to the individual academies have the required skills, ability and expertise to meet the strategic objectives of the Trust</p>	<ul style="list-style-type: none"> • Risk to staff of low morale; • Risk of poor recruitment of learners to the school; • Risk of poor retention and success rates; • Risk of recruiting unsuitable staff; • Risk of poor appraisal, CPD processes and the need to instigate costly disciplinary procedures, tribunals etc; • Risk that school procedures and processes are not undertaken in a satisfactory manner; • Risk that health and safety and safeguarding could be compromised amongst beneficiaries, staff and stakeholders; • Financial risk; • Risk of litigation; • Risk to the achievement of the Trust's strategic objectives

2.5	Income and Debt collection - Failure to ensure that the income due to the individual academies is collected in a timely and efficient manner and fully reconciled as per financial regulations	<ul style="list-style-type: none"> • Financial risk; • Risk to the achievement of the Trusts strategic objectives; • Risk of competitors competing for donations and grants from the same providers; • Risk that grants may not be used for the purposes they were intended; • Risk of poor audit reports and the claw back of funding
2.6	Purchase management - Failure to ensure that Goods and Services are purchased in line with financial regulations and that suppliers are paid in a timely and efficient manner	<ul style="list-style-type: none"> • Financial risk; • Value for money risk; • Reputational risk; • Risk to the achievement of the Trusts strategic objectives; • Risk to the financial viability of suppliers; • Risk of breaking financial regulations; • Risk of poor audit reports; • Risk of breaking the Bribery Act leading to litigation
2.7	Credible suppliers - Failure to ensure that a comprehensive up to date list of suppliers to the Trust is maintained	<ul style="list-style-type: none"> • Risk that by using a key supplier; supplies may not always be available; • Risk that the quality of supplies could be compromised; • Risk that the availability of competitive prices will be compromised; • Risk to the achievement of the Trusts strategic objectives
2.8	Risk management Strategy - Failure to implement a risk management strategy	<ul style="list-style-type: none"> • Failure to optimise educational opportunities; • Non-compliance with Education Funding Agency requirements; • Exposure of individual academies to unnecessary risk; • Increased costs e.g. insurance
2.9	Health and Safety - Failure of Trust to comply with Health & Safety legislation	<ul style="list-style-type: none"> • Risk of lack of trained staff; • Reputational risk; • Significant financial risk; • Risk that confidence of stakeholders is diminished; • Risk to staff and pupils
2.10	Security - Failure of security arrangements in the individual academies	<ul style="list-style-type: none"> • Significant financial risk; • Risk of individual academies assets stolen or damaged; • Reputational risk; • Safeguarding risk; • Risk that the stakeholders and beneficiaries lose confidence in the Trust governors

RISK 3 Compliance Risks

Risk No.	Risk Description	Risk Consequences
3.1	Employee legislation - Failure to ensure that the Trust comply with employee legislation	<ul style="list-style-type: none"> • Risk that legislative requirements are not known or complied with; • Risk that Equal Opportunities legislation may not be complied with or discrimination in the work place may occur; • Risk that Data Protection legislation may not be complied with; • Risk that Human Rights legislation will not be complied with; • Risk that employee contract legislation may not be complied with; • Risk that employee Pension legislative requirements are not known or complied with; • Risk that Health and Safety legislative requirements are not known or complied with
3.2	Environmental legislation - Failure to ensure that the Trust comply with environmental legislation	<ul style="list-style-type: none"> • Risk that UK legislative requirements are not known or complied with; • Risk that EU legislative requirements are not known or complied with
3.3	Financial reporting - Failure to ensure that the Financial Reporting requirements of the Trust are met	<ul style="list-style-type: none"> • Risk that the legislative requirements relating to the production and reporting of the Statutory Accounts are not known or complied with; • Risk that the legislative requirements relating to Academies Handbook are not known or complied with; • Risk that the Charities Statement of Recommended Practice (SORP) legislative requirements are not known or complied with
3.4	Trust and Academy updates - Failure to ensure that up to date information regarding the legislation relating to charities is maintained and kept updated by the Trust	<ul style="list-style-type: none"> • Risk that legislative requirements are not known or complied with; • Financial risk; • Risk that the Governing Body are not aware of their legislative obligations
3.5	Tax compliance - Failure to ensure that the Trust comply with legislation regarding Tax	<ul style="list-style-type: none"> • Risk that legislative requirements relating to VAT, PAYE, National Insurance etc is not known or complied with; • Financial risk; • Litigation risk
3.6	Data Protection - Failure of the Trust to ensure that Data Protection systems, procedures and processes are adequate	<ul style="list-style-type: none"> • Risk that the legislative requirements relating to the protection of data are not known or complied with; • Financial risk; • Litigation risk
3.7	Pupil Welfare - Failure to ensure that the Trust is compliant in relation to Welfare issues	<ul style="list-style-type: none"> • Risk that the legislative requirements relating to disability are not known or complied with; • Risk that the legislative requirements of the Child Protection Act are not known or complied with
3.8	Educational compliance - Failure to ensure that the individual academies are compliant in respect of the requirements of the education sector	<ul style="list-style-type: none"> • Risk that the legislative requirements relating to the National Curriculum are not known or complied with; • Risk that the legislative requirements relating to mental health are not known or complied with
3.9	Trust compliance - Failure to ensure that the Trust is compliant in respect of the requirements of the Government and the Local Authority	<ul style="list-style-type: none"> • Risk that the terms and conditions relating to the payment of grant is not known or complied with; • Risk that the legislative requirements relating to licensing are not known or complied with

RISK 4 Financial Risks

Risk No.	Risk Description	Risk Consequences
4.1	Budget controls - Failure to ensure that the Trust maintains overall financial control in relation to its budget	<ul style="list-style-type: none"> • Risk that a budget cannot be prepared in accordance with the DfE's timetable; • Risk that the budget will be in deficit; • Risk that the actual financial performance of each individual academy is not measured against the budget on a regular basis; • Risk that the budget headings are manipulated to ensure that targets are met
4.2	Reconciliations - Failure to ensure that the Trust maintains overall financial control in relation to reconciliations	<ul style="list-style-type: none"> • Risk that bank account reconciliations and other key reconciliations are not completed and reviewed; • Risk that suspense accounts are not cleared or reconciled
4.3	Financial systems - Failure to ensure that the financial systems of the Trust are suitable	<ul style="list-style-type: none"> • Risk that the financial system is not suitable for the needs of the Trust; • Financial risk; • Reputational risk
4.4	Financial systems - Failure to ensure that the financial system of the Trust is maintained	<ul style="list-style-type: none"> • Risk that the financial system will not provide the Governors and individual academy Headteachers with regular and up to date information on the financial performance; • Risk that financial decisions may be made, that are not in the best interest of the Trust; • Significant financial risk
4.5	Disaster Recovery plan - Failure to ensure that an adequate disaster recovery plan is in place in relation to the Trust financial system	<ul style="list-style-type: none"> • Risk that financial information cannot be recovered in the event of a disaster eg fire, vandalism, theft; • Risk to the delivery of the Trust's vision; • Significant financial risk; • Significant operational risk
4.6	Financial Security - Failure to ensure that the financial system of the Trust is secure	<ul style="list-style-type: none"> • Risk of unauthorised access to financial systems; • Risk of litigation; • Significant financial risk
4.7	Income and Debt collection process - Failure to ensure that general income due to the individual academies is collected in a timely manner and recorded accurately	<ul style="list-style-type: none"> • Risk that sales invoices are not raised for all transactions; • Risk that donations in kind or intangibles are not recorded or recognised in the financial statements
4.8	Restricted income - Failure to ensure that restricted income due to the individual academies is collected in a timely manner and recorded accurately	<ul style="list-style-type: none"> • Risk that restricted income is not recorded correctly; • Risk that restricted income is used for purposes other than restriction; • Risk that restricted funds are transferred to unrestricted funds without the consent of the donor; • Risk to future funding of the individual academies
4.9	Sponsorship funding - Failure to ensure that sponsorship funding is collected in a timely manner and recorded accurately	<ul style="list-style-type: none"> • Risk that sponsorship targets are not met; • Risk that sponsorship promised by individual partners is not delivered
4.10	Fraud - Failure to ensure that donations and income are not subject to fraud	<ul style="list-style-type: none"> • Risk that donations are misappropriated; • Financial risk; • Reputational risk; • Risk of litigation

4.11	Expenditure controls - Failure to ensure that the Expenditure in each individual academy is not controlled	<ul style="list-style-type: none"> • Risk that expenditure is not authorised; • Risk that expenditure is allocated incorrectly between budget headings; • Risk that discounts or price reductions due to the individual academies on purchases of goods and services are not obtained; • Risk that expenditure is not applied to the correct accounting period; • Risk that fraudulent invoices are submitted and payments made; • Financial risk
4.12	Treasury procedures - Failure to ensure that the Trust has a robust set of Treasury procedures in place	<ul style="list-style-type: none"> • Risk that cash flow requirements are not forecast; • Risk that cash is all committed to investment and insufficient is available to meet short term cash flow needs; • Financial risk
4.13	Fixed Asset procedures -Failure to ensure that the Trust has a robust set of Fixed Asset procedures in place	<ul style="list-style-type: none"> • Risk that assets are not capitalised; • Risk that the depreciation rate is not appropriate
4.14	Stock control - Failure to ensure that each individual academy has a robust set of procedures in place with regard to stock control	<ul style="list-style-type: none"> • Risk that stock is misappropriated; • Significant financial risk
4.15	Debtor procedure - Failure to ensure that the Trust has a robust debtor procedure in place	<ul style="list-style-type: none"> • Risk that debts owed to the individual academies are not recovered; • Risk that provision for unpaid debt is under / over stated in the Trust's annual financial statements; • Risk that the details of debt is not an accurate record; • Risk that debtors are not accounted for in the correct period; • Risk that the profile of aged debt deteriorates and subsequently impacts on the cash flow position
4.16	Taxation policy -Failure to ensure that the Trust has a clear policy in place relating to taxation	<ul style="list-style-type: none"> • Risk that the Trust is liable for tax on non-school trading activity; • Risk that the Trust is not aware of changes in taxation legislation
4.17	Pension liability - Failure of the Trust to make provision for contingent liability risk	<ul style="list-style-type: none"> • Risk that the Trust has not recognised provisions and commitments in respect of pension liabilities; • Risk that the individual academies have entered into future commitments without having the future funding available to meet them
4.18	Cash flow and fund management - Failure to ensure that the funds of the Trust are not monitored closely	<ul style="list-style-type: none"> • Risk that funding levels are too low or too high; • Risk that unrestricted funds are in deficit and restricted funds are in surplus; • Risk that capital in permanent endowment funds is not maintained
4.19	Pension performance - Failure of the Trust to monitor the performance of the employee pension scheme(s)	<ul style="list-style-type: none"> • Risk that the pension scheme(s) are in significant deficit; • Risk that the employer pension contribution increases significantly; • Risk that the Trust is not making the correct level of contribution to the pension scheme(s) on behalf of the employees; • Risk that the morale of staff may be affected; • Financial Risk

The Effectiveness of the Trust

Strategic Aims 2016 – 2019

- Leadership at all levels is effective
- Pupils make good progress within the Trust and achieve well
- The curriculum is stimulating and challenging and enables pupils to develop a passion for learning
- Learning and teaching is consistently 'great' (very effective teaching leading to improved pupil outcomes for future success)
- All children within our Trust feel well cared for, take pride in and value their school, and want to achieve their best

Castle Phoenix Trust Strategic Aims

Strategic Aim	Success Criteria	Intended Impact
<p>LEADERSHIP and MANAGEMENT</p> <p>Leadership at all levels is effective</p>	<ul style="list-style-type: none"> Each academy has a clear, well communicated vision, focussed upon raising aspirations and achievement for all, and a plan as to how to implement that vision. Every day action is taken to lead all stakeholders towards this vision. The vision is consistently acted up, all initiatives align to it, and the headteacher is its primary champion. Self- evaluation is effective and regular quality assurance informs the next steps to take to improve further. Action to improve is timely and embraced by all stakeholders High functioning teams develop stability and retention. Everyone has high expectations and feel well supported. Leaders have high emotional intelligence and encourage all to play to their strengths. Thoughtful talent management and succession planning is evident 	<ul style="list-style-type: none"> The Trust is progressing well towards meeting the 'LEADING' criteria against the '9 characteristics of successful MATs' There is a purposeful climate for learning as a result of strong systems and structures Staff value being part of the Trust and have access to excellent CPD opportunities. Recruitment is successful Talented leaders are challenged, nurtured and enabled to be the best they can be. They make a difference! Leaders demonstrate progress against the '5 keys' Leaders demonstrate their effectiveness using the Trust's leadership competencies
<p>OUTCOMES</p> <p>Pupils make good progress</p>	<ul style="list-style-type: none"> The annual academic performance targets for each academy are met Value added measures are positive (see targets) 	<ul style="list-style-type: none"> Pupils achieve well throughout the Trust in terms of academic performance, social confidence and emotional well-being Schools perform at least within the top 30% of similar schools
<p>CURRICULUM</p> <p>The curriculum is stimulating and challenging</p>	<ul style="list-style-type: none"> The mathematics curriculum promotes and develops good fluency, problem solving and reasoning skills The English curriculum promotes and develops an holistic approach to developing reading, writing and oracy as essential to functional and mastery literacy skills. The curriculum across the Trust promotes and develops – curiosity, high order thinking skills, independence, oracy and excellent presentation of ideas 	<ul style="list-style-type: none"> Pupils achieve well in Maths and English Pupils can talk about what and how they learn Pupils enjoy learning and are curious to learn more Pupils are well prepared for future employment
<p>TEACHING, LEARNING & ASSESSMENT</p>	<ul style="list-style-type: none"> Teachers have deep knowledge of the subjects they teach Instruction / pedagogical approaches are of a high quality - includes effective questioning and use of assessment by teachers. Specific practices, like reviewing previous learning, 	<ul style="list-style-type: none"> Teaching is very effective and leads to continuously improving pupil achievement against national expectations All schools will gain or maintain at least good inspection outcomes

<p>Learning and teaching is consistently 'great'</p>	<p>providing model responses for pupils, giving adequate time for practice to embed skills securely, progressively introducing new learning (scaffolding) are evident</p> <ul style="list-style-type: none"> • Classroom climate – the quality of interactions between teachers and pupils, and teacher expectations is high: the need to create a classroom that is constantly demanding more is evident • Excellent classroom management – teachers' abilities to make efficient use of lesson time, to coordinate classroom resources and space, and to manage pupils' behaviour with clear rules that are consistently enforced, are all relevant to maximising the learning that can take place. • Sound teacher beliefs - what learning is and how it happens • Professional behaviours - reflecting on and developing professional practice, participation in professional development, supporting colleagues, and liaising and communicating with parents is evident 	
<p>ENGAGEMENT and STUDENT WELFARE</p> <p>All children within our Trust feel well cared for, take pride in and value their school, and want to achieve their best</p>	<ul style="list-style-type: none"> • Children are able to talk about how they are supported to achieve their best • Attendance across the Trust is above the national average • The number of bullying incidents across the Trust are low • There are few incidents of poor behaviour 	<ul style="list-style-type: none"> • Children enjoy learning and feel well cared for • Children are excellent ambassadors for their school • Behaviour is good • Classrooms are inclusive so that every child feels able to contribute

Trust Strategic Planning – The School Improvement Service

The Supporting Team

National Leader of Education (NLE) / School Improvement Advisor – Michele Marr

Local Leader of Education (LLE) / Leadership Development – Ann Dudgeon

Learning and teaching consultant – Ann Rayns

Trust lead for NQTs – Lindsay James

Safeguarding lead – Caroline Waring

Education Welfare – Helen McDonald (attendance)

Specialist Leaders of Education (SLEs) – Ravi Banwait (Science); Narsh Srikanthapalan (Maths); Ali Bennett (English); Sian Harris (SEND); Caroline Waring (MFL and Curriculum), Louise Graham (Humanities), Ann Rayns (Teaching and Learning),

Central Assessment Team – Emma Phillips, Ann Oldfield, Tim Wager

School Improvement Advisory Panel (external advisors) Andy Swallow (current inspector, L&T consultant); Catherine Crisp NLE, Primary Headteacher; Balraj Hare (ex Headteacher, Regional PIXL lead)

Key functions

- Support for Leadership and Management – strategic action planning, quality assurance, self-evaluation, performance management
- Support for Teaching, Learning and Assessment – CPD, audits and external reviews, sharing good practice, support packages for teachers
- Support for Personal development and welfare – attendance, behaviour, well-being enhancement (education welfare officer, counsellors), safeguarding processes
- Ensuring high standards of attainment and good progress are achieved – KPI documentation, data analysis
- Preparation for Ofsted

Achievements 2017/18

- Established bespoke 'faculty centred leadership' throughout the secondary schools
- Introduced the refined KPI and SEF documentation throughout the Trust
- Organised annual Learning and Teaching conference across the Trust
- Kingsbury 'Teachmeet' event in 2018 attended by all three schools
- Improvement in the quality of teaching across the Trust
- Recruitment of 11 trainees to the Trust
- Improved quality assurance
- Implementation of a school improvement checklist to validate school processes
- Introduction of an external school improvement advisory panel (SIAP) who reported back to the Board of Directors with reference to the effectiveness of each school within the Trust

Challenges and Trust priorities for 2018/19

- Raising standards for disadvantaged children in particular white British boys
- Raising standards for the most able children
- Improving attainment and progress to be above the national average
- Ensuring attendance and persistent absence for all groups is at least in line with the average

Key developments planned for 2018/19

- Implementation of a quality assurance matrix to confirm compliance and quality for key processes
- Roll out of the Castle Phoenix school improvement framework across all the schools in the Trust
- Development of cross school sharing through establishment of learning hubs
- Closer alignment for assessment across the schools

Trust Strategic Planning – The Teaching School Alliance

The Supporting Team

- Head of Teaching School - Ann Dudgeon
- Teaching School Project Manager - Carol Harris
- Strategic Partners- Secondary - Blue Coat, South Wigston, North Leamington, Kingsbury. Primary - Inspire MAT (Walsgrave C of E, Clifford Bridge, The Whittle Academy, Hearsall), The Phoenix Federation (Wyken Croft, Charter Primary), Holbrook Primary, Allesley Primary, St Andrew's CE Infant School, Courthouse Green, Hill Farm, Park Hill, Mount Nod, Ravensdale Primary School, Richard Lee, Stivichall. Special - Corley, Baginton Fields. Other - Coventry LA, University of Warwick, SCCU, Oxford University Press.
- Wider Partnerships - Coventry TSAs (Teaching School Alliances), known as Coventry Teaching Schools Council (CTSC), Blue Sky, Swan, Whitley RSA, The Inclusive Alliance, President Kennedy, The Lion Alliance.
- NLEs (National Leaders of Education) - Michele Marr, Kim Docking (Inspire), Derek Gardiner (Phoenix Federation)
- LLEs (Local Leaders of Education) – Ann Dudgeon (Caludon Castle), Isobel Rose (Mount Nod Primary School), Tamara McCarthy (Holbrook Primary School), Sarah Malam (Courthouse Green Primary School), Sarah Ferguson (Stivichall Primary School), Allison Underhill (St Andrew's CE Infant School), Joy Mitchell (North Leamington School)

SLEs (Specialist Leaders of Education)

- Michelle Clemons (Gosford Park Primary) – Early Years
- Jenny Tegerdine (Courthouse Green Primary School) - Teaching and Learning, Foundation Stage and Transition to Year 1
- Rochelle Cocksworth (Hearsall Primary School) – Languages
- Rebecca Dowler (Whittle Academy) – Early Years and EYFS Assessment
- Jennie Spare (Courthouse Green Primary School) – Leadership of Curriculum
- Louise Reeves (Courthouse Green Primary School) – Maths
- Claire Jones (Courthouse Green Primary School) – Special Educational Needs
- Ann Rayns (Caludon Castle School) – Teaching and Learning, ITE and NQT development
- Rebecca Nelson (Cardinal Newman) – English, Support for most able
- Caroline Waring (Caludon Castle School) – Curriculum, Timetabling and Options
- Sian Harris (Caludon Castle School) – Behaviour, Special Educational Needs
- Mark White (Corley Centre) Special Educational Needs, Behaviour and Attendance
- Matt Atkins – (North Leamington School) – Leadership of Curriculum and Maths
- Louise Graham (Caludon Castle School) – Leadership of Curriculum, History and Humanities
- Narsh Srikanthapalan (Caludon Castle School) – Maths
- Alison Bennett (Caludon Castle School) – English
- Ravi Banwait (Caludon Castle School) – Science

Key functions

- Initial Teacher Education. Whatever route and style of training is sought by any potential trainees, whether salaried or training.
- All types of professional development (CPD), whether short courses, longer courses, twilight opportunities or bespoke programmes.
- Leadership development, including National College programmes such as the National professional Qualification in Middle Leadership (NPQML) through to NPQH (Headship), and bespoke programmes to meet the needs of specific middle and senior leadership teams.
- School to school support tailored to the need of an individual school. This can include major support across all aspects of need, or smaller more specific areas of support.
- Leading and supporting bids to secure funding released through the regional and national Teaching School structures to facilitate school improvement.
- Leading Teaching School partnership work across Coventry to ensure a wide, comprehensive and cohesive offer for all of our teaching professionals.
- Contributing to partnership working across the Teaching Schools sub-region – Coventry, Solihull and Warwickshire, and region – Birmingham/West Midlands.

- Support for research work and projects, whether for individuals or schools.

Achievements 2017/18

- Greater uptake of CPD and NPQs, leading to highest income and surplus for the TSA.
- Developing new governance structure for Coventry TSC with improved partnership with school improvement network leads.
- Supporting Coventry school to raise achievement as a result of Coventry TSC's successful bid to secure 500K for Coventry school through the Strategic School Improvement Fund (SSIF).
- Recruiting healthily and delivering new NPQ programmes through collaboration with new providers.

Challenges and Trust priorities for 2018/19

- Ensuring consistency of leadership development across the MAT.
- Intensified competition between teaching schools due to increased number (7) within Coventry.
- Building further system leader capacity.

Key developments planned for 2018/19

- Refining and promotion of Golden Ticket leadership development programme across the MAT
- New NPQ programmes to second year.
- Continued joint implementation of SSIF to strengthen school improvement.

Trust Strategic Planning – The Finance Service

The Supporting Team

- Caludon – Finance Officer (FT AYR), 2 Finance Clerks (2 days and 3 days 40 weeks each)
- Hill Farm – Admin Officer (38 weeks)
- Kingsbury – Finance Officer (40 weeks), Finance Clerk (39 weeks)
- Foxford (From 1 October 2018) – Business Manager, 2 Finance Clerks
- Richard Lee (From 1 December 2018) – Business Manager
-

Key roles

- To play a strategic, technical and leadership role, including ensuring sound appropriate financial governance and risk management arrangements are in place.
- Preparation and monitoring of budgets across the Trust to ensure individual establishments and the Trust are not in deficit.
- To ensure on behalf of the accounting officer and Trustees, that throughout the Trust, value for money, regularity and propriety are met.
- To ensure internal controls throughout the Trust are sound and followed. The internal framework includes, along with the points already made:
 1. applying discipline in financial management, managing banking, debt and cash flow, with appropriate segregation of duties
 2. effective planning and oversight of any capital projects
 3. propriety and regularity of financial transactions following the Academies Financial handbook
 4. reducing the risk of fraud and theft
- To fulfil the role as Company Secretary, ensure that all filings are made with Companies House in a timely manner.
- To project manage Academy conversions to Castle Phoenix Trust
- Audit and Risk – Risk Registers (RALs)
- Trips

Achievements 2017/18

- Balanced budgets throughout the Trust, with no overspend at the end of the year.
- The responsible officer report for all schools made only recommendations to improve the current internal controls and be in line with best practice.
- The addition of two new schools to the Trust.

Aspirations for 2018/19

- Smooth integration of the two new schools to the Trust finance procedures
- The continuation of the monthly premises / finance meetings
- A successful audit for the 2017/18 year

Key developments planned for 2018/19

- Successful upgrade of PS Financials
- The move away from cheques to BACS payments
- Introduction to Governors of the School resource management: top 10 planning checks for governors

Trust Strategic Planning – Premises

The Supporting Team

- Trust Estates and Facilities Manager (FT AYR)
- Hill Farm – SSO (FT AYR)
- Kingsbury – Senior Site Services Officer (FT AYR), Assistant Caretaker (FT AYR), Site Services Officer (25 hours AYR)

Key functions

- To strategically oversee the Trust Estates and Facilities Manager (TEFM) in managing the health and safety, planned maintenance programmes and reactive maintenance.
- To ensure all projects and necessary works are carried out within budget.
- To support the TEFM in the successful growth of the Trust.

Achievements 2017/18

- Successful appointment of the TEFM.
- CIF – Boiler Project successfully completed to budget at Kingsbury School.
- CIF – Life Safety Project successfully completed to budget at Kingsbury School.
- First floor refurbishment successfully completed at Hill Farm, project savings made to allow redecoration works to the school office.
- Full premises asset list has been compiled at Kingsbury School, PPM's are now being used.
- Five year premises development plans for Hill Farm and Kingsbury School are now in place.
- Restructure of the site team at Kingsbury School.
- Level 1 fire risk assessments are now in place for Hill Farm and Kingsbury School.
- Asbestos management plans and asbestos risk assessments are now in place for Hill Farm and Kingsbury School.
- New telephone system installed at Hill Farm and Caludon Castle School, new contracts are providing cost savings to each school.

Challenges and Trust priorities for 2018/19

- Cleaning at Kingsbury remains a challenge however, strategies are now in place to monitor progress.
- Recruitment of a day cleaner at Kingsbury School.
- Increasing the SLA's at Hill Farm and Kingsbury School to ensure schools are compliant.
- Monitoring of new staff at Kingsbury School.
- Monitoring of new procedures at Kingsbury School.
- The joining of Foxford School and Richard Lee Primary School.
- Monitoring of water hygiene process at Kingsbury School / Kingsbury Leisure Centre.

Key developments planned for 2018/19

- CIF – External envelope project at Kingsbury School.
- CIF - Boiler replacement project at Hill Farm.
- CIF – Drainage project at Hill Farm.
- CIF – 2018/2019 bids for eligible schools.
- PPM planer to be monitored at Kingsbury School, changes to be made if needed.
- Annual building condition surveys to be completed at all schools.
- Review of the five year premises development plan at Hill Farm and Kingsbury School.
- Five year premises development plans to be compiled for Foxford School and Richard Lee Primary School.
- Implementing the agreed premises development works at Hill Farm and Kingsbury School.
- Look at telephone system upgrade at Kingsbury School.
- Furniture development plan to be compiled for each school.

Trust Strategic Planning – HR Review

The Supporting Team

- Laura Greenacre – HR Officer – 0.58 FTE joined in May 2017 (permanent WEF 01.11.17)
- Karen Steele – HR Assistant (and Senior PA to Leadership Team). Governor Support
- Sheila Stapleton – HFP Admin Assistant (payroll and SIMS admin) – circa 0.1 FTE for HR
- Helen Jones – KS Administration Manager and PA to HT (payroll, SIMS admin, line manager of admin staff, recruiting manager as identified in Trust recruitment process) – 0.5 FTE for HR

Key functions

- **Employee resourcing:** advice, support and administration for end to end recruitment process, appointment and induction in accordance with Trust policy and legislation and guidance
- **Provision of general HR advice**
- **Employee relations support:** disciplinary, grievance, capability, safeguarding, TU consultation and negotiation
- **HR compliance:** policy development, advice, interpretation and implementation, interpretation and implementation of employment legislation, DfE regulations.
- **Wellbeing, Reward and Recognition:** remuneration, development of employee wellbeing initiatives and reward
- **Employee Development:** induction, CPD, performance management
- **Sickness Absence Management**
- **HR Metrics**

Achievements 2016/17

- Cost per head to appoint staff averages from £211 to £350 per head across the Trust. This includes all vetting checks. Costs will range from the cost of a DBS circa £63 up to £1300 for advert for HT. Successful Trust wide recruitment fair with over 60 attendees.
- Teacher turnover reduced overall across the Trust. Support staff turnover remained the same or slightly increased. Turnover of casual staff and lunchtime supervisors has an impact at KS and HFP. Support staff turnover at Caludon owing to relocation or change in career or promotions.
- Trust wide exit interview process introduced. No major issues raised at end of summer term.
- No claims, employment tribunals or settlement agreements.
- 14 policies reviewed and updated in accordance with guidance, best practice and legislation.
- Wellbeing committee established at Caludon as pilot for Trust. Objectives shared with Headteachers across Trust with a view to establishing Trust wide initiatives during the summer term.
- Support staff performance management processes in place at Caludon Castle. Areas of good practice and areas for improvement identified through teacher performance management audits.
- More cohesive strategies in place across the Trust for absence management. Pattern of reduced sickness absence across the Trust (below average for public sector).

Challenges and Trust priorities for 2018/19

- Recruitment Crisis in teaching
- Being creative around wellbeing, recruitment and reward of staff in light of crisis
- Policy alignment across the Trust
- Enhancing quality of CPD and performance management processes for support staff across the Trust
- Ensuring compliant, high quality HR provision whilst Trust grows
- Impact of Brexit may affect legislation and freedom of movement of labour the following year – impact to be monitored.

Key developments planned for 2018/19

- Introduction of Trust wide Recognition Agreement to support the progression of policy alignment across the Trust
- Streamline/refine the performance management system and cascade across the Trust for support staff ensuring that all staff undertake a review process each year. This will bring about enhanced identification of training needs.

- To support the development of Trust QA monitoring/audit processes/analysis of key statistics to ensure HR function is strategic, adding value to the organisation and adhering to pay gap reporting requirements.
- To support new school(s) joining the Trust so that HR systems and practices are fully aligned with Trust practice
- To drive the further development of a wellbeing ethos throughout the school and to evaluate its impact
- Consider introduction of PS People (HR system) to increase efficiency of HR process and facilitate more resource to 'upsell' teaching an invest resource to support recruitment and marketing of Trust HR brand.

Trust Strategic Planning – Audit and Risk

The Supporting Team

- Audit & Risk Committee
- Headteachers of individual establishments

Key functions

- The risk management strategy has been designed to provide a framework for managing the risks the Trust and individual establishments face. It also ensures its objectives are reached in the most effective way.

Achievements 2017/18

- Governors reviewed and reported on section 1 of the risk register at each individual school; strategic and reputational risks.

Challenges and Trust priorities for 2018/19

- Membership of the committee

Key developments planned for 2018/19

- To complete one visit per school for each section of the risk register

Indicative Annual Planner 2018/19

	Autumn	Spring	Summer
4 x a year			
Board of Trustees	<p>Annual Declaration of Interests Election of Chair of Trustees and Vice Chair of Trustees Approve Terms of reference for all Committees Approve the Trust's strategic plan Trust Strategic Overview 2018/2019</p> <ul style="list-style-type: none"> • School Improvement – CEO • The Teaching School – Head of Teaching School • Finance - Director of Finance • HR – Director of HR • Premises – Director of Finance • Governance – Director of HR • Audit and Risk – Director of Finance <p><i>Each Trust committee will provide details of the following</i></p> <ul style="list-style-type: none"> • <i>The supporting team</i> • <i>Key functions</i> • <i>Achievements 2017/18</i> • <i>Challenges for 2018/19</i> • <i>Key developments planned for 2018/19</i> <p>Summary of School Development plans Summary of performance against Ofsted expectations Review of Summer KPI document exam / test results</p> <p>Quality control and quality assurance processes for the coming year</p> <p>Trust targets and priorities including the receipt of recommendations by the LGB for annual</p>	<p>Summary of performance against Ofsted expectations Progress towards meeting school targets and priorities through Autumn KPI document Benchmarking performance</p> <p>Report from chair/ vice chair of each committee</p> <ul style="list-style-type: none"> • Key aspects discussed • Any policies agreed • Challenge provided • Significant strength / success / development • EBI / Next steps • Compliance • QA Outcomes and recommendations <p>Safeguarding report</p> <p>Secondary Curriculum and Assessment Overview Primary Curriculum and Assessment Overview</p> <p>Approve new governor applications</p> <p>Teaching School – update</p> <p style="text-align: center;">*****</p>	<p>Summary of performance against Ofsted expectation Progress towards meeting school targets and priorities through Spring KPI document</p> <p>Report from chair/ vice chair of each committee</p> <ul style="list-style-type: none"> • Key aspects discussed • Any policies agreed • Challenge provided • Significant strength / success / development • EBI / Next steps • Compliance • QA outcomes and recommendations <p>Summary of policies approved</p> <p>Budget set and agreed</p> <p>Approve new governor applications</p> <p>Agree process for regular appraisal of performance/effectiveness of Governors</p> <p>Approve staffing structure</p> <p>Teaching School – update</p> <p style="text-align: center;">*****</p>

	Autumn	Spring	Summer
	attendance and performance targets of pupils for approval Approve new governor applications ***** Receiving annual audit of accounts Approve performance management increases and staff remuneration policy	AGM	

4 x a year			
Finance and Resources	<p>Declaration of Interests Election of Chair and Vice Chair Review and Approval of Terms of Reference</p> <p>Review of policies in accordance with policy review schedule.</p> <p>Academies Financial Handbook update.</p> <p>Budget monitoring including monthly cashflow</p> <p>Presenting use of pupil premium funding and strategy</p> <p>Agree any maintenance/building works Review any ongoing maintenance / building works</p> <p>Receive and approve audit annual report and financial statement – Early December</p>	<p>Declaration of Interests</p> <p>Initial budget planning</p> <p>Budget monitoring including monthly cashflow</p> <p>Agree procurement for tenders/SLA's</p> <p>Agree any maintenance/building works</p> <p>Review any ongoing maintenance / building works</p> <p>Review of policies in accordance with policy review schedule.</p>	<p>Declaration of Interests</p> <p>Budget setting and monitoring of the year</p> <p>Forecasting – projected 3 year budget</p> <p>Set reserves total</p> <p>Review of policies in accordance with policy review schedule.</p> <p>Agreement to write off any unpaid debt</p> <p>Agree any maintenance/building works</p> <p>Review any ongoing maintenance / building works</p> <p>Presenting use of sports funding</p> <p>Use of SEND funding</p> <p>Use of any other significant finding grants</p>

4 x a year			
HR and Governance	<p>Declaration of Interests Election of Chair and Vice Chair Review and Approval of Terms of Reference</p> <p>Staffing Structure Update</p> <p>Performance management/pay review for staff taking final recommendation to BOD</p> <p>Panel for appraisal of Chief Executive and head teachers from each academy</p> <p>Review of Governing Body membership, induction and training</p> <p>Consider applications of new Governors</p> <p>Review of policies in accordance with policy review schedule.</p> <p>Update on progress of HR Audits for Autumn Term ie Recruitment, Turnover/Exit Interview, Workforce Demographics</p> <p>Consideration of Current HR Issues Requiring Governor Decision (eg pension, negotiation and consultation, terms and conditions of employment, management of change).</p>	<p>Staffing Structure Update.</p> <p>Consideration of Current HR Issues Requiring Governor Decision (eg pension, negotiation and consultation, terms and conditions of employment, management of change).</p> <p>Consider applications of new Governors</p> <p>Update on progress with HR Audits for Spring Term ie induction training audit.</p> <p>Review of policies in accordance with policy review schedule.</p>	<p>Staffing Structure Review.</p> <p>Safer Recruitment Report</p> <p>Report on NQT and other additional trainee outcomes.</p> <p>Consider process for appraisal of performance and effectiveness of BOD and other local governing bodies*.</p> <p>Update on progress with HR Audits for Summer Term ie Absence Management and Performance Management</p> <p>Consideration of Current HR Issues Requiring Governor Decision (eg pension, negotiation and consultation, terms and conditions of employment, management of change).</p> <p>Consider applications of new Governors</p> <p>Review of policies in accordance with policy review schedule.</p>

3 x a year			
Audit & Risk	<p>Declaration of Interests Election of Chair and Vice Chair Review and Approval of Terms of Reference</p> <p>Review of Responsible Officers report</p> <p>Report from Trustees on individual school visits</p> <p>Review of policies in accordance with policy review schedule.</p> <p>Academies Financial Handbook update.</p> <p>Audit arrangements</p> <p>Trip Approvals</p>	<p>Declaration of Interests</p> <p>Review of Responsible Officers report</p> <p>Report from Trustees on individual school visits</p> <p>Agree risk / impact for the following section of the risk register: Risk 1: Strategic & Reputational Risks Risk 2: Operational Risks</p> <p>Trip Approvals</p>	<p>Declaration of Interests</p> <p>Review of Responsible Officers report</p> <p>Report from Trustees on individual school visits</p> <p>Agree risk / impact for the following section of the risk register: Risk 3: Compliance Risks Risk 4: Financial Risks</p> <p>Trip Approvals</p>

<p>6 x a year (every half term)</p>			
<p>Caludon LGB</p>	<p>Declaration of Interests Election of Chair and Vice Chair Review and Approval of Terms of Reference</p> <p>GCSE and Post 16 Exam analysis School Development Plan Share QA process</p> <p>Share Summer KPI document and governor challenge</p> <p>Safeguarding inset</p> <p>Governor visit feedback</p> <p>Review of policy for recommendation to the board of Trustees for approval – refer to policy list</p> <p>Agree recommendations for school performance targets for approval to the board of Trustees.</p> <p>Feedback from trust committees</p> <p style="text-align: center;">*****</p> <p>Rota of Briefings</p> <ul style="list-style-type: none"> • EBACC – Maths, Science, English • Post 16 / Most Able <p>Act on feedback from BOD</p> <p style="text-align: center;">*****</p>	<p>Share Autumn KPI document and governor challenge</p> <p>Governor visit feedback</p> <p>Feedback from Trust committees</p> <p>Rota of Briefings</p> <ul style="list-style-type: none"> • EBACC –History, Geography , MFL, Computing <p>Act on feedback from BOD</p> <p>Review of policy for recommendation to the board of Trustees for approval – refer to policy list</p>	<p>Share Spring KPI document and governor challenge</p> <p>Safeguarding inset</p> <p>Governor visit feedback</p> <p>Feedback from trust committees</p> <p>Rota of Briefings</p> <ul style="list-style-type: none"> • KS3,4 and 5 Curriculum • Key Priority Groups – SEND/ Disadvantaged <p>Act on feedback from BOD</p> <p>Review of policy for recommendation to the board of Trustees for approval – refer to policy list</p> <p style="text-align: center;">*****</p>

Code of Conduct

1. Introduction

- 1.1 This code is designed to guide and support directors, governors and other committee members in carrying out their role and responsibilities. It applies to all directors, local governors and other committee members regardless of position or length of office.
- 1.2 The primary duty of all directors, governors and other committee members is to act in the interests of the Trust as a whole. This reflects their legal and constitutional duties. Directors, governors or committee members are not delegates of any academy within the federation or any outside body, and cannot be mandated or act in the primary interest of any academy within the federation or outside body.
- 1.3 Directors, governors or committee members cannot act in their own personal interests and must declare any actual or potential conflicts of interest.
- 1.4 The work and reputation of the Trust relies on all who are associated with it upholding and promoting the shared mission, vision and values. The board of directors, each local governing body and each federation-wide committee has responsibility for ensuring that all actions carried out by its membership and by staff on its behalf are measured and proportionate; hence the production of this code to guide their behaviour.
- 1.5 The Trust is also accountable for large sums of public money and it is responsible for the education provision and services for large numbers of students. Directors, governors and other committee members should therefore through their conduct:
 - give stakeholders confidence in the Trust and all those associated with it
 - show integrity as representatives of the Trust
 - be transparent in actions and decision making and only restrict access to information when there is a wider public interest against disclosure
 - ensure that there is no suggestion of influence by improper motives

2. General Obligations

- 2.1 The general obligations of all directors, governors and other committee members are as follows:
 - To carry out their role and responsibilities in accordance with the law and the Trust's constitution, policies, procedures and guidance.
 - To promote diversity and inclusion and treat others with respect.
 - To respect the contribution and rights of others, whether directors, governors, other committee members, staff, students or those whom the Trust has dealings with.
 - To positively uphold and defend the Trust's values.
 - To uphold decisions of the board of directors, local governing bodies and the federation-wide committees.
 - To act in accordance with the needs of the Trust when using or authorising the use by others of the Trust's resources.
 - To have regard to any relevant advice provided by the executive headteacher, other members of the executive management team, and other advisers when reaching decisions.
 - To immediately inform the business manager in the event of criminal allegations and/or criminal proceedings being brought against them.
 - To advise the chair of directors, executive headteacher and/or business manager, as soon as possible if they become aware of any conduct by another director, governor or other committee member which they reasonably believe involves a failure to comply with the this code of conduct.

- 2.2 Directors, governors and other committee members **must not** do any of the following:
- Anything which compromises or which is likely to compromise the impartiality of those who work for, or on behalf of, the Trust.
 - Disclose information given in confidence by anyone, or information acquired which they believe to be confidential, without the consent of a person authorised to give it, unless required by law to do so.
 - Prevent another person from gaining access to information to which that person is entitled by law.
 - Conduct themselves (in their official capacity, or any other circumstance) in a manner which could reasonably be regarded as bringing their office or the Trust into disrepute.
 - Accept gifts or allow extravagance in any entertainment received or given in connection with the Trust's business and always follow the Trust's policies on recording hospitality received, given or declined.
 - Use their position (in their official capacity, or any other circumstance) improperly to confer on or secure for themselves or any other person, an advantage or disadvantage.
 - Allow the Trust's resources to be used for their own personal, business or political purposes.
 - Seek any special advantage in the use of consultants, contractors, advisors etc. used by the Trust.
 - Allow themselves to be mandated by any academy within the federation or outside body or persons to support, resist or influence a decision of the board of directors, local governing body or board committee; or the exercise of delegated authority by any director, governor, committee member or member of staff.
 - Behave in a racist or sexist manner, discriminate against any person, encourage nor condone such behaviour in others.

3. Conflicts and Disclosure of Interest

- 3.1 This covers any circumstances where a director, governors or committee member or their close relative could in theory receive a personal or business benefit (other than salary and expenses) as a consequence of any of the Trust's activities.
- 3.2 For the purposes of disclosure, the following definition will apply:
- "Close relative" means a spouse, partner, parent, parent-in-law, son, daughter, stepson, stepdaughter, child of a partner, brother, sister, grandparent, grandchild, uncle, aunt, nephew niece, or the spouse or partner of any of the preceding persons.
- 3.3 There are two main examples where a benefit could occur:
- A duality of interest - where the circumstances could potentially bring about some personal or business gain.
 - A conflict of interest - where both a Trust (i.e. individual academy and/or federation as a whole) and a personal and/or business interest do actually occur.
- 3.4 Both types of interest must be disclosed as soon as that interest arises or is considered may potentially arise in the future.
- 3.5 All directors, governors and committee members must declare all bodies trading in which he or she has an interest as any of the following:
- A partner
 - An employee
 - A consultant
 - A director
 - A member

- A shareholder, unless the shares of the company are listed on a recognised stock exchange and the director holds less than 1% of the issued capital.
 - The owner or controller of more than 50% of the shares of any other company or controls more than 50% of the voting rights attached to the shares; or has the right to appoint one or more directors to the board of the company.
- 3.6 All directors, governors and committee members must declare:
- All interests as an official or elected member of any statutory body.
 - Any other significant or material interest (see below).
- 3.7 Other such “significant or material interest” could include the following:
- All interests in any property to be managed, leased or purchased by the Trust.
 - An interest in any organisation selling or being agent for any property being managed, leased or purchased by the Trust.
 - A business relationship with any person or firm earning fees from work placed by the Trust.
 - A business relationship with any person or firm entering into a contract to carry out work for the Trust.
 - An interest by virtue of membership of a club, organisation, movement or society with which the Trust is linked with in some way.
 - Any other personal or business interest which conflicts with the Trust’s interest.
- 3.8 All actual or potential interests must be declared as soon as they arise. In addition the business manager will require all directors, governors and other committee members to complete an annual declaration of interests on a prescribed form. The approved list of suppliers, consultants and contractors will be circulated to assist in the process. Declarations of interest will be held in a register that accurately reflects the details provided in the declaration.
- 3.9 Individuals may seek advice from the business manager on potential conflicts or duality of interests, but it is ultimately the personal responsibility of the director, governor or other committee member to decide on whether it exists or may exist and to make the declaration accordingly.
- 3.10 In reaching such a decision individuals should be guided in the view that a personal interest in a matter could be regarded as prejudicial if the interest is one which a member of the public with knowledge of the relevant facts would reasonably regard as so significant as likely to prejudice the director’s, governor’s or other committee member’s judgement on the matter.
- 3.11 A director, governor or other committee member with a personal interest in a matter who attends a meeting of the Trust at which the matter is to be considered must disclose to that meeting the existence and nature of that interest at the commencement of the meeting (if the interest is not immediately apparent to the individual then they must declare it as soon as it is).
- 3.12 The director, governor or committee member concerned shall not remain present during the discussion of that matter unless requested to do so by the remaining members of the board, local governing body or board committee. They not vote on the matter in question. No decision of the board, local governing body or board committee shall be invalidated by the subsequent discovery of an interest which should have been declared.
- 3.13 There are exceptions to the above as follows:
- Provided the interest has been properly disclosed the individual may remain present during the discussion and may vote on the matter under discussion where the interest arises because:

- They are a parent/carer, so long as the matter in question affects all or a substantial group of parent/carers; or
- They are an official or elected member of any statutory body provided they have no direct or indirect interest in the matter.
- A director, governor or committee member shall not be treated as having an interest:
 - o of which they had no knowledge and of which it is unreasonable to expect him/her to have knowledge; or
 - o on the establishment of a policy in respect of expenses for all directors, governors and other committee members

3.14 If a question arises at a meeting of the board of directors, local governing body or other committee as to the right of a director, governor or other committee member to vote, the question may, before the conclusion of the meeting, be referred to the chair of the meeting and their ruling (having taken advice if necessary from the business manager) in relation to any director, governor or other committee member other than themselves shall be final and conclusive.

3.15 Before, during or after consideration of the matter at a meeting where a director, governor or other committee member has an interest they must not seek to improperly influence the consideration and decision to be made by the other directors, governors or committee members.

3.16 Parents or carers in office, either as a director, governor or other committee member, should avoid using their own direct personal/family circumstances or experiences (or those of others close to them) in a debate to illustrate a point, as this may begin to cross over into a potential conflict of interest. It is also possible that talking about themselves may influence others views inappropriately whilst seeking to make an objective judgement on the matter under consideration.

3.17 For the purposes of this code, "meeting" means any meeting of the board of directors, local governing body, federation-wide committee, working group or panel convened by the Trust; or any other forum where the individual is in attendance in their capacity as a director, governor or other committee member.

3.18 Where a conflict is likely to recur on a frequent basis or where a significant breach has occurred in relation to their own position, the individual in question should offer to resign.

4. Accountability and Openness

4.1 Each academy has an improvement plan which is consolidated into the Trust's strategic plan and supports the Trust's mission, vision and the values which guide the way that it works. There are a range of strategies which set out goals and objectives designed to support the delivery of the mission and vision. There are a large number of policies and procedures covering the Trust's main areas of activity.

4.2 All of this provides a framework in which fair decisions can be made in all areas. This approach creates a framework for accountability which minimises the chance that the Trust as a federation, the board of directors or any of its committees collectively, or any individual director, governor or other committee member could be legitimately criticised.

4.3 It is therefore the responsibility of directors, governors and other committee members to ensure that the strategic plan and the strategies are implemented through by the executive headteacher and the rest of the executive management team, and that policies and procedures are regularly reviewed and their operation reported upon.

- 4.4 The Trust aims for openness in the way that it works and there are specific policies which cover its approach to this. Items will be dealt with openly wherever possible although some items may be treated as confidential particularly where they may be commercially sensitive or refer to matters of a personal nature. Information on the work and decisions of the board of directors, local governing bodies and other committees will be disseminated to relevant staff and publicised to stakeholders and key partners within the context of the Trust's openness policy.
- 4.5 Within this, however, confidentiality of students, staff and agencies with which the Trust works will be respected. The following must at all times be treated as strictly confidential:
- Information concerning people - students, directors, governors and committee members, staff, applicants, etc.
 - Commercially sensitive information i.e. information that if it became widely available could adversely affect the Trust's negotiating position in a transaction.
 - Financial information relating to the Trust.
 - Matters that would breach the confidence of a third party.
 - All other items listed in the Trust's openness policy.
- 4.6 Directors, governors and other committee members should respect at all times matters which have been determined as confidential. If any individual is unsure they should err on the side of caution and consult with the executive headteacher or other member of the EMT in their absence.

5. Press and Media

- 5.1 In the event that any director, governor or other committee member is approached by the press or media for comment on any matters relating to the Trust, the matter must be referred immediately to the executive headteacher or nominated member of the executive management team who will consult with the chair of directors as the spokesperson for the Trust. Directors, governors and other committee members are not permitted to discuss the Trust's affairs with the press or media without prior approval from the executive headteacher or chair of directors.

6. Political Activities

- 6.1 By virtue of the history and nature of work for some of the academies within the Trust it may occasionally stray into the political arena. It is essential to demonstrate the Trust's non-political nature and directors, governors and other committee members must keep personal political activities totally separate from the Trust's work. Any individual who is involved in political activities must ensure that the reputation and status of the Trust or any of its academies is not damaged by their personal political activities.
- 6.2 Some directors, governors or committee members may be nominated by a local authority. It is particularly important for those nominees to uphold their duty to the Trust in their dealings within the local authority. Where a decision has been made by the board of directors, local governing body or other committee relating to the business of the Trust, it would be contrary to this code for that individual to speak against or lobby against that decision within the local authority.

7. Relationships with Students

- 7.1 Directors, governors and committee members must be careful to never allow any personal relationships with students to influence the Trust's dealings with them, particularly in relation to matters concerning their rights as a student.

7.2 Directors, governors and committee members must never allow themselves to be compromised by, nor take advantage of, their relationships with students. The relationship of trust must never be abused.

8. Gifts and Hospitality

8.1 Directors, governors and other committee members are expected at all times to conduct themselves in respect of the Trust's activities with the highest degree of probity. The Trust expects the highest standard of honesty from individuals in their business dealings, and expects that this can be shown to be the case.

8.2 Directors, governors and committee members must refuse any gifts or hospitality where any suggestion of improper influence is possible. Special caution is necessary where it is offered by a person or body having business with or seeking a decision from The Trust.

8.3 All gifts or hospitality offered, accepted or declined must be declared, and recorded in the gifts and hospitality register within 28 days and include the following information: name of recipient, details of gift/hospitality, approximate value, date received/declined and the provider.

8.4 The presumption is that directors, governors and other committee members may not solicit or accept any form of gift or hospitality from any parent/carer, applicant, supplier, contractor or consultant with whom the Trust is dealing or could possibly be dealing and in particular where there is any possibility that the donor intends that it should secure benefit for the donor. Where the Trust is in any form of tendering or contractual negotiations with an organisation offering or accepting hospitality should always be avoided.

8.5 The following provides some guidance on exceptions which may be allowed:

- Inexpensive gifts such as those traditionally given at Christmas.
- Collective gifts where a group of individuals collectively buys a gift of greater value perhaps to mark a special occasion.
- Modest hospitality in connection with a business meeting, conference, seminar or similar event.

8.6 Some forms of hospitality that are completely unacceptable and these include:

- Holidays
- The use of accommodation for private use
- Personal invitations to any event that is not related to directors, governors and other committee members duties

8.7 The following must not be accepted under any circumstances:

- Any gifts of cash irrespective of the amount.
- Any payment, grant or loan from any funds associated with the Trust except as part of any agreed remuneration or reimbursement in line with the Expenses Policy and within approved rates.
- Loans from the Trust's stakeholders or partner organisations

8.8 Directors, governors and committee members must not receive and must not give loans from their personal money to staff or students; or to other directors, governors or other committee members.

8.9 Gifts or hospitality given to other organisations or individuals by the Trust will:

- Be reasonable and appropriate to the circumstances
- Support the furtherance of the Trust's objectives
- Always take into account the fact that academies are funded by public monies.

8.10 Any hospitality given which is to be reclaimed from The Trust must be cleared with the company secretary in advance.

9. Purchasing

9.1 Directors, governors and other committee members must avoid suspicion of preferential treatment by suppliers, consultants and contractors by separating their private purchasing from that of the Trust. In order to avoid any suspicion that a supplier may give or receive favourable treatment, directors, governors and other committee members must achieve a separation between their purchasing decisions as individuals and those for the Trust.

9.2 Directors, governors and other committee members may not normally use, for personal or private business, any of the Trust's professional advisors, accountants, auditors, solicitors, architects, surveyors, consultants, builders, maintenance contractors or suppliers of bulk goods or services (except monopolies, or near monopolies, such as utilities, e.g. gas, water) as held in the list of suppliers, consultants and contractors maintained by the business manager.

9.3 Where this is impractical, they must ensure and inform the business manager in writing and confirm that no financial advantage will be secured as a result of their position as a director, governor or other committee member.

10. Attendance

10.1 It is part of the responsibilities of directors, governors and other committee members to ensure that their attendance is maximised. In particular there is a responsibility to fully prepare and to participate in the work of the board, local governing body or committee; to attend meetings regularly, participate fully in discussions and share responsibility within the decision making process; and to attend appropriate training events or represent the Trust as required.

10.2 It is acknowledged that on occasions attendance may be prevented to due ill health, caring responsibilities, or other unforeseen factors. Commitment is an essential component of being a director, governor or other committee member and every effort should be made to plan diaries so that attendance can be maximised. If however any individual without special permission approved by the board directors is absent from all meetings which they were due to attend in a 6 month period then in accordance with the articles of association they will be disqualified as a director, governor or other committee member, subject to the approval of the board of directors.

10.3 The board of directors may resolve to remove from office a director, governor or other committee member and it may take into account non-attendance as a factor in deciding to act to remove the individual earlier than the 6 months disqualification set out above.

11. Dealings with Staff

11.1 Directors, governors and other committee members must be aware that they have a duty towards staff. The management of staff is the responsibility of the executive headteacher. In order to ensure that the Trust is not compromised in terms of its employee relations, individuals must behave in a manner which is consistent with all of the Trust's staffing policies and procedures and its approach to equality and diversity.

11.2 If any director, governor or other committee member has a concern about the performance, behaviour or competence of any member of staff, it should be reported to the executive headteacher in the first instance. Concerns will then be investigated in line with the appropriate policy and procedures. The executive headteacher will subsequently inform the chair of directors and the complainant of the result of the investigation and of

any steps which have been or are to be taken as a consequence of this. Such information will be privileged and will be kept confidential unless otherwise directed by the executive headteacher.

11.3 In the case of a concern regarding the executive headteacher, it should be reported to the chair of directors. The matter will be investigated by the chair of directors taking external advice if required. Again concerns will be investigated in line with appropriate policies and procedures and the complainant will be advised of the result of the investigation and of any steps which have been or are to be taken as a consequence of this. Such information will be privileged and will be kept confidential unless otherwise directed by the chair of directors.

11.4 Where a director, governor or other committee member has serious concerns and does not feel able to raise these with the chair of directors or the executive headteacher a whistle blowing process is in place to enable these to be reported confidentially.

12. Breaches of the Code of Conduct

12.1 Directors, governors and other committee members should recognise that failure to follow this code of conduct may damage the Trust's reputation and its work and so will be viewed as a disciplinary matter.

12.2 Actual or potential breaches of this code or any other complaints against directors, governors or other committee members will be investigated by the business manager in consultation with the chair of directors, any other relevant chair and the executive headteacher.

12.3 Actual or potential breaches of the code of conduct or any other complaints against the chair of directors will be investigated by the vice chair of directors, the executive headteacher and the business manager.

12.4 Directors, governors or other committee members under investigation for breach of the code of conduct will be notified of the enquiry and invited to present an explanation for their behaviour or actions. The chair of directors in consultation with any other relevant chair and executive headteacher will decide on whether convene a disciplinary panel or whether some other action is more appropriate, including the issuing of an informal warning to the individual about their conduct.

12.5 The chair of directors (or, where the breach or complaint relates to the chair of directors, the vice chair of directors) in consultation with the executive headteacher has the right to suspend the individual from their position until the conclusion of the investigation. They will convene a panel of three other directors or governors (including at least one director) to hear the case which will be presented by way of written and oral report to the panel. The individual will have the right of written and oral representation to the panel meeting. They may be supported by a director, governor or other committee member colleague. Legal representation is not permitted.

12.6 Any individual breaching the code of conduct for may only be removed from office by resolution of the board of directors. If at the panel hearing a breach of the code of conduct for is found to have taken place then the business manager will prepare a report for the next meeting of the board of directors setting out the nature of the breach of the code of conduct, a summary of the panel's findings, and any recommended sanction.

12.7 The report will provide the individual with the opportunity to present any justifications to the board of directors in writing should they wish to remain in office. They may not attend the meeting whilst the board of directors considers that item and reaches its decision.

12.8 The board of director's decision will be conveyed to the individual orally within 24 hours and in writing within 3 working days.

13. Disqualification from Office

13.1 This code of conduct highlights areas where directors, governors and other committee members may or will be expelled from office for breaches of the code or other serious matters. Directors, governors and other committee members should also be aware that under the articles of association their appointment will immediately cease in the following circumstances:

- Being prohibited by law from becoming a director
- Being prohibited by law from being a charity trustee
- Being removed as a charity trustee from another charity due to misconduct or mismanagement
- Being prohibited by law from working with children
- Conviction of any criminal offence at any time (other than spent convictions and typically those where the maximum sentence is a fine or lesser sentence)
- Failure to provide a current enhanced level CRB certificate
- In light of any matters disclosed on the CRB certificate which in the opinion of the chair of directors or the executive headteacher confirms them as unsuitable to work with children
- Incapability to handle their own affairs by reason of mental disorder, illness or injury
- Failure to attend all meetings within a 6 month period without special consent from the board of directors.

13.2 For the actual wording in each instance directors, governors and committee members should view the articles of association (Articles 68-79).

13.3 The same circumstances for disqualification of directors are also applicable to governors and other committee members who are not directors (Article 80)

14. Acceptance

14.1 Upon appointment all directors, governors and committee members are required to counter-sign a letter of appointment which will include:

- Role profile and person specification
- Code of Conduct
- Declaration of interests form

14.2 Directors, governors and committee members are expected to refer to and abide by these and other documents within the Trust's governance framework throughout their term of office and remain familiar with their contents. There will also be an annual declarations process.

14.3 Any future changes to this code of conduct once agreed by the board of directors will be deemed to have been accepted by all serving directors, governors and other committee members.

Chair of ? Committee Feedback – EXAMPLES TO FOLLOW

Date of committee meeting(s) since last feedback to Board of Directors:

Committee approvals
<ul style="list-style-type: none">•
Key Agenda items
Key Priorities
Strengths/ Successes
Next Steps

EXAMPLE

Chair of Finance and Resources Committee Feedback to Board of Directors

Date of Finance and Resources committee meeting(s) since last feedback to Board of Directors:
7 December 2016

Note: This meeting was a joint Board of Directors and Finance and Resources meeting to enable the accounts to be presented and approved before the deadline of the 31 December 2016

Committee approvals
<ul style="list-style-type: none">Annual report and Financial statements for the year 2015/16
Key Agenda items
<ul style="list-style-type: none">Annual accounts for 2015/16 presented by Bishop Fleming.Confirm progression following performance management (for BOD).Projects monitoring procedure – X introduced a new procedure whereby a form was signed off at each stage by the person responsible for that section. This is to be on OneDrive enabling access to all parties.Kingsbury sixth form update – discussions around future viability of the sixth formHill Farm Nursery provision – from September 2017 the government are funding 30 hours childcare for 3 and 4 year olds. There are currently 28 available spaces in the nursery. The Board approved this provision being offered to Hill Farm parents with a review in December 2017.Multi Academy Trust effectiveness – The document ‘Characteristics of successful multi academy trusts’ details nine characteristics that should be present in MATs and be used to measure success against. Trust performance will be based on the overall score of all three schools therefore, the Trust strategic aims and individual school improvement plans for next year, will be based on this document.CIF Bids – 2 bids each for Hill farm and Kingsbury have been submitted for the 2017/18 funding. Hill Farm; boilers and drainage plus walls. Kingsbury; boiler and FRA compliance.
Challenges ahead
<ul style="list-style-type: none">Open plan toilet project at CaludonBudgets should CIF bids be unsuccessful
Strengths/ Successes
<ul style="list-style-type: none">Accounts confirmed viability of Trust
Next Steps
<ul style="list-style-type: none">Securing additional support from Bishop Fleming to ensure accounts are prepared to accountancy standards and cover establishment needs

Local Governing Body Framework

The purpose of the local governing body is to monitor and evaluate progress against the school key priorities. Each member of the local governing body is linked to a specific focus. The role of each governor is to act as a critical friend who can effectively challenge Governor training to enable effective REVIEW, CHALLENGE AND EVALUATION

REVIEW	CHALLENGE	EVALUATION
<ul style="list-style-type: none"> ✓ Know the school key priorities ✓ Understand data for chosen foci ✓ Look at displays, books and the learning environment ✓ Look at pupil learning and leadership ✓ Talk to pupils and staff 	<ul style="list-style-type: none"> ✓ Discussion with leader ✓ Ask probing questions ✓ Find out how the leader is addressing the school priorities ✓ What is the leader doing to make a difference? 	<ul style="list-style-type: none"> ✓ Establish what are the key strengths and what can be better (EBIs) ✓ What are the potential challenges? ✓ What are the next steps?

AUTUMN TERM

Date	Focus	Key documents
Meeting 1: HT presents year's School Improvement Plan (sent to Governors week before the meeting) Feedback from central committees	Review of KPI and school action plans Complete SEF and Challenge form	<ul style="list-style-type: none"> • Evaluation of the school priorities 2018/19 • School Exam analysis 2017/18 • School Action plans 2018/19 • Governor visit forms • KPI
	Link governor to arrange a visit to school, meet with the leader to discuss their autumn plans and accompany the leader on a learning walk	LT take 2 photos to share with the governing body and complete governor visit log
Meeting 2: Following individual meetings with SLT member, governors report on mid term progress Feedback from central committees	Governors meet a) to share school experiences and b) to prepare for structured conversations with their leader Governor briefing on 2 foci eg: English and Maths, Disadvantaged pupils	<ul style="list-style-type: none"> • Leader action plans • Leader presentations • Summary of leader targets and actions Identify a key strength, an aspect for consideration and next steps for each school priority
	Link governor to arrange a visit to school, meet with the leader to review their plans and accompany the leader on a learning walk	LT take 2 photos to share with the governing body and complete governor visit log

SPRING TERM

Date	Focus	Key documents
Meeting 3 SLT respond to questions on last term's Action Plan (Evaluation sent to LGB week before the meeting)	Review of KPI and school action plans Complete SEF and Challenge form	<ul style="list-style-type: none"> • KPI • Governor visit forms • Evaluation of leader action plans
	Link governor to arrange a visit to school, meet with the leader to discuss their spring plans and accompany the leader on a learning walk	LT take 2 photos to share with the governing body and complete governor visit log
Meeting 4 Following individual meetings with SLT member, governors report on mid term progress	Governors meet a) to share school experiences and b) to prepare for structured conversations with their leader Governor briefing on 2 foci eg :English and Maths, Disadvantaged pupils	<ul style="list-style-type: none"> • Leader action plans • Leader presentations • Summary of leader targets and actions <p>Identify a key strength, an aspect for consideration and next steps for each school priority</p>
	Link governor to arrange a visit to school, meet with the leader to review their spring plans and accompany the leader on a learning walk	Take 2 photos to share with the governing body and complete governor visit log

SUMMER TERM

Date	Focus	Key documents
Meeting 5 SLT respond to questions on last term's Action Plan (Evaluation sent to LGB week before the meeting)	Review of KPI and school action plans Complete SEF and Challenge form	<ul style="list-style-type: none"> • KPI • Governor visit forms • Evaluation of leader action plans
	Link governor to arrange a visit to school, meet with the leader to discuss their summer plans and accompany the leader on a learning walk	LT take 2 photos to share with the governing body and complete governor visit log
Meeting 6 HT responds to questions on the year's School Improvement Plan	Governors meet a) to share school experiences and b) to prepare for structured conversations with their leader Governor briefing on 2 foci eg :English and Maths, Disadvantaged pupils	<ul style="list-style-type: none"> • Leader action plans • Leader presentations • Summary of leader targets and actions <p>Identify a key strength, an aspect for consideration and next steps for each school priority</p>
	Link governor to arrange a visit to school, meet with the leader to review their summer plans and accompany the leader on a learning walk	LT ake 2 photos to share with the governing body and complete governor visit log

Key Questions for the local governing body

Autumn KPI	Spring KPI	Summer KPI
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Outcomes

1. How does attainment and pupil progress at my school compare to national averages?
2. How are we performing in the core subjects and in other subjects?
3. Do we have any under-performing groups of pupils, or are there wide gaps in attainment between some groups of pupils?
4. How might the context of our school affect our performance?

Personal Development, Behaviour and attendance

5. How does pupil attendance and exclusions compare to national averages?
6. Are any particular groups of pupils persistent absentees and/ or excluded more often?
7. What is our school doing to support pupils' personal development and welfare?

Leadership and Management

8. Does the leadership of the school have a driving ambition to raise standards?
9. How does leadership set high expectations, ensure a robust learning culture, self-evaluate effectively and react quickly to improve school outcomes?

Teaching, Learning and Assessment

10. What is the quality of teaching and learning and how do you know?
11. Are there any factors affecting staffing?
11. How do you know that assessment is valid and accurate?
12. What is the quality of our curriculum?

Area of Focus

Leadership and Management	Teaching, Learning and Assessment	Personal Development, Behaviour and Welfare	Outcomes	
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Key Strengths and Achievements	Key Areas for Improvement
Key Challenges / Barriers to learning	Next Steps

Key questions for Finance and Resources Committee

School resource management: top 10 planning checks for governors

1. Staff pay as percentage of total expenditure

Staff pay is the single most expensive item in the school budget. It typically represents over 70% of expenditure.

Questions you might want to ask include:

- What percentage of the budget is spent on staffing compared with similar schools?
- How does the percentage for teaching staff, curriculum support staff and other support staff compare with other similar schools?
- How do your school's pupil outcomes – such as your school's progress score – compare with other similar schools, relative to spend on staffing?
- What is the overall staff cost as a percentage of total income? Staffing costs over 80% of total income are considered high.
- If teaching costs are relatively high, is this due to the number of teachers or a relatively high proportion of highly-paid staff?

2. Average teacher cost

This measure is calculated by dividing the total teaching cost by the full-time equivalent (FTE) number of teachers.

Questions governors might want to ask include:

- If the average teacher cost is high in comparison with other similar schools, why is this? Is this due to:
 - the staffing grade profile, such as a high number of staff on the upper pay scale, or
 - the responsibilities structure in the school, such as the Teaching and Learning Responsibility (TLR) scale, or
 - another reason?
- How far is your school using its pay flexibilities – for example, to differentiate pay by teachers' performance?

3. Pupil-to-teacher ratio (PTR)

The pupil-to-teacher ratio (PTR) is calculated by dividing the number of FTE pupils on roll by the total number of FTE teachers. A relatively low PTR could suggest small class sizes.

As well as benchmarking the PTR, you may want to review the average PTR and pupil to adult (teachers and support staff) ratios in other schools and academies.

Questions governors might want to ask include:

- What is the PTR for different key stages within their schools?
- How does the school's PTR compare with similar schools? If it's significantly different, what is the reason for this?
- How does the ratio of pupils to staff compare with similar schools?

4. Class sizes

The smaller the class size the greater the cost of delivery per pupil. Governors should ensure that class size plans are affordable while supporting the best outcomes for pupils.

Questions governors might want to ask include:

- What are the average class sizes by key stage, and by options at key stages 4 and 5?
- What class sizes does your school aim to achieve – and what is the educational reason for this?
- Are there any small classes where the per pupil funding does not cover the cost of delivery? This can be especially important at key stage 4 and 5 where class sizes for some subjects can fall.
- Do you know the maximum average class size that the school can operate at within the context of the pupil admissions, the structure of the building, the numbers in different year groups and the need for intervention strategies?

5. Teacher contact ratio

This measure is calculated by taking the total number of teaching periods timetabled for all teachers in the school and dividing that by the total possible number of teaching periods (the number of teaching periods in the timetable cycle multiplied by the FTE teachers). All teachers should have a guaranteed minimum of 10% timetabled planning, preparation and assessment (PPA) time. Therefore the teacher contact ratio will always be lower than 1.0.

The Association of School and College Leaders (ASCL) advocates 0.78 as an aspirational target for the ratio, on the basis that this represents approximately 10% of all teacher time in planning and preparation, 10% in management activity and allows 2% margin.

Questions governors might want to ask include:

- How would changes to the teacher contact ratio impact on the overall budget?
- Are teaching staff undertaking roles that could be done by support staff?
- How does your school compare against the ASCL aspirational target (secondary schools only)? What is the reason for any difference?

6. Proportion of budget spent on the leadership team

Schools have many different leadership and management structures and comparisons are not straightforward.

Some schools calculate the cost of non-class-based leadership time as a percentage of total expenditure and compare to similar schools by collaborative exchanges of summary information. Likewise, multi-academy trusts can compare across their member schools where they are similar.

Questions governors might want to ask include:

- How does this compare with similar schools, taking into account any contact time the leadership staff have?
- If there is more than one school in your trust or federation, are the leadership structures proportionally the same?
- How has your school made decisions on the proportion of its budget to be spent on the leadership team?
- If this is relatively high or low compared with similar schools, is this because of the size of the leadership team, or their pay?

7.3 to 5 year budget projections

Governors should ask to see 3 to 5 year financial projections and the assumptions made to cost them. Assumptions you may want to review include:

- projected pupil numbers
- free school meal numbers
- likely pupil premium income
- projections of the staffing that will be necessary in these years.

Schools should plan their staffing based on multi-year projections of curriculum needs.

Questions governors might want to ask include:

- How confident are you that pupil number projections are realistic? If there is uncertainty then boards should be given 3 scenarios: cautious, likely, and optimistic. This applies to all key assumptions but especially pupil number projections and funding rate assumptions.
- If the optimistic scenario indicates financial difficulties, is the school developing a recovery plan now?
- If the cautious budget indicates potential financial difficulties, what contingency plans does the school have to overcome them?
- Are there any issues in the medium term that should be addressed now?
- How will current decisions impact medium-term budgets?
- What do we need to put in place now to ensure we have the necessary funding in the future?

8. Spend per pupil for non-pay expenditure lines compared to similar schools

Questions governors might want to ask include:

- What is the spend per pupil for catering, ICT, estates management, business administration, energy and curriculum supplies?
- If benchmarking indicates a relatively high spend on a particular expenditure line do you know why?
- Are the reasons unavoidable or are further efficiencies possible?
- If the cost of energy seems high compared with similar schools, can you invest in energy-saving measures to reduce the cost?
- If spend on learning resources seems high compared to similar schools, are there opportunities for collaborating with other local schools to bring costs down?

Multi-academy trust (MAT) trustees may also want to compare their level of 'top slice' to other MATs, what it is used for, and how it provides value for money for member academies.

9. School improvement plan priorities and the relative cost of options

The budgetary process sits firmly within the strategic leadership framework and should link into the overall management and planning cycle, rather than being seen as an additional activity that is the responsibility of the finance manager.

Questions governors might want to ask include:

- Are school improvement initiatives prioritised, costed and linked to the budget?
- Are all new initiatives fully costed before your school is committed to the proposal?

10. List of contracts with costs and renewal dates

Each year your school must review its contracts for all of its services to check which ones are due for renewal. Check that contracts are good value for money (VFM) and meet the school's needs.

Questions governors might want to ask include:

- Are all contracts due for renewal re-tendered/reviewed for VFM before renewal?
- Are there any regular payments for services that are an invoice-only contract? Include all goods and services on a contracts list, including single-item and routine purchases, such as stationery. Check all suppliers are on contracts list and review the overall list for VFM.

Key questions for HR and Governance

1. Do all staff receive an effective annual appraisal?
2. Is this linked to the salary/ pay policy?
3. Do we receive an annual report on performance management within the school?
4. Does the performance management process have a direct impact on standards? - What is the cost? - Could it be improved?
5. How effectively do we appraise the headteacher?
6. What should our pay policy say about performance and progression?
7. What is the correlation between appraisal outcomes, pay, and the quality of teaching and learning in our school?
8. How effective is performance management in improving teaching and learning?
9. Do all staff have an annual performance management review?
10. Are targets linked to whole school objectives as well as personal ones?

Governing Board Skills Audit **For Trustees of Multi-Academy Trusts**

As a current Trustee of Castle Phoenix Trust we would like to invite you to complete the Castle Phoenix Trust's skills audit for governors.

Apart from time, commitment and enthusiasm, Governors need a range of skills and experience to ensure they fulfil their roles and responsibility effectively.

To help the Governing Body understand what skills and experience it contains, or what is missing, it is important that all Governors complete the skills audit as honestly as they can. No individual is going to have all of the skills listed in the audit. The governing board is a team, and the purpose of the audit is to ensure that each skill below is covered by at least one of the governors/trustees around the table.

This exercise is designed to enable all members of the Governing Board to set out their skills and experience whatever their background, and make clear that the essential and desirable skills for governance can be acquired through a range of life experiences. The skills and knowledge sought are those which enable governors to ask the right questions, analyse data and have focussed discussions which create robust accountability for school leaders.

Other uses and benefits of carrying out the skills audit are:

- If there is a vacancy on the governing body, to direct the advertisement for recruitment and allow the right skills to be brought in rather than trying to find training
- To help organise membership of committees and the delegation of tasks to individual members
- To enable the identification of training and development needs
- To help with succession planning
- To match skills and expertise to the needs of the Trust and schools to improve outcomes for pupils

Each knowledge, experience, skill or behaviours should be rated on a scale of 1-4, with 1 indicating no experience or knowledge in this area, and 4 indicating strong expertise.

Trustee of a multi-academy trust – Knowledge, experience, skills and behaviours	Level of knowledge or skills/behaviour: rate on scale of No → → Yes			
Name:	1	2	3	4
1. Strategic leadership				
I am committed to improving education and welfare for all pupils.				
I understand current national education policy and the local education context.				
I have experience of charity law and governance.				
I have experience of trusteeship or management of a complex organisation with multiple sites/subsidiaries.				
I have experience of chairing a board/governing board or committee.				
I am committed to the organisation's vision and ethos.				
I have experience of strategic planning and applying this to set and preserve the culture of the organisation.				
I have experience of working with executive leaders to agree and monitor operational plans.				
I am able to question and challenge, working as part of a team to identify viable options through collective decision making.				
I am able to work in a professional manner, avoiding conflicts, acting with transparency and integrity.				
I am confident I can identify when to seek independent/professional advice.				
I have experience of stakeholder management and engagement including communicating with and taking account of the views of parents and pupils.				
I have experience of promoting community cohesion.				
I understand school sector risk management including conflicts of interest/loyalty.				
I am proficient in prioritising, assessing and mitigating risk.				
I have experience of agreeing organisation expansion plans and conducting due diligence on other organisations prior to signing a legally binding contract.				
2. Accountability				
I understand the importance of collecting high quality data and have expertise using data to interpret/evaluate performance and identify trends to target improvement.				
I have experience of curriculum development, school assessment and progress/attainment.				
I have experience of ICT and or Management Information Systems				
I have experience of working with executive leaders to establish expectations for improvement and outcomes.				

	1	2	3	4
I have experience of agreeing the range and format of information and data needed in order to hold leaders to account.				
I have experience of providing challenge to leaders on strategies for monitoring and improving behaviour and safety.				
I understand the board's duties in relation to safeguarding including Prevent.				
I have an understanding of special education needs and disabilities (SEND).				
I have financial management expertise including funding allocation/budget monitoring, and financial solvency.				
I am able to contribute to financial self-evaluation and efficiency drives.				
I have experience of basing funding decisions on organisational priorities and the ability to interpret financial data and question financial performance against strategic priorities.				
I have experience ensuring that organisational financial obligations are met and adequate financial controls are in place, including submission of annual returns and accounts.				
I have business development experience/expertise.				
I have experience of procurement/purchasing.				
I have experience of property and estate-management.				
I have experience of Health & Safety				
I have experience of Risk Assessments				
I have experience of HR policy and processes including employment legislation.				
I have experience of HR recruitment, executive recruitment, performance management and pay.				
I have experience of school sector HR policy and processes.				
I have experience of change management (overseeing a merger or an organisational restructure).				
I have experience of marketing, media and PR.				
I have experience of preparing for and responding to external oversight.				
I have experience of inspection and oversight in the school sector.				
I have experience of career/ work placements in the school sector.				
3. People				
I am willing to devote time, enthusiasm and effort to the duties of and responsibilities of a trustee including duties of compliance, care and prudence.				
I'm a strong communicator and experienced in building strong collaborative relationships.				
I am able to discuss sensitive issues with experience of conflict resolution and influencing consensus.				
I am able to demonstrate a commitment to ethical behaviour and values, honesty, independence of thought and sound judgement.				

	1	2	3	4
I am committed to equal opportunities and the promotion of diversity.				
I am willing to reflect, listen and learn from a diversity of views, to receive and provide feedback and accept impartial advice.				
4. Structures				
I am familiar with the strategic nature of the board's functions and how this differs from and works with others including executive leaders and academy or regional committees.				
I have experience of designing/reviewing/adapting governance structures appropriate to the size and complexity of the organisation, reflecting the diversity of stakeholders.				
5. Compliance				
I have experience of complying with legal, regulatory and financial frameworks and statutory guidance.				
I understand and accept the legal duties, responsibilities and liabilities of trusteeship.				
Governing boards are responsible for ensuring schools comply with a whole range of legal responsibilities. I have experience ensuring legal compliance in this way and a commitment to understanding the full range of legal responsibilities.				
I understand the importance of adhering to organisation policies e.g. on parental complaints or staff discipline issues.				
I am able to speak up when concerned about non-compliance.				
6. Evaluation				
I am aware of my own strengths and weaknesses and committed to personal development.				
I have experience evaluating board decisions and am willing to contribute to board self-review.				
7. Local Community				
I have knowledge of the following schools				
• Caludon Castle				
• Hill Farm Primary School				
• Kingsbury School				
• Foxford Community School				
• Richard Lee Primary School				
I have a good knowledge of the local community of				
• Caludon Castle				
• Hill Farm Primary School				
• Kingsbury School				
• Foxford Community School				
• Richard Lee Primary School				

Existing MAT Trustees / Local Governors only

What contribution do you feel you have made to the Trust Board / Local Governing Body / Committee over the past year?

Please give brief details of courses you have undertaken in the past year - include trustee training, work based training/development and/or any other development/training activities.

Please give details of any training you would like to undertake in the future: