

# Governance Strategy

Including:

Structure, remits and reporting  
Scheme of delegated functions  
Terms of reference  
Standard agendas

September 2019



Diverse  
Academies

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## 1. Context

The purpose of governance is to provide confident and strong **strategic leadership** which leads to robust **accountability, oversight and assurance** for educational and finance performance.

*DfE Governance Handbook March 19*

Good governance supports the Trusts' mission/vision of the organisation and is key to the effective outcomes of Leadership and Management and is at the heart of delivering educational excellence. It outlines how governance is structured and organised as part of developing and implementing governance functions and is a critical component of ensuring our students receive the best possible outcomes.

We review and update our policy and practice in order to ensure that our governance strategy conforms to the information being published by the Department for Education. To this end, this strategy has been developed in consultation with Trustees, Governors and Executives and encompasses the current governance structure. It, and associated structures and documents, will achieve good governance by drawing together each layer of governance within our Trust and, along with the Schemes of Delegation (SoD) Terms of Reference (ToR) and standard agenda items that form part of it, will be reviewed and approved annually by Trustees. Its effectiveness will be monitored via the Annual Development Plan in association with the Corporate, Education and Business Function Plans and via the Governance and Partnership Committee.

The strategy has been developed to ensure that governance is an integral part of Trust business and ensures that it is a priority at all levels, ensuring that Trustees:

1. **Have clarity of vision, ethos and strategic direction**
2. **Hold executive leaders to account for the educational performance of the organisation and its pupils and the effective and efficient performance management of staff**
3. **Oversee the financial performance of the organisation and make sure its money is well spent.**

Trustees and Governors ensure the Nolan Principles of Public Life are followed:

1. **Selflessness** School and college leaders should act solely in the interest of children and young people.
2. **Integrity** School and college leaders must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. Before acting and taking decisions, they must declare and resolve openly any perceived conflict of interest and relationships.
3. **Objectivity** School and college leaders must act and take decisions impartially and fairly, using the best evidence and without discrimination or bias. Leaders should be dispassionate, exercising judgement and analysis for the good of children and young people.
4. **Accountability** School and college leaders are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

5. **Openness** School and college leaders should expect to act and take decisions in an open and transparent manner. Information should not be withheld from scrutiny unless there are clear and lawful reasons for so doing.
6. **Honesty** School and college leaders should be truthful.
7. **Leadership** School and college leaders should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles, and be willing to challenge poor behaviour wherever it occurs. Leaders include both those who are paid to lead schools and colleges and those who volunteer to govern them

## 2. Intent

The aim of Governance is to provide the Trust Board with assurance of effective and sustainable leadership and management throughout the Trust. This will be monitored through the implementation of strategic objectives set out in the approved Annual Delivery Plan with assurance driven through the governance committee structure.

In delivering the governance strategy the intention is to ensure that the Trusts' visions, values and ethos deliver on the following core aims:

Ensure that structures and roles identify clear lines of accountability and responsibilities

### **Ensure accountability for quality, high standards and performance**

- Investigate and direct the executive to take action on any identified areas of underperformance
- Identify, share and ensure delivery of best-practice, compliance and assurance
- Identify and manage risks to the quality of education
- Ensure the organisation's culture supports effective engagement by all
- Ensure finance planning and use of resources drives efficiency and value for money
- Deliver on the trust vision and mission – one organisation providing “best for all” education
- Ensure all aspects of the organisation of the Trust are compliant
- These will be delivered through the combination of committee structures and processes at, and below, Trust Board level to lead on Trust-wide quality performance.

## 3. Implementation of Governance

The Trust Board has overall responsibility for the activity, integrity and setting the strategy of the Trusts' and has a statutory duty as part of its role, to ensure high standards of governance through clear and robust accountability arrangements at all levels. Trustees hold the Chief Executive Officer to account for this delivery, who in turn delegates the executive responsibility to the Head of Governance who is responsible for reporting to the Trust Board on the governance agenda and ensures that any supporting strategy documents are implemented and evaluated effectively.

Within the governance structure there are committees of the Board and each have delegated responsibility to deliver the Trust's strategic goals and objectives via compliance and monitoring of associated risks. Committees of the Board hold the executive and senior leaders to account for strategy implementation and the impact of education and financial management – see attached structure chart.

Each tier of governance is required to have regular meetings as set out in the Terms of Reference and to ensure accountability, the committees are required to submit a summary of their meetings to the Governance and Partnership Committee for review.

The governance structure clearly demonstrates the reporting and accountability mechanisms i.e. Academy Committees report to Board Committees, Board Committees report to the Partnership Board who reports to the Trusts' Trustees and ultimately to the Members of each Trust.

The Scheme of Delegation, Terms of Reference for each committee and Levels of Authority set out the delegated authority.

## **B.1 Framework for Trusts' Retained Responsibilities and Scheme of Delegation**

### **Introduction**

**This framework is firmly rooted in current DfE statutory requirements and national best MAT practice. As a charitable company limited by guarantee we are subject to both the Companies Act 2006 and the Charities Act 2011. All academies are exempt rather than registered charities which means they are accountable to a principal regulator rather than the Charity Commission. This power is exercised by the Education Funding Agency on behalf of the Secretary of State.**

**Academies are publicly funded independent schools, and must abide by relevant sections of the Education (Independent School Standards) (England) Regulations 2014**

**This document should also be read alongside:**

- 1. The Academies Financial Handbook**
- 2. DfE Governance Handbook**
- 3. DfE Competency Framework for Governance**
- 4. Diverse Academies Governance Handbook**
- 5. The DALP Partnership agreement between Diverse Academies Trust (DAT) and National Church of England Academy Trust (NCEAT)**
- 6. Diverse Academies Terms of Reference for Committees at all levels**

All references to 'the trust' apply to both trusts at the heart of our partnership: Diverse Academies Trust (DAT) and National Church of England Academy Trust (NCEAT) together Diverse Academies (DALP)

### **Framework for Tier 1, Trust Members' Specific responsibilities (both DAT and NCEAT individually)**

It is Members' duty to monitor the successful operation of the Trust, ensuring that Trustees are discharging their statutory duties and carrying out the trust's charitable objectives.

Specifically, these duties are to:

- 1. Appoint and remove Members/Trustees**
- 2. To receive audited accounts following their approval by Trustees**
- 3. Monitor the operation of the Trusts in the discharge of their statutory legal and charitable responsibilities**
- 4. Approve any changes to the trusts' Articles of Association**

5. Re-appoint trust Auditors annually

**Framework for Tier 2, Trust Boards (DAT & NCEAT) Specific Retained responsibilities**

Specifically, the duties of the Board are to:

<b>Diverse Academies Trust</b>	<b>National Church of England Academy Trust</b>
Ensure the legal responsibilities of the Trust is discharged by delegated bodies and that the Trust is legally compliant	Ensure the legal responsibilities of the Trust is discharged by delegated bodies and that the Trust is legally compliant
Ensure adherence to all legal documents: Articles of Association, Master Funding Agreement and any Supplemental Funding Agreements	Ensure adherence to all legal documents: Articles of Association, Master Funding Agreement
Approve DALP Partnership Agreement variations	Approve DALP Partnership Agreement variations
Approve all Principal appointments for Trust Academies	Approve the appointment of the Principal
Appoint and dismiss the Chief Executive Officer	
Protect and monitor all aspects of the faith designation of QEA - including through the SIAMS inspection framework and process	Protect and monitor all aspects of the faith designation of NCEA - including through the SIAMS inspection framework and process
Approve new academies recommended by the CEO to the Partnership Board	Appoint Trust legal advisors
Appoint Trust legal advisors	
Approve budget recommendations from the Trusts' Partnership Board	Approve budget recommendations from the Trusts' Partnership Board
Approve the Trust Audited Accounts	Approve the Trust Audited Accounts
Safeguarding/risk/H&S compliance	
Approve the Scheme of Delegation/Terms of Reference delegating all non-statutory responsibilities to the Partnership Board	Approve the Scheme of Delegation/Terms of Reference delegating all non-statutory responsibilities to the Partnership Board

**Trustees are responsible for ensuring effective accountability and strong performance of all academies within the Trust and must:**

- **Ensure clarity of vision, ethos and strategic direction**
- **Hold the executive to account for the educational performance of the academies and their pupils and the effective and efficient performance management of staff**
- **Oversee the financial performance of the trust and make sure money is well spent.**

In order to do this effectively delegated responsibilities have been given to the Partnership Board, Board Committees and Academy Committees working within a strict framework. Delegations may be varied by Trustees if an academy is cause for concern. More detailed information is available in the Terms of Reference for each Committee.

### **Framework for Tier 3, the Diverse Academies Partnership Board Scheme of Delegation**

The Partnership Board has responsibility for the following in all the Trusts' academies:

1. To discuss, approve, monitor and annually review the Corporate Vision, Strategic Development (SDP) and Annual Delivery Plan (ADP)
2. To discuss, approve and monitor delivery of the corporate function through the education, business and corporate strategies' and directorates
3. Monitor readiness for Multi Academy Trust (MAT) Ofsted and SIAMS inspections and responses to inspection outcomes
4. Approval of corporate appointments
5. To recommend the Trusts' budget to Trustees
6. Conducting the CEO appointment process
7. Consider any recommendations for approval from Board and Academy Committee meetings

### **Framework Tier 4, the Trust Board Committees Scheme of Delegation**

Board Committees have been delegated the following broad functions for all academies within the MAT- see Terms of Reference for specific roles and remits:

1. Financial Monitoring at Corporate & Academy level including reviewing the staff complement and appointment of staff
2. Propose recommendation of budgets to Trust Partnership Board
3. Quality and performance of Academy Committees (ACs) in discharging delegated responsibilities
4. Monitoring the performance and outcomes of all academies
5. Monitoring teaching, learning and assessment quality and impact across the organisation
6. Monitoring leadership and management quality and impact across the organisation
7. Monitoring curriculum and qualifications quality and impact across the organisation
8. Monitoring exclusions, behaviour and attendance across the organisation
9. Approve, monitor and review Corporate policies/procedures/practice
10. Performance management/appraisal/remuneration for CEO and corporate staff and oversight of adherence to policy and practice in academies
11. Monitoring Safeguarding across the organisation
12. Monitoring Health and Safety across the organisation
13. Monitoring Risk Management across the organisation including Data Protection
14. Make recommendations to the Trust Partnership Board as appropriate

### **Framework for Tier 5, the Academy Committee (AC) Scheme of Delegation**

Academy Committees have the following delegated responsibilities for their academy/ies. Refer to Terms of Reference in conjunction with these:

1. Monitor Risk Management and ensure there is effective Risk Management in the academy



2. Monitor Safeguarding and ensure there is effective safeguarding procedures in the academy
3. Approve and thereafter monitor and review effectiveness of the Academy Improvement Plan (AIP) and its engagement with parents and the community
4. Review and monitor Health and Safety compliance systems plans
5. Approve and monitor Academy identity
6. Approve Academy appendices to corporate policies
7. Scrutinize academy outcomes for students/pupils
8. Monitor the education, behaviour and attitudes, personal development and leadership and management
9. Monitor the academy budget in line with set staffing and curriculum planning
10. Contribute to the Principal appraisal with the Senior Principal and confirm the robustness of the appraisal process for all other staff (teaching and business operations)
11. Monitor Student/pupil admissions and agree any over PAN admissions
12. Monitor Student/pupil exclusions
13. Monitor Student/pupil attendance
14. Monitor Ofsted/SIAMS inspection readiness and response to the outcomes of inspections
15. Appointment and removal of Academy Governors with reference to the Trust Governance & Partnership Committee
16. Make and receive recommendations to/from the Trust Governance and Partnership Committee as appropriate

## Diverse Academies Partnership Board, its Committees and Academy Committee (AC)

### Terms of Reference

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#### **Introduction**

As a charity and company limited by guarantee, the separate Trusts are governed by a Board of Trustees who have overall responsibility and ultimate decision making authority for the strategic direction, vision and ethos, risks and opportunities and functions of their Trust, including the establishing and running of the academies within each Trust.

In order to support the effective joint operation of the two Trusts and all academies within the MAT, both Trusts have established a joint Trust Partnership Board and a number of Board committees including an Academy Committee (AC) at each academy or over a number of

academies. The Trustees of each Trust (DAT & NCEAT) have delegated non-statutory powers and functions to the Partnership Board and these Committees as detailed in the Terms of Reference (ToR) below. This document does not cover the statutory, non-delegated roles and responsibilities of both Trusts which are set out in their individual Articles of Association.

These delegated powers may be removed at any time if Trustees consider that any Committee (either Board or Academy Committee) is not acting according to the group ethos or acting outside of its delegated powers. Trustees may also disband an Academy Committee and replace its members with an Interim Committee in the case of extreme failings.

These Terms of Reference (ToR) set out the constitution, membership, proceedings and term of reference for all Committees (Board and Academy) and should be read in conjunction with the Scheme of Delegation.

The Trust Boards have established two different types of committee:

- Trust Partnership Board committees which are established to deal with Trust-wide matters (Board Committees)
- Academy Committees (AC) which are established by the Trust Partnership Board to support the effective operation of the Academies.

In general terms:

- Trust Partnership Board Committees focus on all business, education and governance function areas across the Trust
- Academy Committees hold the academy to account for standards in teaching and learning, safeguarding, stakeholder engagement with parents, student and staff and business and community links. They uphold the Trust vision.

The Governance and Partnership Committee reviews these Terms of References (ToR) together with the membership of the Committees at least annually.

These ToR may only be amended by Trustees. The functions, duties and proceedings of Committees set out in these Terms of Reference shall also be subject to any regulations or changes made by the Trust Board from time to time.

## **1 Establishing the Committees**

1.1 Trustees have resolved to establish the following Board Committees (Tier 4) as committees of the Board:

- 1.1.1 Audit & Risk Committee (A&R Committee);
- 1.1.2 Finance and Resources Committee (F&R Committee);
- 1.1.3 Performance and Remuneration Committee (P&R Committee)
- 1.1.4 Standards and Outcomes (S&O Committee)
- 1.1.5 Governance and Partnership Committee (G&P Committee)

- 1.2 The Trust Partnership Board has resolved to establish Academy Committees (ACs) for its academies each as a separate committee of the Board (Tier 5). If agreed by the Governance and Partnership Committee, an AC may act in respect of two or more academies. The current list of ACs and the Academies they operate is set out in Appendix 1.

## **2 Membership – Partnership Board Committees**

- 2.1 Each Trust Partnership Board Committee shall have a minimum of three members comprising of at least two Trustees appointed by the Board subject to paragraph 2.2 below
- 2.2 Membership of the Board Performance and Remuneration Committee will consist of up to three Diverse Academies Trust (DAT) Trustees and up to two National Church of England Academy (NCEAT) Trustees. Quoracy for the meeting will be 3 Trustees with at least two Trustees from DAT and one Trustee from NCEAT at the meeting.
- 2.3 The Committee's Trustees will appoint and remove other Committee members.
- 2.4 The Trust Board will ensure that Board Committee members have the necessary skills, background and experience to properly fulfil the relevant Board Committee functions.
- 2.5 The current Board Committee members are set out in the register of committee members maintained by the Trust and which at the date of adoption of these Terms of Reference is set out in Appendix 2.

## **3 Membership – Academy Committees (ACs)**

- 3.3 Each AC operating in respect of one Academy shall, unless the Board resolve otherwise, have a minimum of five and a maximum of ten governors.
- 3.4 Each AC operating in respect of two or more Academies shall, unless the Board resolve otherwise, have a minimum of five and a maximum of twelve governors.
- 3.5 The membership of each AC shall be as follows (unless the Board resolve otherwise):
- two elected parent governors;
  - one elected academy staff member (optional);
  - up to seven (eight if a staff member is not appointed or nine in the case of a joint AC) persons appointed by the AC (to be called appointed governors);

The Senior Principal/Principal of the academy/ies are ex-officio members who will attend meetings to present and advise governors. Senior Executive Leaders (SELs) and any other executive may attend any meeting.

- 3.6 The current governors at each academy/ies are set out in the register of Academy Committee members maintained by the Clerk in each Academy and accessible on the academy website.
- 3.7 The Trustees have delegated the responsibility to the Academy Committee to:
- 3.7.1 make all necessary arrangements for, and determine all other matters relating to, an election of parent governors, including any question of whether a person is a

parent of a registered student at an Academy. Any election of a parent governor which is contested shall be held by secret ballot;

- 3.7.2 make all necessary arrangements for, and determine all matters relating to, the election of staff AC Governors (if appointed).
- 3.8 The term of office for any Trustee and AC governor shall be four years. Subject to remaining eligible, any Trustee/governor may put themselves forward for re-appointment (in the case of appointed Trustees/governors) or re-election (in the case of parent and staff governors on ACs).

#### **4 Chairs of Committees**

- 4.3 The term Chair refers to the person appointed under this paragraph as Chair of the relevant Trust Board/ Trust Board Committee or AC Committee
- 4.4 The Chair of the Trust Partnership Board will be the Chair of the Diverse Academies Trust Board
- 4.5 Each Trust Board (DAT and NCEAT) and Trust Board Committee shall at the first meeting of each academic year elect a member to act as chair of the meeting. The committee will elect a temporary replacement from among the members present at any meeting where the Chair is absent.
- 4.6 No person may act as Chair of a Trust Board Committee listed under paragraph 1.1 unless they are also a Trustee
- 4.7 Academy Committee Governors shall at the first meeting of each biennial academic year recommend to the Trust Governance and Partnership Board Committee for approval the appointment of an Academy Committee Governor to act as Chair of the Academy Committee
- 4.8 Both Trust Board Committee and AC Governors will elect a Vice – Chair from among the members present at the meeting
- 4.9 No person may act as Chair under paragraph 4.4, 4.5 and 4.6 if they are an employee of either Trust.

#### **5 Authority, remit and responsibilities of the Board and Academy Committees**

- 5.3 Each Committee shall be responsible for the matters as set out in Appendix 4.
- 5.4 Each Committee is authorised by the Trust Partnership Board to:
- 5.4.1 carry on any activity authorised by these Terms of Reference; and
- 5.4.2 seek any appropriate information that it properly requires to carry out its role from any senior employee of the Trust and all senior employees shall be directed to co-operate with any request made.
- 5.5 Except with the consent of the Trust Board, any Committees may not establish sub-committees, except for working parties.

## **6 Proceedings of Trust Partnership Board, Board Committees and Academy Committee meetings (The Committees)**

- 6.3 The Partnership Board and its Committees (Trust and AC) will meet as often as is necessary to fulfil their responsibilities but at least six times a year with the exception of Audit & Risk (at least three times a year) Performance and Remuneration (at least twice a year) and Governance and Partnership (at least three times a year)
- 6.4 Any two Board or Committee members can request that the Chair convene a meeting by giving no less than 14 days prior notice.
- 6.5 Except for the restrictions for the Performance and Remuneration Committee in 2.2 above, the quorum for the transaction of the business of the Partnership Board or any Trust Board Committee shall be a majority of the Board/Committee members and no vote on any matter shall be taken at a meeting unless the majority of members of the Board/Committee present are Trustees.
- 6.6 The quorum for the transaction of the business of each Academy Committee shall be 50% of governors in post
- 6.7 The Company Secretary shall endeavour to ensure that a Clerk is provided at each meeting to advise the Board and take minutes of the meetings of the Trust Partnership Board and its Trust and Academy Committees. If a clerk is not available a member of any Committee can take the minutes.
- 6.8 Each Committee Trustee/Governor present in person shall be entitled to one vote.
- 6.9 Where there is an equal division of votes the Chair shall have a casting vote.
- 6.10 Proxy votes will not be accepted at the Trust Partnership Board, Board Committee or Academy Committee level
- 6.11 A register of attendance shall be kept for each Committee meeting and published annually.
- 6.12 Any Committee may invite attendance at meetings from persons who are not usual attendees at these meetings to assist or advise on a particular matter or range of issues. Such persons may speak with the permission of the Chair but shall not be entitled to vote.
- 6.13 References in paragraph 6 to the "Chair" shall in the absence of the Chair be deemed to be references to the chair of the relevant meeting.

## **7 Agendas for meetings**

Agendas for all meetings will be set by the Clerk to the meeting in conjunction with Trust guidance, the Principal or Lead Executive and the Chair of the meeting. Agendas and meeting papers will be distributed to committee members at least 7 days prior to the meeting. Standard agendas can be found within pages 10-26 below.

## **8 Conduct of Committee members**

- 8.3 All Committee/Governor attendees shall observe at all times the provisions of the Trusts' Code of Conduct which will be signed annually.

## **9 Trustees' and Governors' Interests**

- 9.3 Attendees at all meetings are required to declare any business or other interests in any item being discussed at a meeting. The clerk will ask for declarations to be re-stated at the beginning of each academic year and any changes to declarations/business interests throughout the year must be advised immediately to the Clerk. All declared interest will be published on the Trust or academy website.
- 9.4 Each Trustee/Governor, if present at a meeting, must disclose their interest, withdraw from the meeting and not vote on a matter if:
- 9.4.1 there may be a conflict between their interests and the interests of any of the academies in or of the Trust;
  - 9.4.2 there is reasonable doubt about their ability to act impartially in relation to a matter where a fair hearing is required; or
  - 9.4.3 they have a personal interest (this is where they and/or a close relative will be directly affected by the decision to be made at the meeting in relation to that matter) in a matter.

The Academies Financial Handbook must be referred to where there may be doubt as to the impartiality of any interest.

## **10 Disqualification & Removal of Trustees/Governors**

- 10.3 A person shall be ineligible for appointment to a Trust Partnership Board/Board Committee/Academy Committee and, if already appointed, shall immediately cease to be a member if the relevant individual:
- 10.3.1 is or becomes disqualified from holding office under the Trust's Articles of Association;
  - 10.3.2 is or becomes disqualified from holding office as a Trustee/Governor of a school or academy;
  - 10.3.3 is included in the list of teachers or workers considered by the Secretary of State as unsuitable to work with children or young people;
  - 10.3.4 is barred from any regulated activity relating to children;
  - 10.3.5 is or becomes bankrupt or makes any arrangement or composition with his/her creditors generally; or their estate has been sequestrated and the sequestration has not been discharged, annulled or reduced;
  - 10.3.6 is convicted of any criminal offence (other than minor offences under the Road Traffic Acts or the Road Safety Acts for which a fine or non-custodial penalty is imposed or any conviction which is a spent conviction for the purposes of the Rehabilitation of Offenders Act 1974);
  - 10.3.7 has been fined for causing a nuisance or disturbance on school/academy premises during the 5 years prior to or since appointment or election as a Committee member;

- 10.3.8 refuses an application being made to the Disclosure and Barring Service (DBS) for a criminal records check;
- 10.3.9 commits a serious breach of the Trust's Code of Conduct or protocol implemented by the Board;
- 10.3.10 is absent without the permission of the Trust/Board Committee/Academy Committee members from all their meetings held within a period of six months and the rest of the voting attendees resolve that the office be vacated;
- 10.3.11 resigns his/her office by notice in writing to the relevant Chair;
- 10.3.12 their term of office expires and they are not re-appointed.

Upon appointment, all Trustees and Governors are required to sign their confirmation of the above.

- 10.4 The Trustees of each Trust shall have the right at their sole discretion to remove or suspend (on such terms as they see fit) any academy governor by written notice to the relevant Chair.

## 11 Reporting Procedures

- 11.3 Within 14 days of each meeting the Clerk to each Board/Committee/Academy Committee will:

- 11.3.1 produce and agree minutes of its meetings. These minutes, minus discussions deemed to be confidential will be available for all tiers of governance to view
- 11.3.2 provide an exception report summary document to the Governance and Partnership Board in conjunction with the Chair, identifying:
  - (i) discussions where a decision is required
  - (ii) recommendations to the Trust Partnership Board
  - (iii) any items for the information of the Trust Partnership Board and
  - (iv) items for further discussion by the Trust Partnership Board

together the **Committee Reports** see Appendix 4

- 11.4 The Committee Reports can be agreed by committee members by email.
- 11.5 The Committee Reports must be sent to the Clerk of the Governance and Partnership Committee within 21 days of each meeting. Once received the Clerk will produce an executive summary of key information for the committee's consideration.
- 11.6 Committees shall arrange for the production and delivery of such other reports or updates as requested by the Governance and Partnership Committee from time to time.
- 11.7 Matters indicated as confidential will not be circulated to all parties but will be retained as a confidential matters minute as part of the Committee's minutes.
- 11.8 Each Committee shall conduct an annual review of its work and the powers and functions delegated to it under these ToR. The report shall include how the Board/Academy



Committee has held the Executive and/or Academy Leaders to account, record any training undertaken and how successful it was in achieving its key objectives for the year. The report may also make recommendations for any changes to the Trust Governance and Partnership Committee.

11.9 Chairs of Committees at all levels will be subject to an annual review of their performance.

## **12. Board and Academy Committee Terms of Reference (ToR)**

12.1 The ToR for each meeting can be found in Appendix 4 below. These are subject to annual review and should be reviewed in conjunction with the set agendas for each meeting.

## Appendix 1

### Academy Committees (ACs) as at September 2019

#### Special

Yeoman Park Academy	}	
Redgate Primary Academy	}	Joint Academy Committee

#### Primary

Wainwright Primary Academy	}	
Samuel Barlow Primary Academy	}	Joint Academy Committee
Thrumpton Primary Academy		
Bracken Lane Primary Academy		
Tuxford Primary Academy		

#### Secondary

Tuxford Academy  
National Church of England Academy  
Retford Oaks Academy  
East Leake Academy  
The Holgate Academy  
Walton Girls High School & Sixth Form  
Queen Elizabeth's Academy

## Appendix 2 - as at September 2019

(for the most recent membership list of Members and Trustees of each Trust  
please refer to the Trust website [www.dalp.org.uk](http://www.dalp.org.uk):

Membership of the Trust Partnership Boards and its Committees are kept with the Lead Clerk.

Chairs of each committee to be elected at the first meeting in 2019/20

### **Members of the Trust Partnership Board**

Mr John Rolph – Trustee DAT  
Mrs Margaret Blore – Trustee DAT  
Mr Michael Quigley – (Chair) Trustee and Chair of DAT  
Mr Peter Mabbott – Trustee DAT  
Mr Ian Storey – Trustee DAT  
Miss Cherie White – Trustee DAT  
Mrs Lisa Allen – Trustee NCEAT  
Mr Ben Marshall – Trustee NCEAT  
Mr Stephen Yardley – Trustee NCEAT

### **Members of Audit and Risk Committee**

Mr Michael Quigley – Trustee DAT  
Mr Ian Storey – Trustee DAT  
Mr Peter Mabbott – Trustee DAT  
Mr Ben Marshall – Trustee NCEAT  
Mr Tim Hill – Co-opted  
Mrs Pat Bryn-Jones – Co-opted  
Mr Geoff Gadie – Co-opted

### **Members of Finance and Resources Committee**

Mr John Rolph – (Chair) Trustee DAT  
Mr Peter Mabbott – Trustee DAT  
Mr Ian Storey – Trustee DAT  
Lisa Allen – Trustee NCEAT

### **Members of Performance and Remuneration Committee**

Mr John Rolph – Trustee DAT  
Mrs Margaret Blore – (Chair) Trustee DAT  
Miss Cherie White – Trustee DAT  
Mrs Lisa Allen - Trustee NCEAT  
Vacancy – Trustee NCEAT

### **Members of Governance and Partnership Committee**

Mr Mike Quigley – Trustee DAT  
Mr John Rolph – (Chair) Trustee DAT  
Mr Ben Marshall – Trustee NCEAT

### **Members of Standards and Outcomes Committee**

Mrs M Blore – Trustee DAT  
Miss C White – (Chair) Trustee DAT  
Mrs K Cowley – Trustee NCEAT

## Appendix 3

### **Powers & Functions Delegated to each level of Committee**

#### **Remit and Responsibilities of the Board Audit & Risk Committee**

The Trustees recognise the overriding principles of the Academies Financial Handbook published by the ESFA (the AFH) and that the Audit & Risk Committee should be established in such a way as to achieve internal scrutiny which delivers objective and independent assurance for the Trust.

The powers and functions delegated by the Board to the Audit & Risk Committee are as set out and detailed below for:

Internal Audit

Risk management – including health and safety

Financial management and policies

#### ***Internal Audit***

1. To set and review the annual internal audit programme - ensuring that the internal audit function is adequately resourced and has appropriate standing within each Trust.
2. To review the reports and recommendations of the internal audit, together with the appropriateness of executive management's response.
3. To monitor the implementation of actions agreed by executive management in response to reports from the external auditor internal audits.

#### ***Risk management – including health and safety***

1. To regularly review the group and academies' Risk Registers and instruct the executive as necessary, escalating any concerns to the Partnership Board.
2. To regularly review the group's risk exposure and appropriate insurances.
3. To receive and review executive Health and Safety reports and advise as necessary.
4. To monitor compliance with Trust and individual academies' Health & Safety policies.
5. To ensure statutory obligations under the Health and Safety at Work Act 1974 are met
6. To monitor individual academies' management of trips and visits

#### ***Financial Management & Policies***

1. To keep under review each Trust's financial management and reporting arrangements, providing constructive challenge (where necessary) to the actions and judgements of executive management in relation to the interim management and financial accounts, statements, reports and the annual accounts and financial statements, prior to submission to the Trust Partnership Board. By reviewing:
  - 1.1 critical accounting policies and practices and any changes in them
  - 1.2 decisions requiring a major element of judgement

- 1.3 the extent to which the financial statements are affected by any unusual or complex transactions in the year and how they are disclosed
  - 1.4 monitoring the recommendations made by the external auditor in their Management Letters following the production of the Trusts' annual Audited Accounts making any recommendations to the Finance and Resources Committee
  - 1.5 the clarity and transparency of disclosures
  - 1.6 significant adjustments resulting from the external audit
  - 1.7 the going concern assumption
  - 1.8 compliance with accounting standards
  - 1.9 compliance with DfE, ESFA and other legal requirements.
2. To regularly review the Trust policy and procedures for handling allegations from whistleblowers.
  3. To regularly review Trust policies and procedures for handling allegations of fraud, bribery and corruption.
  4. To receive reports on the outcome of investigations of suspected or alleged impropriety.
  5. To review the adequacy of policies for ensuring compliance with relevant regulatory, legal and code of conduct requirements including the implementation and monitoring of the General Data Protection Regulation (GDPR) and handling of any breaches
  6. To review annually the Register of Business Interests for all Trustee, Academy Committee governors and corporate staff and to take appropriate action should issues be apparent
  7. To annually review and approve the Trust's Levels of Authority document
  8. To ensure that any significant losses are investigated and reported to the DfE/ESFA where required.
  9. To review the Trust's risk management policy, strategy, processes and procedures for the identification, assessment, evaluation, management and reporting of risks.
  10. To review the adequacy and robustness of financial risk registers.
  11. To keep under review, the adequacy and effectiveness of the risk management and internal control arrangements, as well as its arrangements for securing value for money, through reports and assurances received from executive management, internal audit, the external auditor and any other relevant independent assurances or reports (e.g. from the National Audit Office).
  12. To review all financial risk and control related disclosure statements, in particular the Trust's annual "Statement of Internal Control", together with any associated reports and opinions from executive management, the external and internal auditors and prior to endorsement by the Trust Partnership Board.
  13. To review any recommendations made by the Secretary of State for Education for improving the financial management of the Trust or its academies.

## General

1. To review or investigate any other matters referred to the Audit & Risk Committee by the Trust Partnership Board.
2. To draw any significant recommendations and matters of concern to the attention of the Trust Partnership Board.

### Standard agendas:

Autumn Term Meeting 1 5/11/2019	Spring Term Meeting 31/3/2020	Summer Term Meeting 23/6/2020
<ol style="list-style-type: none"> <li>1. Appoint committee chair and vice-chair</li> <li>2. Declarations of Interest</li> <li>3. Minutes of the last meeting</li> <li>4. Matters arising</li> <li>5. External/Internal Audit review from Auditors</li> <li>6. Review of internal audits</li> <li>7. Safeguarding; culture &amp; compliance</li> <li>8. Risk Management Summary of overarching risks inc. Health &amp; Safety, staff &amp; pupil well-being, GDPR</li> <li>9. Accounting Officer exception reporting</li> <li>10. Review claims/complaints</li> <li>11. Policy approval</li> <li>12. Any issues referred to/from the Board or academies</li> <li>13. Confidentiality/Equalities Act/Nolan Principles</li> </ol>	<ol style="list-style-type: none"> <li>1. Declarations of Interest</li> <li>2. Minutes of the last meeting</li> <li>3. Matters arising</li> <li>4. External/Internal Audit review from Auditors</li> <li>5. Review of internal audits</li> <li>6. Safeguarding; culture &amp; compliance</li> <li>7. Risk Management Summary of overarching issues inc. Health &amp; Safety, staff &amp; pupil well-being, GDPR</li> <li>8. Accounting Officer exception reporting</li> <li>9. Review claims/complaints</li> <li>10. Policy approval</li> <li>11. Any issues referred to/from the Board or academies</li> <li>12. Confidentiality/Equalities Act/Nolan Principles</li> </ol>	<ol style="list-style-type: none"> <li>1. Declarations of Interest</li> <li>2. Minutes of the last meeting</li> <li>3. Matters arising</li> <li>4. External/Internal Audit review from Auditors</li> <li>5. Review of internal audits</li> <li>6. External and Internal Audit Plans approval for 2019/20</li> <li>7. Safeguarding; culture &amp; compliance</li> <li>8. Risk Management Summary of overarching issues inc. Health &amp; Safety, staff &amp; pupil well-being, GDPR</li> <li>9. Accounting Officer exception reporting</li> <li>10. Review claims/complaints</li> <li>11. Policy approval</li> <li>12. Any issues referred to/from the Board or academies</li> <li>13. Confidentiality/Equalities Act/Nolan Principles</li> </ol>

### Contributors to the committee will be:

Lead executive – Neil Holmes, Senior Executive Leader  
 Business Development Manager - Karen Bonser  
 Chief Executive Officer – Accounting Officer – Chris Pickering  
 Other attendees by request

## **Remit and Responsibilities of the Board Finance & Resources Committee**

The powers and functions delegated by the Board to the F&R Committee are as set out below.

### ***Funding and Income***

1. To review the Trusts' proposed annual aggregate budget and approve each academy's budgets taking into account the confirmed level of funding from the ESFA
2. In the light of the funding model, notified annually by the DfE/ESFA, ensure that each AC is budgeting in a manner consistent therewith. Also that the allocation of central costs and guidelines on cost savings are being properly reflected and observed. This will be in consultation with the Chief Operating Officer (COO) in advance of the financial year, drawing any matters of significance or concern to the attention (through the Trust Partnership Board) of the Trustees of each Trust.
3. To recommend the budgets for approval by the Partnership Board drawing their attention to any matters of concern or significance
4. To review admission arrangements in each academy focussing on projected numbers, income generation, lagged funding issues and correlating this to Curriculum Led Financial Planning and budget forecasts
5. At each meeting consider and review in detail the budget for each Trust and its academies, drawing any matters of significance or concern to the attention (through the Trust Partnership Board) of the Trustees of each Trust and to the senior leader in each academy
6. To consider and recommend acceptance or non-acceptance of each Trust and Academy's budgets each financial year
7. To monitor the Executive's effectiveness with regard to securing income over and above annual GAG allocations
8. To approve a capital and revenue reserves policy for recommendation to the Trust Partnership Board, monitoring Trust and academies' compliance with the policy and agreeing actions that need to be taken to bring the level of reserves in line with the level identified by the Trustees as being appropriate

### ***Budgeting***

1. To contribute to the formulation of the Trusts' strategic financial plans.
2. To receive and make recommendations on the broad budget headings and areas of expenditure to be adopted each year. This will include the level and use of any contingency fund or balances, ensuring the compatibility of all such proposals with the development priorities set out in the Trust strategic plan.
3. To liaise with and receive reports from appropriate committees and make recommendations to and from those committees about any pertinent aspect of financial aspects of matters being considered.
4. To consider the spending plans of other committees and report back and advise the Trust Partnership Board.

5. To delegate the day to day management of the approved budget to the Chief Operating Officer (COO) and academies' senior leaders, within agreed authorisation limits as set out in the Levels of Authority document and Academies Financial Handbook
6. To consider requests for supplementary expenditure and make appropriate recommendations to the Board.
7. To consider and act upon matters not covered by other committees.
8. To review financial policy including consideration of long term planning and resourcing in accordance with Trusts strategic plan.

### ***Expenditure***

1. To monitor and review expenditure on a regular basis, ensuring compliance with the overall financial plan for the Trust and the academies, and with the financial regulations of the Trusts, drawing any matters of concern to the attention (through the Trust Partnership Board) to the Trustees of each Trust
2. To consider the corporate staffing structure in conjunction with the Chief Executive Officer/ Chief Operating Officer

### ***Financial Procedures***

1. To monitor and review procedures for ensuring the effective implementation and operation of financial procedures including the implementation of bank account arrangements and signatories to each account
2. To review in detail, the Trustees Report to form part of the annual Audited Accounts report of the Board to stakeholders and for filing in accordance with requirements of the Companies Act, Charity Commission and Funding Agreement (including the AFH)
3. To review the annual Audited Accounts from the external auditor prior to recommendation of approval to each Trust's Trustees and its Members. The committee should satisfy itself that the Trusts guidance has been adhered to in the preparation of the accounts and that an appropriate set of accounting policies has been applied

### ***Asset Management***

1. To request and receive reports from the relevant executives on the management of assets including premises and their security and IT equipment.
2. To confirm that an asset recording system is in place, including an inventory and fixed asset register for each academy and Trust.

### ***Property Management***

1. To ensure that the Academy Committees, senior leaders and executives actively determine the use of the academies' premises and grounds outside academies' teaching sessions with regard to the Trust Charging and Lettings policy.



2. To ensure that central and academies estates are inspected on an annual basis and review and monitor the Trusts' planned and costed statement of capital priorities.
- 3 To approve the Trusts' Estates and IT strategy and overall capital expenditure
- 4 To advise the Trust Partnership Board on environmental capital issues – ensuring maximum possible energy and materials conservation at Head Office and all academies.

### **External Audit**

1. To consider the appointment of the external auditor; assess the independence of the external auditor; and ensure that key audit personnel are rotated at appropriate intervals.
2. To recommend audit fees (through the Trust Partnership Board) to the Trustees of each Trust and pre-approve any fees in excess of £10,000 in respect of non-audit services provided by the external auditor.
3. To ensure that the provision of non-audit services does not impair the external auditors' independence or objectivity.
4. To oversee the process for selecting the external auditor and make appropriate recommendations (through the Trust Partnership Board) to the members of each Trust to consider at any general meeting where the group accounts are laid before members.
5. To discuss with the external auditor, the nature and scope of each forthcoming audit and to ensure that the external auditor receives the fullest co-operation.
6. To review the external auditor's annual management letter and all other reports and recommendations, together with the appropriateness of executive management's response.
7. To review the performance of the appointed external auditor on an annual basis.
8. To recommend (through the Trust Partnership Board) to the Members of each Trust the appointment/re-appointment of the external auditor.
9. To review and consider the circumstances surrounding any resignation or dismissal of the external auditor.

### **General**

1. To review or investigate any other matters referred to the F&R Committee by the Board.
2. To draw any significant recommendations and matters of concern to the attention of the relevant Trust Partnership Board.

Standard agendas:

Autumn Term Meeting 1 16/10/2019	Spring Term Meeting 1 5/2/2020	Summer Term Meeting 1 03/06/2020
Appoint committee chair and vice-chair 1. Declarations of Interest 2. Minutes of the last meeting 3. Matters arising 4. Safeguarding; culture & compliance 5. <b>Group</b> Finance: Cash Flow to end September	1. Declarations of Interest 2. Minutes of the last meeting 3. Matters arising 4. Safeguarding; culture & compliance 5. <b>Group</b> Finance: Cash Flow Management Accounts	1. Declarations of Interest 2. Minutes of the last meeting 3. Matters arising 4. Safeguarding; culture & compliance 5. <b>Group</b> Finance: Cash Flow Management Accounts

<p>2018/19 Year End unvalidated Outturn Pupil Premium/Year 7 Catch-up/Primary Sports Premium/SEND Related Party Transactions</p> <ol style="list-style-type: none"> <li>6. <b>Group</b> Capital Summary Plan 2018/19 and 2019/20</li> <li>7. Accounting Officer exception reporting</li> <li>8. Finance calendar</li> <li>9. Policy approval</li> <li>10. Any issues referred to/from the Board or academies</li> <li>11. Confidentiality/Equalities Act/Nolan Principles</li> </ol>	<p>Census &amp; Data</p> <ol style="list-style-type: none"> <li>6. Management Letters response</li> <li>7. Related Party Transactions</li> <li>8. Capital Plan Update 2019/20</li> <li>9. Accounting Officer exception reporting</li> <li>10. Finance calendar</li> <li>11. Review contracts log</li> <li>12. Policy approval</li> <li>13. Any issues referred to/from the Board or academies</li> <li>14. Confidentiality/Equalities Act/Nolan Principles</li> </ol>	<p>Funding Statements Draft Budget</p> <ol style="list-style-type: none"> <li>6. Related Party Transactions</li> <li>7. Accounting Officer exception reporting</li> <li>8. Finance calendar</li> <li>9. Policy approval</li> <li>10. Any issues referred to/from the Board or academies</li> <li>11. Confidentiality/Equalities Act/ Nolan Principles</li> </ol>
<p style="text-align: center;"><b>Autumn Term meeting 2 11/12/2019</b></p> <p><b>Joint DAT/NCEAT meeting with Auditors- presentation of Audited Accounts and Management Letters</b></p> <ol style="list-style-type: none"> <li>1. Declarations of Interest</li> <li>2. Minutes of the last meeting</li> <li>3. Matters arising</li> <li>4. Safeguarding; culture &amp; compliance</li> <li>5. Finance: Cash Flow Management Accounts Benchmarking and CLFP</li> <li>6. Related Party Transactions</li> <li>7. Accounting Officer exception reporting</li> <li>8. Finance calendar</li> <li>9. Policy approval</li> <li>10. Any issues referred to/from the Board or academies</li> <li>11. Confidentiality/Equalities Act/Nolan Principles</li> </ol>	<p style="text-align: center;"><b>Spring Term Meeting 2 01/04/2020</b></p> <p><b>Auditor attendance to discuss Audited Accounts planning process</b></p> <ol style="list-style-type: none"> <li>1. Declarations of Interest</li> <li>2. Minutes of the last meeting</li> <li>3. Matters arising</li> <li>4. Safeguarding; culture &amp; compliance</li> <li>5. Finance: Cash Flow Management Accounts Funding Statements Draft Budget Related Party Transactions</li> <li>6. Accounting Officer exception reporting</li> <li>7. Finance calendar</li> <li>8. Policy approval</li> <li>9. Any issues referred to/from the Board or academies</li> <li>10. Confidentiality/Equalities Act/Nolan Principles</li> </ol>	<p style="text-align: center;"><b>Summer Term Meeting 2 15/07/2020</b></p> <ol style="list-style-type: none"> <li>1. Declarations of Interest</li> <li>2. Minutes of the last meeting</li> <li>3. Matters arising</li> <li>4. Safeguarding; culture &amp; compliance</li> <li>5. Finance: Cash Flow Management Accounts - May Final Budget &amp; budget setting process Fixed Asset Register Related Party Transactions Audited Account schedule/process</li> <li>6. Capital update 2019/20 &amp; 2020/21</li> <li>7. Accounting Officer exception reporting</li> <li>8. Finance calendar</li> <li>9. Policy approval</li> <li>10. Any issues referred to/from the Board or academies</li> <li>11. Confidentiality/Equalities Act/Nolan Principles</li> </ol>

**Contributors to this Committee:**

Lead Executive – Gary Corban - Chief Operating Officer  
Chief Executive Office/Accounting Officer – Chris Pickering  
Group Finance Controller - Asiya Younis  
Senior Finance Manager - Simon Lowe

**Upon request:**

Business Leaders for:  
Facilities and Estates  
IT  
Marketing and Communications  
MIS/Data

## Remit and Responsibilities of the Board Performance and Remuneration Committee

The powers and functions delegated by the Trust Partnership Board to the Board Performance and Remuneration Committee are as set out below:

1. To consider the corporate staffing pay structure in conjunction with the Chief Executive Officer/Chief Operating Officer
2. To ensure the board has a senior management succession plan which minimises the risk to business continuity in the event of retirement, resignations or long term absence
3. To review and approve the Trust Pay and Reward and Appraisal policies
4. To review, approve and monitor implementation and effectiveness of the Trust Pay and Reward and Appraisal policies in each academy to ensure quality and compliance
5. To review, approve and monitor the annual equal pay audit
6. To review, approve and monitor the gender pay gap report
7. To conduct an annual review of eligibility of staff in the Teachers' Pension Scheme
8. To receive pay decisions made in respect of corporate staff
9. Ensure all staff receive an annual salary statement by the end of November each year
10. To receive the Chief Executive Officer (CEO) pay recommendations from the CEO's Appraisal Trustees
11. To receive and review executive performance, pay and ISR recommendations from the Chief Executive Officer:
  - (a) Senior Executive Leaders
  - (b) Senior Principals
  - (c) Executive Assistant Principals
  - (d) Principals
  - (e) Business Leaders
12. To review any additional responsibility payments for corporate staff
13. To review in conjunction with the Chief Operating Officer and Trust Partnership Board any settlement / early retirement /severance payments
14. To deal with any other matters relating to pay, appraisal, capability and conduct and employment as may be referred by the Board
15. To monitor staff absence, grievance and disciplinary issues - including the deployment of cover and agency staff; and the consideration of group thematic benchmarking reports

### ANNUAL APPRAISAL and PERFORMANCE MANAGEMENT CALENDAR

Activities/Actions	September	October	November	December	May
Staff to carry out self-review and completion of end of year appraisal documentation (PIP)					
Teachers to be informed of UPS application process for this cycle					
End of year PM Appraisal reviews to be completed					
Summary of pay progression linked to performance to be reviewed and approved by LAB and DALP Board F&R portfolio teams (tracking document)					
Payroll changes to be processed for incremental and any other increases					
Pay statements to all staff confirming pay arrangements / progression			By 30 <sup>th</sup> Nov		
Review training and succession plans					
Mid year PM PIP reviews					
Annual pay audit (equal pay, E&D – Age, Gender, PT, etc) and Gender Pay Gap Report					

Autumn Term Meeting 06 November 2019	Spring Term Meeting 13 May 2020
<ol style="list-style-type: none"> <li>1. Appoint committee chair and vice-chair</li> <li>2. Declarations of Interest</li> <li>3. Minutes of the last meeting</li> <li>4. Matters arising</li> <li>5. Safeguarding; culture &amp; compliance</li> <li>6. Monitor the implementation and effectiveness of the Trust Pay and Reward and Appraisal policies</li> <li>7. Conduct annual review of eligibility of staff in the Teachers Pension Scheme</li> <li>8. Performance Review to include: Review of performance and pay in academies Receipt of pay decisions made in respect of corporate staff To review executive's performance, pay and ISR (where appropriate) recommendations from CEO in respect of SELs, EAPs, Senior Principals, Principals, Business Leads To receive the CEO pay recommendations from the CEO's Appraisal Trustees Any matters relating to pay, appraisal, capability and conduct Consider any settlement/retirement/severance payments</li> <li>9. Policy ratification</li> <li>10. Any issues referred to/from the Board or academies</li> <li>11. Confidentiality/Equalities Act/Nolan Principles</li> </ol>	<ol style="list-style-type: none"> <li>1. Declarations of Interest</li> <li>2. Minutes of the last meeting</li> <li>3. Matters arising</li> <li>4. Safeguarding; culture &amp; compliance</li> <li>5. Review and monitor the Trust equal pay audit and gender pay gap report</li> <li>6. Mid-Year PIP update to include: Strategies put in place if any member of staff is unlikely to be recommended for pay progression, To approve any contractual pay changes in 2019/20 and succession plans</li> <li>7. Policy ratification</li> <li>8. Any issues referred to/from the Board or academies</li> <li>9. Confidentiality/Equalities Act/Nolan Principles</li> </ol>

**Contributors to this Committee will be:**

Lead Executive - Chief Operating Officer Gary Corban

Other attendees upon request

## Remit and Responsibility of the Standards and Outcomes Committee

The powers and functions delegated by the Trust Partnership Board to the Board Standards and Outcomes Committee are as set out below:

1. To maintain an oversight of the Trusts' curriculum, quality and standards and approve, monitor and review the impact of Trust strategies for:
  - 1.1 Curriculum
  - 1.2 Assessment
  - 1.3 School improvement and the processes in place for quality assurance and peer review
  - 1.4 Teaching and Learning
  - 1.5 Continued Professional Development (CPD)
  - 1.6 Safeguarding in all aspects across the group
  
2. Hold the executives to account:
  - 2.1 For the academic standards, the quality of teaching, behaviour, attendance and exclusions across the Trust
  - 2.2 For any areas of concern in respect of standards and performance, including SEND, Disadvantaged Pupils and any other vulnerable group and to have an overview of intervention strategies and action plans in each area
  
3. To receive and review:
  - 3.1 Consolidated Key Performance Indicators (KPIs) on attainment, progress and quality of teaching across the Trust
  - 3.2 Key highlights and areas for improvement of any Full Academy Reviews reports
  - 3.3 Ofsted reports making recommendations to Academy Committees for any Post-Ofsted plans and actions with reporting back to the Committee

### Standard agenda items

Autumn Term Meeting 1 16/10/2019	Spring Term Meeting 1 05/02/2020	Summer Term Meeting 1 03/06/2020
1. Appoint committee chair and vice-chair 2. Declarations of Interest 3. Minutes of the last meeting 4. Matters arising 5. <b>Group report from SEL and dashboard to include:</b> 6. Safeguarding; culture & compliance 7. <b>Student performance inc.:</b> Exam result analysis Pupil Premium/Year 7 Catch-up/Primary Sports Premium/SEND PDBA inc. exclusions & provision in place/attendance/PA% EYFS/KS1/KS2/KS4/KS5 8. Student numbers – all years and in-year changes 9. Policy approval 10. Any issues referred to/from the Board or academies 11. Confidentiality/Equalities Act/Nolan Principles	1. Declarations of Interest 2. Minutes of the last meeting 3. Matters arising 4. <b>Group report from SEL and dashboard to include:</b> 5. Safeguarding; culture & compliance 6. <b>Student performance inc.:</b> PDBA inc. exclusions & provision in place/attendance/PA% Y13, EYFS, KS1, Y11 7. Policy approval 8. Summary of FAR reports 9. Any issues referred to/from the Board or academies 10. Confidentiality/Equalities Act/Nolan Principles	1. Declarations of Interest 2. Minutes of the last meeting 3. Matters arising 4. <b>Group report from SEL and dashboard to include:</b> 5. Safeguarding; culture & compliance 6. <b>Student performance inc.:</b> PDBA Term 2 inc. exclusions & provision in place/attendance/PA% Y11, KS4, Y13 7. Policy approval 8. Any issues referred to/from the Board or academies 9. Confidentiality/Equalities Act/ 10. Nolan Principles 11.
<b>Autumn Term meeting 2</b> <b>11/12/2019</b> 1. Declarations of Interest 2. Minutes of the last meeting 3. Matters arising 4. <b>Group report from SEL and dashboard to include:</b> 5. Safeguarding; culture & compliance 6. Student performance 7. Policy approval	<b>Spring Term Meeting 2</b> <b>01/04/2020</b> 1. Declarations of Interest 2. Minutes of the last meeting 3. Matters arising 4. <b>Group Report from SEL and dashboard to include</b> 5. Safeguarding; culture & compliance 6. Student performance: 7. Progress towards targets 8. Policy approval	<b>Summer Term Meeting 2</b> <b>15/07/2020</b> 1. Declarations of Interest 2. Minutes of the last meeting 3. Matters arising 4. <b>Group report from SEL and dashboard to include:</b> 5. Safeguarding; culture & compliance 6. Student performance 7. Policy approval

8. Any issues referred to/from the Board or academies 9. Confidentiality/Equalities Act/Nolan Principles	9. Any issues referred to/from the Board or academies 10. Confidentiality/Equalities Act/Nolan Principles	8. Any issues referred to/from the Board or academies 9. Confidentiality/Equalities Act/Nolan Principles
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**Contributors to the Committee will be:**

Lead Executive – Dave Cotton

**Other attendees upon request:**

The relevant Senior Executive Lead depending upon agenda focus

Any other Senior Leader/Principal as required by the committee

Review IDSR/ASP/FFT as appropriate

## **Remit and Responsibility of the Governance and Partnership Committee**

The role of this committee is to:

1. Review, monitor and hold to account Trust and Academy Committees to ensure that they fulfil their delegated responsibilities in line with the Scheme of Delegation and Terms of Reference
2. Establish and govern the operations of the range of partnerships operating under the Diverse Academies structure. This includes oversight for the Institute, Teaching Schools, all alternative provision centres, Hucknall Sixth Form College (HSFC), Diverse Education Centre and all committees of the Partnership Board including Academy Committees and wider external partnerships with other MATs and organisations.

### **The powers and functions delegated by the Trust Board to the Board Governance and Partnership Committee are as set out below:**

#### 1. Partnerships

- 1.1 Approve and keep under review all Service Level Agreements for each partnership, alternative provision facilities. Post 16 Centres, Teaching Schools
- 1.2 Review and ensure training and CPD offered to staff is procured and delivered according to identified needs and has been evaluated to ensure that outcomes align to the needs of the Trust
- 1.3 Hold the CEO and Senior Leadership to account for the performance of all partnerships
- 1.4 To receive local and national (where relevant) data to review the performance of each partnership at least annually
- 1.5 To assess the effectiveness of the Trust in developing wider external partnerships with other key partners such as other MATs, RSC, ESFA, Local Authority
- 1.6 Review governance arrangements in respect of all partnerships

#### 2. Governance

- 2.1 Review, monitor and hold to account, Trust and Academy Committees for the delegated functions given to them by receiving/monitoring reports from each meeting
- 2.2 Examine the results of skills audits and self-evaluation exercises undertaken by AC governors
- 2.3 Review and monitor Trustee and AC training plans that take into account statutory, whole Trust and Trustee/Governor specific training requirements
- 2.4 Oversee training plan for Trustees, identifying areas for development and training
- 2.5 Regularly review the structure, size and composition (including the skills, knowledge, experience and diversity) of the Trust Boards, Partnership Board and its Committees and make recommendations to the Trust Partnership Board with regard to any changes
- 2.6 Review annually the Trust Scheme of Delegation and Terms of Reference and make any recommendations to the Partnership Board for approval
- 2.7 Keep under review Board and Committee succession planning
- 2.8 Receive and consider candidates to fill Board vacancies and make recommendations to Trustees and Trust Members if appropriate with regard to any changes
- 2.9 Make recommendations to the Trust Partnership Board on committee membership, in consultation with the Chair of the Committees
- 2.10 Approve Trust appointments to Chairs of Academy Committees (this may be carried out by email and reported at a subsequent meeting)
- 2.11 To approve policies relating to governance
- 2.12 To consider other areas as determined from time to time

Autumn Term Meeting 1 08/10/2019	Spring Term Meeting 25/03/2020	Summer Term Meeting 24/06/2020
<ol style="list-style-type: none"> <li>1. Appoint committee chair and vice-chair</li> <li>2. Declarations of Interest</li> <li>3. Minutes of the last meeting</li> <li>4. Matters arising</li> <li>5. Safeguarding; culture &amp; compliance</li> <li>6. Data Breach/FOIA/SAR monitoring</li> <li>7. Review and approve any new and existing Service Level Agreements (SLAs)</li> <li>8. Assess the effectiveness and outcomes of existing SLAs, partnerships and external agencies</li> <li>9. Review Trustee membership/vacancies</li> <li>10. Approve appointment of Chairs of Academy Committees (ACs)</li> <li>11. Approve AC training plans</li> <li>12. Consider any Board training requirements</li> <li>13. Policy approval relating to governance</li> <li>14. Any issues and actions required referred to/from the Board or academies (AC reports)</li> <li>15. Confidentiality/Equalities Act/Nolan Principles</li> </ol>	<ol style="list-style-type: none"> <li>1. Declarations of Interest</li> <li>2. Minutes of the last meeting</li> <li>3. Matters arising</li> <li>4. Safeguarding; culture &amp; compliance</li> <li>5. Data Breach/FOIA/SAR monitoring</li> <li>6. Review overview of self-evaluations undertaken at AC and Board level</li> <li>7. Review skill set at Trust and Partnership Board level</li> <li>8. Receive feedback and monitor all Partnership arrangements</li> <li>9. Review governance arrangements in respect of all partnerships</li> <li>10. Holding ACs to account - feedback from attendance at FARs</li> <li>11. Policy approval relating to governance</li> <li>12. Review any vacancies</li> <li>13. Approve appointment of Chairs of ACs</li> <li>14. Any issues and actions required referred to/from the Board or academies (AC reports)</li> <li>15. Confidentiality/Equalities Act/Nolan Principles</li> <li>16.</li> </ol>	<ol style="list-style-type: none"> <li>1. Declarations of Interest</li> <li>2. Minutes of the last meeting</li> <li>3. Matters arising</li> <li>4. Safeguarding; culture &amp; compliance</li> <li>5. Data Breach/FOIA/SAR monitoring</li> <li>6. Review:</li> <li>7. The structure, size, composition of all committees</li> <li>8. Trust, Board and Governor succession planning</li> <li>9. The Scheme of Delegation and Terms of Reference</li> <li>10. and make recommendations to the Trust Board</li> <li>11. Review any vacancies</li> <li>12. Approve appointment of Chairs of ACs</li> <li>13. Policy approval relating to governance</li> <li>14. Any issues and actions required referred to/from the Board or academies (AC reports)</li> <li>15. Confidentiality/Equalities Act/</li> <li>16. Nolan Principles</li> <li>17.</li> </ol>

**Contributors to this committee shall be:**

Lead Executive – Cat Thornton  
 Business Leader - Governance (Alison Elway)

Other attendees upon request



## **The Remit and Responsibilities of the Academy Committees (ACs)**

The powers and functions delegated by the Trust Partnership Board to the Boards' Academy Committees are as set out below:

1. Contribute fully to strategic discussions which determine the ethos of the academy
2. Monitor targets for the academy ensuring they are both achievable and sufficiently challenging to lead to sustainable improvement
3. Ensure all students/pupils have access to a broad and balanced curriculum which is suitable to age, aptitude and ability and which prepares them for adult life
4. Monitor the education, behaviour and attitudes, personal development and leadership and management at the academy
5. Examine the allocated budget including the expenditure of the annual Pupil Premium Strategy, Special Educational Need funding and annual review, Sports Premium (Primary Academies) and Year 7 Catch-up Funding allocation and challenge any overspend.
6. Consider all relevant data and feedback provided by Academy Leaders and external sources on all aspects of academy performance including Analyse School Performance (ASP), L3VA, Full Academy Reviews, Ofsted reports, Curriculum Led Financial Planning (CLFP) and others.
7. Provide a high level of professional challenge to the Senior Leaders to raise standards, pupil outcomes and performance
8. Ensure Trust statutory policies and procedures and local academy appendices are being adhered to and the academy is operating efficiently according to those policies
9. Adhere to the Local Authority Co-ordinated Admission Scheme and approve annually an Admission Policy for the relevant year. Approve any in-year applications if the academy is over-subscribed. Advise the Trust Partnership Board if any changes to Proposed Admission Numbers (PAN), significant changes or over-subscription criteria are to be proposed.
10. Have a shared identity for the academy which is clear, understood and well communicated to staff, parents/carers and students/pupils. This will reflect the fundamental values and objectives of the Trust
11. Have a clear understanding of the strengths and strategic priorities for the academy and approve the Academy Improvement Plan (AIP) and regularly monitor its effective implementation
12. Engage with parents/carers, students/pupils, staff and the wider community, using their views to inform strategic priorities for development planning
13. Ensure all statutory requirements and responsibilities are met in relation to safeguarding, data privacy, site safety and the health, safety and well-being of staff, students/pupils and visitors. Appoint link governors to these roles and receive link governor monitoring visit reports
14. Understand the academy's performance data and have an accurate overview of:
  - (a) how well students/pupils are achieving in relation to their potential
  - (b) how this compares to national and local data
  - (c) the comparative performance of different/vulnerable groups of students/pupils
15. To support the Principal and form panels where necessary for staff recruitment and selection, grievance and disciplinary issues pursuant to the Trust policies and statutory DfE guidance

16. To support the Principal and form panels where necessary for student fixed term and exclusion processes pursuant to statutory DfE guidance
17. To support the Principal and form panels where necessary to deal with concerns and complaints pursuant to the Trust policy
18. To draw any significant matters of concern to the attention of the Trust Governance and Partnership Board.

<b>Autumn Term Meeting 1</b> <b>Exam Results update w/c 2/9/19 or 9/9/19</b> <b>Autumn Term Meeting 2</b> <b>w/c 7/10/19 or 14/10/19</b>	<b>Spring Term Meeting 1</b> <b>w/c 3/2/20 or 10/2/20</b>	<b>Summer Term Meeting 1</b> <b>w/c 11/5/20 or 18/5/20</b>
<ol style="list-style-type: none"> <li>1. Training identified from Training Plan</li> <li>2. Declarations of Interest</li> <li>3. Appoint committee chair and vice-chair for 2019/20</li> <li>4. Minutes of the last meeting</li> <li>5. Matters arising</li> </ol> <p><b>Report from Principal to include:</b></p> <ol style="list-style-type: none"> <li>6. Review of AIP for 2018/19 and draft 2019/20</li> <li>7. Safeguarding; culture &amp; compliance</li> <li>8. Risk Register inc. Health &amp; Safety, staff &amp; pupil well-being, GDPR</li> <li>9. Any academy specific items including policy appendix ratification</li> <li>10. Capital: Summary Plan 2018/19 and 2019/20</li> <li>11. Admission policy approval and consultation if required</li> <li>12. Pupil Premium Strategy and SEND annual review</li> </ol> <p><b>Dashboard review to include:</b></p> <ol style="list-style-type: none"> <li>13. Student performance all year groups inc.:</li> <li>14. Pupil Premium/Year 7 Catch-up/Primary Sports Premium/SEND</li> <li>15. PDBA inc. exclusions &amp; provision in place/attendance/PA%</li> <li>16. Finance: Cash Flow to end September 2018/19 Year End</li> <li>17. HR report</li> <li>18. Confidentiality/Equalities Act/Nolan Principles</li> <li>19. Complete report to Trustees</li> </ol>	<ol style="list-style-type: none"> <li>1. Training identified from Training Plan</li> <li>2. Declarations of Interest</li> <li>3. Minutes of the last meeting</li> <li>4. Matters arising</li> </ol> <p><b>Report from Principal to include:</b></p> <ol style="list-style-type: none"> <li>5. Mid-year review of progress made in AIP</li> <li>6. Safeguarding; culture &amp; compliance</li> <li>7. Risk Register inc. Health &amp; Safety, staff &amp; pupil well-being, GDPR</li> <li>8. Any academy specific items including statutory policy appendix ratification</li> <li>9. Capital Plan Update 2018/19</li> <li>10. Engagement with stakeholders</li> </ol> <p><b>Dashboard review to include:</b></p> <ol style="list-style-type: none"> <li>11. Student performance all year groups:</li> <li>12. PDBA inc. exclusions &amp; provision in place/attendance/PA%</li> <li>13. Finance: Cash Flow Management Accounts Census &amp; Data</li> <li>14. HR report</li> <li>15. Confidentiality/Equalities Act/Nolan Principles</li> <li>16. Complete report to Trustees</li> </ol>	<ol style="list-style-type: none"> <li>1. Training identified from Training Plan</li> <li>2. Declarations of Interest</li> <li>3. Minutes of the last meeting</li> <li>4. Matters arising</li> </ol> <p><b>Report from Principal to include:</b></p> <ol style="list-style-type: none"> <li>5. Safeguarding; culture &amp; compliance</li> <li>6. Risk Register inc. Health &amp; Safety, staff &amp; pupil well-being, GDPR</li> <li>7. Any academy specific items including policy appendix ratification</li> <li>8. Mid-Year PIP update to include: Strategies put in place if any member of staff is unlikely to be recommended for pay progression Threshold eligibility To approve any contractual pay changes in 2019/20 and succession plans</li> <li>9. OFSTED/SIAMs readiness</li> </ol> <p><b>Dashboard review to include:</b></p> <ol style="list-style-type: none"> <li>10. Student performance</li> <li>11. PDBA Term 2 inc. exclusions &amp; provision in place/attendance/PA%</li> <li>12. Finance: Cash Flow Management Accounts Funding Statements Draft Budget</li> <li>13. HR report</li> <li>14. Confidentiality/Equalities Act/Nolan Principles</li> <li>15. Complete report to Trustees</li> </ol>
<b>Autumn Term meeting 3</b> <b>w/c 2/12/19 or 9/12/19</b>	<b>Spring Term Meeting 2</b> <b>w/c 23/3/20 or 30/3/20</b>	<b>Summer Term Meeting 2</b> <b>w/c 6/7/20 or 13/7/20</b>
<ol style="list-style-type: none"> <li>1. Training identified from Training Plan</li> <li>2. Declarations of Interest</li> <li>3. Minutes of the last meeting</li> <li>4. Matters arising</li> </ol> <p><b>Report from Principal to include:</b></p> <ol style="list-style-type: none"> <li>5. Safeguarding; culture &amp; compliance inc. safeguarding audit to LA</li> <li>6. Risk Register inc. Health &amp; Safety, staff &amp; pupil well-being, GDPR</li> <li>7. Performance Review to include: Review of all staff in 2018/19 inc. recommendations for pay progression or any staff being held back UPS/TLR/SSR performance review; relevance/impact on outcomes; any changes? Review of temporary TLR/SSR points and those due to expire Principal review 2018/19 – update from PM Governors. Pay award to be agreed by CEO</li> <li>8. Any academy specific items including policy appendix ratification</li> <li>9. Approval of AIP for 2019/20</li> </ol> <p><b>Dashboard review to include:</b></p> <ol style="list-style-type: none"> <li>10. Student performance</li> <li>11. Finance: Cash Flow Management Accounts - September/October</li> <li>12. HR report</li> <li>13. Confidentiality/Equalities Act/Nolan Principles</li> <li>14. Complete report to Trustees</li> </ol>	<ol style="list-style-type: none"> <li>1. Training identified from Training Plan</li> <li>2. Self-Evaluation completion</li> <li>3. Declarations of Interest</li> <li>4. Minutes of the last meeting</li> <li>5. Matters arising</li> </ol> <p><b>Report from Principal to include</b></p> <ol style="list-style-type: none"> <li>6. Safeguarding; culture &amp; compliance</li> <li>7. Risk Register inc. Health &amp; Safety, staff &amp; pupil well-being, GDPR</li> <li>8. Confirmation of Admission policy for forwarding to Local Authority</li> <li>9. Any academy specific items including policy appendix ratification: Accessibility Policy and objectives Equality Policy and objectives Provider Access Policy</li> </ol> <p><b>Dashboard review to include:</b></p> <ol style="list-style-type: none"> <li>10. Student performance</li> <li>11. Finance: Cash Flow Management Accounts Funding Statements Draft Budget</li> <li>12. HR report</li> <li>13. Confidentiality/Equalities Act/Nolan Principles</li> <li>14. Complete report to Trustees</li> </ol>	<ol style="list-style-type: none"> <li>1. Training identified from Training Plan</li> <li>2. Declarations of Interest</li> <li>3. Minutes of the last meeting</li> <li>4. Matters arising</li> </ol> <p><b>Report from Principal to include:</b></p> <ol style="list-style-type: none"> <li>5. Safeguarding; culture &amp; compliance</li> <li>6. Risk Register inc. Health &amp; Safety, staff &amp; pupil well-being, GDPR</li> <li>7. Any changes to be made to TLR/SSR structure in 2019/20</li> <li>8. Capital update 2019/20</li> <li>9. Review of AIP 2019/2020 and receive draft AIP for 2020/2021 (if available)</li> <li>10. Any academy specific items including policy appendix ratification</li> <li>11. Appoint committee chair and vice-chair for 2020/2021</li> </ol> <p><b>Dashboard review to include:</b></p> <ol style="list-style-type: none"> <li>12. Student performance</li> <li>13. Finance: Cash Flow Management Accounts Final Budget HR report</li> <li>14. Confidentiality/Equalities Act/Nolan Principles</li> <li>15. Complete report to Trustees</li> <li>16. Complete Annual Summary Template</li> </ol>

Agenda:

Training identified from training plan  
Monitoring Academy Improvement Plan (where applicable)

Dashboard including student performance and finance reports  
Principal report

## **ACADEMY COMMITTEE ADMISSION PANEL – for use when academy is over- subscribed**

The powers and functions delegated by the Trust Partnership Board to an Academy Admission panel are as set out and detailed below:

- To review and approve/decline the admittance of in-year applications to the academy as advised by a Senior Leader at the academy
- To approve the application of over-subscription criterion in each Autumn Term for applications to the following Year 7 (secondary) and Reception (primary) cohort
- To review and adhere to the Academy Admission Policy

### **Committee formation**

- Quoracy will be 3 governors at each meeting
- Email confirmation by 3 governors may be cast for in-year applications
- Governors must meet in the Autumn Term (Secondary) and Spring Term (Primary) to approve the over-subscription ranking of new applications for the following academic year

### **Specific Responsibilities of the Role**

- To take into consideration facts given to Governors from a member of the Senior Leadership Team (SLT) regarding logistics of admitting a student to a specific year group
- Supporting the SLT member should an appeal be lodged
- Ensuring Governors on the Academy Committee are kept informed of numbers in each cohort and the accepted/declined numbers presented to the committee. This should be undertaken at least annually
- To adhere to the most recent DfE Admission Code guidance
- To ensure, via Senior Leaders that the Admissions Officer at the Local Authority is kept informed of the status of each application
- To adhere to the Local Authority Co-ordinated Admission Scheme and the dates set out for consultation (where necessary), approval of the policy by the Academy Committee (Autumn Term) and confirmation of the policy (Spring Term) and ensure it is forwarded to the LA within statutory timelines.

## Appendix 4

### Committee Reports to/from Governance and Partnership Board, its Committees and Academy Committees

Chair/clerk to complete with attendees at each meeting and return to the clerk of the G&P meeting within 2 weeks of a Board Committee or Academy Committee meeting

Name of Academy  
Title of meeting  
Date of meeting  
Date of next meeting  
Date form sent to clerk of G&P  
Sent by (name & role)

#### ACTION TAKEN BY RECIPIENT IF NECESSARY

Things to celebrate

Significant priorities identified

Significant risks identified

Decisions requiring approval

Recommendations to the board

Items included for information

Any additional support required – if so who from/when

Questions to/from the Board

Other notes

Response returned to Clerk dated

## Board Committee/Academy Summary Template

Chair/clerk to complete with attendees at the last meeting of the academic year and return to the clerk of the G&P meeting within 2 weeks of the meeting

Name of Academy/Committee	
Date of meeting	
Date sent to clerk of G&P Committee	
Name of person sending the report	
Bullet point four things that have been successful in your committee/academy since the beginning of the academic year	
Bullet point up to four challenges that the committee/academy currently faces	
Outline any support that the committee/academy accessed from the Trust in this academic year	
Outline any further support that the committee/academy would value for the next half of the academic year	
Academy/Committee Updates to report	

