



# **Governance Handbook**

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## 1. **STRATEGIC VISION AND VALUES FOR THE TRUST**

The Severn Academies Educational Trust (SAET) vision is to create standout schools with clear purpose, direction and ethos. Where quality first teaching is paramount and students enjoy and are engaged in a rich and relevant curriculum tailored to their individual needs ensuring empowerment of all students to achieve their full potential. The Severn Academies Educational Trust's vision is to create and foster a culture of high aspiration and expectation amongst all pupils regardless of their social, economic or cultural background. The Severn Academies Educational Trust leads and supports the drive for excellence, with a strong and open culture of collaboration and engagement that secures outstanding progress for all.

We have a commitment to preserving local school identity and ethos with each school led by its Principal/Headteacher, Local Governing Body (LGB) and other senior leaders, with its own way of doing things. Our academies are driven by a desire to lead rather than follow; to be beacons of local provision, which families believe in and can rely on for excellence. We share in a commitment, through a highly collaborative structure, to adopt strategies for school improvement to give all our young people an excellent education within a happy, caring and supportive environment.

The SAET vision for strategic growth is for schools across all age ranges with a variety of contexts. The Trust envisages these schools will be in a similar geographical area to enable staff and students to interact and benefit from partnerships and collaboration.

SAET's core values underpin the Trusts strategic vision to be a high performing multi academy trust known nationally for the quality of its work. Our values inform key performance indicators and the improvement plans set for all schools. Maintaining a focus on what we consider to be important drives critical conversations, informed by the views of all our stakeholders and all the information we have about our schools. Schools within SAET have a relentless drive to celebrate success, embrace innovation as well as challenging complacency and lack of aspiration.

## 2. **ESSENTIALS OF EFFECTIVE GOVERNANCE IN OUR TRUST**

The SAET Board has a clear purpose which is set out in the following core functions:

- (a) Ensuring clarity of vision, ethos and strategic direction;
- (b) Holding the LGB's to account for the educational performance of the schools in the Trust;
- (c) Overseeing the financial performance of the overall Trust and making sure its money is well spent;
- (d) Ensuring compliance with company law and with the Trust's funding agreement with the Secretary of State; and
- (e) Protecting the positive ethos of our schools and their distinctiveness e.g. Church schools through Diocesan representation on the Board, and on relevant LGBs.

The Trust adheres to the 7 core principles of public life: selflessness, integrity, objectivity, accountability, openness, honesty and leadership. Please see **Appendix 1 – Director and Governor Code of Conduct**.

All Boards within the Trust require clear, definable features which promote effective governance and are as follows:

- i. To have the right people around the table.
- ii. To ensure each Board member understands the role and responsibilities of the LGB's and the Trust Board.
- iii. To have an effective Chair.
- iv. To have professional clerking.
- v. To enjoy good relationships based on trust and mutual respect.
- vi. To ensure LGB members know their school – data, staff, parents, children and the wider community.
- vii. To ensure the LGB is committed to asking challenging questions and holding senior leaders to account.
- viii. To ensure that the LGB always acts in the best interests of children and young people.

Please see to **Appendix 2 – Role Profile of Director/Governor**.

## **2.1 Our Culture**

All SAET schools are focused on continuous improvement and this requires a culture of openness and accurate self-evaluation. The SAET Core Team (**Appendix 3 – SAET Core Team**) is an effective partner in this process, regularly supporting Principals, Headteachers and Governors with views that either challenge or confirm their assumptions. Our key performance indicators and improvement planning process also give us confidence that we will know if a school requires support or challenge.

The Trust delegates responsibilities to the Local Governing Body of the school and operates a culture of autonomy where schools are performing well. The SAET Core Team and Trust Board are not remote from the schools within the Trust and they know individual schools well. Some members of the Core Team sit on LGB's within SAET to offer support. The constitution of the LGB for good or better schools within the Trust is a decision for the individual LGB itself.

Schools within SAET are keen to share excellent practice in all areas of operation. It is inevitable therefore that there is a degree of alignment between the academies. Often these similarities arise naturally through all our schools pursuing excellence and being proud to be a part of the Trust. However, all our academies maintain a unique identity and atmosphere, whilst being part of this larger family of schools.

## **2.2 Clarity over roles and responsibilities**

Governors within SAET need clarity on their roles and responsibilities to ensure they are confident about how they operate within the group.

Clarity about roles and responsibilities is achieved through clear terms of reference for our Governing Boards. Please see **Appendix 4 – LGB Terms of Reference**. Clearly defined accountabilities are published in the SAET Scheme of Delegation. This document is regularly reviewed as the Trust evolves. Please see **Appendix 5 – SAET Scheme of Delegation**.

### **2.3 Balancing local needs with Trust needs**

All academies within SAET recognise that they have a responsibility not only for the children and staff in their own school but across the Trust. Sometimes individual schools within the Trust require more support than others. Communication is critical in managing the balance between local and Trust needs; the SAET Board will always endeavour to make the right decisions for children and young people and to be open and transparent about how these decisions are reached.

### **2.4 Ensuring capacity to grow sustainably**

It is critical to the future of our Trust that any further growth is done sustainably.

#### ***Building Governance expertise and capacity***

The Trusts Directors Board and LGB's are expected to regularly undertake skills assessment that highlight areas of strength and expertise as well as skill gaps that need to be addressed in the context of the wider needs of the Trust. Governors are expected to attend appropriate training. The Trust arranges regular training for Governors and responds to local need. Governors are also expected to regularly self-evaluate their performance.

As an independent integrity check, The Trust undergoes robust external reviews of its governance process, its policies and its equality and diversity.

#### ***Smooth and professional transition for new schools***

The Trust continues to review processes and policies to ensure these are fit for purpose and are consistently applied, where appropriate, across all academies within the Trust. SAET core policies are accessible on the SAET website. We believe that by clearly defining our expectations, we can enable a smooth transition for potential new schools. The Trusts policies and procedures are reviewed as appropriate.

The Trust liaises closely with the DfE and the Regional Schools Commissioner regarding any potential sponsorship of a new school. SAET will always undertake an efficient due diligence process for potential new schools to gain a full understanding of their needs, to ascertain whether the Trust is the best fit to support that schools improvement at that time.

#### ***Ensuring school to school support capacity***

The Trusts Teaching School Alliance allows SAET to fully exploit the intellectual capital generated by operating as a wider network of schools. The growing number of fully trained Specialist Leaders in Education combined with close working relationships with education consultants, other educational organisations and MAT's, provides a platform to support all schools. The Teaching School Alliance website is regularly updated to reflect the growing expertise within the network.

### **3. ROLES AND RESPONSIBILITIES**

#### **3.1 Members' Duties**

Members have ultimate responsibility for overseeing the objectives of the Trust. They are not involved in the day to day running of the Trust as this is the role of the CEO and the Core Team. A current list of Members and Directors is available in **Appendix 6 – SAET Board of Directors**.

They have the following powers:

- Making changes to the Articles of Association;
- Deciding on a change of school category;
- Making amendments to the Master Funding Agreement; and
- Appointing and removing Directors.

#### **3.2 Directors' Duties**

There are a number of general duties that SAET Directors are required to undertake:

- (a) To act within their powers (contained in the Articles of Association);
- (b) To promote the success of the company;
- (c) To exercise independent judgment;
- (d) To exercise reasonable care, skill and diligence;
- (e) To avoid conflicts of interest;
- (f) Not to accept benefits from third parties; and
- (g) To declare an interest in a proposed transaction or arrangement.

#### **3.3 Responsibilities and Duties of the Trust Board and LGB Governors**

The responsibilities and duties of the Trust Board and LGB Governors differ in a number of ways. This is due to the Trust Board being ultimately accountable under the terms of the Trusts funding agreement. The Trust Board delegates defined responsibilities to LGB's and each LGB is accountable to the Trust Board. Clearly defined accountabilities are essential for effective governance and these are set out in the Scheme of Delegation as mentioned in 2.2.

#### **3.4 Trust Board**

The Trust Board meets at scheduled points during the academic year. The meetings allow the SAET Board to ensure that the CEO and the SAET Core Team are carrying out their functions effectively, and to interrogate the performance of the Trust against its strategic plan. Policies and

procedures are reviewed and agreed at these meetings and actions that need to be taken are also agreed.

### **3.5 Local Governing Bodies (LGBs)**

The core function of each LGB is to provide strategic leadership for the school alongside the Headteacher/Principal and senior leaders. The role of a governor is to know their school well; support the effective management of the school and challenge and question where needed. All governors across SAET must assist in carrying out the three core functions:

1. Ensuring clarity of vision, ethos and strategic direction;
2. Holding the Principal to account for the educational performance of the school and its pupils, and the performance management of staff; and
3. Overseeing the financial performance of the school within its allocated/agreed budget and making sure that money is well spent.

Governors are expected to triangulate the information they receive from the Headteacher/Principal with information they generate from their own monitoring, monitoring undertaken by the Trust, and monitoring undertaken by bodies and individuals independent to the Trust.

A good governor will reflect on their own performance regularly and will undertake additional training to improve areas of weakness.

## **4. ENSURING LOCAL GOVERNING BODIES ARE EFFECTIVE**

We want all LGBs within the Trust to be high performing, efficient and supportive Boards. We believe the following characteristics underpin this aim:

### **4.1 Values and ethos**

Each LGB should follow the values and ethos of our Trust as set out in the introductory sections to this Handbook.

### **4.2 Assigned responsibilities**

The key duties of LGB Governors are detailed in the SAET Terms of Reference as mentioned in 2.2 - **Appendix 4 – LGB Terms of Reference**. It is the Trust's belief that an effective LGB will assign responsibilities to individual Governors, depending upon the practicality given the size and skills of each LGB. At a minimum however we believe the following areas must be assigned at every LGB: safeguarding, finance and health and safety. By assigning responsibility this enables each Governor to develop a deeper understanding in a particular area.

### **4.3 Training**

An annual self-evaluation exercise should be undertaken to assess whether a LGB has the skill sets and expertise that it requires to fulfil its' duties effectively. The current needs of the school should also dictate the overall constitution of the LGB (although certain skills and expertise will always be required).

Undertaking a skills audit will highlight the areas where the LGB have been successful, and those areas that require improvement. It will identify the training and support needs of the LGB, and provide an action plan on how to move forward, The Trust will work with all LGB's to source appropriate training from high quality providers.

#### 4.4 **Clear and timely information**

To assist the LGB in fulfilling its roles and responsibilities, the Principal must ensure the LGB receives timely and accurate information for all areas for which it has responsibility, and that the LGB has confidence in the robustness of the data and that it is presented taking into account the information needs expressed by the Board.

The Principal must also ensure that there is effective communication to and from the LGB and other key stakeholders, and that the approach, style and contribution of the Principal and their team support effective LGB meetings.

A key feature of effective governance is the ability of the Board to have the confidence to ask challenging questions. To help each Board do so, we have provided a bank of questions which should be of assistance. **Appendix 7 – Governors Question Bank**.

### 5. **KNOWING YOUR SCHOOL**

#### 5.1 **School visits**

If you are new to the LGB a good starting point is to arrange to visit the school during the working day. **Appendix 8 - Director/Governor Visit Protocol**. For more experienced governors we will still recommend you visit the school to keep up to date with developments. This is usually done with either the Principal/Headteacher or another senior leader. Prior to the visit consider what it is you need to know about the school. You may already know a lot but this will give you the chance to find out more – what are the strengths, aspirations and challenges? Having a deeper understanding of how the school operates will allow you to celebrate the successes as well as provide the correct level of challenge. To arrange a visit at any time please contact the school office.

#### 5.2 **School website**

You will be able to get lots of information from the school website. Looking at the site is a great way to get to know your school well and keep up to date. It will include information on news, events, the curriculum and also a range of policies. You need to be familiar with the statutory policies schools are required to have. A list can be found at: [www.gov.uk/government/publications/statutory-policies-for-schools](http://www.gov.uk/government/publications/statutory-policies-for-schools)

#### 5.3 **Developing your role**

School governors should be continuing to develop their knowledge and understanding as they grow in this important role. Accessing training allows governors to develop their confidence which means they are better placed to help the school move forward and be a great place for pupils to learn on progress. Please remember that there is no such thing as a stupid question.

### 6. **FURTHER INFORMATION**

#### **Declaration of pecuniary interest**

It is a requirement under the Scheme of Delegation that a school maintains a register of pecuniary interests. This is usually done at the start of an academic year, but if you are joining a LGB part way through the year you will need to complete the form at that point.

All Governors and school staff have a statutory responsibility not to take part in the decision making process relating to any contract or agreement in which they have a personal interest. Any such declaration should be minuted. The purpose of this is to demonstrate that the Governors and staff do not benefit personally from decisions made on behalf of the school.

## **6.2 What to expect at a Governor's meeting**

Your school will have a set number of meetings during the year as well as some committee meetings. It is important that all members of the LGB make every effort to attend these meetings. There must be 2/3 thirds of the Governors present at any meeting in order for the meeting to be quorate and decisions implemented. If a meeting is not quorate, recommendations can be made and approved at a later date.

The Clerk is an important resource to the LGB as they will provide advice and guidance. As well as helping to coordinate meetings alongside the CoG and Principal/Headteacher they will also ensure meetings are conducted effectively so no time is wasted. The Clerk is able seek advice from the SAET Core Team on behalf of the LGB as requested – the LGB can also seek advice from the SAET link governor. The Trust facilitates an annual appraisal of all Clerks' working with Trust schools to ensure the highest standards.

## **6.3 Useful websites**

Further information on governance can be found at:

<http://www.governors.uk.com/index.html>

<https://schoolgovernors.thekeysupport.com/>

<https://www.moderngovernor.com/>

<https://www.gov.uk/government/publications/governance-handbook>

<http://www.nga.org.uk>

## Appendix 1

### SAET Directors and Governors Code of Conduct

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#### Introduction

1.1 The Severn Academies Educational Trust (SAET) refers to the whole organisation; inclusive of its individual academies and any trading organisations.

1.2 This code is designed to guide and support directors and governors and committee members in carrying out their role and responsibilities. It applies to all members of the board of directors, local governing bodies and board committees within SAET regardless of position or length of office.

1.3 The primary duty of all directors and governors is to act in the interests of SAET as a whole. This reflects their legal and constitutional duties. Directors and governors are not delegates of any academy within the organisation or any outside body, and cannot be mandated or act in the primary interest of any academy within the organisation or outside body.

1.4 Directors and governors cannot act in their own personal interests and must declare any actual or potential conflicts of interest.

1.5 The work and reputation of SAET relies on all who are associated with it upholding and promoting the shared mission, vision and values. The board of directors and each local governing body has responsibility for ensuring that all actions carried out by its members and by staff on its behalf are measured and proportionate; hence the production of this code to guide their behaviour.

1.6 SAET 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 and governors should therefore through their conduct:

- give stakeholders' confidence in SAET and all those associated with it
- show integrity as representatives of SAET
- 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 Directors and governors must:

- carry out their role and responsibilities in accordance with the law and SAET's constitution, policies, procedures and guidance
- promote diversity and inclusion and treat others with respect
- respect the contribution and rights of others, whether directors, governors, staff, students or those whom SAET has dealings with
- positively uphold and defend SAET's values
- uphold decisions of the board of directors and local governing bodies
- Act in accordance with the needs of SAET when using or authorising the use by others of SAET's resources
- have regard to any relevant advice provided by the Chief Executive Officer (CEO), the primary and secondary Directors, and other advisers when reaching decisions
- immediately inform the company secretary in the event of criminal allegations and/or criminal proceedings being brought against them
- advise the chair of directors, CEO and/or company secretary, as soon as possible if they become aware of any conduct by another director or governor which they reasonably believe involves a failure to comply with the this Code of Conduct for directors and governors

2.2 Directors and governors must not:

- do anything which compromises or which is likely to compromise the impartiality of those who work for, or on behalf of, SAET
- 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 SAET into disrepute
- accept gifts or allow extravagance in any entertainment received or given in connection with SAET's business and always follow SAET'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 SAET'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 SAET
- allow themselves to be mandated by any academy within the organisation 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 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 and governor or their close relative could in theory receive a personal or business benefit (other than salary and expenses) as a consequence of any of SAET'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 organisation 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 and governors 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 and governors 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 SAET
- an interest in any organisation selling or being agent for any property being managed, leased or purchased by SAET
- a business relationship with any person or firm earning fees from work placed by SAET.

- a business relationship with any person or firm entering into a contract to carry out work for SAET
- an interest by virtue of membership of a club, organisation, movement or society with which SAET is linked with in some way
- any other personal or business interest, which conflicts with SAET's interest.

3.8 All actual or potential interests must be declared as soon as they arise. In addition, the company secretary will require all directors and governors to complete an annual declaration of interests on a prescribed form. The approved list of suppliers, consultants and contractors will be circulated to all directors and governors 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 Directors and governors may seek advice from the company secretary on potential conflicts or duality of interests, but it is ultimately the personal responsibility of the director, governor or committee member to decide on whether it exists or may exist and to make the declaration accordingly.

3.10 In reaching such a decision directors and governors 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 and governor's judgement on the matter.

3.11 A director or governor with a personal interest in a matter who attends a meeting of SAET 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 director or governor then they must do so as soon as it is).

3.12 The director or governor concerned shall not remain present during the discussion of that matter unless requested to do so by the remaining members of the board or local governing body. The director or governor concerned may not vote on the matter in question. No decision of the board or local governing body 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 a director or governor may remain present during the discussion and may vote on the matter under discussion where the interest arises because:
  - the director or governor is a parent/carer, so long as the matter in question affects all or a substantial group of parent/carers; or
  - the director or governor is an official or elected member of any statutory body provided they have no direct or indirect interest in the matter.
- a director or governor shall not be treated as having an interest:
  - of which the director or governor has no knowledge and of which it is unreasonable to expect him/her to have knowledge; or
  - on the establishment of a policy in respect of 'director's or governor's remuneration or expenses.

3.14 If a question arises at a meeting of the board of directors or local governing body as to the right of a director or governor 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 company secretary) in relation to any director or governor other than themselves shall be final and conclusive.

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

3.16 Normally parent directors and governors should avoid using their own direct personal 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 who should be seeking to make an objective judgement on the matter under consideration. However, there can be occasions when feedback from parent directors and governors is sought specifically when evidence of the impact of a Trust policy or procedure is being gathered.

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

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 director or governor in question should offer to resign.

#### **4. Accountability and openness**

4.1 Each academy has an improvement plan, which is consolidated into SAET's strategic plan and supports SAET'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 vision. There are a large number of policies and procedures covering SAET'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 SAET as an organisation, the group board collectively, or any individual director or governor within SAET could be legitimately criticised.

4.3 It is therefore the responsibility of directors and governors to ensure that the strategic plan and the strategies are implemented through by the CEO, primary or secondary Directors, and those policies, procedures are regularly reviewed, and their operation reported upon.

4.4 SAET 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 and local governing bodies will be disseminated to relevant staff and publicised to stakeholders and key partners within the context of SAET's openness policy.

4.5 Within this, however, confidentiality of students, staff and agencies with which SAET works will be respected. Boards must at all times treat as strictly confidential:

- information concerning people - students, directors and governors, staff, applicants, etc.
- commercially sensitive information i.e. information that if it became widely available could adversely affect SAET's negotiating position in a transaction
- financial information relating to SAET
- matters that would breach the confidence of a third party
- all other items listed in SAET's openness policy

4.6 Directors and governors should respect at all times matters, which have been determined as confidential. If any director or governor is unsure, they should err on the side of caution and consult with the CEO.

#### **5. Press and media**

5.1 In the event that any director or governor is approached by the press or media for comment on any matters relating to SAET, the matter must be referred immediately to the CEO or primary/secondary Director who will consult with the chair of directors as the spokesperson for SAET. Directors or governors are not permitted to discuss SAET's affairs with the press or media without prior approval from the CEO or chair of directors.

## **6. Political activities**

6.1 It is essential to demonstrate SAET's non-political nature and directors and governors must keep personal political activities totally separate from SAET's work. Any director or governor who is involved in political activities must ensure that the reputation and status of SAET or any of its academies is not damaged by their personal political activities.

## **7. Relationships with students**

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

7.2 Directors and governors 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 and governors are expected at all times to conduct themselves in respect of SAET's activities with the highest degree of probity. SAET expects the highest standard of honesty from directors and governors in their business dealings, and expects that this can be shown to be the case.

8.2 SAET has in place a policy on gifts and hospitality in order to give directors and governors guidelines as to the level of gifts and hospitality that may be acceptably received or given and to provide a system for such gifts or hospitality to be recorded (including those declined), so that directors and governors are not open to possible criticism or any charge of undue influence. The same standards are expected of staff.

8.3 Failure to follow the policy (including the proper registration of gifts and hospitality received, given and declined) will be regarded as a breach of this code.

## **9. Purchasing**

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

9.2 Directors and governors may not normally use, for personal or private business, any of SAET'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 company secretary.

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

## **10. Attendance**

10.1 It is part of the responsibilities of directors and governors 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 or local governing body; to attend meetings regularly, participate fully in discussions and share responsibility within the decision making process; and to attend appropriate training events or represent SAET as required.

10.2 It is acknowledged that on occasions attendance may be prevented due to ill health, caring responsibilities, or other unforeseen factors. Commitment is an essential component of being a director or governor and every effort should be made to plan diaries so that attendance can be maximised. If however any director or governor without special permission approved by the board is absent from all formal 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 or governor, subject to the approval of the board of directors.

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

## **11. Dealings with staff**

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

11.2 If any director or governor has a concern about the performance, behaviour or competence of any member of staff, it should be reported to the CEO or Principal/Headteacher in the first instance. Concerns will then be investigated in line with the appropriate policy and procedures. The CEO or Principal/Headteacher will subsequently inform the chair of directors or chair of LGB 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 CEO.

11.3 In the case of a concern regarding the CEO, 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 or governor has serious concerns and does not feel able to raise these with the chair of directors or the CEO a process is in place to enable these to be reported confidentially - the Whistle Blowing Policy is available from the company secretary.

## **12. Breaches of the code of conduct**

12.1 directors and governors should recognise that failure to follow this code of conduct may damage SAET'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 and governors will be investigated by the company secretary in consultation with the chair of directors, any other relevant chair and the CEO.

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 CEO and the company secretary.

12.4 directors and governors 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 CEO 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 director or governor about their conduct.

12.5 Any director or governor 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 company secretary 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.

12.6 The report will provide the director or governor 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 that item and reaches its decision.

12.7 The board of director's decision will be conveyed to the director or governor 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 and governors may or will be expelled from office for breaches of the code or other serious matters. Directors and governors 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
- Being removed as a charity 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 DBS certificate
- In light of any matters disclosed on the DBS certificate which in the opinion of the chair of directors or the CEO 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 and governors should view the articles of association.

### **14. Acceptance**

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

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

14.2 Directors and governors are expected to refer to and abide by these and other documents within SAET'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 and governors.

## **Appendix 2**

### **Role profile of Director and Governor**

#### **1 Introduction**

1.1 Trustees, directors and governors are responsible for the overall governance and strategic direction of The Trust; developing its mission and vision; its goals and objectives; and ensuring the continuing financial viability of The Trust and its family of academies – all in accordance with the constitution, the law and regulatory requirements. Day to day management is the responsibility of the Chief Executive Officer, the Primary and Secondary Directors and their staff.

#### **2 Overall Purpose of the Trustees, Board of Directors and the Local Governing Bodies**

2.1 The overall purpose of the trustees, board of directors, the local governing bodies is set out in the appropriate terms of reference together with details of composition, frequency of meetings, quorum requirements and a list of core functions which the board and local governing body has, some of which it cannot delegate.

#### **3 Principal Duties of all Individual Trustees, Directors and Governors**

3.1 To exercise independent judgment and to act only in the interests of the Trust and all stakeholders and not on behalf of any constituency or interest group.

3.2 To act in accordance with the constitution of The Trust and only exercise powers for the purpose for which they are conferred.

3.3 To act in a way that enhances the success of the Trust as a whole.

3.4 To exercise reasonable care, skill and diligence.

3.5 To avoid a situation where there is or may be a direct or indirect interest that conflicts, or possibly may conflict, with the interests of the academies or The Trust.

3.6 To ensure that no benefit is accepted from a third party conferred by reason of being a trustee, director, governor or of doing (or not doing) anything as a trustee, director, governor.

3.7 To declare the nature and extent of any interest to the board or local governing body if in any way, directly or indirectly, interested in a proposed transaction or arrangement with the individual academy or The Trust.

3.8 Other than reasonable expenses, no compensation will be generally paid by the Trust to trustees, directors or governors.

3.9 At all times trustees, directors and governors must be aware of and adhere to the code of conduct which applies to them.

#### **4 Main Responsibilities of all Individual Trustees, Directors and Governors**

4.1 To ensure that The Trust is managed efficiently, effectively and in line with the requirements of the law, the constitution, regulatory bodies and best practice.

4.2 To help develop and share in The Trust's mission and vision.

- 4.3 To uphold and demonstrate The Trust's values and the principles for which it stands.
- 4.4 To fully participate in the work of the board or local governing body (as appropriate) and, in particular, ensure that goals and objectives are set and that performance is monitored accordingly.
- 4.5 To participate as appropriate in the development of strategies and policies for approval by the board of directors to guide The Trust's work.
- 4.6 To comply and act within The Trust's policies and procedures and standing orders as set and amended from time to time by the board of directors.
- 4.7 To prepare for meetings and other events by reading the papers, seeking clarification where necessary.
- 4.8 To receive and consider reports prepared by staff, agents and advisers and question these to ensure that decisions are well founded.
- 4.9 To attend board and local governing body meetings regularly, participate fully in discussions and share responsibility within the decision making process.
- 4.10 To treat information labelled as confidential in confidence.
- 4.11 To pay particular attention to strategic and creative thinking when formulating strategy, policy, and standards; avoiding operational detail.
- 4.12 To debate in a proper, respectful manner, addressing only matters in hand, keeping contributions relevant and not making speeches.
- 4.13 To contribute to, share responsibility for, and uphold the decisions of the board of directors and/or local governing body irrespective of the position taken by an individual in debate or voting.
- 4.14 To ensure all decisions are made in the best interests of The Trust and federation as a whole and are not made owing a greater allegiance to any particular academy or interest.
- 4.15 To uphold the reputation of The Trust as a whole and not do anything which may bring discredit upon The Trust including the individual academies.
- 4.16 To attend appropriate training and other events and represent The Trust or the individual academy as required.
- 4.17 To participate openly and honestly in collective and individual appraisals, skills audits and succession planning.
- 4.18 To ensure commitment to equality and diversity.
- 4.19 To uphold the code of conduct for trustees, directors and governors.
- 4.20 To promptly declare any relevant interests, financial or non-financial, to the company secretary for entry in the register, or the Chair of the meeting if a situation arises where there could be a conflict.

4.21 To commit to membership of various working groups, focus groups, panels etc. in support of the overall governance of The Trust.

4.22 To be as open in communication as possible; and to work effectively and maintaining good working relationships with members of the board of directors, governing body, panels and working groups.

4.23 To use electronic communication to send and receive information which supports the governance and business of The Trust (equipment, training and support can be provided on request).

4.24 To ensure and promote a continued growth and development culture and take part in annual appraisal and self-evaluation.

## **5 Accountability**

5.1 To be highly accountable through the governance arrangements to a variety of stakeholders including parent/carers, students, local community partners, other strategic and operational partner schools, regulatory bodies including Ofsted, the Department for Education, and the Charity Commission if appropriate.

## Appendix 3

### SAET Core Team

<b>Chief Executive Officer</b> <b>Chris King</b> 	<b>Education Director</b> <b>(Secondary)</b> <b>Jon Sheers</b> 	<b>Education Director &amp;</b> <b>Head (Primary) Jacqui</b> <b>Elwis</b> 	<b>Director of Operations</b> <b>David Knott</b> 
<b>Chief Financial Officer</b> <b>Denise Rizos</b> 	<b>HR Lead &amp; PA to CEO</b> <b>Andrea James</b> 	<b>Director of Teaching</b> <b>School Sara Peace</b> 	<b>Director of</b> <b>Peformance &amp;</b> <b>Partnership Ian</b> <b>James</b> 

### Headteacher/Principal Group

Baxter College	Tim Waites
Hartlebury CE Primary School	Caroline Unitt
St Bartholomew's CE Primary School	Sue Helps
Stourport Primary Academy	Jacqui Elwis
The Stourport High School & VIth Form College	Lorna Deakin
Wilden All Saints CE Primary School	Francesca Fishwick
Wolverley Sebright VA Primary School	Shelley Reeves-Walters

## **Appendix 4**

### **LGB Terms of Reference**

#### **Context**

The Severn Academies Educational Trust (SAET) Board of Directors delegates powers to the Local Governing Body (LGB) of each of the schools within the Trust in line with the Scheme of Delegation. The LGB's role is to provide challenge and guidance to the professionals leading the school, as well as reporting to the SAET Board of Directors in relation to the functioning of the relevant school. The LGB is also required to fulfil its obligation to the SAET Board as detailed in the Scheme of Delegation.

The Terms of Reference detailed in this document apply to schools deemed good or better.

#### **Membership**

Schools within SAET that are deemed good or better by Ofsted and the Trust have the autonomy to decide the membership of their LGB's. Schools that are less than good will be subject to SAET intervention including governance review and potential restructure.

#### **Review**

The terms of reference, constitution and membership of each LGB shall be reviewed periodically and as required by the SAET Board of Directors.

#### **Chair**

The Chair shall be appointed by the LGB each September from among the members of the LGB, provided this is someone other than the Principal/Headteacher at the relevant school.

#### **Clerk**

The LGB Clerk shall be appointed by the LGB.

#### **Quorum**

The quorum for each LGB shall be one-third of those eligible to vote.

#### **Meetings**

The LGB shall meet as often as is necessary to fulfil its responsibilities and not less than once per term. Minutes of meetings and relevant papers will be recorded and forwarded to the Clerk to the SAET Board of Directors in sufficient time for inclusion on the agenda and among the supporting papers for the next meeting of the SAET Board of Directors.

#### **Agendas**

The Clerk shall circulate an agenda for each meeting, together with any supporting papers, in sufficient time for governors to read in advance of the meeting.

## **Decisions**

Decisions may be taken only by members of the LGB. Where necessary, the LGB Chair will have a second or casting vote.

## **Chair's Action**

In the event that an urgent decision has to be taken between meetings on matters falling within the remit of the LGB, the LGB Chair shall have delegated authority to make any such decisions following consultation with the SAET CEO. The decisions taken and reasons for the urgency shall be explained and ratified at the next meeting of the LGB. In exceptional circumstances a Special Meeting of the LGB may be called.

## **Outline expectations (not exhaustive) of an LGB within the Severn Academies Educational Trust. This document doesn't override in any way the Trust's Scheme of Delegation.**

### **Education & Curriculum**

- To ensure high quality educational provision for the pupils within the school.
- To consider and advise the SAET Board of Directors on standards and other matters relating to the school's curriculum, including statutory requirements and curriculum policy, in line with SAET requirements.
- To consider curricular issues which have implications for Finance and Personnel decisions and report to the SAET Board of Directors.
- To oversee arrangements for individual governors to take a leading role in specific areas of provision, to meet the requirements for governance within the Ofsted framework.
- To prepare, review and monitor the schools policies as appropriate.
- To have in place and implement a school improvement plan – being aware of the schools strengths and areas for improvement. In line with SAET requirements.
- Ensure provision for sex and relationships education. In line with the agreed Trust policy for settings and key stages.
- To oversee targets for pupil outcomes. In line with SAET requirements.
- To be responsible for the standards of teaching and accountable for the quality of each pupil's education.

### **Safeguarding**

Ensure that the wellbeing of students is maintained through:

- Effective implementation of the agreed SAET Safeguarding policy.
- Efficient student attendance and monitoring systems that enable regular access to education.
- Regular monitoring of school safeguarding records and discussions with the designated safeguarding officer.
- Ensure effective arrangements for Child Protection and Safeguarding through high quality staff CPD activities.
- Effective home/school liaison and communication.
- An effective and appropriate extended schools provision.
- Meeting the statutory requirements relating to equality legislation.
- Demonstration of a duty of care to students on fixed term and permanent exclusions.
- Ensure that admission arrangements conform to SAET guidelines and current regulations.

## **Admissions**

- To have in place a school admission policy.
- Ensure that admission arrangements conform to SAET guidelines and current regulations.
- Ensure that applications and appeals are appropriately managed.

## **Finance**

- Ensure budgets are managed in agreement with SAET Scheme of Delegation and policies.
- To ratify levels of internal authorisation as approved by SAET.
- To agree and submit a formal budget plan of the financial year ahead in consultation with the CEO and Chief Financial Officer.
- Ensure procurement guidance and legislation is implemented.
- Ensure that annual accounts and reports are produced in accordance with the Companies Act and current regulatory requirements.
- Consider and act upon the reports of Internal Audit.
- To be responsible for encouraging and overseeing opportunities for income generation.
- To be responsible for the upkeep, maintenance and development of school premises in conjunction with the SAET estate management plan.

## **Staffing**

- To consider and advise the SAET Board of Directors on the school's staffing structure, recruitment, performance management, remuneration and training, including statutory requirements as required, in consultation with the SAET CEO.
- To oversee the recruitment, selection and appointment of all staff below Senior Leadership team level.
- To oversee the recruitment, selection and appointment of the Headteacher or Deputy Headteacher in line with the SAET Scheme of Delegation.
- To oversee the process of staff reduction where necessary in consultation with the SAET CEO.
- To keep under review staff work/life balance, working conditions and well-being, including procedures for absence monitoring.
- To review the salary and pay levels of all staff on the basis of advice from SAET in conjunction with the SAET CEO and be responsible for the performance reviews of Headteacher's within the Trust. Decisions regarding annual pay awards that are linked to national pay and conditions are made by the Trust Board.

## **Monitoring and Evaluation**

- Undertake the duties detailed in the SAET Code of Conduct and Role Profile for Trustees, Directors and Governors.
- Support the school's Headteacher and Senior Leadership Team in maintaining and improving standards and performance, thus improving outcomes for learners.
- Act as a critical friend to the Headteacher and Senior Leadership Team in addressing any areas of challenge or weakness.
- Ensure effective processes are in place for monitoring teaching and learning, delivery of the curriculum, inclusion, and the sharing of good practice across the school.
- Monitor pupil behaviour and consider appeals against any decision to exclude pupils from attendance.

## **Health and Safety**

- Ensure compliance with Health and Safety legislation and regulations in line with the Trust policy.
- Review Health and Safety policies and monitor the effective supervision of health and safety matters.
- Monitor risk assessments.
- Monitor, evaluate and review the school's risk registers.
- Ensure that Health and Safety training needs are met wherever practicable.

## Appendix 5

### SAET Scheme of Delegation

Function	No	Tasks	Delegated Responsibility level		Notes
			SAET Governance CEO Implements	LGB Governance HT Implements	
<b>SERVICES</b>	1.1	To determine the scope of Service Level Agreement to be delivered by SAET(including management fee)	X		SAET reserves the right to remove any or all delegated responsibilities should an academy be deemed less than 'Good' by Ofsted and/or SAET
	1.2	To identify additional services to be procured on behalf of an individual school		X	Services outside of any SAET offer. SAET will broker central services for economies of scale
	1.3	To approve Trust wide procurement policies	X		In line with Academies Financial Handbook and any Financial Scheme of Delegation/Handbook issued by SAET
	1.4	To ensure centrally & locally procured services provide value for money	X		'Central' and 'local' defined by SAET
<b>LEADERSHIP</b>	2.1	To ensure that an approved appraisal policy is in place		X	In line with the SAET model policy
	2.2	To secure the statutory appraisal of Headteacher		X	Panel to include Chair of LGB SAET to provide professional support to governor panel (CEO or designated person)
	2.3	To secure the statutory appraisal of other staff		X	
	2.4	To review key policies stated by SAET annually or otherwise		X	SAET will publish key policies list

# FINANCIAL

Function	No	Tasks	Delegated Responsibility level		Notes
			SAET Governance CEO Implements	LGB Governance HT Implements	
	3.1	To develop and propose the individual school budget		X	In accordance with SAET reporting requirements
	3.2	To approve the first formal budget plan each financial year	X		
	3.3	To approve the annual SAET business plan each financial year	X		
	3.4	To plan / manage / monitor monthly expenditure and financial reports, and identify actual or potential items of budget overspend/underspend		X	In accordance with SAET reporting requirements
	3.5	To approve any amount to be transferred between budget headings and/or likely budget overspends		X	In line with Academies Financial Handbook and any Financial Scheme of Delegation/Handbook issued by SAET
	3.6	To approve Trust wide financial policies and procedures	X		In line with Academies Financial Handbook and any Financial Scheme of Delegation/Handbook issued by SAET
	3.7	To establish and approve a procedure to deal with any conflicts of interest and connected party transactions	X		In line with Academies Financial Handbook and any Financial Scheme of Delegation/Handbook issued by SAET
	3.8	To establish financial decision levels and limits	X		In line with Academies Financial Handbook and any Financial Scheme of Delegation/Handbook issued by SAET
	3.9	To establish a charging and remissions policy for the school		X	In line with Academies Financial Handbook and any Financial Scheme of Delegation/Handbook issued by SAET
	3.10	To appoint the Responsible Officer for each academy within	X		In accordance with SEAT due diligence

	the Trust			
3.11	To enter into additional contracts which exceed the agreed annual budget allocation	X		In line with Academies Financial Handbook and any Financial Scheme of Delegation/Handbook issued by SAET
3.12	To make payments within agreed financial limits		X	In line with Academies Financial Handbook and any Financial Scheme of Delegation/Handbook issued by SAET
3.13	To collect income due to the school		X	Assistance supplied via SLA
3.14	To maintain proper financial records for the school		X	
3.15	To develop & manage a corporate risk register	X		
3.16	To approve SAET investment policy	X		In line with Academies Financial Handbook and any Financial Scheme of Delegation/Handbook issued by SAET
3.17	To authorise acquisition of assets	X		Any alterations to land or buildings must be agreed by SAET (agreed levels set)
3.18	To authorise disposal of assets	X		Any alterations to land or buildings must be agreed by SAET. Any financial gains to be maintained by the local school (agreed levels set)
3.19	To approve changing use of assets	X		Any alterations to land or buildings must be agreed by the SAET following recommendation from LGB
3.20	To appoint auditors	X		Formal appointment by the Trust each year required.
3.21	To prepare accounts for the school		X	
3.22	To approve annual accounts	X		
3.23	To monitor compliance with approved Financial Procedures		X	

	3.24	To decide how to apply pupil premium monies		X	
	3.25	To monitor use of pupil premium monies		X	In line with Academies Financial Handbook and any Financial Scheme of Delegation/Handbook issued by SAET

Function	No	Tasks	Delegated Responsibility level		Notes
			SAET Governance CEO Implements	LGB Governance HT Implements	
<b>STAFFING &amp; HR</b>	4.1	Pre-recruitment checks		X	
	4.2	To appoint SAET CEO	X		To provide three (non-paid) members of the SAET board to performance manage the CEO
	4.3	To appoint a Head Teacher		X	Selection panel to include Chair of LGB and CEO / SAET representative and Church/Foundation representative as appropriate
	4.4	To appoint a Deputy Head Teacher (through a selection panel)		X	Selection panel to include Chair of LGB HT and CEO / SAET representative and Church/Foundation representative as appropriate
	4.5	To appoint teachers		X	
	4.6	To appoint non-teaching staff		X	
	4.7	To agree a pay policy	X		
	4.8	To agree pay discretions		X	In accordance with SAET model policies
	4.9	Establishing disciplinary/capability procedures		X	In accordance with SAET model policies
	4.10	Dismissal of SAET CEO	X		In accordance with SAET policy
	4.11	Dismissal of Head Teacher/Deputy Head Teacher		X	In accordance with SAET disciplinary and capability policies SAET supported (CEO/other)
					In accordance with SAET

	4.12	Dismissal of other staff		X	disciplinary and capability policies
	4.13	Suspension of Head Teacher		X	In accordance with SAET disciplinary and capability policies SAET supported (CEO/other)
	4.14	Suspension of other staff		X	In accordance with SAET disciplinary and capability policies
	4.15	Ending of suspension of Head Teacher		X	In accordance with SAET disciplinary and capability policies SAET supported (CEO/other)
	4.16	Ending of Suspension of other Staff		X	
	4.17	Determining Staff complement within agreed budget		X	
	4.18	Determining dismissal payments/early retirement	X		Budget implications for local school to be considered
	4.19	Formulation & approval of Employment Policies and Staff Handbook	X		In line with statutory regulations & SAET values
	4.20	Management of staff disputes	X		SAET CEO to be informed to support
	4.21	Management of staff grievances		X	SAET CEO to be informed to support if required

Function	No	Tasks	Delegated Responsibility level		Notes
			SAET Governance CEO Implements	LGB Governance HT Implements	
<b>EDUCATION &amp; CURRICULUM</b>	5.1	To ensure development of a curriculum policy		X	SAET reserves the right to remove any or all delegated responsibilities should an academy be deemed less than 'Good' by Ofsted and/or SAET
	5.2	To implement curriculum policy		X	
	5.3	Responsible for standards of teaching		X	
	5.4	Accountability for standards of teaching		X	

5.5	Responsibility for individual child's education			X	
5.6	Accountability for individual child's education			X	
5.7	Ensure provision of sex and relationships education including ensuring establishment of written policy			X	In line with agreed Trust policy for settings and key stages
5.8	To prohibit political indoctrination and ensuring the balanced treatment of political issues			X	In accordance with the Trust PREVENT policy
5.9	Collate data for pupil assessment and other returns			X	
5.10	To have in place and implement school improvement plans			X	In line with SAET requirements
5.11	To propose targets for pupil outcomes			X	
5.12	To agree targets for student outcomes	X			In line with SAET requirements
5.13	To establish a behaviour policy			X	
5.14	To monitor behaviour policy			X	
5.15	To establish an attendance policy	X			Trust wide policy to be implemented
5.16	To monitor the attendance policy			X	
5.17	To review the use of exclusion and to decide whether or not to uphold all permanent exclusions and fixed term exclusions			X	
5.18	To direct reinstatement of excluded pupils			X	
5.19		X			

		To monitor and support the fair access of hard to place students in line with admissions regulations			
	5.20	Approve school development/improvement plan	X		
	5.21	Establish KPI's for schools	X		
	5.22	Ensure timely data / requests for returns from schools		X	
	5.23	Review of termly returns	X		In line with the SAET school improvement offer

Function	No	Tasks	Delegated Responsibility level		Notes
			SAET Governance CEO Implements	LGB Governance HT Implements	
<b>ADMISSIONS</b>	6.1	Setting and amending the admissions policy		X	In line with SAET guidelines and statutory admissions code
	6.2	Admissions: application decisions		X	
	6.3	Admissions – appeal panel responsibilities		X	Via SAET appeals panel SLA
	6.4	If appropriate to appeal against LA directions to admit pupil(s)		X	LGB in dialogue with Headteacher – inform SAET CEO
<b>RE</b>	7.1	Responsibility for ensuring provision of RE		X	
<b>COLLECTIVE WORSHIP</b>	8.1	To ensure that all pupils take part in a daily act of reflection or Christian worship		X	
<b>PREMISES</b>	9.1	Ensure adequate buildings insurance and public liability for the school		X	Ensure SAET criteria are met
	9.2	Developing Trust buildings and facilities estate long term strategy or master plan	X		In consultation with HT/LGB
	9.3	Maintaining buildings, including developing properly funded maintenance plan		X	Provide SAET board with a 6 monthly report on premises
	9.4	To institute a Trust health and safety policy	X		
	9.5	To ensure that health and safety regulations are followed in line with SAET policy		X	
	9.6	To ensure adequate premises security		X	Ensure SAET criteria are met

	9.7	Premises management		X	
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Function	No	Tasks	Delegated Responsibility level		Notes
			SAET Governance CEO Implements	LGB Governance HT Implements	
OPERATIONAL	10.1	To set the times of school sessions and decide closures		X	To inform CEO (A trust decision may be taken within a locality)
	10.2	To approve school term dates and training days	X		In consultation with LGB/HT
	10.3	To prepare and publish a school prospectus		X	To ensure representation of SAET
	10.4	Adoption and revision of home school agreement		X	In line with Trust agreement
	10.5	To ensure locally procured services provide value for money		X	Consistent with the procurement policy of the Trust
	10.6	To establish processes for appointment of directors and governors	X		Ensure skill set of any Board is suitable to run the school or Trust in line with Church and Foundation representation
	10.7	To appoint the chair of the LGB		X	LGB decision dependent on SAET intervention level
	10.8	To remove the chair of the LGB		X	SAET can act to remove the LGB chair if it is preventing a schools continued improvement
	10.9	To appoint a vice chair to the LGB		X	Subject to the agreement of the Trust
	10.10	To dismiss the vice chair of LGB		X	Subject to the agreement of the Trust
	10.11	To appoint the clerk to the LGB		X	
	10.12	To dismiss the clerk to the LGB		X	
	10.13	To complete and hold a register of business	X		Via Chief Finance Officer of Trust

		interests for Directors			
	10.14	To agree LGB structure and meeting schedule	x		To ensure sensible timings of meetings
	10.15	To complete and hold a register of business interests for LGB		X	Via clerk to LGB
	10.16	To determine the development needs of governors and put in place an appropriate programme	X		In line with Trust competences and development priorities
	10.17	To ensure delivery of services offered	X		
	10.18	To develop a safeguarding policy in line with statutory requirements and best practice.	X		SAET model policy
	10.19	To implement the agreed safeguarding policy.		X	
	10.20	Maintain accurate and effective and secure pupil records.		X	
	10.21	Maintain accurate and effective and secure employee records.		X	
	10.22	Comply with all Data Protection legislation and good practice.		X	In line with Trust policy.
	10.23	To determine, on an annual basis, those policies which will be developed by the school and mandatory for all SAET Academies	X		In line with Trust list and supported by SAET model policies
	10.24	To review policies in accordance with an appropriate policy review schedule and ensure they meet statutory requirements for the school		X	

	10.25	Handling school complaints (in line with SAET policy)		X	
	10.26	Maintain individual academy website compliant with statutory publication requirements		X	
	10.27	Maintain SAET website	X		

## Appendix 6

### SAET Board of Directors

<p><b>Robert Keal</b></p> 	<p>Robert brings key expertise and business experience to the Members board. Robert has a Ph. D in Material Science – he has enjoyed a successful career in the Automotive Industry where he has gained significant experience in change management, budgetary control, conflict resolution and the management and leadership of large organisations. Robert has been both Vice and Chair of the governing body at Stourport High the school supporting its journey to outstanding status as well as being involved in significant change, including conversion to an academy in 2011. Robert has also had the experience of being Chair of Governors at a primary school for more than 20 years.</p>
<p><b>Chris King Chief Executive Officer:</b></p> 	<p>Chris has over ten years' experience in senior leadership roles in the West Midlands including the holding of a Headteacher / Principal role since 2008. Over this time Chris has also conducted inspections as a team and lead inspector for Ofsted in a variety of settings. Chris is a National Leader of Education and a designated pupil premium reviewer and has extensive experience of school to school support, the use of data and performance management to secure improvement.</p> <p>In September 2015 Chris was appointed Principal at The Stourport High School &amp; VI<sup>th</sup> Form College which is a National Teaching, Support School and SCITT provider. He is passionate about quality teacher training and put together a successful Teaching and National Support School bid for his previous school. He now leads a thriving SCITT and Teaching School Alliance at Stourport High School, working collaboratively with partners across the Midlands. From 2017 Chris took up the full time post of CEO of the trust after a period as Executive Principal. He has chaired or participated in numerous regional and local associations and led training on a regional and national level, including being Vice and then Chair of Worcestershire's Secondary Heads Association from 2011 to 2015.</p> <p>Chris led his previous school Woodrush High School from 'good' to three 'outstanding' inspections, the last of which was in 2013/14. He took his school through academy conversion in 2011, an undertaking that required significant redesign and development of the school's financial and support systems. He is adept at overseeing stringent financial management in challenging economic times. He has experience of extensive refurbishment and infrastructure planning programmes to provide the best possible learning environments for all students.</p>
<p><b>Jon Sheers Education Director (Secondary)</b></p> 	<p>Jon has worked within senior school leadership for 14 years and during this time has built a wealth of experience in a variety of settings. Jon has a background in inclusion, SEN provision, curriculum design and leadership development. Between 2013 and 2016 he provided consultancy support for the establishment of the ContinU Plus Academy, an alternative provider free school for exclusion spectrum students. The school was inspected by Ofsted in 2015 and deemed good on first inspection. Jon continues to provide school to school (S2S) support to schools in challenging circumstances via the Stourport Teaching School Alliance as well as other multi academy trusts.</p>

<p><b>Jacqui Elwis</b>  <b>Educational Director &amp; Head (Primary)</b></p> 	<p>Jacqui is an experienced system leader. Having experienced teaching and leading (Headteacher) in both middle and primary school settings, Jacqui brings a wealth of cross phase knowledge as well as experience of challenging schools. Jacqui created a new primary school in 2007 after Wyre Forest reorganisation. She has taken the school from below floor standard to above national expectations. Jacqui recently led the National College, Assessment Without Levels research project - the findings of which have now been used across the country. Jacqui is focused on distributed leadership and she has a team of skilled SLE's on her staff.</p>
<p><b>Robert Chadwick</b></p> 	<p>Robert has been the Director of the ContinU Trust for 10 years. He has a wealth of education experience including FE. Robert brings key expertise in the fields of partnership working and multi-agency approaches. Robert has experience of creating and opening a free school, and has worked with DfE and EFA on several different projects. We view his appointment as a Member to be hugely beneficial to SAET.</p>
<p><b>Lisa Kemp</b></p> 	<p>Lisa has been working in law since 2006 and qualified as a Solicitor in 2010. Lisa's area of expertise is Employment Law, where her work ranges from employment contracts, offering advice to employers as well as employees, to complex whistleblowing or discrimination cases. Lisa has been a high school governor for 2 years and she has most recently been involved in the recruitment of a new Principal.</p>
<p><b>Julie Holmes</b></p> 	<p>Julie is a retired Police Officer with a background in Child Protection. Julie has worked closely with the Headteacher to enable Stourport Primary School to develop the capacity to offer S2S support and an outward facing ethos. Julie's appointment as a Director has contributed to our links with the local community. Julie has committed many years to support the improvement of primary education in Stourport. Julie is an experienced Chair of Governors and led an interim Governing Body (during Worcestershire's educational reorganisation in 2007), so she has overseen a lot of change in an educational setting.</p>
<p><b>Dickie Jeavons-Fellows</b></p> 	<p>Information pending</p>

<p><b>Jill Purcell</b></p> 	<p>Jill is Head of Business Development for Services 4 Schools. Jill provides a strong link between SAET and Services 4 Schools and brings a wealth of education experience to the role of Director. Her expertise in supplying support services to schools is invaluable as SAET looks to grow its capacity and work with schools in challenging circumstances.</p>
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<p><b>Church Representative</b></p>	<p>Wendy Taylor has been appointed by the Diocese – further information pending. St Bartholomew’s CE Primary School joined the Trust 1<sup>st</sup> March 2017, Hartlebury CE Primary School joined on 1<sup>st</sup> April 2017 and Wilden CE Primary School on 1<sup>st</sup> August 2017.</p>
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<p><b>Denise Rizos Chief Financial Officer (Advisor to Members and Directors)</b></p> 	<p>Denise qualified as an accountant in 1995 and has worked in a range of accounting and strategic planning roles within manufacturing, logistics, transport and farming industry sectors. She joined Stourport High School in 2009 and implemented financial systems and procedures when the school became an academy in 2011. For the previous 5 years she has also provided financial management support to the ContinU Plus Academy during the formation and growth of the free school and has also provided finance systems support and training to other schools.</p>
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## Appendix 7

### Governors Question Bank

#### Curriculum

- Are we meeting statutory requirements?
- Are we providing a relevant curriculum?
- Is our curriculum accessible by all pupils?
- Are we well informed about all subjects and do we receive regular information from Heads of Departments / Co-ordinators?
- Are we well informed about all phases and do we receive regular information from Phase Leaders or Co-ordinators?
- Are we providing enrichment and varied extra-curricular activities?
- How well is preparation, planning and assessment (PPA) time covered and used?
- Do we provide adequate study support?
- How is ICT used to maximise educational opportunity?
- Are standards of achievement rising – if not, why not (contextual information)?

#### Subject or area link including standards

- Is there a school policy on this subject and how is it being implemented?
- How is the teaching of the subject organised in the school?
- How much time each week is devoted to the subject?
- What learning experiences are provided – are they varied?
- Are there schemes of work based on the requirements of the national curriculum and exam specifications?
- How do staff plan – individually/group?
- What use is made of IT to support teaching in this area?
- What resources are allocated, for example, accommodation, staff, and equipment?
- How can resources be improved?
- How is the quality of student work monitored?
- What is the system for ensuring continuity and progression?
- What are the broad trends in the school's achievement in this subject:
  - compared with similar schools
  - compared with national rates of increase
  - compared with national gender picture
- Are there significant differences between:
  - boys and girls
  - pupils with Special Educational Needs (SEN)
  - very able pupils
  - pupils with English as an additional language
  - other vulnerable groups (eg. Travelling families, children in public care)?
- Are there differences in year groups?
- How do results compare with other subjects?
- What have we improved? Do we know why?
- What have we improved? Do we know why?
- What do we need to improve on and what action is being taken to do this?
- How are we monitoring whether these actions are working?
- How are pupils, of all abilities, able to participate fully in the subject?
- Are equal opportunities provided for all children?
- Are appropriate links made between this curriculum area and others?
- What training do staff receive?

- Communication (how are parents kept informed)?
- How are parents encouraged to support children's learning at home?
- How are Governors kept informed?
- Do Governors celebrate the school's successes?

## **Safeguarding**

Does the school have?

- Systems for preventing unsuitable people working with children and young or people: An up to date single record of checks, including preparation for the new Independent Safeguarding Authority (ISA) requirements for Vetting and Barring, and appropriate vetting/screening of all adults who enter the school.
- Safer recruitment and selection procedures that are robustly followed when recruiting staff and/or volunteers.
- A clear outline of the leadership responsibilities for Safeguarding with well understood roles for governors, school leaders and the DSL.
- Robust systems for recording child protection issues, storing information securely and transferring records appropriately as needed.
- Systems to ensure the school contributes well to partnership working with other agencies involved in providing services for young people and children.
- An aware culture and an 'it could happen here' attitude.
- Systems designed to promote safe practice and challenge poor or unsafe practice. A staff code of conduct that includes clear instructions and expectations.
- Systems to ensure that pupil voice is heard and appropriately responded to, so that pupils know they can report any concerns and they will be taken seriously.
- A curriculum map that shows when and how children are taught to be safe.
- A safe environment for pupils to learn in (real and virtual).
- An external, expert and timely review of safeguarding.

## Appendix 8

### SAET Director & Governor Visits Protocol

To be effective Directors need to have a good understanding of the strengths and weaknesses of the trust. Directors acquire this knowledge in many different ways:

- Reports from the CEO, Headteachers and senior staff from schools.
- Internal /external reports.
- Test and examination results.
- Behaviour and attendance data.
- Progress data

The following acts to ensure a consistent standard / expectation when visiting schools for both Directors and school leaders.

First-hand knowledge can only be gained by Directors visiting schools. Regular planned visits give Directors an insight and understanding about the schools in the trust and help to strengthen the body's strategic role.

The following advice and information on Directors school visits is based on good practice. This paper is concerned with formal visits in which Directors act as representatives of the trust body which has a corporate responsibility for the overall conduct of schools.

#### **Purpose of visits**

- to develop Directors understanding of the trust / school's strengths and weaknesses;
- to support the trust / school's work;
- to contribute to the Directors monitoring role;
- to enable individual Directors to ask informed and challenging questions;
- to help Directors understand the teaching and learning process;
- to see policies in action;
- to demonstrate to staff and students that Directors are interested in what goes on in school;
- to give Directors an enhanced sense of identity with the trust / schools and the people who work in it.

**Formal** visits will have a clear focus, linked to priorities in the Trust Improvement Plan. Directors have limited time, therefore, time spent on visits should 'add value' both to the trust / school and to the effectiveness of the whole Directors Board.

Directors visit the school as lay people, not as inspectors, even where they have personal

professional expertise in the particular subject area. A visit will only ever provide a snapshot of what goes on. It may not always give a full and balanced picture of the real state of affairs. That is why it is always important that the information and impressions gained by individual Directors during a visit are checked and, if necessary, revised in consultation with the CEO.

Directors should use their visits as occasions on which to collect information to report back to the board on the progress of key priorities or initiatives in the trust / school development plan.

Visits will be arranged at mutually agreeable times. The clerk to the governor's will liaise with the CEO (PA) to fix times and dates of visits to ensure the availability of staff.

### **Written reports**

Directors visit reports should be quite simple, giving a layperson's account of what was seen and learnt by the Director conducting the visit and whether there are questions for the board to consider.

Draft reports by Directors should be read first by the CEO and then **shared and minuted** at a board meeting.

Remember that ultimately all written reports, like all other documents for the board, can be available for public scrutiny. They should not name individuals but they will identify post holders by title. Reports should not make judgements but they may raise important strategic issues, which the board needs to consider.

## Director/Governor formal visit record

<b>Name of Director / Governor</b>	
<b>Date and Time of visit</b>	
<b>Link with the School Improvement Plan (SIP)</b> How does the visit relate to a priority in the School Improvement Plan?	
<b>Director /Governor observations and comments</b>  E.g. How long did the visit last? What did you observe? What did you discuss? What did you learn? What would you like clarified?	

<b>Follow up action</b>  Record any action agreed with regard to this visit.
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Copy this to the CEO office, then to be give to the LGB Clerk /SAET Board Clerk and visit to be shared / minuted at next appropriate SAET Board or LGB meeting.

### Director/Governor formal visit record

<b>Name of Director / Governor</b>	
<b>Date and Time of visit</b>	
<b>Link with the School Improvement Plan (SIP)</b> How does the visit relate to a priority in the School Improvement Plan?	

**Director /Governor observations and comments**

E.g. How long did the visit last? What did you observe? What did you discuss? What did you learn? What would you like clarified?

**Follow up action**

Record any action agreed with regard to this visit.

Copy this to the academy Principal's Office / SAET CEO. Then to be given to the LGB Clerk /SAET Board Clerk and visit shared / minuted at next appropriate SAET Board or LGB FGB meeting.