



# GOVERNANCE HANDBOOK

INCLUDING

SCHEME OF DELEGATION

## **Vision, Aims and Objectives**

### **Our Vision**

Tees Valley Collaborative Trust believes that increased collaboration across the educational phases will benefit all learners throughout their educational journey. The Trust exists to promote and facilitate collaboration between schools and the college to our mutual benefit.

The partners in our Trust accept shared accountability for all our learners and focus on ensuring positive outcomes and progression, particularly at transition points across the key stages.

Aspiring to become an all-through provision, our innovative approach seeks to promote ambition, aspiration and provide security and the keys to success for our young people for their future and the benefit of the region.

### **Aim**

Our Trust will engender a love of learning through an exceptional quality of educational provision in which every learner is inspired and supported to fulfil their potential, enhancing their personal development and benefitting their community.

We will recruit and retain teachers and support staff and managers of the highest calibre by investing in their professional development through training and progression opportunities. Our schools and colleges will offer a friendly, caring environment with high expectations, aspirations and supporting the highest levels of achievement.

Our Trust will work through partnership with employers, community groups and other agencies to make the Tees Valley a great place to live, learn and work.

### **Objectives**

- Improve the life chances for young people in our region
- Maximise the outcomes and opportunities for all learners
- Remove barriers to achievement and promote the highest aspirations for all
- Enhance progress at transition points through cross-phase working
- Support all staff to develop their skills to become an efficient, high-performing team
- Share good practice to further improve teaching and learning
- Ensure positive destinations through enhanced accountability for each learner
- Promote and enable lifelong learning and citizenship which benefits the individual and the community
- Build partnerships within and beyond our Trust to promote economic prosperity and social well-being across our region

### **We are committed to:**

- Genuine partnerships for long term mutual benefit
- Improved educational standards through cross-phase working
- Strong system leadership and governance to support others and innovate
- Investment in the development of staff, creating capacity to support others
- A broad and balanced curriculum required of a 21<sup>st</sup> century skilled workforce
- An inclusive provision that meets the needs of all
- Secure financial health and stability
- Investment in learning resources providing best value for money

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## **1. INTRODUCTION AND PURPOSE**

- 1.1 The aims and purpose of this document is to set out clearly the principles and formal arrangements for governance across the Tees Valley Collaborative Trust. It was created by and is maintained by the Trustees of the Tees Valley Collaborative Trust, with the content reviewed at least annually and whenever the introduction of new legislation or guidance from the Secretary of State for Education or another legal authority requires it. Any trustee(s) or employee(s) may be delegated responsibility to lead on the review and propose amendment to this document, but amendments shall be decided on only by resolution of the Trustees.
- 1.2 The quality and effectiveness of our governance is pivotal to ensuring all resources are used most effectively in delivering exceptional learning opportunities for all learners attending our academies. We believe the model outlined in this document allows the different elements of governance to work together for the benefit of the whole Trust, with sufficiently flexible to adapt for future growth.
- 1.3 The law places accountability for the educational outcomes and financial diligence of the Trust firmly with trustees and the CEO as Accounting Officer. However, governance arrangements are based on the fundamental principle that the most effective governance is best delivered as close as possible to the point of impact of decisions. For this reason the governance structure described in this document delegates significant accountability to our local governing bodies.

## **2. COMPANY STATUS**

- 2.1
- |                    |   |
|--------------------|---|
| Company name       | Tees Valley Collaborative Trust “the Company”   |
| Company number     | 10743632  |
| Registered office  | Prior Pursglove and Stockton Sixth Form College, Church Walk, Guisborough, United Kingdom, TS14 6BU |
| Company status     | Company Limited by Guarantee  |
| Incorporation Date | 27 April 2017   |
- 2.2 Tees Valley Collaborative Trust:
- is a company limited by guarantee registered with Companies House;
  - is an exempt charity;
  - has contracted with the Secretary of State for Education to run one or more academies
  - is subject to company audit laws;
  - is accountable to the Secretary of State for Education, students, parents and other stakeholders;
  - retains the legal responsibility for running the academies; and
  - owns all assets and liabilities, rights and obligations of the academies.
- 2.3 The constitution of the Company is set out in the Articles of Association, which are recorded at Companies House. This Governance Handbook and all other rules, regulations, authorities and powers determined by Trustees are subject to the Articles of Association, Company Law, Charity Law and the Academies Financial Handbook published annually by the Education Funding Agency.

- 2.4 The Academy Trust is classified as an 'exempt charity'. This means the Company is legally a charity but does not have to (and cannot) register with the Charity Commission (the regulator of Charities in England and Wales).
- 2.5 Academy colleges/ schools are not established as legal entities in their own right and have no legal personality. This means that all the assets and liabilities of each Academy run by the Company are owned by the Company and all contracts (whether in relation to employees or otherwise) for each academy and will be held and entered into (respectively) by the Company.

### **3. GOVERNANCE PRINCIPLES**

- 3.1 We recognise the importance of developing relationships with common purpose and governance is about developing processes and structures to deliver that common purpose. The shared vision and values of Tees Valley Collaborative Trust and all of our academies underpin the governance arrangements of the Academy Trust, whilst promoting the independence and distinguishing characteristics of each of the academies.
- 3.2 In developing our governance arrangements, we have sought to ensure that the responsibility to govern is vested in those closest to the impact of decision-making and that such responsibility matches the capacity of those assuming responsibility. Our aim is to ensure there is no duplication of governance so have established a clear differentiation of the nature of the scrutiny and challenge provided by each element of governance.
- 3.3. Financial governance must be compliant with the principles and regulations set out in the Academies Financial Handbook. We aim to go beyond this to provide excellence in its governance.
- 3.4 The Board of Trustees has overall responsibility and ultimate decision-making authority for all the work of the Academy Trust, including its academies. Governance is strengthened by a common understanding about who is responsible for providing valuable input to decision making and who has the decision-making responsibility. To deliver this common understanding and ensure clarity as to who the decision makers are for different levels of decisions a number of documents have been produced, not least a clear Scheme of Delegation. These documents should also bring about effective and efficient decision making.
- 3.5 We recognise the value of collaboration and commit to supporting our academies for the benefit of the communities served by those academies. Trustees expect academies to work together in the spirit of the Trust's objects.
- 3.6 We aim to provide a voice on national issues affecting the Academy Trust and our academies, helping to communicate the Academy Trust's needs and concerns to those responsible for the funding and regulation of publicly funded colleges and schools.

### **4. INTERVENTION**

- 4.1 The effective operation of the various elements of governance outlined in this document are crucial to the success of the Academy Trust. Whilst we will provide a level of autonomy proportionate to the success of the academy, the Board of Trustees remains ultimately responsible for the performance and conduct of the Academy Trust and that of its academies. There will be circumstances (more the

exception than the norm) where the Board of Trustees may need to intervene and, for example, withdraw delegated authority around a particular element of governance.

- 4.2 In such circumstances, the Board of Trustees, along with the CEO/Executive Leadership Group, would work closely with any academies concerned and those involved in their governance who would be expected to promptly implement any advice or recommendations made by the Board of Trustees and the Executive Leadership Group.
- 4.3 Trustees reserve the right to review or remove any power or responsibility which it has delegated, in particular, in circumstances where serious concerns in the running of an academy is identified, including where:
- there are concerns about financial matters;
  - insufficient progress is being made against educational benchmarks (including where intervention by the Secretary of State is being considered or carried out);
  - there has been a breakdown in the way the academy is managed or governed; or
  - the safety of pupils or staff is threatened, including a breakdown of discipline.
- 4.4 The Trust will put in place a process through which the need for intervention will be assessed on a regular basis.

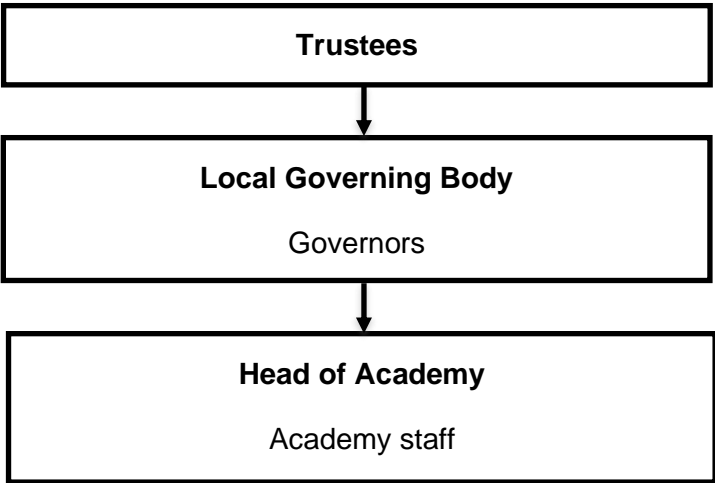
## **5. PUPIL, PARENT AND STAFF VOICE**

- 5.1 Accessing and responding to pupils' collective concerns is an important part of the operations and governance of our academies. All colleges/schools have active Student Councils/ Unions with representatives. Each Local Governing Body is expected to give due regard to issues that are raised through the Student Councils/Unions and the management actions taken in response to the issues.
- 5.2 Parental voice is formally built into the governance structure with the election by parents of two parent governors to each Local Governing Body. Staff voice is similarly built into the governance structure with the election to each academy committee employees of the Academy (no more than one third of the total number of persons on the Local Governing Body) by employees of the Academy. However, we recognise that staff governors are not representative of staff and will vote on matters according to their personal beliefs and in accordance with those of the Trust. As a Trust we will develop and review appropriate mechanisms for pupil, parent and staff representation to feed into governance at all levels.

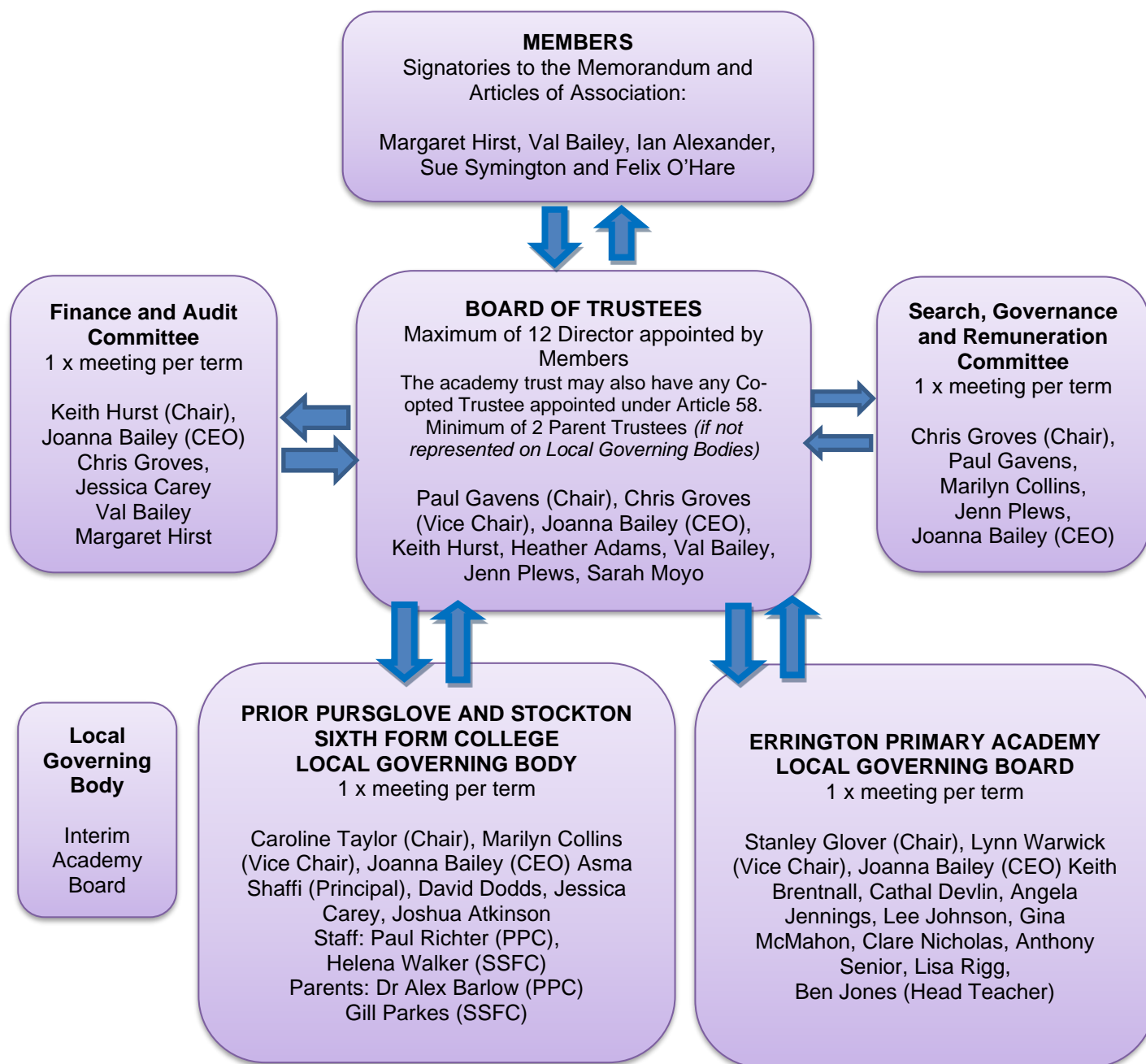
## **6. COMPANY STRUCTURE AND GOVERNANCE MODEL**

- 6.1 Our governance structure is made up as illustrated in the diagram at section 7. It is outlined below, with further detail on the role and responsibilities of each element of governance given at section 9 and relevant appendices.
- 6.2 The Company has two layers of corporate governance as set out in the Articles of Association – Members and Trustees (sometimes called Directors). Members subscribed to the Memorandum and Articles of Association and perform the functions shareholders would in a company, although this is not a profit-making company. The accountable body is the Board of Trustees responsible for the management and administration of academy/academies.

- 6.3 The Board of Trustees is supported by two committees: – Finance and Audit Committee and Search, Governance and Remuneration Committee. Trustees make up the membership of these committees, with advice and input from an Executive Leadership Group. Committees may co-opt governors from academy committees or from the community with strong and relevant skills identified through an annual skills audit, providing the majority of members are trustees.
- 6.4 In accordance with the principle that effective governance is best delivered as close as possible to the point of impact of decisions, the Company has a third tier of governance in the form of Local Governing Bodies. Local Governing Bodies have been established as committees of the Board with powers delegated to them through a Scheme of Delegation agreed by the Board of Trustees. The composition of Local Governing Bodies is also set out in the Scheme of Delegation and these committees are made up of persons appointed by Trustees. The Scheme of Delegation agreed by Trustees is detailed at [Section 13](#) of this document.
- 6.5 The performance and governance of the company is supported by an Executive Leadership Group made up of a Chief Executive Officer (CEO) and Chief Financial Officer (CFO). The CEO is responsible for the day to day operations of the Academy Trust. The Head Teachers of each of the academies, will meet with the CEO regularly and accept responsibility for operational tasks delegated from time to time to drive forward college/school improvement. The CFO will meet regularly with staff from individual academies with financial management responsibilities and ensure effective systems are in place for full compliance with the Academies Financial Handbook.
- 6.6 The relationship between the Board of Trustees, Executive Leadership Group and Local Governing Bodies is characterised as a partnership to realise a common vision and a common purpose, drawing on each other's strengths in order to overcome any weaknesses and respond robustly to any challenges.
- 6.7 Within the Company structure there are three main levels of authority for each academy: Trustees, Governors, and the Head of Academy.



## 7. ILLUSTRATIVE OVERVIEW OF COMPANY AND GOVERNANCE STRUCTURE TEES VALLEY COLLABORATIVE TRUST





## **8. EVALUATION OF THE EFFECTIVENESS OF GOVERNANCE/ CHANNELS OF COMMUNICATION**

- 8.1 The Trust will continue to develop our governance arrangements to shape and take account of best practice in the sector.
- 8.2 The Board of Trustees will carry out annually a self-evaluation of trustees and governors. The purpose of the self-evaluation is to ensure persons at each tier of governance have the right skills to fulfil their role effectively, to determine on-going training requirements to further improve governance and to determine succession planning. Ideally, where key skills are missing on the Board, trustees would seek to recruit a director independent of the running and management of the Trust, and with the required skills. If this is not possible expertise will be procured to support the challenge and scrutiny of specialist areas such as human resources or educational performance.
- 8.3 A programme of continuous training at all tiers of governance will ensure senior leaders within academies are challenged to improve the education of pupils. We aim to deliver at least one opportunity each year for all persons involved in the governance and management of the Trust and academies to come together for an evaluation and planning event.
- 8.4 Persons at all tiers of governance are required to commit to attend training so that the Trust has the capacity, skills and succession plans to have a positive impact on outcomes for pupils.
- 8.5 The members, board of trustees and local governing bodies will ensure effective communication channels. The chair of a local governing body will meet with trustees once a year. In addition, the chair of trustees will present to members once a year. In the interests of transparency and effectiveness, minutes from each tier will be shared with one another to understand key issues across the trust.

## 9. OVERVIEW OF GOVERNANCE ROLES AND KEY DOCUMENTS

Element of Company Structure/Governance	Summary of Roles and Functions	Relevant Governance Document
All	<p>Promoting and ensuring the charitable object of the Company is fulfilled</p> <p>Compliance with governance principles and structure</p>	<p><b>Governance Handbook (this document):</b> outlines the principles of governance across the Trust and pulls together formal arrangements based on those principles</p> <p><b>Scheme of Delegation:</b> identifies the tier at which a decision/function sits. See <a href="#">Section 13</a></p> <p><b>Self-Evaluation/Skills Audit:</b> Undertaken annually to ensure persons at each tier of governance have the right skills to fulfil their role effectively, and to determine on-going training requirements to further improve governance</p>
Members	<p>The members are signatories to the Memorandum and Articles of Association and can be compared to company shareholders, although they do not have rights of ownership in the company and do not receive dividends or other remuneration.</p> <p>Each member agrees to contribute towards any outstanding liabilities of the Company if the company is wound up. Each member's personal liability is limited to £10.</p> <p>The Members main functions are:</p>	<p><b>Articles of Association:</b> sets out objects of the company and constitution of the academy trust.</p> <p><b>Declaration of Eligibility and Business Interests:</b> To be completed by Members to manage conflicts of interest and related party transactions. <a href="#">See Section 15</a></p>

	<ul style="list-style-type: none"> <li>• Overseeing the achievement of the objectives of the company.</li> <li>• Taking part in General Meetings.</li> <li>• Appointing some of the Trustees.</li> <li>• Overseeing the Company's financial accounts and annual report.</li> <li>• Overseeing the performance of the Trustees</li> <li>• Exercising company law powers reserved to the members, such as amending the Articles of Association and removing Trustees by ordinary resolution (a vote passed by a simple majority of Members).</li> </ul> <p>Please refer to <a href="#">Section 10</a> for more detailed guidance on the role of members</p>	
<b>Trustees</b>	<p>Trustees are personally responsible for the performance and actions of the Academy Trust and all academies within the Trust. They are accountable to Members, to and to the wider community for the quality of the education received by all pupils of the academies and for the expenditure of public money.</p> <p>The main functions are:</p> <ul style="list-style-type: none"> <li>• Determining the vision, aims and effectiveness of the Trust; in accordance with the charitable objects set out in the Articles;</li> <li>• Setting key performance indicators for all elements of the Trust's performance;</li> <li>• Monitoring and evaluating performance of the Trust and its academies against the aims and objectives;</li> <li>• Agreeing a curriculum statement for each academy should they be required;</li> <li>• Appointing and reviewing the performance and pay of the Chief Executive Officer.</li> </ul>	<p><b>Articles of Association:</b> sets out the powers of Trustees and how they conduct business</p> <p><b>Key Performance Indicators:</b> used to assess the performance of the Trust and all academies and determine the need for intervention at one or more academy.</p> <p><b>Terms of Reference for the Board:</b> sets out operational procedures for the Board not included in the Articles. See <a href="#">Section 11</a></p> <p><b>Business Schedule:</b> sets out business to be addressed at each meeting of the Board. See <a href="#">Section 19</a></p>

	<ul style="list-style-type: none"> <li>• Review pay of Senior Post Holders, following recommendations from the Chief Executive Officer.</li> <li>• Responsibility for the company's financial performance, accounts and annual report</li> <li>• Ensuring the Articles of the company (subject to the Members', Secretary of State for Education's and Charity Commission's approvals) are fit for purpose</li> <li>• Appointing the governors of each Local Governing Body and removing Governors if necessary</li> <li>• Setting strategic policy for the academies</li> <li>• Setting and/or approving academy budgets and performance plans</li> </ul> <p>Trustees are required to comply with Charity Law. They are required as trustees and pursuant to the Funding Agreements, to have systems in place through which they can assure themselves of the quality, safety and good practice of the affairs of the Academy Trust.</p> <p>Please refer to <a href="#">Section 11</a> for more detailed guidance on the role of Trustees/ Terms of Reference</p>	<p><b>Minutes Template:</b> sets out how business, decisions and actions agreed at meetings will be recorded to ensure challenge is demonstrated. <a href="#">See Section 12</a></p> <p><b>Declaration of Eligibility and Business Interests:</b> To be completed by Trustees to manage conflicts of interest, related party transactions and avoid influence from Local Authority Associated Persons. See <a href="#">Section 15</a></p> <p><b>Code of Practice for Trustees:</b> sets out the expected conduct and commitment of Trustees. See <a href="#">Section 14</a></p>
<b>Committees of the Board of Trustees</b>	<p>Committees will provide the overview and high-level scrutiny of the prioritised risks and scrutiny of each individual academy's contribution to the overall performance of the Trust. We aim to follow the principle of 'no duplication of governance' and this requires a clear differentiation of the nature of the scrutiny and challenge provided by the Board and each of its two committees - Finance and Audit Committee and Search, Governance and Remuneration Committee</p>	<p><b>Terms of Reference:</b> sets out the composition, remit and delegated functions of the two committees. See <a href="#">Section 11</a></p> <p><b>Articles of Association:</b> Sets out rules regarding the delegation of powers to committees</p>

<b>Local Governing Bodies</b>	<p>The role of a governor on a Local Governing Body is an important one. They are accountable to the Board of Trustees as well as to the communities they serve for the performance of the academy and the quality of education provided.</p> <p>The broad duties of a Local Governing Body are to:</p> <ul style="list-style-type: none"> <li>• Own and champion the vision and mission for the academy consistent with the Company's overarching vision, aims and objectives;</li> <li>• Ensure that the academy achieves the aims and ambitions it has for its pupils, having regard in particular to the benefits of being part of a family of colleges/schools which stresses the importance of collaboration and mutual support;</li> <li>• Encourage the highest standards of leadership and management at all levels of the academy;</li> <li>• Implement and review the strategic development plan for the academy, focussing on the academy's performance and achieving sustained improvement, having regard to any agreed priorities identified by the Board;</li> <li>• Oversee the management of the finances of the academy, assessing the annual budget prepared by the Head Teacher and submitting such for approval by the Board;</li> <li>• Ensure that the academy works within its budget and the academy's senior leadership team adopts and implements appropriate risk and financial management policies and practices, compliant with direction from the Board of Trustees and Executive Leadership Group;</li> </ul>	<p><b>Scheme of Delegation:</b> sets out constitution, terms of reference and delegated functions of Local Governing Body. See <a href="#">Section 13</a></p> <p><b>Declaration of Eligibility and Business Interests:</b> To be completed by governors to manage conflicts of interest, related party transactions and promote transparency of decision-making. See <a href="#">Section 15</a></p> <p><b>Code of Practice for Governors:</b> sets out the expected conduct and commitment of governors. See <a href="#">Section 14</a></p>
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	<ul style="list-style-type: none"> <li>• Support the Board in ensuring that insurance or equivalent risk protection is put in place and maintained for all risk areas including damage to property, employer liability, public and third party liability and director liability in accordance with any policy issued by the Board of Trustees from time to time;</li> <li>• Ensure an Academy Risk Register is put in place and monitored as well as ensuring health and safety, safeguarding and data protection policies and processes are followed in compliance with policies approved by the Board of Trustees</li> <li>• Support the Head of Academy in the development and review (from time to time) of an appropriate staffing structure for the academy, ensuring there is robust and accountable monitoring of the performance of staff and implementing all and any policies relating to staff adopted by the Board;</li> <li>• Support the Board in its monitoring and evaluation of the delivery of any central services and functions provided or procured by the Academy Trust for the academies, reporting any issues or concerns to the CEO;</li> <li>• Carry out functions delegated under the scheme of delegation and in a timely manner to allow meaningful reports to the CEO and/or Board of Trustees</li> <li>• Promote within the organisation and externally the benefits of collaboration with the other academies and to actively seek opportunities to work together either with the aim of improving economic efficiencies within the academies or identifying and implementing best practice;</li> <li>• Develop effective links within the academy's community, communicating openly and frequently as appropriate and ensuring that the academy meets its responsibilities to the community and serves the community's needs in relation to the safeguarding and education of its pupils;</li> </ul>	
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	<ul style="list-style-type: none"> <li>Engage fully and openly with any inspection of the academy, whether by the Board, Ofsted or any other appropriate public body to whom the academy is accountable.</li> <li>Recognise and celebrate achievement by students and staff of the academy</li> </ul>	
<b>Executive Leadership Group</b>	<p>Led by the Chief Executive Officer the group is responsible for the day to day operation of the Trust and the educational and financial performance of the academies. The Executive Team work directly with the staff in each academy and the Local Governing Bodies to ensure that the required outcomes are achieved in accordance with the direction and vision of the Board.</p> <p>The Chief Executive Officer will be responsible for the Company's financial effectiveness and stability and for ensuring value for money and compliance with Academies Financial Handbook</p> <p>Aims and purpose of the CEO role include but are not limited to:</p> <ul style="list-style-type: none"> <li>To provide inspiring and motivational leadership to enable the Trust to achieve its aim of leading learning and for the colleges and schools within the Trust to be the first choice for learners and communities.</li> <li>To be responsible and accountable for the implementation of the Trust's vision, strategic direction and achievement of its objectives.</li> <li>To develop and maintain a culture of empowerment, supporting effective leadership, management and operational organisation.</li> <li>To develop and maintain a high profile for the Trust, its schools and colleges, promoting and representing them locally, regionally and nationally, ensuring current partnerships and new</li> </ul>	<p>Scheme of Delegation</p> <p>Job Descriptions</p>

	<p>opportunities with key stakeholders are maintained and enhanced.</p> <ul style="list-style-type: none"> <li>• To anticipate changes in the educational environment in order to take advantage of opportunities and respond appropriately to challenges.</li> <li>• Maximise the value to be extracted from multiple sites for improvements to financial, quality and enrichment matters.</li> <li>• The CEO is the Trust's Accounting Officer.</li> </ul>	
<b>Heads of Academy</b>	<p>Responsible for day to day management of the academy</p> <p>Responsible for the performance management of staff within the academy, excluding those staff for whom alternative arrangements have been made under the Scheme of Delegation</p>	<p><b>Scheme of Delegation</b></p> <p><b>Job Description</b></p>



## 10. MEMBERS

Where this document is inconsistent with the Articles of Association, the Articles of Association take precedence.

**Membership:** Subscribers to the memorandum: Margaret Hirst, Val Bailey, Ian Alexander and Sue Symington

Additional Member: Felix O'Hare

**Annual General Meetings and General Meetings:** There is no requirement in the Articles of Association for the trust to hold an Annual General Meeting of Members.

General meetings are determined by Article 21-44 of the Articles of Association.

### **Roles and Responsibilities of Members**

The members are signatories to the Memorandum and Articles of Association and can be compared to company shareholders, although they do not have rights of ownership in the company and do not receive dividends or other remuneration.

Each member agrees to contribute towards any outstanding liabilities of the Company if the company is wound up. Each member's personal liability is limited to £10.

The Members main functions are:

- Overseeing the achievement of the objectives of the company.
- Taking part in General Meetings.
- Appointing some of the Trustees.
- Overseeing the Company's financial accounts and annual report.
- Overseeing the performance of the Trustees
- Exercising company law powers reserved to the members, such as amending the Articles of Association and removing Trustees by ordinary resolution (a vote passed by a simple majority of Members).

A model agenda for a Members General Meeting has been included below:

## NOTICE OF GENERAL MEETING (GM)

(insert date, time and venue)

(Company No.XXXXXXX)

Registered Office:

Prior Pursglove Sixth Form College, Church Walk, Guisborough. TS14 6BU

Notice is hereby given that the General Meeting of (insert name) Tees Valley Collaborative Trust (the "Trust") will be held at (insert venue) on the date and time above to transact the following business:

	Agenda Item	Purpose
1.	<b>Welcome and Overview of Meeting</b>	
2.	<b>Nomination of Chair for the meeting</b>  <i>Members present and entitled to vote at the meeting shall elect by ordinary resolution one of their number to chair the meeting. The election shall be binding on all Members and Trustees present at the meeting</i>	Members to elect by ordinary resolution
3.	<b>Apologies</b>  <i>Apologies from members and trustees unable to attend to be read out and recorded. It may also be appropriate to confirm Members which have appointed a proxy for the meeting</i>	Note and record
4.	<b>Disclosure of Interests/Persons of Significant Control</b>  <i>Confirm that registers available for inspection at the meeting and an opportunity for declaration of any interest in relation to any matter that may be discussed during the meeting</i>	
5.	<b>Approval of Minutes of held on</b> (insert date of meeting)  <i>Minutes to be taken as read</i>	Agree minutes as circulated as a true record of proceedings
6.	<b>Matters arising from the minutes</b>	
7.	<b>Presentation of Annual Report for Year ending 31 August 2017, including Audited Accounts and Auditor's Report</b>  <i>To receive and consider the annual report of the trustees for the year ended [ ], which includes the audited accounts and auditor's report. A template report is available within the <a href="#">Academy Accounts Direction 2016-17</a></i>	Receive and discuss
8.	<b>Appointment of Auditors</b> (where applicable)  <i>Auditors are appointed by the Board of Trustees for the first accounting period and it is good practice to formally appoint the auditor at the first meeting of the Board. In subsequent years, Members should appoint/re-appoint therefore auditors will continue in office typically run from one AGM to the next.. In circumstances where an AGM is not required by the trust's articles, the Companies Act deems re-appointment 28 days following circulation of the previous year's accounts. Further advice on appointing an auditor is available through this <a href="#">link</a></i>	Consider and vote on appointment by ordinary resolution

	Agenda Item	Purpose
9.	<b>Appointment/Retirement/Removal of Members</b> <ul style="list-style-type: none"> <li>- Notification of resignation of XXXXXX</li> <li>- Proposed appointment of XXXXXX</li> </ul> <i>The trust's articles allows for members to appoint or remove other Members by way of a special resolution (75% majority), mindful of the best interests on the academy trust. Where changes are proposed the names of persons resigning and standing for appointment should be specified on agenda</i>	Determine such appointment/removal by way of Special Resolution
10.	<b>Appointment/ Resignation/ Retirement of Trustees</b> <b>Discuss</b> <ul style="list-style-type: none"> <li>- Notification of resignation/expiry of office of XXXXXX</li> <li>- Proposed appointment of XXXXXX</li> </ul> <i>Where the trust's articles provide for the Members to appoint trustees appointments may be determined by way of Ordinary Resolution</i>	Determine such appointments by way of Ordinary Resolution
11.	<b>Review Articles of Association</b> To receive any proposed changes to the trust's articles (Where no changes are proposed this should be stated on the agenda)  <i>Members have the power to amend the Articles by means of a special resolution (75% majority vote) subject to the consent of the Secretary of State. Members should pass a special resolution confirming their request to change the articles of association and send it with their request to the ESFA. Some changes to articles may need permission from the Charity Commission. Any change to the articles of association need to be registered at Companies House.</i>	Determine any changes to the articles by way of Special Resolution
12.	<b>Report from CEO/Trustees on Academic and Financial Performance of the Trust</b>  <i>To receive a summary of achievements and development plans</i>	Note and record
13.	<b>Any Other Business</b> <i>Optional – This can be an opportunity for persons to express views/ask questions on matters not covered by the agenda. Not all concerns can be resolved at an AGM, but they can be referred to the CEO or board for discussion/action</i>	
14.	<b>Approval of Documents for Inspection</b> Decision on documents and/or discussion which should remain confidential	
15.	<b>Closing Remarks</b> <i>The meeting is formally brought to a close by the Chair</i>	

Dated: [insert today's date]

By order of the Board of Trustees

[Insert Organisation Name and Full Address]

## **IMPORTANT NOTES**

- Every Member of the company entitled to vote who is unable to attend is entitled to appoint a proxy, who need not be a Member of the company, to attend and vote on their behalf. A template is attached for this purpose and must be delivered to the Trust's registered office no less than 48 hours prior to meeting
- Accidental omission to give notice of a meeting to, or the non-receipt of notice of a meeting by, any person entitled to receive notice shall not invalidate the proceedings at that meeting.

## INSTRUMENT OF PROXY FOR ANNUAL GENERAL MEETING (AGM)

(insert date, time and venue)

I, ....., of  
.....,  
being a Member of the above named Academy Trust, hereby appoint  
....., or in his/her absence,  
..... as my proxy to attend,  
speak and vote in my name and on my behalf at the general meeting of the  
Academy Trust to be held on .....201X, and at  
any adjournment thereof.

### ***(add if applicable)***

Furthermore, I instruct the proxy named above to vote for and/or against  
ordinary and special resolutions as listed on the published agenda for the  
meeting, and/or abstain from voting in accordance with the following  
instruction

	FOR*	AGAINST*	ABSTAIN*
ORDINARY RESOLUTIONS			
Agenda Item XX – To .....			
Agenda Item XX – To .....			
SPECIAL RESOLUTIONS			
Agenda Item XX – To .....			
Agenda Item XX – To .....			

\*Please tick to instruct your proxy on how to vote on each resolution

Unless otherwise instructed, the proxy may vote as he/she thinks fit or abstain  
from voting.

Signed this ..... day of .....

(PRINTED NAME) .....

This signed instrument of proxy should be deposited at the company's  
registered office, or at such other place within the United Kingdom as is  
specified in the notice convening the meeting, not less than 48 hours before  
the time for holding the meeting or adjourned meeting at which the person  
named in the instrument proposes to vote.

## 11. TRUSTEES

### TRUSTEES TERMS OF REFERENCE

These Terms of Reference shall not supersede any requirements laid down in the Articles of Association and other legislation impacting on academy trusts.

**Membership:** Up to a maximum of 12 trustees (appointed by members)

There is the possibility of having co-opted trustees as laid out in the Articles of Association (Article 58)

Total number of trustees including the CEO (if they choose to act as a trustee) who are employees of the Company shall not exceed one third of the total number of trustees.

Parents will sit on local governing bodies and not as trustees.

### Appointment and Resignation of Members:

Vacancies in respect of trustees will be filled using the recruitment process adopted by the Trust. Vacancies are filled by recommendation to Members from the Search and Remuneration Committee

Each newly appointed and re-appointed Trustee receives a letter of appointment following receipt of the following forms: skills audit/cv, register of interests, confirmation of eligibility to serve as a Trustee and Clearance Report from the Disclosure and Barring Service. Should there be issues with the eligibility criteria or Clearance Report these would be subject to Chair's action who may refer them back to the Search and Remuneration Committee.

For all Trustees, except the CEO, the period of office is four years from the date of appointment. Subject to remaining eligible to be particular type of trustee, any trustee may be re-appointed by members. Out of good practice trustees will not serve more than three terms ie 12 years in total. In exceptional circumstances this could be extended for up to one further term. There is no set period of office for the CEO.

At the beginning of each academic year, the Clerk to the Tees Valley Collaborative Trust will obtain written confirmation from each Trustee of their continuing eligibility to serve as a Trustee.

Trustees may resign at any time during their period of office by giving notice in writing to the Clerk to the Tees Valley Collaborative Trust (provided there remains three trustees in office at the time the resignation takes effect). Trustees who do not wish to be considered for re-appointment at the end of their term of office should also inform

Clerk. The Clerk will inform the Search and Remuneration Committee of the resulting vacancy.

### **Chair/ Vice-Chair**

Trustees shall each year elect a Chair and Vice-Chair from among their number. A trustee employed by the Company shall not be eligible for election of Chair or Vice-Chair.

Out of good practice, seconded nominations should be received at least ten days before the meeting at which the appointment will be made. In the case of one nominee, the method of election will be by show of hands. In the case of two or more nominees, a ballot will be held at the meeting.

The Vice Chair will act in respect of the responsibilities and duties of the Chair if the Chair is unavailable through illness, work or holidays.

The Chair's main role is to provide leadership to the Board of Trustees. S/he will meet routinely with the CEO and Clerk between meetings. The Vice Chair will act in the place of the Chair and support her/him in ensuring effective governance.

### **Clerk**

The Clerk shall be appointed by the Trustees for such term, at such remuneration and upon such conditions they may think fit (as recommended by the Search, Governance and Remuneration Committee). Any Clerk so appointed may be removed by them.

The Clerk shall not be a Trustee or the CEO. However, if the Clerk is absent and fails to attend a meeting of the board of trustees, Trustees may appoint any of their number to act as a Clerk for the purposes of the meeting.

### **Calendar of Meetings**

An annual calendar of trust and local governing body meetings will be agreed prior to the start of the academic year, stating the date, time and location of each meeting. Subject to the agreement of the trustees, a meeting may be re-scheduled to accommodate trustees' commitments.

Special meetings or extra ordinary meetings may be called in accordance with the provisions of the Articles of Association.

## **Agendas of Meetings**

A draft agenda will be prepared by the Clerk to the Board of Trustees according to the annual business cycle and in consultation with the Chair and CEO.

A Trustee can contribute an item to be considered for inclusion on the agenda, either at the previous meeting or by contacting the Clerk to the Board of Trustees at least fourteen days prior to the date of the meeting.

One of the first items on agendas will be 'Declaration of Interests' and 'Declarations of Gifts'. Trustees will be asked to disclose any interest (either of a financial or non-financial nature) in respect of the business to be discussed.

Any item to be raised under 'Any Other Business' must be notified to the Chair at least 48 hours in advance of the meeting at which it is to be considered. The Chair may use their discretion as to whether to defer the item to a subsequent meeting.

Trustees will receive the agenda and notice of the meeting at least 7 days in advance of the meeting.

**Attendance** Attendance at meetings is crucially important for the effective conduct of business. A register of attendance will be taken by the Clerk. The expectation is that the average attendance of a trustee at the Board of Trustees and Committee meetings will be 80%.

Apologies for absence should be submitted either in writing, by email or by telephone to the Clerk, as soon as possible before a meeting.

Absence by a trustee from meetings of either the Board of Trustees or of a Committee, for more than three consecutive meetings or for six months, will be notified to the Search and Remuneration Committee for consideration of that trustee's position as a Governor, and subsequently a recommendation made to the Board of Trustees to report to members to make a decision. The same procedure will be adopted if a trustee does not attend for the full duration of meetings.

**Quorum** The quorum is 3 trustees, or where greater, one third (rounded up to a whole number) of the total number of trustees holding office at the date of the meeting, who are in each case present and entitled to vote on matters to be resolved.



Quorum for any vote on removal of a Trustee in accordance with Article 66 and removal of the Chair in accordance with Article 9 shall be two thirds.

Quorum levels for committees are set out in committee terms of reference.

If the number of Trustees present for a meeting does not constitute a quorum, the meeting shall not be held. Similarly, if during a meeting there ceases to be a quorum, the meeting shall be terminated at once. The Clerk must re-arrange the meeting as practically as possible but within 7 days of when the meeting should have been originally held.

**Meetings** Trustees shall hold at least three meetings in the academic year.

Any three Trustees may, by notice in writing requisition a meeting of the Trustees; and the Clerk will convene such a meeting as reasonably practicable.

Meetings are chaired by the Chair or in her/his absence, the Vice Chair. If both the Chair and Vice Chair are absent, the meeting will be chaired by a temporary Chair appointed by and from the Trustees. The CEO cannot be Chair of the meeting.

If a Trustee has a financial or non-financial interest in any business on the agenda which could be prejudicial to discussion or be perceived as a conflict of interest, the member must declare it giving details of its nature and extent. Where a conflict of interest is declared or identified the procedure set out in the Trust's Conflicts of Interest Policy will be followed. See [Section 15](#)

All Trustees must address or speak through the Chair.

Subject to the Articles of Association, every question to be decided at a meeting of the Trustees shall be determined by a majority of votes of the Trustees present and voting on the question. Each Trustee shall have one vote.

Where there is an equal division of votes, the Chair shall have the casting vote in addition to any vote s/he may have.

Any Trustee shall be able to participate in meetings of the Trustees by telephone or video conference provided that:

- a. he has given notice of his intention to do so detailing the telephone number on which he can be reached and/or appropriate details of the video conference suite from which he shall be taking part at the time of the meeting at least 48 hours before the meeting; and
- b. the Trustees have access to the appropriate equipment if after all reasonable efforts it does not prove possible for the person to participate by telephone or video conference the meeting may still

proceed with its business provided it is otherwise quorate.

### **Written Resolution**

A resolution in writing, signed by all the Trustees entitled to receive notice of a meeting of Trustees or of a committee of Trustees, shall be valid and effective as if it had been passed at a meeting of Trustees or (as the case may be) a committee of Trustees duly convened and held. Such a resolution may consist of several documents in the same form, each signed by one or more of the Trustees.

### **Minutes of Meetings**

Minutes of meetings should be comprehensive, succinct and action focussed.

The minutes will be taken as an agenda item at the next meeting where they will be formally agreed and signed by the Chair of the meeting.

### **Confidential Minutes and Papers**

The Trustees shall ensure that a copy of:

- the agenda for every meeting of the Trustees;
- the draft minutes of every such meeting, if they have been approved by the person acting as chairman of that meeting;
- the signed minutes of every such meeting; and
- any report, document or other paper considered at any such meeting,

are, as soon as is reasonably practicable, made available at every academy to persons wishing to inspect them.

There may be excluded from any item required to be made available in any material relating to:

- a named teacher or other person employed, or proposed to be employed, at any Academy;
- a named pupil or named student at, or candidate for admission or referral to, any Academy; and
- any matter which, by reason of its nature, the Trustees are satisfied should remain confidential.

**Delegation** The Trustees may delegate any of their powers or functions (including the power to sub-delegate) to any Trustee, committee (including any Local Governing Body) the Chief Executive Officer or any other holder of an executive office. Any such delegation shall be made in writing and

subject to any conditions the Trustees may impose and may be revoked or altered.

A Trustee, committee (including any Local Governing Body), the Chief Executive Officer or any other holder of an executive office to whom a power or function of the Trustees is delegated under Article 105 may further sub-delegate those powers or functions (or any of them) to a further person. Where any power or function of the Trustees is sub-delegated by any person to whom it has been delegated, that person must inform the Trustees as soon as reasonably practicable which powers and functions have been further delegated and to whom, and any such sub-delegation shall be made subject to any conditions the Trustees may impose, and may be revoked or altered by the Trustees.

Where any power or function of the Trustees has been exercised by any committee (including any Local Governing Body), the Chief Executive Officer or any other holder of an executive office, or a person to whom a power or function has been sub-delegated under Article 105A, that person or committee shall report to the Trustees in respect of any action taken or decision made with respect to the exercise of that power or function at the meeting of the Trustees immediately following the taking of the action or the making of the decision.

### **Committees and Terms of Reference**

The Standing Committees of the Board of Trustees are the Finance and Audit Committee and the Search Governance and Remuneration Committee. A Special Committee will be convened to hear any matter relating to the dismissal or disciplining of designated senior post-holder or the Clerk to the Trustees.

Each committee will have terms of reference. See [Section 11](#) including level of membership and quorum arrangements. In all other respects, Committees will follow the procedures of the Board of Trustees.

The Terms of reference for each Committee will be reviewed annually and any changes approved by the Board of Trustees. Terms of reference will be published on the trust website.

The Board of Trustees may establish working/task and finish groups and panels as and when required. Such groups will be set clear terms of reference. Membership may include staff or external persons provided trustees remain in the majority.

## **Trust Committees Terms of Reference**

### **FINANCE AUDIT COMMITTEE TERMS OF REFERENCE**

The Finance and Audit Committee is a committee of the Board of Trustees.

The role of the Committee is to advise the Board of Trustees on the adequacy and effectiveness of the trust's systems of internal control and its arrangements for risk management, control and governance processes and securing value for money.

**Membership:** The Finance and Audit Committee shall have a minimum of 4 members and a maximum of 6 members (including any external co-opted members). The Board of Trustees may co-opt two persons on the Committee who are not trustees provided that the majority of members are trustees. In order to maximize the Committee's independence and objectivity, the following people shall not be eligible to sit on the Committee: -

- Chair of the Board of Trustees
- CEO
- Members of the Senior leadership team,
- Trustees who have a significant interest in the Trust.

At least one member shall have the relevant financial and audit experience.

Staff must not vote on audit matters but may attend to provide information and participate in discussion.

**Chair:** The Chair of the Finance and Audit Committee shall be a trustee determined by the committee and shall be appointed at the first meeting of the academic year. In the event of the Chair of the Committee being unable to attend, the remaining trustees should elect one of their members as chair for the meeting.

**Clerk:** The Clerk to the Tees Valley Collaborative Trust shall be the Clerk to the Committee.

**Term of Office:** One year; membership to be determined by the Board of Trustees at the final meeting of the academic year (July), on the recommendations of the Search & Remuneration Committee.

**Quorum:** 3 members; if quorum is not attained the meeting will not be held and a future meeting will be convened.

**Meetings:** 3 per academic year (once per term); should any additional meetings be necessary they will be convened by the Clerk to the Tees Valley Collaborative Trust

**Minutes:** Minutes of the meetings of the Finance and Audit Committee shall be presented to the Board of Trustees for information or approval as appropriate.

**Authority:** The Committee is authorised by the Board of Trustees to: -

- i. investigate any activity within its terms of reference.
- ii. seek any information it requires from the internal audit service, the financial statements auditor, Trustees, Committees and employees, plus relevant information from subcontractors and other third parties.
- iii. obtain external professional advice.

NB. The Board of Trustees must not add to these terms of reference responsibilities that require the Finance and Audit Committee to adopt an executive role, or its members to offer professional advice to the Board of Trustees. The Finance and Audit Committee should seek formal professional opinions from the internal audit service, financial statements auditor or other professional advisers to the Board of Trustees. Advice should only be given in Committee members' capacity as Trustees and co-optees and only within their terms of reference.

### **Responsibilities of the Committee:**

#### **Audit**

The duties of the Committee shall include: -

- i. responsibility for monitoring the adequacy and effectiveness of the Trust's systems of internal control (including review of the statement of internal control) and its arrangements for risk management, control and governance processes and for securing economy, efficiency and effectiveness (value for money).
- ii. advising the Board of Trustees on the appointment, re-appointment, dismissal and remuneration of the financial statement's auditor and the internal audit service.
- iii. advising the Board of Trustees on the scope and objectives of the work of the internal audit service and the financial statements auditor.
- iv. ensuring effective co-ordination between the internal audit service and the financial statements auditor
- v. considering and advising the Board of Trustees on the audit strategy and annual internal audit plans for the internal audit service.
- vi. advising the Board of Trustees on internal audit assignment reports and annual reports and on control issues included in the management letters of the financial statement's auditor, and management's responses to these.
- vii. monitoring, within an agreed timescale, the implementation of agreed recommendations relating to internal audit assignment reports, internal audit annual reports and the financial statements auditor's management letter.
- viii. considering and advising the Board of Trustees on relevant reports by the National Audit Office, the Education Funding Agency (including those from the local provider financial assurance teams) and other funding bodies and, where appropriate, management's response to these.
- ix. establishing, in conjunction with management, relevant annual performance measures and indicators and monitoring the effectiveness of the internal audit service and financial statements auditor through these measures and indicators and deciding, based on this review, whether a competition for price and quality of the audit service is appropriate.

- x. monitoring the Trust's risk management plan and advising the Board of Trustees on its adequacy and effectiveness
- xi. producing an annual report for the Board of Trustees and accounting officer which should include the Committee's advice on the effectiveness of the Trust's risk management, control and governance processes and any significant matters arising from the work of the internal audit service and the financial statements auditor.
- xii. monitoring and advising the Board of Trustees on any alleged fraud and irregularity in the Trust's financial and other control systems and ensuring that all allegations of fraud and irregularity are properly followed up.
- xiii. being informed of all additional services undertaken by the internal audit service and the financial statements auditors.
- xiv. recommending the annual financial statements to the Board of Trustees for approval.
- xv. monitoring the effectiveness of the Trust's whistleblowing procedures meeting privately with the Internal and External Auditors, and separately with the Chief Financial Officer at least once a year.

## **Finance**

- i. Monitor, review and ensure compliance with the Trust Financial Plan and Academies Financial Handbook;
- ii. review the Annual Budget in detail and to make recommendations to the Board of Trustees;
- iii. Monitor and review to ensure effective implementation and operation including bank account arrangements.
- iv. Advise on financial statements/ annual reports for the Board of Trustees to approve
- v. Receive, review and make recommendations to the Board of Trustees on Financial Statements
- vi. Oversee Insurance arrangements for the trust.

## **Policies and Procedures**

- i. Oversee and monitor information security policies and procedures
- ii. Approval of Financial Regulations and Policies

## **Terms of Reference**

### **SEARCH, GOVERNANCE & REMUNERATION COMMITTEE**

**Scope:** The Committee will advise on such matters relating to membership and appointments as the Board of Trustees may remit to the committee, for gathering, screening and short-listing nominations in respect of vacancies across the trust and for determining the process whereby candidates are nominated or elected. The Committee will also determine the pay, terms and conditions of designated Senior Post Holders and report annually through the Chair of the Board of Trustees to the Board of Trustees.

**Membership:** The Search & Remuneration Committee shall have a minimum of 4 members and a maximum of 6 members, including the Chair of the Board of Trustees. The Board of Trustees may co-opt two persons on the Committee who are not trustees provided that the majority of members are trustees. The CEO will be a member of the Committee but shall withdraw from that part of a meeting at which her own terms and conditions of service are being considered.

**Chair:** The Chair of the Search & Remuneration Committee shall be appointed at the first meeting of the academic year. In the event of the Chair of the Committee being unable to attend, the remaining trustees should elect one of their members as chair for the meeting, the CEO may not Chair the meeting.

**Clerk:** The Clerk to the Board of Trustees shall be the Clerk to the Committee.

**Term of Office:** One year; membership to be determined by Board of Trustees at the final meeting of the academic year (July)

**Quorum:** 3 members; if quorum is not attained the meeting will not be held and a future meeting will be convened.

**Meetings:** 3 per academic year; should any additional meetings be necessary they will be convened by the Clerk to the Board of Trustees.

**Minutes:** Minutes of the meetings of the Search & Remuneration Committee shall be presented to the Board of Trustees for information or approval as appropriate.

**Withdrawal from Meetings:** The CEO, Clerk and staff would need to withdraw whilst their terms and conditions of serve are being discussed.

If the Clerk withdraws from a meeting or part of a meeting, the committee shall appoint a person from among themselves to act as Clerk during her absence.

### **Responsibilities of the Committee:**

#### **Search**

- (i) The Committee shall be responsible for recommending candidates (for the Board of Trustees approval) to be governors of the local governing body and for determining the processes whereby candidates are identified;
- (ii) The Committee shall be responsible for recommending candidates (for the approval of members) to be trustees and for determining the processes whereby candidates are identified;

- (iii) The Committee shall be responsible for recommending candidates (for approval of members) to be members and for determining the processes whereby candidates are identified;
- (iv) The Committee shall from time to time, consider and make recommendations to the Board of Trustees on the Board of Trustees and local governing bodies composition and balance and on the procedures for appointment to the the Board of Trustees or Local Governing Bodies;
- (v) The Committee shall advise on reappointment of trustees or governors;
- (vi) To advise the Board of Trustees and Local Governing Bodies on the appointment of the Chair and Vice Chair;
- (vii) The Committee shall ensure a regular review of:
  - the skills of Trustees and Local Governing Bodies;
  - procedures for induction and development of trustees and governors;
  - trustees and governor's attendance at Board of Trustees, Local Governing Bodies, Committee and engagement/development events;

### **Governance**

- (viii) To advise the Board of Trustees on matters relating to the governance of the Trust and any matters which the Board of Trustees may remit to the Committee;
- (ix) To review policies requiring Board of Trustee approval and recommend them to it;
- (x) To review the Scheme of Delegation/ Governance Handbook and Terms of Reference for local governing bodies and committees and recommend them to the Board of Trustees for approval;
- (xi) To review the Articles of Association for the trust and recommend any changes to members for approval;
- (xii) To review the annual Trustee/Governor Performance Process and advise Board of Trustees;

### **Remuneration**

- (xiii) The Committee shall oversee the employment of the CEO and Clerk to the Board of Trustees and Local Governing Bodies (this may be delegated to the Chair of the Board of Trustees who will make recommendations to the Committee), with particular focus on:
  - Monitoring agreed performance objectives
  - Monitoring professional development
  - Appropriate human resource policies
  - Induction and probationary period arrangements (where necessary)
- (xiv) The Committee shall receive advice from the CEO on the annual performance of the designated senior post holders;
- (xv) The Committee shall advise on the framework for appraisal, appointments, suspension and dismissal and pay and conditions of service of senior post holders and the Clerk to the Trust;



- (xvi) The Committee shall ensure that specific remuneration packages are transparent, objectively auditable and openly defensible.

## **12. LOCAL GOVERNING BODIES TERMS OF REFERENCE AND CONSTITUTION**

The Trustees will establish a Local Governing Body for each academy run by the Company.

### **LOCAL GOVERNING BODIES TERMS OF REFERENCE**

#### **12.1 The role of the Local Governing Bodies**

Each Academy has a Local Governing Body whose role is to exercise leadership on behalf of the Company in the running of the individual academy. The Local Governing Body provides information to the Trustees on the operation and success of the academy.

The purpose of having a Local Governing Body is to:

- help the Head of Academy and senior leadership team to set high standards by planning for the academy's future and setting performance targets for the academy;
- monitor the effectiveness of the academy provision;
- monitor financial performance against Budget and the management of risks against the academy's risk register
- offer challenge to the Head of Academy and senior leadership team, offering support and advice;
- help the academy respond to the needs of parents and the community;
- help make the academy be open and accountable to the public for what it does; and
- exercise the responsibilities and powers delegated to it by the Trustees in partnership with the Head of Academy and staff.

It is not the role of the Local Governing Body to intervene in the day-to-day management of the academy unless there are weaknesses in the school. The Head of Academy, senior leadership team and staff are responsible for the operational delivery of the academy. If the Local Governing Body has concerns about weaknesses in the academy it should 1) report them to the Trustees via the CEO or relevant committee of Trustees depending on the nature of the concern and 2) seek to support and address the perceived weakness with the Head of Academy and senior leadership team.

#### **12.2 Key responsibilities of Governors**

It is the responsibility of the Local Governing Body to ensure that the academy complies with all policies and procedures established by the Trustees, specifically:

- monitoring the performance of the academy;
- ensuring the quality of educational provision;
- evaluating student outcomes;
- managing financial, physical and human resources;
- monitoring the performance of the academy against targets set and compliance with the Company's procedures; and
- raising any concerns and potential risks with the Trustees.

Governors are expected to exercise reasonable care and skill, and be objective in carrying out their responsibilities.

### **12.3 Functions delegated to the Local Governing Bodies**

To carry out its role the Local Governing Body will:

- Own and champion the vision and mission for the academy consistent with the Company's overarching vision, mission and objectives
- Encourage the highest standards of leadership and management at all levels with the academy. In doing this, the Local Governing Body will:
  - Support, advise and hold the Head of Academy to account
  - Support and challenge the leadership team
- Organise its own work.

It will also:

- Promote an ethos which positively develop students' spiritual, moral, social and cultural development.
- Recognise and celebrate achievement by students and staff of the academy.

The Local Governing Body will systematically and regularly monitor and evaluate the work of the academy in relation to:

Policy -

- Ensuring that the Company's policies and procedures are followed and used to maximise achievement and effectiveness.
- Feedback to the Trustees any perceived weaknesses in the Company's policies and procedures and recommend development or amendment.

Student performance -

- Agreeing targets for student performance
- Monitoring and evaluating progress against those targets
- Monitoring and evaluating the effectiveness of the curriculum set for the academy
- Agreeing policies which will enhance the quality of teaching and learning within the academy
- Reporting to the Trustees on the performance in a timely manner

Self-evaluation -

- Reviewing the structure, personnel and performance of the Local Governing Body

- Reporting to the Trustees on the performance of the Local Governing Body in a timely manner

Academy budgeting and business plans -

- Produce a business plan for the academy including setting projections and targets for 1 year (Budget) and 3 years (Financial Plan) for approval by Trustees.
- Monitoring Budget performance against the business plan and reporting progress to the Trustees as necessary.

Community Cohesion -

- Ensuring the academy fulfils its statutory duties in relation to SEN and child protection
- Ensuring the academy fulfil its statutory duties with regard to equality
- Ensuring that the academy communicates well with parents and carers
- Seeking good relationships with external bodies and community groups

These delegated functions are subject to modification for sponsored academies

## **12.4 Composition of the Local Governing Bodies**

The composition of the Local Governing Body is at the discretion of the Trustees from time to time. The Trustee' main concern is to ensure the local governing bodies are effective in their role.

As a general rule the following guidance will be used:

- Each Local Governing Body will be made up of a maximum of 15 Governors in the following categories:
  - Governors appointed by the Trustees
  - Staff Governors (Staff governors shall not be more than one third of the total amount)
  - The option of the CEO
  - At least 2 parents or carers of students in the academy
- The number in each category will be determined on an individual academy basis with the exception of the parent/carers Governors which must remain at a minimum of two.
- The number of Governors on any one Local Governing Body who are employed by or otherwise receiving any direct or indirect financial benefit from the Company (including the Executive director) must not exceed one third of the total number of persons on the Local Governing Body.
- The Trustees can appoint additional Governors onto any Local Governing Body at any time, including for a fixed period to add capacity in relation to a specific need.

The Trustees reserve the right to remove Governors from office and change the governance structure.

As long as Governors have acted honestly, for the benefit of the academy, and reasonably, within the law and terms of their delegated powers the Governors should not be held personally liable for any liabilities incurred on behalf of the Company.

## **12.5 Rules of the Local Governing Bodies**

The Rules for the Local Governing Bodies are included in this Governance Handbook at [Section 12.](#)

The Rules provide the constitution for the Local Governing Body.

## **12.6 Scheme of Delegation**

The Scheme of Delegation is included and incorporated in this Governance Handbook [Section 13](#).

The Schemes of Delegation set out the powers the Local Governing Bodies may exercise on behalf of the Trustees.

[Section 13](#) currently presents the Scheme of Delegation for good and outstanding colleges/schools. A separate Scheme of Delegation for sponsored academies will be established and incorporated within this Handbook. Categorisation of an individual academy is confirmed by the Tees Valley Collaborative Trust on entry.

## **12.7 Delegated decision-making authorities and responsibilities**

The levels of delegation at [Section 13](#) are incorporated into this Governance Handbook.

## **12.8 Committees of the Local Governing Bodies**

It is anticipated that each academy Local Governing Body may establish the following committees:

- Discipline and Grievance committees\*
- Appeals Committees\*
- Complaints Committee\*

\*These committees are to be established as and when required with the membership to be determined by the Local Governing Body or the chair of the Local Governing Body.

## **12.9 Constitution of Committees**

The Discipline and Grievance Committee, Appeals Committee and Complaints Committee will be constituted for each specific issue and accession from amongst those Governors who are eligible and available to attend.

# RULES OF THE LOCAL GOVERNING BODIES

## CONSTITUTION OF THE LOCAL GOVERNING BODIES

### 1.1. Categories of Governors on the Local Governing Bodies

- 1.1.1. The individuals acting on each Local Governing Body shall be known as Governors.
- 1.1.2. The number of Governors who sit on each Local Governing Body shall be not less than 3, but unless otherwise determined by the Trustees, shall be subject to a maximum of 15.
- 1.1.3. The Local Governing Body for each academy shall have the following Governors:
  - 1.1.3.1. Governors appointed by the Trustees under Rule 1.2.3;
  - 1.1.3.2. Staff representatives appointed under Rules 1.2.5 to 1.2.7;
  - 1.1.3.3. the Academy Principal/Head and CEO appointed under Rule 1.2.8;
  - 1.1.3.4. Parent/carers representatives appointed under Rules 1.2.9 to 1.2.13;
  - 1.1.3.5. any additional Governors if appointed by the Trustees at the request of the Secretary of State of Education;
  - 1.1.3.6. any Governors co-opted under Rule 1.3 below; and
  - 1.1.3.7. any Trustee shall be entitled to attend any meeting of the Local Governing Body, but any Trustee attending a meeting will have no voting rights and will not form part of the quorum.
- 1.1.4. The Trustees may direct the constitution of the categories of Governors for each Academy at their absolute discretion
- 1.1.5. All persons appointed or elected to any Local Governing Body shall give a written undertaking to the Trustees to uphold the charitable objects of the company.

### 1.2. Appointment of Governors to the Local Governing Body

- 1.2.1. The Trustees appoint the Governors to the Local Governing Body for each academy.
- 1.2.2. The Trustees may consider any individual elected to represent staff or parents/carers or otherwise proposed in accordance with the following provision, but appointments are at the discretion of the Trustees.

#### General

- 1.2.3. The Trustees may appoint any person who is eligible as a Governor on any Local Governing Body.

- 1.2.4. After the initial appointments of Governors to a Local Governing Body the Governors of the Local Governing Body for the time being may recommend persons to serve on the Local Governing Body, having regard to any recommendations and views of the Trustees in relation to ensuring that the people serving on the Local Governing Body between them have an appropriate range of skills and experience and due attention is given to succession planning. Any such recommendations shall be proposed to the Trustees whose decision is final. Governors are appointed to the Local Governing Body by resolution of the Trustees.

#### Staff

- 1.2.5. Persons who are employed by the Company may serve on a Local Governing Body, provided that the total number of such persons on the Local Governing Body does not exceed one third of the total number of persons on the Local Governing Body (including the Executive director(s)). The positions held by those employed at the Academy (e.g. teaching and non-teaching) may be taken into account when considering appointments.
- 1.2.6. Unless the Trustees agree otherwise, in electing persons to serve on the Local Governing Body who are employed at the Academy the Local Governing Body shall invite nominations from all staff employed under a contract of employment or a contract for services or otherwise engaged to provide services to the Academy (excluding the Executive director(s)) and, where there are contested posts, shall hold an election by secret ballot. All arrangements for the calling and the conduct of the election and resolution of questions as to whether any person is an eligible candidate shall be determined by the Local Governing Body or in default by the Trustees.
- 1.2.7. The Local Governing Body shall confirm the outcome of an election and request that the Trustees appoint the individual elected provided the individual is eligible to act. The Trustees decision is final. Staff Governors are appointed to the Local Governing Body by resolution of the Trustees.

#### The Academy Principal/Head and CEO

- 1.2.8. Unless otherwise decided by the Trustees, the Academy Principal/Head shall be treated for all purposes as being an ex-officio member of the Local Governing Body for that academy. The CEO will be invited to attend Local Governing Body meetings and contribute to discussions.

#### Parents

- 1.2.9. Subject to Rules 1.2.10 to 1.2.13, the Parent Governors shall be elected by parents/carers of registered students at the Academy and he or she must be a parent/carer of a student at the Academy at the time when he or she is elected. The Local Governing Body shall confirm the outcome of an election and request that the Trustees appoint the individual elected provided the individual is eligible to act. The Trustees' decision is final. Parent Governors are appointed to the Local Governing Body by resolution of the Trustees.

1.2.10. The Local Governing Body shall make all necessary arrangements for, and determine all other matters relating to, an election of the parent Governors of the Local Governing Body, including any question of whether a person is a parent/carer of a registered student at the Academy. Any election of persons who are to be the Parent Governors of the Local Governing Body which is contested shall be held by secret ballot.

1.2.11. Where a vacancy for a Parent Governor of the Local Governing Body is required to be filled by election, the Local Governing Body shall take such steps as are reasonably practical to secure that every person known to them to be a parent/carer of a registered student at the Academy is informed of the vacancy and that it is required to be filled by election, informed that s/he is entitled to stand as a candidate, and vote at the election, and given an opportunity to do so.

1.2.12. The arrangements made for the election of the Parent Governors of the Local Governing Body shall provide for every person who is entitled to vote in the election to have an opportunity to do so by post or, if s/he prefers, by having his/her ballot paper returned to the Academy by a student registered at the academy.

1.2.13. In appointing a person to be a Parent Governor of the Local Governing Body, the Local Governing Body shall appoint a person who is the parent/carer of a registered student(s) at the Academy; or where it is not reasonably practical to do so, a person who is the parent/carer of a child of compulsory school age, or in the case of the college, a person who is the parent/carer of a student above the compulsory school age but not above the age of 19.

### 1.3. Co-opted Governors of the Local Governing Body

1.3.1. The Local Governing Body may recommend up to three persons to be “co-opted” to the Local Governing Body by the Trustees. The Local Governing Body may not co-opt a person who is employed at the Academy if thereby the number of persons employed at the Academy serving on the Local Governing Body would exceed one third of the total number of persons serving on the Local Governing Body (including the Executive director(s)). The Trustees’ decision is final. Co-opted Governors are appointed to the Local Governing Body by resolution of the Trustees.

### 1.4. Term of office

The term of office for any person serving on the Local Governing Body shall be four years from the date of appointment, save that this time limit shall not apply to ex-officio Governors or to persons “Co-opted” to the Local Governing Body who shall serve for one year terms. Subject to remaining eligible to serve (including any restrictions on who may serve within a particular category of Governor) on the Local Governing Body, any person may be re-appointed or re-elected (including being “Co-opted” again) to the Local Governing Body. The maximum tenure of a Governor’s appointment is normally three, four-year terms i.e. twelve years in total. In exceptional circumstances this could be



extended for up to one further term. There is no set period of office for the Principal/Head of Academy/CEO. Parent Governors will serve one four-year term.

#### 1.5. Resignation and removal

- 1.5.1. A person serving on the Local Governing Body shall cease to hold office if he resigns his office by notice to the Local Governing Body or the Trustees (but only if at least three persons will remain as Governors when the notice of resignation is to take effect). If notice is given to the Trustees, the Trustees or the Secretary will give notice to the Local Governing Body.
- 1.5.2. A person serving on the Local Governing Body shall cease to hold office immediately if he is removed by the Trustees. When considering removing a Governor the Trustees shall give due regard to any representations made by the person and the Local Governing Body.
- 1.5.3. A person serving on the Local Governing Body shall cease to hold office if he is removed by a two thirds majority of the Governors of the Local Governing Body present and voting at a meeting or in writing. In respect of any proposal to remove a person as a Governor:
  - 1.5.3.1. the grounds for removal shall be circulated before the meeting or with the resolution and may include but not be limited to incompetence, misconduct or bringing the Academy or Company into disrepute;
  - 1.5.3.2. the person who may be removed shall be given the opportunity to put forward representations on the proposal and the Governors shall consider any such representations.
- 1.5.4. Whilst at the same time as acknowledging that no reasons need to be given for the removal of a person who serves on the Local Governing Body by a person or persons who appointed him, any failure to uphold the values of the Company and/or the Academy or to act in a way which is appropriate in light of these Rules or the Scheme of Delegation will be taken into account.
- 1.5.5. If any person who serves on the Local Governing Body in their capacity as an employee at the Academy ceases to work at the Academy then they shall be deemed to have resigned and shall cease to serve on the Local Governing Body automatically on termination of their work at the Academy.
- 1.5.6. Where a person who serves on the Local Governing Body is removed from office those removing them shall give written notice thereof to the Local Governing Body who shall inform the Trustees.

#### 1.6. Disqualification of Governors of the Local Governing Body

- 1.6.1. No person shall be eligible to serve on the Local Governing Body unless s/he is aged 18 or over at the date of election or appointment. No current student of the Academy shall be entitled to serve on the Local Governing Body.

- 1.6.2. A person serving on the Local Governing Body shall cease to hold office if he becomes incapable by reason of mental disorder, illness or injury or managing or administering his own affairs.
- 1.6.3. A person serving on the Local Governing Body shall cease to hold office if s/he is absent without the permission of the Chair of the Local Governing Body from all the meetings of the Local Governing Body held within a period of six months and the Local Governing Body resolves that his/her office be vacated.
- 1.6.4. A person shall be disqualified from serving on the Local Governing Body if:
  - 1.6.4.1. his/her estate has been sequestrated and the sequestration has not been discharged, annulled or reduced;
  - 1.6.4.2. s/he is the subject of a bankruptcy restrictions order or an interim order.
- 1.6.5. A person shall be disqualified from serving on the Local Governing Body at any time when s/he is subject to a disqualification order or a disqualification undertaking under the Company Directors Disqualification Act 1986 or to an order made under section 429(2)(b) of the Insolvency Act 1986 (failure to pay under county court administration order).
- 1.6.6. A person serving on the Local Governing Body shall cease to hold office if s/he would cease to be a Director by virtue of any provision in the Companies Act 2006 or is disqualified from acting as a Trustee by virtue of section 72 of the Charities Act 1993 (or any statutory re-enactment or modification of that provision).
- 1.6.7. A person shall be disqualified from serving on the Local Governing Body if s/he has been removed from the office of charity trustee or trustee for a charity by an order made by the Charity Commission or the High Court on the grounds of any misconduct or mismanagement in the administration of the charity for which s/he was responsible or to which s/he was privy, or which s/he by his conduct contributed to or facilitated.
- 1.6.8. A person shall be disqualified from serving on the Local Governing Body at any time when he is:
  - 1.6.8.1. included in the list kept by the Secretary of State under section 1 of the Protection of Children Act 1999; or
  - 1.6.8.2. disqualified from working with children in accordance with Section 35 of the Criminal Justice and Court Services Act 2000; or
  - 1.6.8.3. barred from regulated activity relating to children (within the meaning of section 3(2) of the Safeguarding Vulnerable Groups act 2006).
- 1.6.9. A person shall be disqualified from serving on the Local Governing Body if s/he is a person in respect of whom a direction has been made under section 142 of the Education Act 2002 or is subject to any prohibition or restriction which takes effect as if contained in such a direction.

- 1.6.10. A person shall be disqualified from serving on the Local Governing Body where s/he has, at any time, been convicted of any criminal offence, excluding any that have been spent under the Rehabilitation of Offenders Act 1974 as amended, and excluding any offence for which the maximum sentence is a fine or a lesser sentence except where a person has been convicted of any offence which falls under section 72 of the Charities Act 1993.
- 1.6.11. After the Academy has opened, a person shall be disqualified from serving on the Local Governing Body if s/he has not provided to the Company a criminal records certificate at an enhanced disclosure level under section 113B of the Police Act 197. In the event that the certificate discloses any information which would in the opinion of either the chair or the Executive director confirms their unsuitability to work with children that person shall be disqualified. If a dispute arises as to whether the person shall be disqualified, a referral shall be made to the Secretary of State to determine the matter. The determination of the Secretary of State shall be final.
- 1.6.12. Where, by virtue of these Rules, a person becomes disqualified from serving on the Local Governing Body; and s/he was, or was proposed, to so serve, s/he shall on becoming so disqualified give written notice of the fact to the Local Governing Body who shall inform the Trustees.
- 1.6.13. This Rule 1.6 also applies to any member of any committee of the Local Governing Body who is not a Governor of the Local Governing Body.

## **2. Chair and Vice-Chair of the Local Governing Body**

- 2.1. The Governors of the Local Governing Body shall each academic year, at their first meeting in that year, elect a chair of the Local Governing Body from among their number subject to the approval of the Trustees.
- 2.2. The Governors of the Local Governing Body shall each academic year, at their first meeting in that year, elect a vice-chair of the Local Governing Body from among their number subject to the approval of the Trustees.
- 2.3. The chair or vice-chair shall hold office as such until his successor has been elected in accordance with this clause 2.

### Resignation or removal of Governors' chair and vice-chair

- 2.4. The chair or vice-chair may at any time resign his/her office as chair or vice-chair by giving notice in writing to the Trustees or the Local Governing Body.
- 2.5. The chair or vice-chair shall cease to hold office if:
  - 2.5.1. s/he ceases to serve on the Local Governing Body;
  - 2.5.2. s/he is removed from office;
  - 2.5.3. in the case of the vice-chair, s/he is elected to fill a vacancy in the office of chair.

- 2.6. The chair or vice-chair may be removed from office by the Trustees at any time or by the Local Governing Body in accordance with clause 2.7 below.
- 2.7. A resolution to remove the chair or vice-chair from office which is passed at a meeting of the Local Governing Body shall not have effect unless:
  - 2.7.1. it is passed by a two thirds majority of the Governors of the Local Governing Body present and voting at a meeting or in writing;
  - 2.7.2. the potential removal shall be a specific item of business for the meeting or the subject of a specific resolution and the grounds for removal shall be circulated before the meeting or with the resolution;
  - 2.7.3. the person who may be removed from office shall be given the opportunity to put forward representations on the proposal and the Governors shall consider any such representations.

### **Vacancies**

- 2.8. Where a vacancy arises in the office of chair or vice-chair, the Governors or Trustees shall at their next meeting appoint or elect a person to fill that vacancy.
- 2.9. Where the chair is absent from any meeting or there is at the time a vacancy in the office of the chair, the vice-chair shall act as the chair for the purposes of the meeting. If the vice-chair is also absent from the meeting the Governors of the Local Governing Body shall elect one of their number to act as chair for the purposes of that meeting.

The delegated authorities in Section 2 are subject to modification for sponsored academies

### **3. Conflicts of interest**

- 3.1. Any Governor of the Local Governing Body who has or may have a direct or indirect duty or personal interest (including but not limited to any personal financial interest) which conflicts or may conflict with his duties as a Governor of the Local Governing Body shall disclose that fact to the Local Governing Body as soon as s/he becomes aware of it. A person must absent him/herself from any discussions of the Local Governing Body in which it is possible that a conflict will arise between his/her duty to act solely in the interests of the Academy and any duty or personal interest (including but not limited to any personal financial interest).
- 3.2. For the purpose of paragraph 3.1, a person has a personal financial interest if s/he is in the employment of the Company or is in receipt of remuneration of the provision of any other benefit directly from the Company or in some other way is linked to the Company or the Academy.
- 3.3. This Rule 3 also applies to any member of any committee of the Local Governing Body who is not a Governor of the Local Governing Body.

#### **4. Disputes**

- 4.1. Any disagreement between the Governors of the Local Governing Body or the committee members of any subcommittee of the Local Governing Body shall be referred to the Trustees for their determination.

#### **5. The minutes**

- 5.1. The minutes of the proceedings of a meeting of the Local Governing Body shall be drawn up and retained by the person authorised to keep the minutes of the Local Governing Body; and shall be signed (subject to the approval of the Governors of the Local Governing Body) at the same or next subsequent meeting by the person acting as chair thereof. The minutes shall include a record of:

- 5.1.1. all appointments of officers made by the Local Governing Body; and

- 5.1.2. all proceedings at meetings of the Local Governing Body and of committees of the Local Governing Body including the names of all persons present at each such meeting.

- 5.2. The chair shall ensure that copies of minutes of all meetings of the Local Governing Body (and such of the subcommittees as the Trustees shall from time to time notify) shall be provided to the Trustees as soon as reasonably practicable after those minutes are approved.

#### **6. Committees**

- 6.1. The Local Governing Body may establish subcommittees as outlined in the Company's Governance Handbook. The committees are to be established as and when required with the membership to be determined by the Local Governing Body or delegated to the chair of the Local Governing Body.

#### **7. Delegation**

- 7.1. Provided such power or function has been delegated to the Local Governing Body, the Local Governing Body may further delegate to any person serving on the Local Governing Body, committee, the Executive director or any other holder of an executive office, such of their powers or functions as they consider desirable to be exercised by them. Any such delegation may be made subject to any conditions either the Directors or the Local Governing Body may impose and may be revoked or altered.
- 7.2. Where any power or function of the Trustees or the Local Governing Body is exercised by any subcommittee, any Trustee or Governor of the Local Governing Body, the Executive director or any other holder of an executive office, that person or subcommittee shall report to the Local Governing Body in respect of actions taken or decision made with respect to the exercise of that power or function at the meeting of the Local Governing Body immediately following the taking of the action or the making of the decision.

## **8. Meetings of the Local Governing Body**

- 8.1. Subject to these Rules and the Scheme of Delegation, the Local Governing Body may regulate its proceedings as the Governors of the Local Governing Body think fit.
- 8.2. The Local Governing Body shall meet at least three times in every academic year. Meetings of the Local Governing Body shall be convened by the clerk to the Local Governing Body. In exercising its functions under these rules the clerk shall comply with any direction:
- 8.2.1. given by the Trustees or the Local Governing Body; or
- 8.2.2. given by the chair of the Local Governing Body or, in his/her absence or where this is a vacancy in the office of chair, the vice-chair of the Local Governing Body, so far as such direction is not inconsistent with any direction given as mentioned in 8.2.1 above.
- 8.3. *Not used*
- 8.4. Each Governor of the Local Governing Body shall normally be given seven clear days before the date of a meeting:
- 8.4.1. notice in writing thereof, signed by the clerk, and sent to each Governor of the Local Governing Body at the postal address or email address provided by each Governor from time to time; and
- 8.4.2. a copy of the agenda for the meeting;
- provided that where the chair or, in his absence or where there is a vacancy in the office of chair, the vice-chair, so determines on the ground that there are matters demanding urgent consideration, it shall be sufficient if the written notice of a meeting, and the copy of the agenda thereof are given within such shorter period as he directs.
- 8.5. The convening of a meeting and the proceedings conducted thereat shall not be invalidated by reason of any individual not having received written notice of the meeting of a copy of the agenda thereof.
- 8.6. A resolution to rescind or vary a resolution carried at a previous meeting of the Local Governing Body shall not be proposed at a meeting of the Local Governing Body unless the consideration of the rescission or variation of the previous resolution is a specific item of business on the agenda for that meeting.
- 8.7. A meeting of the Local Governing Body shall be terminated forthwith if:
- 8.7.1. the Governors of the Local Governing Body so resolve; or
- 8.7.2. the number of Governors present ceases to constitute a quorum for a meeting of the Local Governing Body in accordance with paragraph 8.10
- 8.8. Where in accordance with paragraph 8.7 a meeting is not held or is terminated before all the matters specified as items of business on the agenda for the meeting have been disposed of, a further meeting shall be convened by the clerk as soon as is reasonably

practicable, but in any event within seven days of the date on which the meeting was originally to be held or was so terminated.

- 8.9. Where the Local Governing Body resolves in accordance with paragraph 8.7 to adjourn a meeting before all the items of business on the agenda have been disposed of, the Local Governing Body shall before doing so determine the time and date at which a further meeting is to be held for the purposes of completing the consideration of those items, and they shall direct the clerk to convene a meeting accordingly.
- 8.10. Subject to paragraph 8.12, the quorum for a meeting of the Local Governing Body, and any vote on any matter thereat, shall be any three of the Governors of the Local Governing Body, or, where greater, any one third (rounded up to a whole number) of the total number of persons holding office on the Local Governing Body at the date of the meeting. If the Trustees have appointed any additional Governors of the Local Governing Body pursuant to clause 1.1.3.5 of these Rules then a majority of the quorum must be made up of such persons.
- 8.11. The Local Governing Body may act notwithstanding any vacancies on its board, but, if the numbers of persons serving is less than the number fixed as the quorum, the continuing persons may act only for the purpose of filling vacancies or of calling a general meeting.
- 8.12. The quorum for the purposes of:
  - 8.12.1. any vote by the Governors on the removal of a person as a Governor; or
  - 8.12.2. any vote on the removal of the chair or vice-chair of the Local Governing Body;shall be any two-thirds (rounded up to a whole number) of the persons who are at the time entitled to vote on those respective matters including at least one Director.
- 8.13. Subject to these Rules, every question to be decided at a meeting of the Local Governing Body shall be determined by a majority of the votes of the persons present and entitled to vote on the question. Every Governor of the Local Governing Body shall have one vote.
- 8.14. Where there is an equal division of votes, the chair of the meeting shall have the option of making a casting vote in addition to any other vote he may have.
- 8.15. The proceedings of the Local Governing Body shall not be invalidated by:
  - 8.15.1. any vacancy on the board; or
  - 8.15.2. any defect in the election, appointment or nomination of any person serving on the Local Governing Body.
- 8.16. A resolution in writing, signed by all persons entitled to receive notice of a meeting of the Local Governing Body or of a subcommittee of the Local Governing Body, shall be valid and effective as if it had been passed at a meeting of the Local Governing Body or (as the case may be) a subcommittee of the Local Governing Body duly convened and held. Such a resolution may consist on several documents in the same form, each signed by one or more of the Governors of the Local Governing Body and may include

an electronic communication by or on behalf of the Local Governing Body indicating his or her agreement to the form of resolution providing that the Governor has previously notified the Local Governing Body in writing of the email address or addresses which the Governor will use.

- 8.17. Subject to paragraph 8.18, the Local Governing Body shall ensure that a copy of:
- 8.17.1. the agenda for every meeting of the Local Governing Body;
  - 8.17.2. the draft minutes of every such meeting, if they have been approved by the person acting as chair of that meeting;
  - 8.17.3. the signed minutes of every such meeting; and
  - 8.17.4. any report, document or other paper considered at any such meeting are, as soon as is reasonably practicable, made available at the Academy to persons wishing to inspect them.
- 8.18. There may be excluded from any item required to be made available in pursuance of paragraph 8.17, any material relating to:
- 8.18.1. a named teacher or other person employed, or proposed to be employed at the Academy;
  - 8.18.2. a named student at, or a candidate for admission to, the Academy; and
  - 8.18.3. any matter which, by reason of its nature, the Local Governing Body is satisfied should remain confidential.

## **9. Clerk**

- 9.1. The Local Governing Body/Trustees may appoint a clerk for the Local Governing Body. The clerk may be a person who is employed by the Company or may be paid for their services as clerk.
- 9.2. The Local Governing Body/Trustees shall determine any required qualifications, competences or experience when appointing the clerk.
- 9.3. The clerk shall assist with the administration of the Local Governing Body.
- 9.4. The clerk shall attend each meeting of the Local Governing Body. If the clerk is absent from a meeting the Governors will select one individual from among their number to perform the clerk's duties for that meeting.
- 9.5. The clerk does not have a vote.

## **10. Notices**

- 10.1. Any notice to be given to or by any person pursuant to this Scheme of Delegation (other than a notice calling a meeting of the Local Governing Body) shall be in writing or shall be given using electronic communications to an address for the time being notified for that purpose to the person giving the notice. In these Articles, "Address" in relation to



electronic communications, includes a number of addresses used for the purposes of such communication.

- 10.2. A notice may be given by the Local Governing Body to its Governors either personally or by sending it by post in a prepaid envelope addressed to the Governor at his registered address or by leaving it at that address or by giving it using electronic communications to an address for the time being notified to the Local Governing Body by the Governor. A Governor whose registered address is not within the United Kingdom and who gives the Local Governing Body an address within the United Kingdom at which notices may be given to him, or an address to which notices may be sent using electronic communications, shall be entitled to have notices given to him at that address, but otherwise no such Governor shall be entitled to receive any notice from the Local Governing Body.
- 10.3. A Governor of the Local Governing Body present, either in person or by proxy at any meeting of the Local Governing Body shall be deemed to have received notice of the meeting and, where necessary, of the purposes for which it was called.
- 10.4. Proof that an envelope containing a notice was properly addressed, prepaid and posted shall be conclusive evidence that the notice was given. Proof that a notice contained in an electronic communication was sent in accordance with guidance issued by the Institute of Chartered Secretaries and Administrators shall be conclusive evidence that the notice was given. A notice shall be deemed to be given at the expiration of 48 hours after the envelope containing it was posted or, in the case of a notice contained in an electronic communication, at the expiration of 48 hours after the time it was sent.

## **11. Indemnity**

- 11.1. Subject to the provisions of the Companies Act 2006 every Governor of the Local Governing Body or other officer or auditor of the Company acting in relation to the Academy shall be indemnified out of the assets of the Company against any liability incurred by him/her in that capacity in defending any proceedings, whether civil or criminal, in which judgment is given in his/her favour or in which s/he is acquitted or in connection with any application in which relief is granted to him by the court from liability for negligence, default, breach of duty or breach of trust in relation to the affairs of the Company.

### **13. SCHEME OF DELEGATION**

## **Tees Valley Collaborative Trust (“the MAT”)**

### **Scheme of Delegation For All Academies within the Trust**

**Approved by** Trustees

**Date of next scheduled review:** Yearly

**Publication/communication requirements:** The Board of Trustees should ensure that a copy is provided to Members, Board Committees (including the Local Governing Body), the Chief Executive Officer and the Principals/Headteachers. The Document should also be published on the Trust and Academy websites.

# TEES VALLEY COLLABORATIVE TRUST – SCHEME OF DELEGATION

## INTRODUCTION

### 1. Purpose of the Scheme of Delegation

- 1.1 The primary purpose of this Scheme of Delegation (Scheme) is to inform those involved with the governance of the Academy of where decision making, advisory and other responsibilities lie within the MAT.
- 1.2 The Scheme does not contain details of every decision/responsibility or every aspect that will be delegated. Its content will be supplemented by the Trust's strategic plans, policies and procedures and any direction given or rules and directions agreed or issued by the Members or the Board of Trustees. In the event that there is uncertainty as to which tier of governance has responsibility for a particular matter, guidance should be sought from the Chair of the Trust.
- 1.3 Whilst the Scheme is an important document, the way it is operated in practice will be the key to its efficacy. Good communication between the Board and its Committees and relevant members of staff will be essential.
- 1.4 The Scheme should not be confused with the written scheme of delegation of financial powers referred to in the Academies Financial Handbook, which is a separate document.

### 2. Adoption of the Scheme

- 2.1 This Scheme has been approved by the Board of Trustees and shall apply to the Academy from the date shown on the front cover.

### 3. How it has been determined

- 3.1 In determining this Scheme, the Trustees have been mindful that:
  - a. The Board of Trustees is ultimately accountable for the way in which the academies managed by the MAT are run and as such must be satisfied that delegation takes place only where appropriate and that it receives appropriate reports on matters delegated by it/actions taken in its name to enable appropriate oversight.
  - b. There are some areas where it makes sense for matters to be dealt with centrally, rather than by individual academies. It is hoped that this will reduce the burden on the individual academies, which already have a heavy workload, and in appropriate cases achieve economies of scale.
  - c. The Board cannot take all decisions itself, and in making decisions that the Board reserves for itself, it will often be reliant on information and advice from and be guided (as appropriate) by its Committees, the academy LGBs and others operating at academy level. The Board considers that there is often a powerful case for local involvement in decision making.

## TEES VALLEY COLLABORATIVE TRUST – SCHEME OF DELEGATION

### 4. Termination and amendment

- 4.1 The Scheme will be subject to formal review annually. However, where the Board deems it appropriate, changes will be made in year.
- 4.2 The Board has the absolute discretion to review, amend and/or terminate the Scheme at any time and as it sees fit (subject to complying with the legal requirements upon it).
- 4.3 As the MAT and the academies develop, so may the governance arrangements and accordingly the delegations that are in place. For example (and without limitation):
- Changes may need to be made as a result of lessons learned and development of best practice;
  - It is hoped that the strength of weaker academies will increase over time such that additional responsibilities may be delegated;
  - Where weaknesses develop in an academy's leadership and governance, or in particular areas, the MAT may need to intervene and remove delegations.
- 4.4 The Board would welcome comments on the operation of the Scheme where it is felt that revisions should be made. Where practicable, the Board will give the LGB an opportunity to comment before determining the Scheme of Delegation.

### 5. Delegation Matrix

- 5.1 The delegation matrix that applies in respect of the Academy is set out below. It is structured in accordance with the following index:

Section	Area covered	Page number
<b>A</b>	<b>Overarching Governance</b>	
<b>A1</b>	Member matters	04
<b>A2</b>	Board matters	05
<b>A3</b>	LGC and other committee matters	09
<b>A4</b>	Miscellaneous	12
<b>A5</b>	Website reporting	12
<b>B</b>	<b>Strategy and leadership</b>	
<b>B1</b>	Strategic planning and oversight	13
<b>B2</b>	School organisation	14
<b>B3</b>	Risk management	15
<b>C</b>	<b>Staffing</b>	
<b>C1</b>	Staffing structures	16
<b>C2</b>	Trust level appointments	17
<b>C3</b>	Academy level appointments	18
<b>D</b>	<b>Pupil/Student matters</b>	
<b>D1</b>	Education provision	20
<b>D2</b>	Behaviour, attendance and welfare	21
<b>D3</b>	School meals	22
<b>D4</b>	Admissions	22
<b>E</b>	Accessibility	23
<b>F</b>	<b>Finance and procurement</b>	24
<b>G</b>	Health and safety, insurance and premises and extended schools	26
<b>H</b>	<b>Communications, information and complaints</b>	
<b>H1</b>	External communications	28
<b>H2</b>	Complaints	28
<b>H3</b>	Information management	29

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	ACADEMY PRINCIPAL	ADVICE	COMMENTS
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
<b>A. Overarching Governance</b>								
<b>A1 Member matters</b>								
1.	Review and Amendment of Articles of Association	A	R				<ul style="list-style-type: none"> <li>Company Secretary / Clerk advice and support with process</li> <li>Legal advice (as required)</li> <li>Search and Governance Committee to advise</li> </ul>	<ul style="list-style-type: none"> <li>DfE and/or Charity Commission consent required in certain cases</li> <li>Must be filed at Companies House along with copy of special resolution and any required forms</li> </ul>
2.	Call Members' Meetings	A	A				<ul style="list-style-type: none"> <li>Company Secretary / Clerk advice and support with process</li> </ul>	<ul style="list-style-type: none"> <li>As a minimum, Members should hold an AGM once a year.</li> <li>Extraordinary meetings may also be called by Trustees or Members.</li> <li>Decisions may be made by written resolution between meetings in line with the process set out in the Articles of Association.</li> </ul>
3.	Appoint/remove Members	A					<ul style="list-style-type: none"> <li>Company Secretary / Clerk to advise and support process.</li> <li>Search and Governance Committee to advise.</li> </ul>	<ul style="list-style-type: none"> <li>New members can only be appointed by existing members.</li> <li>Company Secretary / Clerk to liaise with Trust personnel to ensure                             <ul style="list-style-type: none"> <li>- appropriate DBS and related checks made</li> <li>- Details of Member and their interests are uploaded on Trust website</li> </ul> </li> </ul>
4.	Complete Member register of interests, and keep under regular review	I/M	M	M	M		<ul style="list-style-type: none"> <li>Company Secretary / Clerk advice and support with process</li> </ul>	<ul style="list-style-type: none"> <li>Company Secretary / Clerk to liaise with Trust personnel to ensure details are uploaded on Trust website.</li> <li>Register of Member Interests should be brought to the attention of decision makers as appropriate (Chief Executive to oversee).</li> </ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	ACADEMY PRINCIPAL	ADVICE	COMMENTS
	<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>							
<b>A2</b>	<b>Board matters</b>							
5.	Appoint/remove Trustees	A	R				<ul style="list-style-type: none"> <li>• Clerk advice and support with process</li> <li>• Trustees to advise on skills gaps to inform decision making</li> <li>• Search and Governance Committee to advise</li> </ul>	<ul style="list-style-type: none"> <li>• The Members shall appoint a minimum of 6 Trustees, following recommendation from the Board of Trustees</li> <li>• Code of Conduct should be agreed and all Trustees should be required to sign it</li> <li>• The clerk to liaise with appropriate Trust personnel to ensure that                             <ul style="list-style-type: none"> <li>• appropriate DBS and related checks are made</li> <li>• Details of Trustees and their interests are uploaded on Trust website</li> </ul> </li> <li>• Return must be filed at Companies House by the Company Secretary.</li> <li>• Chair of Board, Chief Executive and Company Secretary / Clerk and others as appropriate to provide induction.</li> </ul>
6.	Complete Trust Board skills audit and training plan annually	M	I/M	R			<ul style="list-style-type: none"> <li>• Chair of Board to lead – Clerk advice and support with process</li> <li>• S &amp; G to provide advice and support</li> </ul>	<ul style="list-style-type: none"> <li>• Skills audit should include ability and commitment.</li> <li>• Chair of Board to follow up with Trustees on training requirements</li> <li>• Details of skills gaps should be provided to those responsible for appointing Trustees when a vacancy arises</li> </ul>
7.	Appoint/Remove Chair of Trustees	M	A				<ul style="list-style-type: none"> <li>• Clerk advice and support with process</li> <li>• S &amp; G to provide advice and support</li> </ul>	<ul style="list-style-type: none"> <li>• Should not be an employee</li> </ul>
8.	Appointment Vice Chair of Trustees	M	A				<ul style="list-style-type: none"> <li>• Clerk advice and support with process</li> </ul>	<ul style="list-style-type: none"> <li>• Should not be an employee</li> </ul>
9.	Confirm Accounting Officer		A				<ul style="list-style-type: none"> <li>• CFO to support and notify Secretary of State</li> </ul>	<ul style="list-style-type: none"> <li>• The Accounting Officer to be the Chief Executive (the role will be heavily supported by the Chief Financial Officer and the Principals).</li> <li>• Has responsibility for regularity, propriety and value for money. Also responsibility for ensuring that proper financial records and accounts are kept.</li> </ul>
10.	Appoint/remove Company Secretary		A	R			<ul style="list-style-type: none"> <li>• S&amp;G to advise and support.</li> <li>• HR advice obtained as required</li> </ul>	<ul style="list-style-type: none"> <li>• Should have relevant experience in school/company/charity governance.</li> <li>• Reports directly to the Board</li> </ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	ACADEMY PRINCIPAL	ADVICE	COMMENTS
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
11.	Determine Scheme of Delegation		A	R	R	R	<ul style="list-style-type: none"> <li>S &amp; G to advise and support</li> <li>Company Secretary / Clerk and Chief Executive advice and support</li> <li>LGBs and other Committees to provide advice on amendment based on experience of operation</li> </ul>	<ul style="list-style-type: none"> <li>The document will be reviewed every year or more frequently where the Trustees deem this to be desirable.</li> <li>Where practicable, the Board will give the LGB and Committees an opportunity to comment before determining the Scheme of Delegation.</li> <li>The Scheme will comply with the Memorandum and Articles of Association and other legal requirements, including any matters that are reserved to Members from time to time.</li> </ul>
12.	Complete Trustee register of interests and keep under regular review		I/M	M			<ul style="list-style-type: none"> <li>Clerk advice and support with process</li> </ul>	<ul style="list-style-type: none"> <li>Clerk to liaise with Trust personnel to ensure details are uploaded on Trust website.</li> <li>Register of Trustee Interests should be brought to the attention of decision makers as appropriate (Chief Executive to oversee).</li> </ul>
13.	Board of Trustees' Annual Schedule of Business		A	R	M		<ul style="list-style-type: none"> <li>Chair of Board to lead, with Clerk advice and support with process</li> <li>Appropriate advice and input from Chief Executive and those responsible for planning LGB/other Committee Annual Schedule of Business</li> </ul>	<ul style="list-style-type: none"> <li>Should be shared with LGB and other Committees to inform their work</li> <li>Chair of Board and Clerk to use to inform agenda setting</li> <li>Trustees should meet at least every three times a year</li> </ul>
14.	Determine policy review process and schedule		A	Delegated	A (by exception where delegated)	Delegated	<ul style="list-style-type: none"> <li>Clerk advice and support with process</li> <li>Appropriate advice and input from Chief Executive (and other key employees) and those responsible for LGB/other Committee policy review</li> </ul>	<ul style="list-style-type: none"> <li>Needs to dovetail with annual schedule of business (see above).</li> <li>Should specify what policies there are to be, the lead member of staff responsible for the policy, the approving person/body and when the review will take place.</li> <li>Review of policies to be conducted in accordance with process and schedule.</li> </ul>
15.	Annual Review of Governance and Board Effectiveness		I/M				<ul style="list-style-type: none"> <li>Chair of Board to lead.</li> <li>Clerk and Chief Executive advice and support with process</li> </ul>	<ul style="list-style-type: none"> <li>This should dovetail with the Committees' (including LGB's) reviews of their own effectiveness (see below).</li> <li>The outcome of the review may impact on the level of delegation to LGBs and others under the Scheme of Delegation or otherwise.</li> <li>Trustees to consider whether an external review of governance should take place.</li> </ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	ACADEMY PRINCIPAL	ADVICE	COMMENTS
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
16.	Annual Report and Financial Statements	M	A	R, A			<ul style="list-style-type: none"> <li>• CFO to co-ordinate draft, with input from Chief Executive and Clerk</li> <li>• Auditors to review and sign off</li> <li>• Trustees and Accounting Officer must approve relevant sections</li> </ul>	<ul style="list-style-type: none"> <li>• The Members should receive and scrutinise the accounts at their AGM.</li> <li>• The document should be filed with Companies House and the DfE and uploaded onto the Trust's website.</li> </ul>
17.	Other company returns			A			<ul style="list-style-type: none"> <li>• Trust staff to advise as appropriate e.g. HR Director, CFO, clerk</li> </ul>	<ul style="list-style-type: none"> <li>• To include key Companies House filings and DfE returns</li> </ul>
18.	Chief Executive Reports to Trustees		M	I			<ul style="list-style-type: none"> <li>• The Chief Executive will be supported by others as appropriate e.g. Company Secretary / Clerk, CFO, HR Director,</li> </ul>	<ul style="list-style-type: none"> <li>• The Trustees should agree with the Chief Executive what reports are required, the required frequency and the content of those reports.</li> <li>• The Trustees should receive the reports at a Board meeting to enable appropriate questioning and follow up.</li> </ul>
19.	Supplemental Reports to Members	M	A	R			<ul style="list-style-type: none"> <li>• The Chief Executive should co-ordinate the reports for input and approval by the Trustees.</li> <li>• The Chief Executive and the Trustees will be supported by others as appropriate e.g. Company Secretary / Clerk, CFO, HR Director,</li> </ul>	<ul style="list-style-type: none"> <li>• The Members should agree with the Trustees what additional reports are required, the required frequency and the content of those reports.</li> <li>• The Members should receive the supplemental reports at their AGM and/or at Extraordinary General Meetings to enable appropriate questioning and follow up</li> </ul>



## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	ACADEMY PRINCIPAL	ADVICE	COMMENTS
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
<b>A3</b>	<b>LGB and other committee matters</b>							
20.	Determine and keep under review Committee complement and composition		A	R	R	R	<ul style="list-style-type: none"> <li>Chief Executive and Clerk to advise and support</li> <li>Principal and Clerk to aid formulation of LGB advice</li> <li>Clerk advice and support with process</li> </ul>	<ul style="list-style-type: none"> <li>Consideration will need to be given as to:                             <ul style="list-style-type: none"> <li>what Committees are required (under the Articles of Association/Funding Agreements/Academies Financial Handbook e.g. Audit/Finance, LGB)</li> <li>What additional Committees (board and/or LGB and/or shared) would be useful given the size of the MAT and the decision making functions that take place at each level of governance.</li> <li>Membership, terms of reference, reporting requirements, decision making and other procedures etc. of each Committee (please see below)</li> </ul> </li> <li>Under the Articles of Association:                             <ul style="list-style-type: none"> <li>The constitution, membership and proceedings of any committee must be determined by the /Trustees.</li> <li>The establishment, terms of reference, constitution and membership of any committee shall be reviewed at least once in every twelve months.</li> <li>The membership of any committee of the Trustees may include persons who are not Trustees, provided that (with the exception of the LGBs) a majority of members of any such committee shall be Trustees.</li> <li>Except in the case of a LGB, no vote on any matter shall be taken at a meeting of a committee of the Trustees unless the majority of members of the committee present are Trustees.</li> </ul> </li> <li>Academy trusts are required to establish a Trustee committee to provide assurance over the suitability of, and compliance with, its financial systems and operational controls. All Trusts with an annual income over £50 million must have a dedicated audit committee. The majority of members must be Trustees.</li> <li>The composition will be set out in the LGB's Terms of Reference.</li> </ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	ACADEMY PRINCIPAL	ADVICE	COMMENTS
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
21.	Appointing LGB governors		A		R		<ul style="list-style-type: none"> <li>• Clerk advice and support with process</li> <li>• Details of skills gaps should be provided to those responsible for appointing Local Governors when a vacancy arises</li> </ul>	<ul style="list-style-type: none"> <li>• Code of Conduct should be agreed and all Local Governors should be required to sign it</li> <li>• Clerk to liaise with appropriate staff to ensure: <ul style="list-style-type: none"> <li>• appropriate DBS and related checks are made</li> <li>• Details of Local Governors and their interests are uploaded on Academy website</li> </ul> </li> <li>• Clerk, Principal and Chair of LGB (and others as appropriate) to lead induction.</li> </ul>
22.	Hold staff and parent elections for LGB				I	R	<ul style="list-style-type: none"> <li>• Clerk and Principal advice and support with process</li> </ul>	<ul style="list-style-type: none"> <li>• Must be in accordance with any relevant provisions in Articles of Association, Scheme of Delegation and LGB Terms of Reference.</li> </ul>
23.	Appoint Chair of LGB		A		R		<ul style="list-style-type: none"> <li>• Clerk advice and support with process</li> </ul>	<ul style="list-style-type: none"> <li>• Must not be an employee.</li> </ul>
24.	Appoint vice Chair of LGB				A		<ul style="list-style-type: none"> <li>• Clerk advice and support with process</li> </ul>	<ul style="list-style-type: none"> <li>• Must not be an employee</li> </ul>
25.	Allocate specific local governor roles				A	R	<ul style="list-style-type: none"> <li>• Chair of LGB to lead, based on skills</li> <li>• Trustees to specify certain required roles to dovetail with own link Trustees (if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• Allocated LGB members should work with Trustees allocated with specific responsibilities in their areas</li> <li>• LGB may choose to allocate additional link roles [e.g. <i>Safeguarding/Child Protection, Health and Safety, Special Educational Needs</i>]</li> <li>• All LGB members continue to have responsibility for these areas, despite any allocation of specific roles</li> </ul>
26.	Complete LGB register of interests and keep under regular review		M	M	I/M		<ul style="list-style-type: none"> <li>• Clerk advice and support with process</li> <li>• Clerk to liaise with appropriate Academy personnel to ensure uploaded on website</li> </ul>	<ul style="list-style-type: none"> <li>• Register of LGB Interests should be brought to the attention of decision makers as appropriate (Principals to oversee).</li> </ul>
27.	Determine LGB annual schedule of business		R	R	I/M	R	<ul style="list-style-type: none"> <li>• Chair to lead with Clerk advice and support with process</li> <li>• Appropriate advice and input from Chief Executive, Principals and those responsible for planning other Annual Schedules of Business</li> </ul>	<ul style="list-style-type: none"> <li>• This needs to dovetail with the Board of Trustees' Schedule of business</li> <li>• Chair and Clerk to use to inform agenda setting</li> <li>• LGB should meet at least once each term</li> </ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	ACADEMY PRINCIPAL	ADVICE	COMMENTS
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
28.	Academy level Reporting to Trustees		M	R	I		<ul style="list-style-type: none"> <li>Clerk to advise.</li> </ul>	<ul style="list-style-type: none"> <li>LGB minutes will be provided to Trustees as standard. The co-ordinated schedule of business should mean that this enables LGB advice to get to the Board in a timely manner to inform their decision making.</li> <li>The content and frequency of any additional LGB reports shall be specified by the Trustees.</li> <li>Additional Academy level reporting should be included in Chief Executive reports as appropriate (see above).</li> <li>The Trustees should receive the minutes and any additional reports at Board Meetings to enable appropriate discussion and scrutiny.</li> </ul>
29.	Review of LGB effectiveness		M	R	I/M	R	<ul style="list-style-type: none"> <li>Chair of LGB to lead, Clerk advice and support with process</li> </ul>	<ul style="list-style-type: none"> <li>This should dovetail with the Board's reviews of their own effectiveness (Trustees may set a template).</li> <li>Conclusions should be fed into the Board's review of governance effectiveness and may impact on future levels of delegation pursuant to the Scheme of Delegation.</li> <li>LGB to participate as required in any external review of governance required by the Trustees.</li> </ul>
30.	LGB skills audit		M	R	I/M	R	<ul style="list-style-type: none"> <li>Clerk advice and support with process</li> </ul>	<ul style="list-style-type: none"> <li>Trustees may set a template.</li> <li>Trustees to receive details and may impact on areas of delegation</li> <li>Details of skills gaps should be provided to those responsible for appointing local governors when a vacancy arises</li> </ul>
31.	Determine LGB procedures		A		R		<ul style="list-style-type: none"> <li>Clerk to board to advice and support</li> <li>Clerk to support LGB in formulating advice</li> </ul>	<ul style="list-style-type: none"> <li>These must be in compliance with the Articles of Association and must include details relating to appointment of Chair/Vice Chair, quorum and decision making and other procedures etc</li> </ul>
32.	Determine governance policies and procedures for Trustees and Local Governors		A				<ul style="list-style-type: none"> <li>CFO and Clerk to advise and support</li> </ul>	<ul style="list-style-type: none"> <li>E.g. appointment, Induction, expenses, Interests (conflicts, payments, contacts etc), Code of Conduct Policies must be in accordance with Articles of Association</li> </ul>
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	ACADEMY PRINCIPAL	ADVICE	COMMENTS
A4	Miscellaneous							
33.	Obtain Trustee and Officers insurance			I			<ul style="list-style-type: none"> <li>• CFO and Company Secretary advise and support</li> </ul>	<ul style="list-style-type: none"> <li>• Must be in accordance with Articles of Association</li> </ul>
A5	Website reporting							
34.	Governance details on trust website		M	I/M			<ul style="list-style-type: none"> <li>• Executive PA &amp; Chief Executive to advise and support</li> </ul>	<ul style="list-style-type: none"> <li>• Marketing Officer responsible for ensuring information up to date</li> </ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	PRINCIPAL / Headteacher	ADVICE	COMMENTS
A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors								
<b>B.</b>	<b>Strategy and Leadership</b>							
<b>B1</b>	<b>Strategic planning and oversight</b>							
1.	Set Trust vision, aim and objectives.		A/D/M	D/R/I			<ul style="list-style-type: none"> <li>Chief Executive leading role in formulating for Trustee scrutiny</li> </ul>	<ul style="list-style-type: none"> <li>Chief Executive responsible for implementation</li> </ul>
2.	Set strategic objectives and KPIs of Trust and determine Trust Development Plan and review process.		A/D/M	D/R/I			<ul style="list-style-type: none"> <li>Chief Executive leading role in formulating for Trustee scrutiny</li> </ul>	<ul style="list-style-type: none"> <li>Chief Executive responsible for ensuring objectives are met and for progress against Development Plan</li> <li>Development Plan must be in line with strategic objectives</li> </ul>
2a	Establish and monitor Trust growth plan.		A	D/R/I				
3.	Set Academy vision, aim and objectives.		A	R	D/R	D/R/I	<ul style="list-style-type: none"> <li>Principal leading role in formulating for LGB scrutiny</li> </ul>	<ul style="list-style-type: none"> <li>Must fit with Trust vision and ethos (Chief Executive to ensure)</li> <li>Principal responsible for implementation</li> </ul>
4.	Set Academy's strategic objectives and KPIs and determine Academy Development Plan and review process		M	R	A/D/M	D/R/I	<ul style="list-style-type: none"> <li>Principal leading role in formulating (in conjunction with the Chief Executive) for LGB scrutiny</li> </ul>	<ul style="list-style-type: none"> <li>Must fit with Trust strategic objectives, KPIs and Plan (Chief Executive to ensure) and reflect Ofsted outcomes</li> <li>Development plan must be in line with strategic objectives</li> <li>Board of Trustees may provide templates</li> </ul>
5.	Complete Academy Self Evaluation Form (or equivalent!)		M	M	A	D/R/I	<ul style="list-style-type: none"> <li>Principal leading role in formulating for LGB scrutiny</li> </ul>	<ul style="list-style-type: none"> <li>SEF to reflect progress against Development Plan</li> <li>Trust board may provide templates</li> <li>Chief Executive to scrutinise and report on outcomes to the Board</li> </ul>
6.	Involvement in Ofsted inspections		I/M	I	I/M	I		<ul style="list-style-type: none"> <li>Trustees and LGB members will be involved as appropriate in Ofsted inspections</li> <li>The Principal will notify the Chief Executive, Chair of the Board and the Chair of the LGB that an inspection has been notified and what involvement is needed from the Board and the LGB.</li> </ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

B2 School Organisation								
A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors								
7.	Determine protocol for considering taking on new academies/free schools (including due diligence arrangements)		A	D/R/I			<ul style="list-style-type: none"> <li>Chief Executive leading role in formulating for Trustee scrutiny.</li> <li>CFO to support and advise.</li> </ul>	<ul style="list-style-type: none"> <li>Chief Executive to manage process in accordance with agreed protocol</li> <li>This should include the need for a conversion plan to deal with pre and post conversion matters, with an overall project manager identified, and the need for appropriate HR, Finance, buildings, legal etc advice</li> </ul>
8.	Decide to take on a new academy/open a free school	Informed	A	D/R/I			<ul style="list-style-type: none"> <li>Trustees to obtain appropriate legal, HR, Finance, buildings etc advice</li> </ul>	<ul style="list-style-type: none"> <li>Trustees must look carefully at all aspects of a potential academy prior to recommending an academy is taken on/free school established, given the impact that the decision may have on the academies already in the Trust</li> </ul>
9.	Approve legal documentation associated with academy conversions		A	I/R			<ul style="list-style-type: none"> <li>Trustees will obtain appropriate Legal, HR, Finance, buildings etc advice</li> </ul>	<ul style="list-style-type: none"> <li>Trustees must understand the documentary framework and what is being agreed to by entering into it.</li> </ul>
10.	Agreeing significant changes to an academy (e.g. potentially contentious proposals, changes to premises, change of age range)	Informed	A	R	R	D/R/I		<ul style="list-style-type: none"> <li>DfE consent may be required</li> </ul>
11.	Determining school session and term dates		M	A	R	D/R/I		<ul style="list-style-type: none"> <li>This allows Trustees to co-ordinate the schools in the Trust to the extent that this is desirable, whilst reflecting local needs</li> </ul>
B3 Risk Management								
12.	Determine overall risk management policy and processes		A/M	D/R/I			<ul style="list-style-type: none"> <li>Chief Executive to lead, advise and co-ordinate input from CFO and other trust level staff.</li> <li>Finance &amp; Audit Committee to advise.</li> </ul>	<ul style="list-style-type: none"> <li>To include template risk register and frequency of review</li> </ul>
13.	Review and complete Trust risk register		A/M	D/R/I			<ul style="list-style-type: none"> <li>Chief Executive to lead, advise and co-ordinate input from CFO and trust level staff.</li> <li>Finance &amp; Audit Committee to advise.</li> </ul>	<ul style="list-style-type: none"> <li>Using agreed risk register template</li> <li>To reflect major Academy specific risks as appropriate</li> </ul>
14.	Review and complete academy level risk register			M	A/M	D/R/I	<ul style="list-style-type: none"> <li>Principal/Head to lead, advise and co-ordinate input from senior Academy staff</li> </ul>	<ul style="list-style-type: none"> <li>Using agreed risk register template</li> <li>To inform Trust risk register review</li> </ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	PRINCIPAL/ HEAD	ADVICE	COMMENTS
<b>C. Staffing</b>								
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
<b>C1 Staffing structures</b>								
1.	Determining staffing complement – Trust level (including organisational restructuring)		A	D/R/I			<ul style="list-style-type: none"> <li>Chief Executive, HR and CFO to advise</li> <li>Trust Board's S &amp; G Committee to support Board</li> </ul>	<ul style="list-style-type: none"> <li>This relates to determining the Trust level staff structure. Please see below in relation to appointment to those positions.</li> </ul>
2.	Determining staffing complement – Academy level (including organisational restructuring)		A	R	R/M	D/R/I	<ul style="list-style-type: none"> <li>Chief Executive to lead and advise with academy level input</li> <li>HR and Finance advice</li> </ul>	<ul style="list-style-type: none"> <li>This relates to determining the Academy level staff structure. Please see below in relation to appointment to those positions.</li> </ul>
3.	Setting terms and conditions of employment, Trust wide HR policies and procedures and staff handbook		A	D/R/I	M (compliance)		<ul style="list-style-type: none"> <li>Chief Executive to lead and advise</li> <li>Trust Board's Search Committee to support Board</li> <li>HR lead support</li> </ul>	<ul style="list-style-type: none"> <li>Need to ensure local differences and TUPE considerations taken into account</li> <li>Policies to include e.g. recruitment, probation and induction, pay, appraisal, conduct and disciplinary, grievance, capability, absence management, professional development, equality, expenses</li> <li>Chief Executive to report to Trustees on any material concerns about operation of policies and procedures</li> <li>Principal to ensure appointments are compliant with T&amp;Cs, policies and procedures</li> </ul>
4.	Carry out and maintain central record of recruitment and vetting checks on staff		M Safeguarding Trustee in place.	For Trust level staff: I	Academy staff: R Safeguarding LGB member	Academy staff I	<ul style="list-style-type: none"> <li>Chief Executive responsible for Trust wide staff, Principal responsible for Academy staff (HR Officer to advise and manage)</li> </ul>	

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	PRINCIPAL/ HEAD	ADVICE	COMMENTS
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
5.	Maintain register of interests for relevant staff members			For Trust level staff: I		Academy staff I	<ul style="list-style-type: none"> <li>CFO to advise and manage</li> </ul>	<ul style="list-style-type: none"> <li>Interests should be brought to the attention of decision makers as appropriate.</li> </ul>
C2	Trust level appointments							
6.	Appointment and dismissal of Chief Executive		D/I				<ul style="list-style-type: none"> <li>S &amp; G to support and advise</li> <li>HR Adviser to support and advise</li> </ul>	<ul style="list-style-type: none"> <li>Must be in accordance with Trust approved HR policies</li> </ul>
7.	Performance Management and pay review of Chief Executive		D/I				<ul style="list-style-type: none"> <li>Chair of the Board</li> <li>HR Adviser to support and advise</li> </ul>	<ul style="list-style-type: none"> <li>Must be in accordance with Trust approved HR policies</li> </ul>
8.	Appointment and dismissal of Chief Financial Officer		A	D/R/I			<ul style="list-style-type: none"> <li>HR Adviser to support and advise</li> </ul>	<ul style="list-style-type: none"> <li>Must be in accordance with Trust approved HR policies</li> <li>Line managed by Chief Executive</li> <li>To act as chief financial officer for delivery of Trust's detailed accounting requirements</li> <li>This individual should attend board meetings (and committee meetings as appropriate)</li> </ul>
9.	Appointment and dismissal of other director level posts (to include Estates, Information)		A	D/R/I			<ul style="list-style-type: none"> <li>HR Advice</li> </ul>	<ul style="list-style-type: none"> <li>Must be in accordance with Trust approved HR policies</li> <li>Line managed by Chief Executive</li> </ul>
10.	Other trustwide appointments and dismissals			I			<ul style="list-style-type: none"> <li>HR Advice</li> </ul>	<ul style="list-style-type: none"> <li>Must be in accordance with Trust approved HR policies</li> </ul>
11.	Performance management and pay review of senior trust wide appointments			I			<ul style="list-style-type: none"> <li>HR Advice</li> </ul>	<ul style="list-style-type: none"> <li>Must be in accordance with Trust approved HR policies</li> </ul>



## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	PRINCIPAL/ HEAD	ADVICE	COMMENTS
C3	Academy level appointments							
A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors								
12.	Appointment / dismissal of Headteacher / Principal		A	D/R/I	R		<ul style="list-style-type: none"><li>S &amp; G to support and advise</li><li>HR Adviser to support and advise</li></ul>	<ul style="list-style-type: none"><li>Must be in accordance with Trust approved HR policies</li><li>Chief Executive and LGB panel to interview and recommend. Trustees will send one of their member to sit on panel.</li><li>Line managed by Chief Executive.</li></ul>
13.	Appointment / dismissal of Deputy Headteacher / Vice-Principal and Assistant Headteacher / Assistant Principal		A	R	R	D/R/I	<ul style="list-style-type: none"><li>HR Adviser to support and advise</li></ul>	<ul style="list-style-type: none"><li>Must be in accordance with Trust approved HR policies</li><li>Chief Executive and LGB panel to interview and recommend. Trustees will send one of their member to sit on panel.</li></ul>
14.	Performance management and pay of Principal/Head		M	D/A/I	R		<ul style="list-style-type: none"><li>HR Adviser to support and advise</li><li>Independent advisor should support appraisal process</li><li>S &amp; G to support and advise</li></ul>	<ul style="list-style-type: none"><li>Must be in accordance with Trust approved HR policies</li><li>Chief Executive to performance manage. Advisory role for LGB</li></ul>
15.	Appointment of other Academy Senior Leadership Team positions			M	R/A	D/A/I	<ul style="list-style-type: none"><li>HR Adviser to support and advise</li></ul>	<ul style="list-style-type: none"><li>Must be in accordance with Trust approved HR policies</li><li>LGB panel plus Principal to interview and decide unless LGB delegate particular appointment to Principal.</li><li>Line managed by Principal</li></ul>
16.	Appointment of special needs co-ordinator (SENCO)				M	I	<ul style="list-style-type: none"><li>HR Adviser to support and advise</li></ul>	<ul style="list-style-type: none"><li>LGB panel plus Principal to interview and decide unless LGB delegate particular appointment to Principal</li><li>Any allocated SEND local governor to be involved as appropriate</li><li>Line managed by Principal</li></ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	PRINCIPAL/ HEAD	ADVICE	COMMENTS
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
17.	Appointment safeguarding /child protection officer (designated senior person) and a deputy				M	I	<ul style="list-style-type: none"> <li>HR Lead to support and advise</li> </ul>	<ul style="list-style-type: none"> <li>Must be in accordance with Trust approved HR policies</li> <li>LGB panel plus Principal to interview and decide unless LGB delegate particular appointment to Principal</li> <li>Line managed by Principal</li> </ul>
18.	Appointment of academy business manager or equivalent			A/I		R	<ul style="list-style-type: none"> <li>HR Lead, CFO and CEO to support and advise</li> </ul>	<ul style="list-style-type: none"> <li>Must be in accordance with Trust approved HR policies</li> <li>Panel to include:                             <ul style="list-style-type: none"> <li>- Principal</li> <li>- Trust's CFO</li> </ul> </li> <li>Line managed by Principal / Trust CFO (to determine)</li> </ul>
19.	Appointment other Academy staff positions					A/I	<ul style="list-style-type: none"> <li>HR Lead to support and advise</li> </ul>	<ul style="list-style-type: none"> <li>Must be in accordance with Trust approved HR policies</li> <li>Line managed by Principal or other SLT member</li> </ul>
20.	Performance management and pay review of Academy level appointments (other than Principal)		A	A		I/R	<ul style="list-style-type: none"> <li>HR Lead to support and advise</li> <li>S &amp; G to advise.</li> </ul>	<ul style="list-style-type: none"> <li>Must be in accordance with Trust approved HR policies</li> <li>Line manager to run process and submit recommendations to the Principal</li> <li>Where the Principal is not the line manager, the Principal may be involved in process (as appropriate)</li> </ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	PRINCIPAL/ HEAD	ADVICE	COMMENTS
<b>D. Pupil/Student matters</b>								
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
<b>D1 Education provision</b>								
1.	Standards of teaching		M	M	M	D/I	<ul style="list-style-type: none"> <li>Advice and support from School Improvement Lead as required</li> <li>Analysis of standards information to be provided by Principal to LGB and Chief Executive to enable appropriate scrutiny</li> </ul>	<ul style="list-style-type: none"> <li>Principal responsible for observing and evaluating performance at Academy level and securing improvement, under oversight of Chief Executive.</li> <li>Trustees &amp; Members to receive agreed level of reporting (see section A above).</li> </ul>
2.	Pupil progress and attainment		M	M	M	D/I	<ul style="list-style-type: none"> <li>Advice and support from School Improvement Lead as required</li> <li>Analysis of progress and attainment to be provided by Principal to LGB and Chief Executive to enable appropriate local scrutiny</li> </ul>	<ul style="list-style-type: none"> <li>Principal responsible for progress and attainment and securing improvement at Academy level, under oversight of Chief Executive and LGB.</li> <li>Trustees &amp; Members to receive agreed level of reporting (see section A above)</li> <li>Key role for Trust Standards Committee.</li> </ul>
3.	Setting curriculum policy		M	A	M	D/R/I	<ul style="list-style-type: none"> <li>Advice and support from School Improvement Lead as required</li> </ul>	<ul style="list-style-type: none"> <li>Curriculum must be balanced and broadly based and comply with the terms of any curriculum policy/requirements determined by the Board</li> </ul>
4.	Curriculum provision			M	M	D/I		<ul style="list-style-type: none"> <li>Principal to implement in line with policy, overseen by Chief Executive</li> </ul>
5.	Examinations				M	I		<ul style="list-style-type: none"> <li>Principal to ensure appropriate arrangements put in place for examinations</li> </ul>
6.	Determining off site visits policy		A	R/M	M	D/I		<ul style="list-style-type: none"> <li>Principal to implement agreed policy at Academy level, overseen by Chief Executive</li> <li>Should dovetail with health and safety policy</li> <li>Policy should require that potentially hazardous activities are referred to the Board for approval</li> <li>Chief Executive to report to Trustees on any material concerns about operation of policy</li> </ul>
7.	Careers advice provision				M	D/I		
8.	Community and after school provision (extended schools)			M	M	D/I	<ul style="list-style-type: none"> <li>See section G below in relation to use of school premises</li> </ul>	

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	PRINCIPAL/ HEAD	ADVICE	COMMENTS
D2	Behaviour, attendance and welfare							
A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors								
9.	Establish behaviour and discipline policy (including exclusions)		A	R/M	M	D/I		<ul style="list-style-type: none"><li>Principal to implement, overseen by Chief Executive</li><li>Chief Executive to report to Trustees on any material concerns about operation of policy</li></ul>
10.	Exclusions – decision to exclude Temporary Permanent		M	M M	M A	A R		<ul style="list-style-type: none"><li>May be for one or more fixed periods (up to a maximum of 45 school days in a single academic year), or permanently.</li><li>The Principal may withdraw an exclusion that has not been reviewed by the LGB.</li></ul>
11.	Notifications of exclusions				M	I		<ul style="list-style-type: none"><li>Principal to notify LGB and others in accordance with Exclusions Code Depending on exclusion, this will be either without delay or once a term.</li><li>Notifications must include the reasons and duration</li></ul>
12.	Exclusions – to review overall pattern and use of exclusions			M	M	I		<ul style="list-style-type: none"><li>Trustees to receive agreed level of reporting (see Section A above)</li></ul>
13.	Exclusions – arrange alternative provision				M	I		<ul style="list-style-type: none"><li>Arrange alternative provision in accordance with Exclusions Code</li></ul>
14.	Exclusions – to review exclusion decisions and consider reinstatement in applicable cases				M			<ul style="list-style-type: none"><li>Can be delegated to sub-committee of at least 3 LGB members</li><li>Can be delegated to Chair of LGB where permitted by Exclusions Code</li></ul>
15.	Pupil attendance		M	M	M	I	<ul style="list-style-type: none"><li></li></ul>	<ul style="list-style-type: none"><li>Trustees to receive agreed level of reporting (see Section A above)</li></ul>
16.	Safeguarding and child protection policy		A/M	R/M	M			<ul style="list-style-type: none"><li>Principal to implement at academy level, overseen by Chief Executive</li><li>Chief Executive to report to Trustees on any material concerns about operation of policy</li></ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	PRINCIPAL/ HEAD	ADVICE	COMMENTS
D3	School meals							
A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors								
17.	Provision of school meals				M	I		<ul style="list-style-type: none"><li>• Must include provision of free school meals to those eligible</li><li>• Must be in accordance with nutritional standards</li></ul>
D4	Admissions							
18.	Determining admissions policy		A	R	R	D/R		
19.	Admissions application decisions				A	R/I		<ul style="list-style-type: none"><li>• Principal responsible for co-ordinating and managing process</li><li>• Must be in accordance with published admission arrangements</li></ul>
20.	Arrangement of independent appeals panel			R	I	R	<ul style="list-style-type: none"><li>• Advice and support from Clerk</li></ul>	<ul style="list-style-type: none"><li>• Must be an independent panel established in accordance with the Admissions Appeals Code</li></ul>
21.	Appeals against LA directions to admit pupils				I	R		

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	PRINCIPAL/ HEAD	ADVICE	COMMENTS
<b>E. Accessibility</b>								
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
1.	Accessibility plan				A	R		<ul style="list-style-type: none"> <li>Plan for increasing accessibility to disabled pupils (curriculum, physical environment, information)</li> </ul>
2.	Equality information and objectives statement and equality objectives		A	R	M	D/I	<ul style="list-style-type: none"> <li>Chief Executive to co-ordinate process with input from Principal and others as required</li> </ul>	<ul style="list-style-type: none"> <li>Requirement to draw up and publish equality objectives every four years and annually publish information demonstrating how meeting the aims of the general public sector equality duty.</li> </ul>
3.	Determine SEND and inclusion policies		A	R	R	D/I	<ul style="list-style-type: none"> <li>Advice from SENCO</li> </ul>	<ul style="list-style-type: none"> <li>To include social disadvantage, equality, disability discrimination, looked after children, pupil premiums</li> <li>Trustees may provide templates for tailoring at local level</li> <li>There should be a member of the LGB with specific oversight of the school's arrangements for SEN and disability</li> <li>Principal to implement at Academy level (overseen by Chief Executive)</li> <li>Chief Executive to report to Trustees on any material concerns about operation of policy</li> </ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	PRINCIPAL/ HEAD	ADVICE	COMMENTS
<b>F. Finance and procurement</b>								
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
1.	Appoint/remove auditors	A	R	R			<ul style="list-style-type: none"> <li>CFO to advise and manage process</li> </ul>	<ul style="list-style-type: none"> <li>Key role for Finance and Audit Committee</li> <li>To be appointed annually at the AGM</li> </ul>
2.	Appoint responsible officer/internal auditor/agreement of additional assurance support from auditors or other third party		A (Finance and Audit Committee to recommend)				<ul style="list-style-type: none"> <li>CFO to advise and manage process</li> </ul>	<ul style="list-style-type: none"> <li>Key role for Finance and Audit Committee</li> <li>Finance and Audit Committee to determine the scope of work for the Internal Audit/Responsible Officer/Additional Assurance report, ensure relevant standards are met and is compliant with relevant guidelines.</li> </ul>
3.	Respond to auditors' report/advice		M (Trust level) I (Finance & Audit Committee)	I (Trust level)	M (Academy level matters)	I (Academy level matters)	CFO to support, with assistance from Academy Finance Manager at Academy level	<ul style="list-style-type: none"> <li>Key role for Finance and Audit Committee.</li> </ul>
4.	Annual Report and Accounts	M Receive, scrutinise	A (Finance & Audit Committee to scrutinise and recommend)	R			<ul style="list-style-type: none"> <li>Trust CFO to co-ordinate draft, with input from Chief Executive and Clerk</li> <li>Auditors to review and sign off</li> <li>Trustees and Accountable Officer must approve relevant sections</li> </ul>	<ul style="list-style-type: none"> <li>Key role for Finance &amp; Audit Committee</li> <li>The Members should receive and scrutinise the accounts at their AGM</li> <li>The document should be filed with Companies House and the DfE and uploaded onto the Trust's website</li> </ul>
5.	Establish financial policies, procedures, regulations and internal financial controls		A (Finance and Audit Committee to recommend)	R		I	<ul style="list-style-type: none"> <li>Chief Financial Officer to support and advise</li> </ul>	<ul style="list-style-type: none"> <li>Including financial delegations, investment policy, procurement policy, borrowing, charging and remissions policy, reserves policy etc and reflect who can sign off on financial reporting etc.</li> <li>Key role for Finance &amp; Audit Committee</li> <li>Principals to implement at Academy level to ensure compliance, overseen by Chief Executive</li> <li>Chief Executive to report to Trustees on any material concerns about operation of policy</li> </ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	PRINCIPAL/ HEAD	ADVICE	COMMENTS
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
6.	Agree a funding model for Trust (including academies)		A	R			<ul style="list-style-type: none"> <li>Chief Financial Officer to support and advise</li> </ul>	<ul style="list-style-type: none"> <li>Key role for Finance and Audit Committee</li> <li>Trust Board to consider and assess implications of DfE indicative funding of Academies when agreeing a funding model.</li> </ul>
7.	Set Trust budget		A	R			<ul style="list-style-type: none"> <li>Chief Financial Officer to support and advise</li> </ul>	<ul style="list-style-type: none"> <li>Key role for Finance and Audit Committee</li> </ul>
8.	Monitor trust wide expenditure		M	R			<ul style="list-style-type: none"> <li>Chief Financial Officer to support and advise</li> </ul>	<ul style="list-style-type: none"> <li>Key role for Finance and Audit Committee</li> </ul>
9.	Set academy budget		A	R	R	R	<ul style="list-style-type: none"> <li>Chief Financial Officer to support and advise</li> <li>LGB to make recommendations</li> </ul>	<ul style="list-style-type: none"> <li>Must be in line with overall Trust budget</li> <li>Key role for Audit Committee</li> <li>Trust Board to approve budget headings and areas of expenditure, including the level and use of contingency funds or balances.</li> </ul>
10.	Monitor academy expenditure		M	R	M	R	<ul style="list-style-type: none"> <li>Chief Financial Officer to support and advise</li> </ul>	<ul style="list-style-type: none"> <li>Expenditure must be in line with agreed budget</li> <li>Regular reporting to take place by Finance Director to inform Trust wide monitoring</li> </ul>
11.	Determine central services provision, establish own central operations and/or procure from third parties		A	R			<ul style="list-style-type: none"> <li>Chief Financial Officer to support and advise</li> </ul>	<ul style="list-style-type: none"> <li>Key role for Finance and Audit Committee</li> <li>LGB to recommend services they wish to procure from third parties as part of their budget recommendations.</li> </ul>
12.	Opening bank account		A				<ul style="list-style-type: none"> <li>CFO to support and advise</li> </ul>	<ul style="list-style-type: none"> <li>All bank accounts must be in the name of the Trust and operated in accordance with the Financial regulations</li> </ul>
13.	Asset register			D/I – TRUST WIDE		D/I – ACADEMY LEVEL	<ul style="list-style-type: none"> <li>Director of Estates to support and advise</li> <li>CFO to support and advise</li> </ul>	



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	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	PRINCIPAL/ HEAD	ADVICE	COMMENTS
<b>G. Health and safety, insurance and premises and extended schools</b>								
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
1.	Approval of Health and safety policy and arrangements		A/M (Finance & Audit Committee to recommend)	D/R	R	D/R/I		<ul style="list-style-type: none"> <li>Chief Executive responsible for ensuring appropriate health and safety procedures are in place in line with approved policy and are operating effectively</li> <li>Principals to implement policy at Academy level and oversee operation of procedures (overseen by Chief Executive and advising Chief Executive in relation to significant issues).</li> <li>Policy to include appropriate reporting mechanisms at Member, Trustee and LGB level.</li> </ul>
2.	Obtaining insurance for land and trust & academy operations		A (Finance & Audit Committee to recommend)	R			<ul style="list-style-type: none"> <li>CFO and Director of Resources to advise and support and liaise with broker</li> </ul>	<ul style="list-style-type: none"> <li>To include Director &amp; Officer cover, buildings and contents, business continuity, employers' and public liability insurance, motor vehicle cover etc. as required</li> <li>Chief Executive to ensure details of insurance policy requirements appropriately disseminated</li> </ul>
3.	Agree site strategy and development plan		A	D/R/I	R	R	<ul style="list-style-type: none"> <li>CFO and Director of Resources to advise and support</li> </ul>	
4.	Maintenance of Trust premises including management documents (e.g. asbestos, fire safety, statutory testing)		M	A	M	I/D	<ul style="list-style-type: none"> <li>Director of Resources to advise and support</li> </ul>	<ul style="list-style-type: none"> <li>Principal to ensure appropriate documents in place (overseen by the Chief Executive). Chief Executive to report any material concerns to Trust Board and LGB</li> </ul>
5.	Approving Capital projects/building works		A	R	M		<ul style="list-style-type: none"> <li>CFO and Director of Resources to advise and support</li> </ul>	<ul style="list-style-type: none"> <li>LA lease should be checked prior to any works on LA land and any necessary consents obtained</li> <li>All necessary DfE approvals should be obtained</li> </ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	PRINCIPAL/ HEAD	ADVICE	COMMENTS
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
7.	Managing Academy capital projects/building works/maintenance		M	I	M	R	<ul style="list-style-type: none"> <li>Director of Resources/Chief Financial Officer/Business Managers to advise and support</li> </ul>	<ul style="list-style-type: none"> <li>All necessary DfE processes should be followed</li> </ul>
8.	Security of Premises and equipment: oversee and monitor Academy activities				M	I	CFO and Director of Resources to advise and support	<ul style="list-style-type: none"> <li>Chief Executive to oversee overarching arrangements across Trust.</li> </ul>
9.	Acquiring and disposing of land (including leases, licences and easements)		A	R			<ul style="list-style-type: none"> <li>CFO and Director of Resources to advise and support</li> </ul>	<ul style="list-style-type: none"> <li>LA lease should be checked prior to making any disposal of LA land</li> <li>All necessary DfE approvals should be obtained</li> </ul>
10.	Determining permissible external and community use policy (letting/licencing/ shared use arrangements)			A	M	R	<ul style="list-style-type: none"> <li>Director of Resources to advise and support</li> </ul>	<ul style="list-style-type: none"> <li>Policy should reflect requirement to obtain any necessary DfE/LA/site trustee consents</li> <li>Policy should reflect what happens to any revenue generated from such use.</li> </ul>
11.	Managing external and community use			M		I	Director of resources to advise and support	<ul style="list-style-type: none"> <li>Must be in accordance with agreed policy</li> <li>School Business Manager should manage</li> </ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	PRINCIPAL/ HEAD	ADVICE	COMMENTS
<b>H. Communications, information and complaints</b>								
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
<b>H1 External communications</b>								
1.	Trust prospectus		M	I			<ul style="list-style-type: none"> <li>Marketing Officer to support and advise.</li> </ul>	
2.	School prospectus			M	M	D/I	<ul style="list-style-type: none"> <li>School Improvement Lead to advise and support Marketing Officer to support and advise.</li> </ul>	<ul style="list-style-type: none"> <li>Chief Executive to ensure prospectus in line with Trust requirements (templates will be provided)</li> </ul>
3.	Trust website		M	D/I			<ul style="list-style-type: none"> <li>Clerk and Marketing Officer to support on compliance</li> </ul>	<ul style="list-style-type: none"> <li>Chief Executive to ensure legally compliant and that it dovetails appropriately with Academy websites</li> </ul>
4.	Academy website			M	M	D/I	<ul style="list-style-type: none"> <li>Clerk and Marketing Officer to support on compliance</li> </ul>	<ul style="list-style-type: none"> <li>Principal to ensure legally compliant, overseen by Chief Executive</li> <li>Chief Executive to ensure dovetails appropriately with Trust website.</li> </ul>
5.	Freedom of Information policy and publication scheme		A	D/I			<ul style="list-style-type: none"> <li>DPO to support and advise</li> </ul>	
6.	Approving press statements		A (Chair, as appropriate)	A (Trust matters) M Academy		A (Academy matters)		<ul style="list-style-type: none"> <li>Press statements that are of a controversial nature should be referred to the CEO for their approval (and the Chair where appropriate)</li> </ul>
<b>H2 Complaints</b>								
7.	Determining complaints policy and procedure statement		A	D/R				<ul style="list-style-type: none"> <li>Policy to provide for local management of complaints, with escalation to Trust Board where necessary.</li> <li>Policy to include appropriate reporting at Trustee and LGB level.</li> </ul>

## Scheme of Delegation – Tees Valley Collaborative Trust -

	DECISION	MEMBERS	BOARD OF TRUSTEES	CHIEF EXECUTIVE	LGB	PRINCIPAL/ HEAD	ADVICE	COMMENTS
<b>A = Approves; R = Recommends; I = Implements; D = Develops; M = Monitors</b>								
8.	Implementation of complaints policy and procedures			<b>M</b> Oversee (Trust wide)	<b>M</b> (Academy level)	<b>I</b> (Academy level)		<ul style="list-style-type: none"> <li>Chief Executive to implement in relation to trust wide complaints, Principal to implement in relation to Academy complaints, overseen by Chief Executive</li> <li>Chief Executive to report to Trustees on any material concerns about operation of policy</li> </ul>
<b>H3 Information management</b>								
9.	Data protection and document management policy		<b>A/M</b>	<b>D/R/I</b> <Advise	<b>M</b> Academy level)	<b>I</b> Academy level)	<ul style="list-style-type: none"> <li>DPO to advise</li> </ul>	<ul style="list-style-type: none"> <li>Policy to include appropriate reporting at Trustee and LGB level.</li> <li>Principal to notify LGB and Chief Executive of any material concerns/breaches to Chief Executive.</li> <li>Chief Executive to report any material concerns/breaches to Trust Board</li> </ul>
10.	Pupil records (including attendance register)			<b>M</b>		<b>I</b>	<ul style="list-style-type: none"> <li>DPO to support and advise.</li> </ul>	
11.	Determining IT Policy		<b>M</b>	<b>D/R/I</b>			<ul style="list-style-type: none"> <li>Director of Resources to support and advise.</li> </ul>	

## 14. CODE OF CONDUCT

The Governing Board of {name of college/school/academy trust} adopted this Code of Conduct on {insert date}. Governors will sign the Code of Conduct at the first governing board meeting of each academic year.

Review Date: Yearly

**(Where multiple options are given, i.e. senior executive leader/headteacher and governor/trustee/academy committee member, please amend to leave the option relevant to your governing board. It should be adapted as appropriate depending on the governance setting and level of delegation)**

This code sets out the expectations on and commitment required from all **governors, trustees and academy committee members** in order for the governing board to properly carry out its work within the aims and values of the **academy/college/school/trust** and extended community.

## **Vision, Aims and Objectives**

### **Our Vision**

Tees Valley Collaborative Trust believes that increased collaboration across the educational phases will benefit all learners throughout their educational journey. The Trust exists to promote and facilitate collaboration between schools and the college to our mutual benefit.

The partners in our Trust accept shared accountability for all our learners and focus on ensuring positive outcomes and progression, particularly at transition points across the key stages.

Aspiring to become an all-through provision, our innovative approach seeks to promote ambition, aspiration and provide security and the keys to success for our young people for their future and the benefit of the region.

### **Aim**

Our Trust will engender a love of learning through an exceptional quality of educational provision in which every learner is inspired and supported to fulfil their potential, enhancing their personal development and benefitting their community.

We will recruit and retain teachers and support staff and managers of the highest calibre by investing in their professional development through training and progression opportunities. Our schools and colleges will offer a friendly, caring environment with high expectations, aspirations and supporting the highest levels of achievement.

Our Trust will work through partnership with employers, community groups and other agencies to make the Tees Valley a great place to live, learn and work.

### **Objectives**

- Improve the life chances for young people in our region
- Maximise the outcomes and opportunities for all learners
- Remove barriers to achievement and promote the highest aspirations for all
- Enhance progress at transition points through cross-phase working
- Support all staff to develop their skills to become an efficient, high-performing team
- Share good practice to further improve teaching and learning
- Ensure positive destinations through enhanced accountability for each learner
- Promote and enable lifelong learning and citizenship which benefits the individual and the community
- Build partnerships within and beyond our Trust to promote economic prosperity and social well-being across our region

### **We are committed to:**

- Genuine partnerships for long term mutual benefit
- Improved educational standards through cross-phase working
- Strong system leadership and governance to support others and innovate
- Investment in the development of staff, creating capacity to support others
- A broad and balanced curriculum required of a 21<sup>st</sup> century skilled workforce
- An inclusive provision that meets the needs of all
- Secure financial health and stability

- Investment in learning resources providing best value for money

The code should **be read in conjunction with relevant legislation and guidance and for academies, their articles of association and agreed scheme of delegation.**

The Seven Nolan Principles of Public Life underpin the principles of this Code of Conduct.

(Originally published by the Nolan Committee: The Committee on Standards in Public Life was established by the then Prime Minister in October 1994, under the Chairmanship of Lord Nolan, to consider standards of conduct in various areas of public life, and to make recommendations).

### **Selflessness**

Holders of public office should act solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.

### **Integrity**

Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their official duties.

### **Objectivity**

In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

### **Accountability**

Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

### **Openness**

Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

### **Honesty**

Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

### **Leadership**

Holders of public office should promote and support these principles by leadership and example.

## The governing board has the following core strategic functions:

### Establishing the strategic direction, by:

- Setting and ensuring clarity of vision, values, and objectives for the school(s)/trust
- Agreeing the school/college improvement strategy with priorities and targets
- Meeting statutory duties

### Ensuring accountability, by:

- Appointing the CEO/headteacher/head of centre (**where delegated**)
- Monitoring the educational performance of the college/ school/s and progress towards agreed targets
- Performance managing the CEO/headteacher (**where delegated**)
- Engaging with stakeholders
- Contributing to college/school self-evaluation
- *Ensuring the well-being of students through robust safeguarding arrangements, including protecting them from extremist views and bullying via social media.*

### Overseeing financial performance, by:

- Setting the budget
- Monitoring spending against the budget
- Ensuring money is well spent and value for money is obtained
- Ensuring risks to the organisation are managed

## As individuals on the board we agree to the following:

### Personal Attributes

We will strive to be:

- **Committed** - Devoting the required time and energy to the role and ambitious to achieve best possible outcomes for young people. Prepared to give time, skills and knowledge to developing ourselves and others in order to create highly effective governance.
- **Confident** - Of an independent mind, able to lead and contribute to courageous conversations, to express our opinion and to play an active role on the board.
- **Curious** - Possessing an enquiring mind and an analytical approach and understanding the value of meaningful questioning.
- **Challenging** - Providing appropriate challenge to the status quo, not taking information or data at face value and always driving for improvement.
- **Collaborative** - Prepared to listen to and work in partnership with others and understanding the importance of building strong working relationships within the board and with executive leaders, staff, parents and carers, pupils/students, the local community and employers.
- **Critical** - Understanding the value of critical friendship which enables both challenge and support, and self-reflective, pursuing learning and development opportunities to improve their own and whole board effectiveness.
- **Creative** - Able to challenge conventional wisdom and be open-minded about new approaches to problem-solving; recognising the value of innovation and creative thinking to organisational development and success.



## Role & Responsibilities

- We understand the purpose of the board and the role of the executive leaders.
- We accept that we have no legal authority to act individually, except when the board has given us delegated authority to do so, and therefore we will only speak on behalf of the governing board when we have been specifically authorised to do so.
- We accept collective responsibility for all decisions made by the board or its delegated agents. This means that we will not speak against majority decisions outside the governing board meeting.
- We have a duty to act fairly and without prejudice, and in so far as we have responsibility for staff, we will fulfil all that is expected of a good employer.
- We will encourage open governance and will act appropriately.
- We will consider carefully how our decisions may affect the community and other colleges/schools.
- We will always be mindful of our responsibility to maintain and develop the ethos and reputation of our **college/school/group of schools**. Our actions within the **college/school/trust** and the local community will reflect this.
- In making or responding to criticism or complaints we will follow the procedures established by the governing board.
- We will actively support and challenge the executive leaders
- We will accept and respect the difference in roles between the board and staff, ensuring that we work collectively for the benefit of the organisation;
- We will respect the role of the executive leaders and their responsibility for the day to day management of the organisation and avoid any actions that might undermine such arrangements;
- We agree to adhere to the college's/school's rules and policies and the procedures of the governing board as set out by the relevant governing documents and law
- When formally speaking or writing in our governing role we will ensure our comments reflect current organisational policy even if they might be different to our personal views;
- when communicating in our private capacity (including on social media) we will be mindful of and strive to uphold the reputation of the organisation

## Commitment

- We acknowledge that accepting office as a **governor/trustee/academy committee member** involves the commitment of significant amounts of time and energy.
- We will each involve ourselves actively in the work of the governing board, and accept our fair share of responsibilities, including service on committees or working groups.
- We will make full efforts to attend all meetings and where we cannot attend explain in advance why we are unable to.
- We will get to know the **college's/school/s** well and respond to opportunities to involve ourselves in college/school activities.
- We will visit the **college's/school/s**, with all visits arranged in advance with the senior executive leader/headteacher and undertaken within the framework established by the governing board.
- When visiting the college/school in a personal capacity (i.e. as a parent or carer), we will maintain our underlying responsibility as a governor/trustee/academy committee member.

- We will consider seriously our individual and collective needs for induction, training and development, and will undertake relevant training.
- We accept that in the interests of open governance, our full names, date of appointment, terms of office, roles on the governing board, attendance records, relevant business and pecuniary interests, category of governor and the body responsible for appointing us will be published on the **college's/school's/trust's** website.
- In the interests of transparency, we accept that information relating to **governors/trustees/academy committee members** will be collected and logged on the DfE's national database of governors (Edubase).

### **Relationships**

- We will strive to work as a team in which constructive working relationships are actively promoted.
- We will express views openly, courteously and respectfully in all our communications with other **governors/trustees/academy committee members**, the clerk to the governing board and college/school staff both in and outside of meetings.
- We will support the Chair in their role of ensuring appropriate conduct both at meetings and at all times.
- We are prepared to answer queries from other board members in relation to delegated functions and take into account any concerns expressed, and we will acknowledge the time, effort and skills that have been committed to the delegated function by those involved.
- We will seek to develop effective working relationships with the executive leaders, staff and parents, the trust, the local authority and other relevant agencies and the community.

### **Safeguarding**

- *We will always be mindful of our responsibility to maintain and develop the ethos and reputation of our **trust/college/s/school/s** and to keep our pupils safe.*
- *We will ensure that any safeguarding allegations against members of staff, volunteers or governors are referred to the Local Authority Designated Officer (LADO)*
- *We will ensure that the governing board complies with safeguarding duties set out in legislation and ensure that the policies, procedures and training in our **school/s** are effective; comply with the law at all times and; allow for appropriate action to be taken in a timely manner to safeguard and promote children's welfare.*

### **Confidentiality**

- We will observe complete confidentiality when matters are deemed confidential or where they concern specific members of staff or pupils, both inside or outside college/school.
- We will exercise the greatest prudence at all times when discussions regarding college/**school/trust** business arise outside a governing board meeting.
- We will not reveal the details of any governing board vote.
- We will ensure all confidential papers are held and disposed of appropriately.

### Conflicts of interest

- We will record any pecuniary or other business interest (including those related to people we are connected with) that we have in connection with the governing board's business in the Register of Business Interests, and if any such conflicted matter arises in a meeting we will offer to leave the meeting for the appropriate length of time.
- We accept that the Register of Business Interests will be published on the **college/school/trust's** website.
- We will also declare any conflict of loyalty at the start of any meeting should the situation arise.
- We will act in the best interests of the **college/school/s or trust** as a whole and not as a representative of any group, even if elected to the governing board.

### Ceasing to be a governor/trustee/academy committee member

- We understand that the requirements relating to confidentiality will continue to apply after a governor/trustee/academy committee member leaves office

### Breach of this code of conduct

- If we believe this code has been breached, we will raise this issue with the Chair and the Chair will investigate; the governing board will only use suspension/removal as a last resort after seeking to resolve any difficulties or disputes in more constructive ways.
- Should it be the Chair that we believe has breached this code, another governing board member, such as the Vice Chair will investigate.

### Evaluation

- *As a board we believe evaluation is an important element of improving the effectiveness of the board. An annual self-appraisal by means of a questionnaire, along with records of attendance at meetings and visits to college/school, will provide assurance that individuals serving on the board are complying with this code.*
- *The objective of the appraisal is to enable **governors/trustees/members of local academy committees/local governing bodies** to evaluate their performance, to build upon strengths and address any areas for development.*

### **SIGNED UNDERTAKING:**

**As a member of the governing board I will:**

- Adhere to the principles of the Code of Conduct set out in the previous pages;
- Always have the achievement and well-being of the children and the reputation of the college/school at heart;
- I will do all I can to be an ambassador for the college/ school, publicly supporting its aims, values and ethos;
- I will never say or do anything publicly that would embarrass the college/school, the governing board, the headteacher or staff.

<b>NAME</b>	<b>SIGNATURE</b>	<b>DATE</b>

## **15. TEES VALLEY COLLABORATIVE TRUST CONFLICTS OF INTEREST POLICY AND POLICY**

### **CONFLICT OF INTEREST POLICY**

#### **Purposes of the Policy**

It is the purpose of Tees Valley Collaborative Trust ("the Trust") that all members, trustees and governors of the Trust and senior staff attending Trust, Local Governing Body and/or committee meetings and Trust committee members who are not members of the Corporation, must keep to the absolute minimum all unavoidable conflicts of interest between the interests of the member or senior member of staff concerned, and of persons connected with them. This includes avoiding as far as possible perceptions of conflicts of interest, as well as potential and actual conflicts of interest.

The purposes of this policy are:

- To ensure that members, trustees and governors comply with their legal duties including in particular, those under the Trust's Articles of Association and their duty to act only in the best interests of the Trust;
- To protect the integrity of the Trust's decision-making process;
- To enable all outside parties dealing with the Trust to have confidence in the Trust's integrity; and
- To protect the integrity and reputations of the Trust's members, trustees, governors and senior staff.

#### **Disclosure of Interests**

All members, trustees and governors of the Trust, senior staff and committee members' who are not trustees of the Trust, will be required to make a full written disclosure of any business or personal relationships held, financial or property interests held or gifts or hospitality received, that could potentially result in a conflict of interests. A declaration of interest's form is provided and must be used for this response. Any question about whether an individual has an interest which should be disclosed should be referred in the first instance to the Clerk to the Trust for determination.

Written disclosures will be kept in a register maintained by the Clerk to the Trust and all members, trustees and governors and senior staff and committee members' who are not members of the Trust, will be required to update their disclosure as and when their circumstances change. All disclosures will be reviewed on an annual basis. The register will be accessible by members, trustees and governors and the Trust's internal and external auditors.

#### **Organisation of meetings where a member has disclosed an interest**

Where an interest has previously been disclosed and the Chair or Clerk is satisfied that the interest is relevant to an item on the agenda, the member concerned may not be sent the papers in respect of that item.

### **Decisions made other than at a meeting eg by written resolution**

Where an interest has previously been disclosed and the Chair or Clerk is satisfied that the interest is relevant to the matter to be decided, the member will not be sent the proposed resolution and will not be allowed to vote on it.

### **Management of conflicts of interests in meetings etc**

This section of the policy should be read in conjunction with the Articles of Association and Scheme of Delegation/ Governance Handbook.

In the course of meetings of the Trust, local governing body or a committee and all other activities all members, trustees and governors and senior staff will be required to disclose any interests they have in a transaction of decision where they, their family, their employer or their close business or other associates will or may receive a benefit or gain or they have an interest identified by the Trust. If there is a failure to declare an interest that is known to the Chair of the Trust, and/or Chair of the local governing body, and/or Chair of the committee and/or the Clerk they will declare that interest. After disclosure of any such interest, in the case of a meeting, the member, trustee, governor and/or senior member of staff concerned will be asked to leave the room whilst the matter is discussed unless expressly invited to remain possibly in order to provide information on the matter in hand. The member, trustee, governor and/or committee member will not be counted in the quorum for that part of the meeting and will not be permitted to vote on the question. In the case of all other activities, the member, trustee, governor or staff member concerned will not be permitted to participate in the consideration or discussion of the matter other than to disclose his or her conflict of interest.

All decisions of the Trust, Local Governing Body or committee made following the declaration of a conflict of interest will be reported in the minutes of the meeting.

Where a member, trustee, governor or senior member of staff benefits from any such decision, this will (if the Trust's auditors advise this is necessary) be reported in the annual report and accounts in accordance with relevant accounting requirements.

### **Failure to disclose a relevant interest**

The decision of the Chair as to whether a member, trustee or governor has failed to disclose a relevant interest shall be final. Failure to disclose a conflicting interest may lead to a member, trustee or governor being in breach of the Trust's Code of Conduct as well as of this policy. It may also result in the member, trustee or governor being subject to legal action and personal liability for breach of trust. Such breaches may lead to the Trust considering the possibility of suspending or terminating membership of the relevant board. Such breaches by a member of staff may lead to disciplinary action being taken under the Trust's staff disciplinary procedures.

### **Benefits for Members/Trustees/ Governors**

It is a basic principle of charity law that charity trustees, should not profit from their position, although trustees are entitled to be reimbursed for expenses actually and reasonably incurred in undertaking the business of the charity. The Trust has approved a policy on reimbursing members' expenses and members must comply with this.

The Charities Act 2011 provides a detailed process whereby, exceptionally, charity trustees or person connected to them may be allowed to receive payment from the funds of the charity for

goods or services provided by them to the charity under a contract for services. This procedure must be followed if a individual wishes to receive such a payment.

Charity trustees are not allowed to receive remuneration simply for undertaking their duties as a trustee without the consent of the Charity Commission. This is only granted in exceptional circumstances. Similarly, charity trustees are not allowed to be employed by the charity under a contract of service save where allowed by the charity's governing document (as is the case with the CEO and staff governors), or by law, or with the consent of the Charity Commission, which is only granted in exceptional circumstances.

## **Data Protection**

The information provided in disclosures will be processed in accordance with the data protection principles set out in the Data Protection Act 1998. Data will be processed only to ensure that members, trustees and governors act in the best interests of the Trust. The information provided will not be used for any other purposes.

Date of Approval/Revision	January 2021
Review interval (years)	3 yearly or more frequently should circumstances change
Responsible Officer	Clerk/Trustees
Approval/review body	Search and Remuneration to Trust Board for final approval
Date of next review	January 2024
Public File location	Governors Handbook and Websites

# GOVERNING BODY OF TEES VALLEY COLLABORATIVE TRUST

## Declaration of Interests/ LA Associated Person Status

<b>NAME OF GOVERNOR / TRUSTEE</b>	
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<p><b>LOCAL AUTHORITY ASSOCIATED PERSON STATUS – TRUSTEES/DIRECTORS ONLY</b></p> <p>The company's Articles of Association set out requirements which restrict the influence on the company of Local Authority Associated Persons (LAAPs). LA Associated Persons are:</p> <ul style="list-style-type: none"> <li>• Current council members (councillors), or anyone who has been a council member in the last four years, of a local authority that the academy is influenced by</li> <li>• Current council officers (employees) of a local authority that the academy is influenced by (note that this includes employees of community and voluntary controlled schools)</li> </ul> <p>Local authorities with influence over academies are normally those with responsibility for education (irrespective of whether this is the local authority where the academy is located) and may also include the local district, parish or town council if they have influence over land / planning issues associated with the academy.</p>	<p><b>In accordance with the definition provided, are you a LA Associated Person?</b> (please circle as appropriate)</p> <p>YES <span style="float: right;">NO</span></p> <p><b>If yes, please give reason</b> (i.e. your current employer or where you are / have been an elected member):</p>
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# GOVERNING BODY OF TEES VALLEY COLLABORATIVE TRUST

## Declaration of Interests/ LA Associated Person Status

<b>GIFTS/HOSPITALITY</b>  The Academies Financial Handbook advises that the academy trust should have a policy and register on the acceptance of gifts, hospitality, awards, prizes or any other benefit which might be seen to compromise the personal judgement or integrity of a Member/ Trustee/Director/Governor.		<b>In the interests of transparency please use the space below to declare any offer of a gift or hospitality up to the value of £40, in the last 12 months, anything over £40 should be politely refused and returned.</b>	
<b>Nature of gift/hospitality</b>  (specify if personal gift or a corporate gift accepted on behalf of the trust/school/ college)	<b>Value</b>  If the exact cost is not known an estimate should be provided.	<b>Name of Company/Donor</b>	<b>Date accepted</b>

GOVERNING BODY OF TEES VALLEY COLLABORATIVE TRUST  
Declaration of Interests/ LA Associated Person Status

**BUSINESS/ PECUNIARY INTERESTS**

It is a requirement of the Academies Financial Handbook that an academy trust must maintain a register of business interests to capture relevant business and pecuniary interests of members, trustees, local governors of academies within a multi-academy trust and senior employees, and those of any immediate relatives, including:

- directorships, partnerships and employments with businesses that may provide goods or services to the trust;
- trusteeships and governorships including at other educational institutions and charities irrespective of whether there is a trading relationship with the trust;
- any material interests arising from close family relationships and/or relationships between members, trustees, local governors of academies, and with employees.

**Note:** Further guidance on declarations of interests is attached and should be referred to prior to completion of the declaration. If a governor/trustee or member of staff is in any doubt about registering specific interests, the prudent approach would be to include the item on the register.

**I give notice that I have set out below, under the appropriate headings, my interests which potentially conflict with the work of the academy trust so that details of those interests can be entered on the Register of Interests and published on the academy trust website, in accordance with legal requirements. I have stated clearly under each heading where I have no such interest by inserting the word “none”.**

**In declaring potential conflicts of interest I have referred to and understood the guidance notes appended to this declaration form.**

**I understand that completion of this form does not remove the requirement upon me to disclose any potential financial interest/conflict of interest in any matter discussed at a meeting of the trust board or committee.**

# GOVERNING BODY OF TEES VALLEY COLLABORATIVE TRUST

## Declaration of Interests/ LA Associated Person Status

I have read and understood the academy's Conflicts of Interest Policy which requires that where an interest is declared, I must leave the meeting and not partake in any discussion to which the interest relates.

I expect the academy trust to manage and process the information provided in accordance with Data Protection requirements

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

### **YOUR BUSINESS INTERESTS**

A conflict of interest is any situation in which personal interests or loyalties could, or could be seen to, prevent you from making a decision only in the best interests of the charity. Where there are no potential conflicts of interest please state "none".

NATURE OF INTEREST	DETAIL	DATE BEGAN	DATE CEASED
Directorship/Partnership/Employment with businesses that may provide goods or services to the trust			
Any contractual relationship with the academy trust, or one of the			

GOVERNING BODY OF TEES VALLEY COLLABORATIVE TRUST  
Declaration of Interests/ LA Associated Person Status

colleges/schools within the family of the trust			
Companies in which you hold more than 1% of the share capital			
Member/Trustee/Director/Governor of an educational establishment (other than that to which this declaration applies)			
Membership of any professional bodies, special interest groups or mutual support organisations			

GOVERNING BODY OF TEES VALLEY COLLABORATIVE TRUST  
Declaration of Interests/ LA Associated Person Status

Any other potential conflicts that are not covered above			
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**BUSINESS INTERESTS OF IMMEDIATE RELATIVES/CONNECTED PERSON**

Connected person in broad terms this means family, relatives or business partners, as well as businesses in which you have an interest through ownership or influence. The term includes a spouse or unmarried or civil partner, children, siblings, grandchildren and grandparents, as well as businesses where a family member holds at least one-fifth of the shareholding or voting rights. If in doubt about whether a person or business is a connected person seek advice from a solicitor or other person qualified to advise on the matter.

NATURE OF INTEREST	DETAIL	DATE BEGAN	DATE CEASED
Directorship/Partnership/Employment with businesses that may provide goods or services to the trust			
Any contractual relationship with the academy trust, or one of the			

GOVERNING BODY OF TEES VALLEY COLLABORATIVE TRUST  
Declaration of Interests/ LA Associated Person Status

colleges/schools within the family of the trust			
Member/Trustee/Director/Governor of an educational establishment (other than that to which this declaration applies)			
Membership of any professional bodies, special interest groups or mutual support organisations			
Any other potential conflicts that are not covered above			

GOVERNING BODY OF TEES VALLEY COLLABORATIVE TRUST  
Declaration of Interests/ LA Associated Person Status

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## **GUIDANCE ON DECLARATION OF INTERESTS**

**It is important for anyone involved in spending public money to demonstrate that they, or close relatives, do not benefit personally from the decisions they make. For the purpose of transparency, the academy trust is required to maintain a Register of Interests and to keep the register up-to-date through regular review.**

The Academies Financial Handbook requires that an academy trust's register of interests must capture relevant business and pecuniary interests of members, trustees, local governors of academies within a multi-academy trust and senior employees, including:

- directorships, partnerships and employments with businesses
- trusteeships and governorships at other educational institutions and charities
- any relevant material interests arising from close family relationships between the academy trust's members, trustees or local governors and relationships between those individuals and employees. Close family relationships is defined as: a close member of the family, or member of the same household, who may be expected to influence, or be influenced by, the person. This includes, but is not limited to, a child, parent, spouse or civil partner.

For each interest the name of the business; the nature of the business; the nature of the interest; and the date the interest began must be declared.

All business interests should be declared; such as directorships, shareholdings or other appointments of influence within a business or organisation which may have dealings with the academy trust and/or academies. Where a governor/trustee or related person has a pecuniary interest in a business, and that interest exceeds limits specified in the academy's memorandum or articles of association (1% or more of the issued share capital of a company listed on a recognised stock exchange), the academy must not enter into any contract or arrangement (such as the purchase of goods and service) with that business.

Interests are not limited to the above and trusts should carefully consider whether other interests should be registered, such as the interests of other employees of the trust and close family members of individuals already on the register. If in doubt the presumption should be towards including an interest in the register. A [Guide for Charity Trustees on Conflicts of Interest](#) is available on GOV.uk.

Academy trusts must publish on their websites relevant business and pecuniary interests of members, trustees and local governors. However, they do have discretion over the publication of interests of other individuals including child, parent, spouse and civil partner.



The existence of a register of business interests does not, of course, detract from the duties of governors/trustees and staff to declare interests whenever they are relevant to matters being discussed by the governing body or a committee. Where an interest has been declared, governors/trustees and staff should not attend that part of any committee or other meeting.

**Tees Valley Collaborative Trust**

**GIFT/HOSPITALITY REGISTER**

Date	Name	Gift/Hospitality	Estimated value of gift/hospitality	Party Offering Gift/Hospitality	Accepted/Rejected

This Register is maintained by the Clerk to the Trust

## **16. EQUALITY WITHIN THE COMPANY**

The policy and practice of the Company, its officers and staff must comply with the requirements of the Equality Act 2010. The Act makes it clear that the Company cannot unlawfully discriminate on the grounds of:

- sex
- race
- disability
- religion or belief
- sexual orientation
- gender reassignment
- pregnancy or maternity

The Company Trustees and the Local Governing Bodies must have 'due regard' to equality considerations whenever significant decisions are being made or policies developed.

## **17. ALLOWANCES TO MEMBERS/TRUSTEES/ GOVERNORS/ COMMITTEE MEMBERS**

### **Allowances**

No allowances other than, travelling expenses, subsistence and care expenses (if the individual cannot make alternative arrangements) are payable to members, trustees, governors or committee members in respect of attendance at meetings. Expenses may be reclaimed in respect of attendance at training or other events attended as a representative of the Trust.

**18. MINUTES TEMPLATE**  
**REPORT FROM THE MEETING [            ]**  
**HELD ON [            ]**

**Governors Present:**

Number of governors present –

**Also Present:**

*The meeting was held at the [            ] in the [            ]*  
*and started at [            ]*

**1.1 APOLOGIES**

Apologies for absence had been received from [            ]. **ACTION: Clerk**

**1.2 DECLARATIONS OF INTEREST AND DECLARATIONS OF GIFTS**

Governors were reminded that they should declare any interests relevant to the business on the agenda as and when necessary, as well as any gifts.

No declarations of interest or declarations of gifts were given. [OR the following declarations were made]

**1.3 MINUTES FROM THE LAST MEETING HELD ON [            ]**

The minutes from the last meeting held on [            ] were considered by governors.

The minutes were approved as an accurate record and signed by the Chair. **ACTION: Chair**

**1.4 MATTERS ARISING**

Governors also had an opportunity to question progress with any matter discussed at that meeting and which would not arise during the course of the present meeting.

**EFFECTIVENESS/RESPONSIVENESS**

**FINANCE**

**POLICIES**

**MISC**

**1.5 CHAIR'S CORRESPONDENCE/ UPDATE**

**1.6 ANY OTHER BUSINESS**

**1.7 MATTERS FOR PUBLICATION**

**1.8 DATE, TIME AND VENUE OF THE NEXT MEETING**

*The meeting ended at [            ]*

Approved by the [            ]:

-----, Chair  
----- Date

## 19. PROPOSED MEMBERS, TRUSTEES, LGB AND COMMITTEE MEETING DATES

### Governance Schedule of Meetings 2020 – 2021

FINAL

<u>DATE</u>	<u>TIME</u>	<u>MEETING</u>	<u>VENUE</u>
Monday 21 September 2020	17.30	PPSSFC Local Governing Body	Via Teams (virtual)
Thursday 24 September 2020	17.30	Errington Local Governing Body	Errington Site
Monday 28 September 2020	17.30	Trustees	Stockton Site
Monday 12 October 2020	17.00	Search, Governance and Remuneration Committee	Stockton Site
<i>Half Term - 26 to 30 October</i>			
Friday 20 November 2020	Timings TBC	College Self-Assessment Review (SAR) validation Day	Stockton Site
Thursday 3 December 2020	17.30	Finance and Audit Committee	Prior Pursglove Site
Monday 7 December 2020	17.30	PPSSFC Local Governing Body	Stockton Site
Thursday 10 December 2020	17.30	Errington Local Governing Body	Errington Site
Tuesday 15 December 2020	17.30	Trustees	Errington Site
<i>Christmas Holidays – 21 December to 1 January</i>			
Monday 8 February 2021	17.00	Search, Governance and Remuneration Committee	Prior Pursglove Site
<i>Half Term – 15 to 19 February</i>			
Wednesday 24 February 2021	17.00	Members	Prior Pursglove Site
Monday 1 March 2021	17.30	Finance and Audit Committee	Stockton Site
Monday 15 March 2021	17.30	Trustees	Prior Pursglove Site
Monday 22 March 2021	17.30	PPSSFC Local Governing Body	Prior Pursglove Site

## Governance Schedule of Meetings 2020 – 2021

**FINAL**

Thursday 25 March 2021	17.30	<b>Errington Local Governing Body</b>	Errington Site
<i>Easter Holidays – 29 March to 9 April</i>			
Thursday 6 May 2021	17.30	<b>Trustees</b>	Stockton Site
Monday 17 May 2021	17.00	<b>Search, Governance and Remuneration Committee</b>	Stockton Site
<i>Half Term – 31 May to 4 June</i>			
Monday 21 June 2021	17.30	<b>PPSSFC Local Governing Body</b>	Stockton Site
Thursday 24 June 2021	17.30	<b>Errington Local Governing Body</b>	Errington Site
Thursday 1 July 2021	17.30	<b>Finance and Audit Committee</b>	Prior Pursglove Site
Monday 5 July 2021	17.30	<b>Trustees (3 YEAR BFR)</b>	Prior Pursglove Site
<i>Summer Holidays</i>			

## Business Schedule for 2020/21

	Business Item	Written Report	Person Leading Item
<b>Local Governing Body Meeting Prior and Stockton</b>  <b>21 September 2020</b>  <i>Papers to Clerk no later than 14 September 2020</i>	Annual Safeguarding update (training or item within meeting)	NO	Safeguarding Lead
	- Recommend a Chair to Board of Trustees	YES	Clerk
	- Approve a Vice-Chair for	YES	Clerk
	- Approve minutes from the previous meeting	YES	Clerk
	- Learner Outcomes	YES	Principal
	- Enrolments	YES	CEO
	- Staff Survey Results	YES	CEO
	- Monitoring of Management Accounts	YES	Finance Manager
	- Monitoring Budget in line with September enrolments	YES	Finance Manager
	- Engagement Plan for Governors	YES	CEO
	- Student Voice (Any updates/ action plan from pupil survey)	YES	CEO
	- Any Policies for LGB to approve	YES	CEO

	Business Item	Written Report	Person Leading Item
<b>Local Governing Body Meeting Errington Primary</b>  <b>24 September 2020</b>  <i>Papers to Clerk no later than 17 September 2020</i>	Annual Safeguarding update (training or item within meeting)	No	Safeguarding Lead
	- Recommend a Chair to the Board of Trustees	No	Clerk
	- Appointment of a Vice-Chair	No	Clerk
	- Minutes of meetings and Matters Arising	YES	Chair
	- Financial Monitoring of Budget	YES	CFO
	- Strategy and Impact Report (Pupil Premium, Sports Premium, SEND)	YES	HT
	- Enhanced Primary School Update	YES	HT
	- Quality of Education (Staff Annual Performance Management Report, Professional Development Programme for)	YES	HT
	- Review / Evaluation of Performance and Results in the Previous Academic Year Including local and national data	YES	HT
	- Update on ongoing self-evaluation	YES	HT
	- School Improvement Priorities Identify and Agree improvement priorities – (in line with strategic vision and goals)	YES	HT
	- Head Teacher's Report	YES	HT
	- Safeguarding Report	YES	HT
	- Stakeholder Engagement and Communication	YES	HT
	- Membership update (Training feedback and forthcoming events, Review Governor Monitoring and Evaluation arrangements, Governance Competency Framework self-assessment, Ofsted Inspection Framework update, Governance Support Service Newsletter)	YES	Clerk





	- Recommendation of any changes to Articles of Association	YES	Clerk
	- Outcomes of Trust wide self-review processes for governance	YES	CEO, Chairs & Clerk
	- Review & Recommend approval to the Board of Trustees on the appraisal cycle, performance review and remuneration review for Senior Post Holders (once approved this work will be carried out by S, G & R and Board of Trustees advised of outcomes (which will not be minuted))		
	- Policies	YES	CEO

	Business Item	Written Report	Person Leading Item
<b>Finance and Audit Committee Meeting</b> <b>3 December 2020</b>	- Election of Chair- first meeting of the new academic year	YES	Clerking Service
	- Approve minutes from the previous meeting	YES	Clerking Service
<i>Papers to Clerk by no later than 26 November 2020</i>	- Reports & Financial Statement for Prior Pursglove & Stockton Sixth Form College until conversion	YES	CFO
	- Regularity Self-assessment for Prior Pursglove & Stockton Sixth Form College (Self-Assessment Report)	YES	CFO
	- Reports and Financial Statement for Tees Valley Collaborative Trust	YES	CFO
	- Regularity Self-Assessment Tees Valley Collaborative Trust (Self-Assessment Report)	YES	CFO
	- Risk Registers approval	YES	CFO
	- Internal Audit Reports	YES	Wylie & Bisset
	- Audit Committee Annual Report to Trustees	YES	Clerk
	- External Audit Report & Management Letter	YES	External Auditors/CFO
	- Any updates on Enrolment	YES	CFO/CEO
	- Governance Assurance Checklist	YES	CFO
	- Discussions between the committee and auditors in the absence of SLT	NO	Chair
	- Updates to Academies Financial Handbook	YES	Clerk/CEO
	- Discussion Topic as chosen at the previous meeting	NO	Chair
	- Management Accounts	YES	CFO

	Business Item	Written Report	Person Leading Item
<b>Local Governing Body Meeting Prior and Stockton</b> <b>07 December 2020</b> <i>Papers to Clerk by no later than 30 November 2020</i>	<ul style="list-style-type: none"> <li>- Register of Interests</li> <li>- Settling in survey</li> <li>- SAR Approval</li> <li>- KAG 2</li> <li>- College Strategic Planning</li> <li>- Safeguarding Report</li> <li>- Equality and Diversity Review and Action Plan</li> <li>- Review Health and Safety and Action Plan</li> <li>- Staff Absence Report</li> <li>- Capital Development Projects- Monitor academy activities and advise to the board</li> <li>- Financial Monitoring of Budget</li> <li>- Engagement Plan (if updated from Search, Governance and Remuneration Committee)</li> <li>- Link Governor Feedback</li> <li>- Review College Risk Register</li> <li>- LGB Governance Action Plan (from self-review process)</li> </ul>	NO YES YES YES YES YES YES YES YES YES YES YES YES YES YES YES	Clerk Principal Principal Principal CEO Principal Principal Director of Resources CEO (HR) Director of Resources CFO CEO Chair CFO Clerk

	Business Item	Written Report	Person Leading Item
<b>Local Governing Body Meeting Errington Primary</b> <b>10 December 2020</b> <i>Papers to Clerk no later than 03 December 2020</i>	<ul style="list-style-type: none"> <li>- Annual Performance Management Report</li> <li>- Professional Development Programme</li> <li>- Attainment and Progress Data Report (Detailed analysis, Comparison with national and LA averages)</li> <li>- Self-Evaluation Judgement</li> <li>- Identify and Agree improvement priorities – (in line with strategic vision and goals)</li> <li>- External Validation Reports (Governance Development Code of Conduct Governance, Scheme of Delegation, Terms of reference, Governor Monitoring and Evaluation Arrangements, Designated Governors, Schedule of Visits, Identify and agree annual objectives for Governing Body, Draft Action Plan, Training Feedback and Forthcoming Events, Termly Briefing Paper from Governance Support)</li> <li>- Head Teacher's Report</li> <li>- Admission Arrangements (Review policy and determine consultation arrangements on any proposed changes)</li> <li>- Overview of Safeguarding (Single Central Register compliance, CPD, Updates/changes to requirements (Keeping Children safe In Education updates), PREVENT awareness)</li> <li>- Strategic Policy Review</li> <li>- Trust Update</li> </ul>	YES YES YES YES YES YES YES YES YES YES YES	HT HT HT HT HT HT HT HT Chair HT Chair/HT



	Business Item	Written Report	Person Leading Item
Search, Governance & Remuneration 08 February 2021	<ul style="list-style-type: none"> <li>- Approve minutes from the previous meeting</li> <li>- Consider governor terms, vacancies, resignations and vacancies across the trust</li> <li>- Consider Governance Competency Framework</li> <li>- Monitoring of Governance Action Plan</li> <li>- Updates to Self-Review Process for MAT</li> <li>- Monitor attendance of governors</li> <li>- HR policies for review (Remuneration, Subject to the approval of the appraisal and performance management cycle for Senior Post Holders)</li> </ul>	YES YES YES YES YES YES YES	Clerk Clerk Clerk Clerk Clerk Clerk CEO
<i>Papers to Clerk no later than 01 February 2021</i>			

	Business Item	Written Report	Person Leading Item
Members 24 February 2021	<ul style="list-style-type: none"> <li>- Scheme of Delegation - Not for approval by Members (info only)</li> <li>- Appointment of any Trustees</li> <li>- Articles of Association</li> <li>- Appoint a Chair</li> <li>- Register of Interests</li> <li>- Annual Report and Financial Statements</li> <li>- Completion of Register of Business Interests</li> <li>- Overview of Performance</li> <li>- Appointment/ Removal of Auditors</li> </ul>	YES YES YES YES YES YES YES YES YES	Clerk Clerk Clerk Clerk Clerk CFO Clerk CEO CFO
<i>Papers to Clerk no later than 17 February 2021</i>			

	Business Item	Written Report	Person Leading Item
Finance and Audit Committee Meeting 01 March 2021	<ul style="list-style-type: none"> <li>- Approval of minutes from the previous meeting</li> <li>- Risk Registers</li> <li>- Internal Audit Reports</li> <li>- Progress on Audit Recommendations</li> <li>- Financial Regulations</li> <li>- Discussion Topic as chosen at the previous meeting</li> <li>- Monitor Trust Budget/ Management Accounts</li> </ul>	YES YES YES YES YES NO YES	Clerk CFO CFO/ IAS CFO CFO Chair CFO
<i>Papers to Clerk no later than 22 February 2021</i>			



	Business Item	Written Report	Person Leading Item
<b>Local Governing Body Meeting Prior and Stockton</b> <b>22 March 2021</b>	<ul style="list-style-type: none"> <li>- Approval of minutes from the previous meeting</li> <li>- Student Voice</li> <li>- KAG Data</li> <li>- Updated College Strategic Plan</li> <li>- Review of Estates and Action plan</li> <li>- Safeguarding Report to Governors</li> <li>- Enrolment Information from the previous term</li> <li>- Financial Monitoring</li> <li>- Link Governor Feedback</li> <li>- Trustee minutes (for information)</li> <li>- Emergency Plan</li> </ul>	YES NO YES YES YES YES YES YES YES YES YES YES	Clerking Service  Principal CEO Director of Resources Principal Principal CFO Governors/Chair Clerk Director of Resources
<i>Papers to Clerk no later than 15 March 2021</i>			

	Business Item	Written Report	Person Leading Item
<b>Local Governing Body Meeting Errington Primary</b> <b>25 March 2021</b>	<ul style="list-style-type: none"> <li>- Approval of minutes from the previous meeting and any matters arising</li> <li>- Financial Monitoring of Budget</li> <li>- School Risk Register</li> <li>- Attainment and Progress Report (Inspection Data Summary Report, Termly Progress Report)</li> <li>- School Improvement Priorities</li> <li>- Internal/External Validation Reports</li> <li>- Pupil Numbers</li> <li>- Head Teacher's Report</li> <li>- Approval of Local Policies</li> <li>- Governance (Membership update, Training feedback and forthcoming events, Ofsted inspection framework)</li> <li>- Chairs Report/Correspondence</li> <li>- Trustee Minutes (for information)</li> </ul>		Chair CFO/HT HT HT HT HT HT HT Chair Clerk  Chair Clerk
<i>Papers to Clerk no later than 18 March 2021</i>			

	Business Item	Written Report	Person Leading Item
<b>Trustees</b> <b>06 May 2021</b> <i>Papers to Clerk by no later than 29 April 2021</i>	<ul style="list-style-type: none"> <li>- Approve minutes from the previous meeting</li> <li>- Local governing body minutes</li> <li>- Safeguarding Report (termly report to Trustees- Overview)</li> <li>- Strategic Plan</li> <li>- Audit Committee Reports - Minutes, Financial Regulations,</li> <li>- Search Committee Reports - Minutes, any appointments</li> <li>- Policies</li> </ul>	YES YES YES YES YES YES YES	Clerk Clerk Principal CEO Clerk Clerk CEO

	Business Item	Written Report	Person Leading Item
<b>Search, Governance &amp; Remuneration</b> <b>17 May 2021</b> <i>Papers to Clerk no later than 10 May 2021</i>	<ul style="list-style-type: none"> <li>- Approve minutes from the previous meeting</li> <li>- Consider governor terms, vacancies, resignations and vacancies across the trust</li> <li>- Governance Action Plan</li> <li>- Monitor attendance of governors</li> <li>- Clerking Arrangements</li> <li>- Brief Self-evaluation process of the Committee ready for next year</li> <li>- Competency Framework</li> <li>- Review of Induction programme</li> <li>- Meeting and Business Schedule for next academic year</li> <li>- Remuneration (Subject to the approval of the appraisal and performance management cycle for Senior Post Holders)</li> </ul>	YES YES YES YES YES YES YES YES YES YES	Clerk Clerk Clerk Clerk Chair Chair Clerk Clerk Clerk Clerk



	Business Item	Written Report	Person Leading Item
Local Governing Body Meeting Prior and Stockton 21 June 2021	<ul style="list-style-type: none"> <li>- Approval of minutes from the previous meeting</li> <li>- Student Voice- Pupil Survey</li> <li>- KAG Data</li> <li>- Monitor Budget</li> <li>- Note the outcome of any CIF bid</li> <li>- Safeguarding for governors</li> </ul>	YES YES YES YES YES YES	Clerking Service Principal Principal CFO Assistant Principal Principal
Papers to Clerk no later than 14 June 2021	<ul style="list-style-type: none"> <li>- Student Timetable (any changes to be reported)</li> <li>- Staff Leavers/ Appointments</li> <li>- Recommend a budget to trustees for approval</li> <li>- Staffing Structure</li> <li>- Recommend a 3 Year Plan</li> <li>- Report on Interventions</li> <li>- Trust Board Minutes (for information)</li> <li>- Link Governor Feedback</li> </ul>	YES YES YES YES YES YES YES YES YES	Principal CEO CFO CFO CFO Principal Clerk Chair

	Business Item	Written Report	Person Leading Item
Local Governing Body Meeting Errington Primary 24 June 2021	<ul style="list-style-type: none"> <li>- Approval of minutes from the previous meeting</li> <li>- Financial Monitoring of Budget</li> <li>- Recommend a budget, staffing structure (if any changes) and three-year plan to Board of Trustees for approval</li> <li>- Pupil Premium Impact</li> <li>- School Risk Register</li> </ul>	YES YES YES YES YES	Chair CFO/HT CFO/HT HT HT
Papers to Clerk no later than 17 June 2021	<ul style="list-style-type: none"> <li>- Montessori update</li> <li>- Enhanced Mainstream School Update</li> <li>- Head Teacher Contingency Plan</li> <li>- Attainment and Progress Report</li> <li>- School Improvement Priorities</li> <li>- Head Teacher's Report</li> <li>- Stakeholder Engagement and Communication</li> <li>- Governance</li> <li>- Chairs Report/Correspondence</li> <li>- Trustee Minutes (for information)</li> </ul>	NO NO YES YES YES YES YES YES NO YES YES	HT HT HT HT HT HT HT HT Clerk Chair Chair/Clerk

	Business Item	Written Report	Person Leading Item
Finance and Audit Committee Meeting	- Approval of minutes from the previous meeting	YES	Clerk
	- Whistleblowing Policy and Dealing with Fraudulent Matters	YES	CFO
	- Self-assessment of Audit Committee	YES	Clerk
	- Review Insurance Arrangements of the MAT	YES	CFO
01 July 2021	- Risk Registers	YES	CFO
Papers to Clerk by no later than 24 June 2021	- Internal Audit Report	YES	CFO/IAS
	- Internal Audit Plan	YES	CFO/IAS
	- Internal Audit Annual Report	YES	CFO/IAS
	- Teachers Pension Certificate	YES	CFO/IAS
	- Discussion on a topic chosen at the previous meeting	NO	Chair
	- Review budget plans, staffing structures and 3 year plans from the local governing bodies	YES	CFO
	- Monitor Trust Budget/ Management Accounts	YES	CFO
	- Self-Assessment questionnaire on performance of finance and audit committee	YES	Clerk

	Business Item	Written Report	Person Leading Item
Trustees	<ul style="list-style-type: none"><li>- Approve minutes from the previous meeting and any matters arising</li><li>- Safeguarding Report (termly report to Trustees- Overview)</li><li>- Strategic Plan</li><li>- Finance and Audit Committee Reports - Minutes</li><li>- Approval of clerking arrangements</li><li>- Search Committee Reports - Minutes,</li><li>- Management Structure (trust structure) - Any changes to be reported for the forthcoming year</li><li>- Approval of budget</li><li>- Three Year Plan</li><li>- Staff Development</li><li>- Overview of Errington results/ Academic Performance</li></ul>	YES	Chair
05 July 2021		YES	Principal
<i>Papers to Clerk by no later than 28 June 2021</i>		YES	CEO
		YES	Chair of F+A
		YES	Chair
		YES	Chair of S,G+R
		YES	CEO/CFO
		YES	CFO
		YES	CEO/CFO
		YES	CEO
			HT/CEO