



**SHIRELAND**  
COLLEGIATE ACADEMY TRUST

# Governance Handbook

2023

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## Foreword

Shireland Collegiate Academy Trust is a Multi Academy Trust which in September 2016 began the process of growing the organisation by forging relationships with existing schools and the creation of brand-new Free Schools. Shireland Collegiate Academy Trust has a Board of Directors who are also known as Trustees. The Board and its Committees are described in the section 'The Governance Structure'.

Typically, the standard governance of an Academy includes a Local Governing Body. However, after consideration of Academy Trust structures nationally we have decided that the Local Governing Body should be called the Standards and Performance Committee. Members of the Standards and Performance Committee are called Governors.

Shireland Collegiate Academy Trust and its founder Academy, Shireland Collegiate Academy, is extremely proud of the progress everyone has made since we opened Shireland Collegiate Academy in 2007. Our commitment to raising the standards for our students, whilst also serving our families and the wider community, will always be our main focus. Our success being highlighted by the achievement of "Outstanding" status (Ofsted).

Please see below for Academies and Nurseries that have joined our Trust:

Academy	Academy URN	Commencement Date
<b>Shireland Collegiate Academy (SCA)</b>	135170	1 <sup>st</sup> September 2007
<b>First Steps Nursery (FSN)</b>	EY280454	1 <sup>st</sup> September 2007
<b>Thorns Collegiate Academy (TCA)</b>	143818	1 <sup>st</sup> September 2017
<b>Holyhead Primary Academy (HPA)</b>	144630	1 <sup>st</sup> September 2017
<b>Tameside Primary Academy (TPA)</b>	146358	1 <sup>st</sup> October 2018
<b>West Bromwich Collegiate Academy (WBCA)</b>	147182	1 <sup>st</sup> September 2019
<b>Shireland Technology Primary School (STP)</b>	147191	1 <sup>st</sup> September 2019
<b>Wallbrook Primary Academy (WPA)</b>	147721	1 <sup>st</sup> January 2021
<b>Lightwoods Primary Academy (LPA)</b>	148333	1 <sup>st</sup> June 2021
<b>Tinywoods Preschool (TW)</b>	2691493	1 <sup>st</sup> June 2021
<b>Shireland Biomedical UTC (SBU)</b>	141813	1 <sup>st</sup> April 2022
<b>Shireland CBSO (SCBSO)</b>	149827	1 <sup>st</sup> September 2023

As a Member, Trustee or Governor you have joined one of the largest volunteer forces in the country and have an important part to play in raising academy standards through the three key roles of:

- setting strategic direction
- ensuring accountability
- monitoring and evaluating Academy performance

There are over 300,000 Trustees and Governors in England, drawn from every walk of life. The influence of good governance is absolutely key to the effectiveness of a school. On many occasions Ofsted has noted that the most effective schools demonstrate effective leadership and management - including by the Members, Trustees and Governors.

This Handbook is designed to help you to fully understand your role and to be more effective.

The aim is to give you an outline of the key essentials of good governance and to point you towards other valuable sources of information which you may like to follow up to get more detail and a greater understanding.

We greatly appreciate the time and commitment that you give to the Trust and our Academies. Working together as a team we can build on our successes for our students, their families and the community.

Andy Dennis  
**Chair of the Trust**

Sir Mark Grundy  
**Chief Executive Officer**

## Background and Legal Status

Shireland Collegiate Academy Trust is the legal entity which governs all of the Academies in the Trust and a subsidiary company Shireland Learning Ltd (SLL).

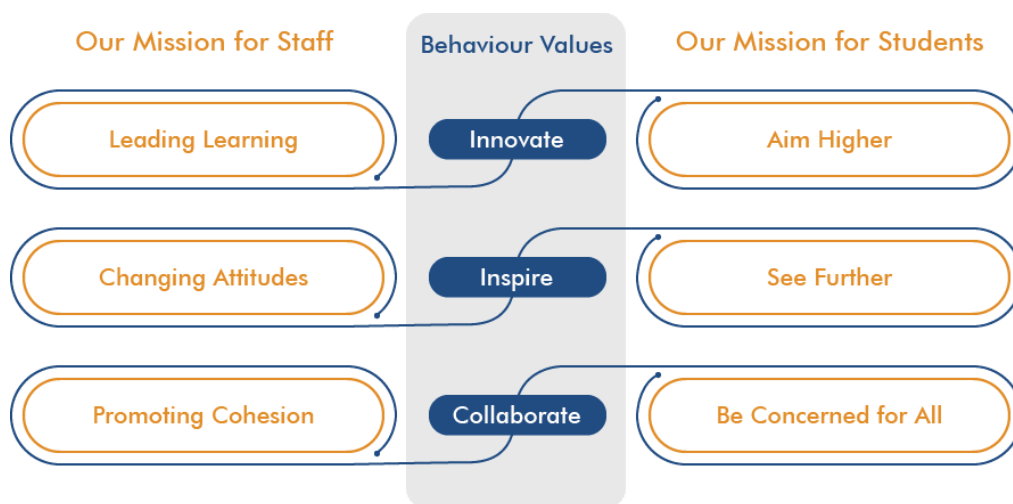
Shireland Collegiate Academy Trust is a company (registration no. 6336693) which was incorporated in August 2007. The Trust is an exempt charity and this is why Directors are also sometimes referred to as Trustees. The Secretary of State for Education oversees the charity and acts as its Principal Regulator.

The Academy Trust began operations on 1st September 2007. The company's Memorandum and Articles of Association are its primary governing documents. The Board of Directors must comply with the Articles of Association - essentially the governance 'rule book' - and also with the Funding Agreements issued by the Secretary of State for Education which determine the grants payable to the Academy Trust.

The Articles of Association enable Shireland Collegiate Academy Trust to have more than one Academy and to establish a governing body for each academy within its control. These governing bodies are called 'Standards and Performance Committees'.

## Shireland Collegiate Academy Trust's Vision and Values

All strategies and decisions at the Trust are supported and influenced by the strong behaviour principles, values and visions held at the heart of the Trust as below.



### Leading Learning; Aim Higher

The Trust believes in developing an ethos of learning for all stakeholders of the school community and creating a culture of innovation and challenge which combine to create the very best learning experiences that drive forward school improvement and raise standards.

## See Further; Changing Attitudes

The Trust believes that success is possible for every child, that high expectations are in place for every learner; that every pupil will make significant progress during their time at the school and that each Academy has a strong, rigorous academic curriculum.

We recognise the importance of developing learners for life who will be able to build upon their primary education as they move through their secondary phase and beyond with a desire to expand their horizons and aspirations.

## Promoting Cohesion; Be Concerned for All

The Trust believes in promoting a shared vision that all people in the community make a positive contribution and have a sense of belonging to improve their life opportunities. By developing a strong sense of rights, responsibilities and trust within the school community, across the wider local community and through technology reaching out to the global community, the Academies will help contribute towards building a more understanding, tolerant and fair society.

We believe that it is vital for pupils to develop a sense of belonging and responsibility across the schools and beyond for their behaviour and conduct.

These shared, guiding principles allow a common understanding across all of the school communities within the Academy Trust that help all stakeholders work together towards shared goals and purpose.

## The Five-Year Strategy (2021-2026)

The Trust had a comprehensive five-year strategy which commenced in September 2017 and was reviewed and updated in July 2021 to take the Trust through to 2026.

### **Our strategy is to:**

- Ensure the growth of the Trust to more than 16 schools within a West Midlands hub-based structure
- Evolve the Operating Model to ensure proactive and process driven whole organisation improvement
- Ensure the organisation has the capacity to deliver the operating model in a way that enables and protects
- Create a structure for collaboration (staff and students) within sectors and across the Trust
- Create an environment for staff to develop professionally, personally and with a sense of purpose
- Create a structure that ensures Technology is used to maximise organisational improvement

### **The rationale for this programme of growth is:**

- To follow our values of Innovate, Inspire, and Collaborate

- To build on the success of Shireland Collegiate Academy – currently rated ‘Outstanding’ by Ofsted
- The expectation from DfE to share good practice
- A desire to share good practice to improve the quality of education and allow our young people to achieve more
- To share how technology can improve standards for students and staff and improve efficiency of working to allow teachers more time to teach

## Raising Attainment Plan (RAP)

The following five strands and strategic objectives are the key components of the Raising Attainment Plan (RAP) which is central to the Trust’s development planning process.

### Quality of Delivery

- To secure high quality performance/delivery for all staff and students

### Progression for All

- To raise aspiration for all staff and students

### Enhancing levels of Engagement

- To release the potential of all learners and staff
- To provide an environment which unlocks potential and develops the individual and collective self-esteem and confidence

### Establishing Partners in Learning

- To work in collaboration with the local and wider community and academies within our Trust

### Operational Sustainability

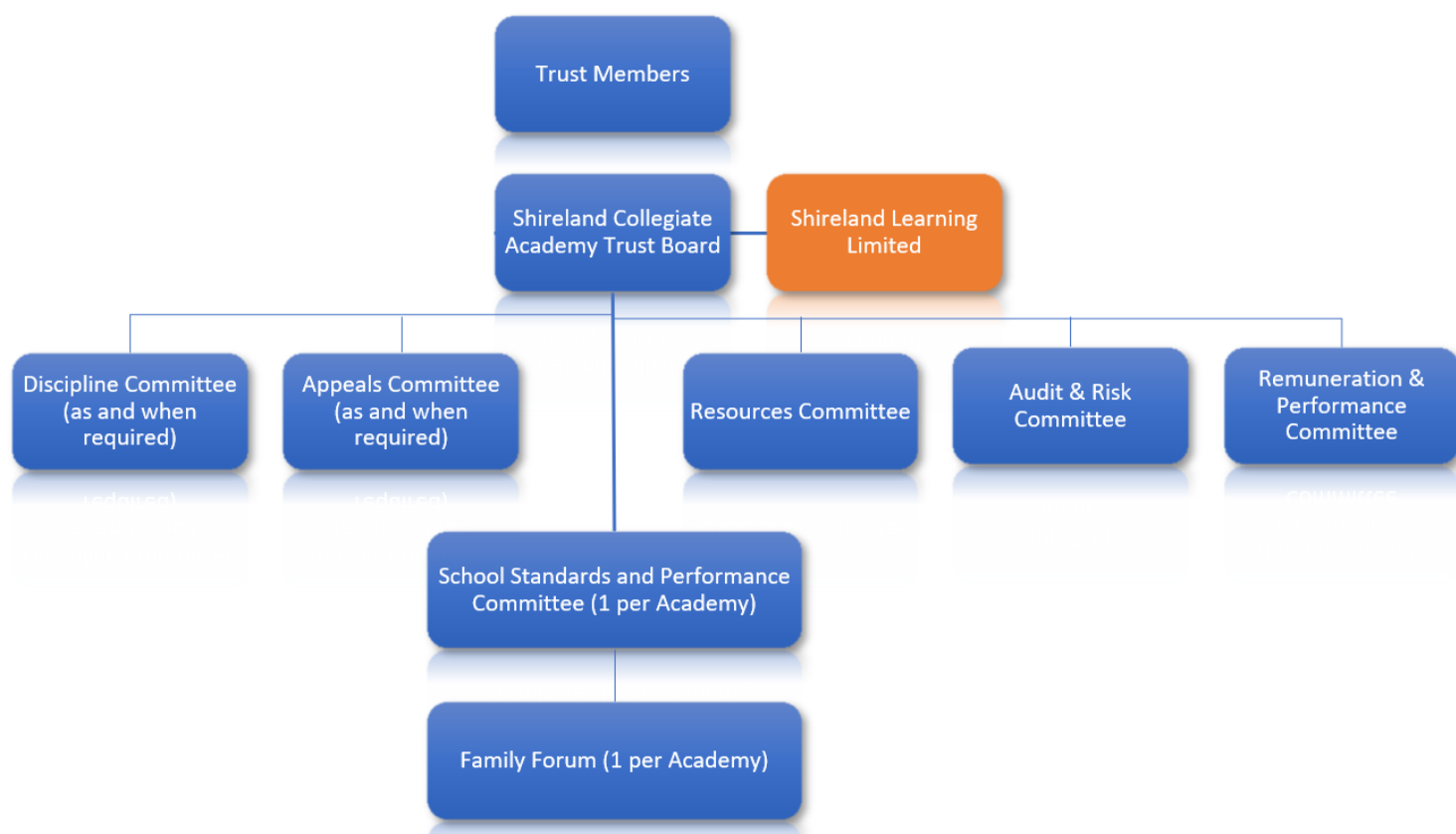
- To achieve operational sustainability across several key areas such as environment, finance and personnel



## The Governance Structure

This section is a brief guide to Corporate Governance in the Trust — essentially this is the way in which the Trust and Academies are directed and controlled. It is about the powers and responsibilities of those who govern the Trust and Academies and the rules and procedures for making decisions.

The Governance Structure for Shireland Collegiate Academy Trust is illustrated below:



## Purpose and Functions

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

All Boards and Committees, no matter what type of Academy or how many Academies they govern, have three core functions:

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

The Academy Trust's Governance Structure and Scheme of Delegation is reviewed and approved annually by the Trust Board at its first meeting in a new academic year. The

Governance Structure comprises details of how committees are constituted and the terms of reference for each committee. These have been revised and improved yearly since the Trust commenced operations in 2007.

## **Shireland Learning Ltd (SLL)**

Shireland Learning Ltd is a wholly owned subsidiary of Shireland Collegiate Academy Trust and the Chief Operating Officer (COO) of SLL is Sir Mark Grundy.

SLL has a strong relationship with Microsoft and has developed software for school improvement for use both within the Academies and for sale to other schools. It is currently developing a strategy for new products, services and partnership arrangements with neighbouring schools and other organisations.

## **The Role of a Member**

The Members of an Academy Trust have a different status from the Trustees. The Members are the subscribers to the Trust's Memorandum of Association, and any other individuals permitted to become Members under its Articles of Association. Members have an overview of the governance arrangements of the Trust and have the power to appoint Trustees and remove these trustees.

Members can amend the Articles and may do so to support stronger governance arrangements.

## **The Role of a Trustee**

The Board of Trustees must comply with both company law (Companies Act 2006) and charity law as determined by the Charity Commission.

Trustees must protect the assets, property and good name of the charity and must:

- Act collectively in decision-making
- Act strictly in accordance with the Trust's governing documents
- Act in the Trust's interests only and without regard to their own private interests
- Manage the Trust's affairs prudently
- Not derive any personal benefit or gain from the Trust or academy of which they are trustees
- Take professional advice on matters on which they are not competent.

## **The Role of a Governor on the Standards and Performance Committees**

Governors of the Standards and Performance Committees are required to attend regular meetings and training to ensure they are fulfilling their role effectively. The Standards and Performance Committees have delegated powers to monitor and review the role of an

Academy at an operational day to day level and to apply the recommendations of the CEO and Principal.

## **The Role of the Chief Executive Officer**

The CEO is appointed by the Board and holds responsibility over all of the Academies within the Trust. The CEO is a Trustee and may attend all committee meetings as an advisory role. Within each organisation there will be a leadership team of which will include a Principal. The Principal will report directly to the CEO.

The CEO is responsible for the internal organisation, management and control of the Trust, the implementation of all policies approved by the Board and its Committees and for the direction of teaching and learning.

The CEO is the Academy Trust's Accounting Officer who must ensure that public money is spent for the purposes intended by government, that appropriate standards of conduct, behaviour and corporate governance are maintained and for ensuring value for money and the efficient and effective use of all the resources under the Trust's control.

## **The Role of The Trust Executive Leadership Team (ELT)**

Internal leadership is provided by a Trust Executive Leadership Team (ELT) which consists of members who have a proven track record of outstanding performance. The ELT co-ordinates strategy and support across the Academies, providing strategic direction and support.

The ELT enables all the Academies to be consistently held to account and monitored in a standardised format on a weekly and termly cycle. This enables effective benchmarking of performance and data collection for each school which is provided by a bespoke Power BI system.

ELT members attend Trust Board meetings and are held accountable for their areas of performance. Each member of the ELT is prepared to respond to challenge from Trustees during these meetings and are responsible for providing reports including Strategic and Operational Risk Registers, Raising Attainment and Development Plans and co-ordinating all required reports from the Academy Trust Handbook.

## **The Role of a Principal**

The Principal will be responsible for the day-to-day operational running of an academy, although, will take direction and recommendations from the CEO and the Board. The Principal will be based in the Academy of which they are head teacher but may at times be called upon to contribute to the committees. The Principal holds a level of responsibility for the day to day running of the Academy and will fully engage with the Standards and Performance Committee.

# The Trust Board and it's Committees

## Trust Board

### Purpose

The Trust Board is responsible for ensuring that high standards of corporate governance are maintained. It has a largely strategic leadership role in the running of the Trust, addressing such matters as:

- Policy development and strategic planning, including target-setting to keep up momentum on school improvement
- Ensuring sound management and administration of the Trust, and ensuring that managers are equipped with relevant skills and guidance
- Ensuring compliance with legal requirements
- Establishing and maintaining a transparent system of prudent and effective internal controls e.g., management of the Trust's financial, human, and other resources
- Monitoring performance and the achievement of objectives, and ensuring that plans for improvement are acted upon
- Helping the academies to be responsive to the needs of parents and the community and making them more accountable through consultation and reporting
- Setting the Trust's standards of conduct and values
- Assessing and managing risk (including preparation of a statement on the Trust's risk management for its annual report and accounts)

A Pen Portrait of the Chair of the Trust Board can be found in Appendix C.

### Membership

The Trust Board membership comprises of nine Trustees.

The Chair and Vice Chair of the Trust Board are appointed on an annual basis at the first meeting of the academic year and are both are experienced in the role and serve on other Trust committees.

### Governance Professional of the Committee

The Governance Professional (Clerk) to the Trust Board is the Assistant Company Secretary, but other persons may be appointed to undertake this function as necessary.

### Terms of Reference

- Ensure compliance with the Trust's duties under Company Law and Charity Law and agreements made with the DfE, such as the Funding Agreements, Governance Handbook and the Academy Trust Handbook

- Ensure the solvency of the charitable trust, safeguarding its assets and delivering its charitable outcomes whilst ensuring the continued charitable status of the company
- Determine the educational character and mission of the Academy Trust
- Approve the education brief and method of delivery for each Academy
- Approve the Trust's governance arrangements and scheme of delegation
- Approval of the appointment/removal of persons to Trust Committees
- Determine the establishment, constitution, membership, proceedings, delegated powers and functions of the committees and their annual review and revision
- Report to all statutory bodies (DFE, Companies House, Charity Commission) in relation to annual accounts and budgets to ensure compliance
- Set the strategic direction of the Trust for a five-year period
- Set key strategic objectives for the Trust and review performance against them
- Appoint the Directors in accordance with a skills matrix
- Appoint & remove the Company Secretary and Governance Professional to the Board of Directors
- Appoint an internal audit/assurance officer
- Approve the acquisition of legal entities (other schools/academies)
- Enter, or withdraw from a formal partnership
- Approve annual budgets for the Trust and its Academies
- Approve the Trust's year end accounts
- Approve the Academy Trust's policies not otherwise delegated to committees
- Receive reports from SLL and to make recommendation to the Board of SLL
- Maintain overall responsibility for Risk Management and maintaining the Risk Management Plan
- Review the Risk Management Plan, at least annually and act on any recommendations from the Audit and Risk Committee
- Determine MAT core services and agree allocation to academies
- Approval of Academy contributions into MAT
- Oversee the effectiveness and value of core MAT services and delivery via SLL
- To approve the pension statement for support staff and any discretions which that may apply
- Appointment or dismissal of the CEO, Principals and Finance Director
- Authorise the opening/closing of a bank account
- To agree contractual spend over £100,000

## Audit and Risk Committee

### Purpose

The Audit and Risk Committee is responsible for:

- Directing the Trust's programme of internal scrutiny
- Ensuring risks are being addressed appropriately through internal scrutiny

- Reporting to the Trust Board on the adequacy of the Trust's internal controls framework for non-financial areas and ensure action is taken on any reports
- Approving the external audit programme for the Trust
- Recommending the appointment/resignation of the auditors for the Trust on an annual basis to the Members

## Membership

The membership of the Audit and Risk Committee is agreed by the Trust Board on an annual basis but must comply with the requirements of Articles of Association to be quorate.

The Audit and Risk Committee comprises of at least one Trustee with some recent and relevant financial experience.

No employee of the Trust is a member of the Audit and Risk Committee.

The Chair of the Trust Board and the CEO are not members of the Audit and Risk Committee.

## Frequency of meetings and programme of work

The Audit and Risk Committee will meet as often as is necessary to fulfil their responsibilities but must meet at least three times per academic year.

The External Auditors and/or Responsible Officer may request a meeting of the Audit and Risk Committee at any time during the academic year.

The Chair of the Audit and Risk Committee meets with the Finance Director and CEO at the beginning of each academic year to plan the work of the committee.

## Terms of Reference

- Approve the external audit process and make recommendations to Members on the appointment/removal of external auditors
- Receive and approve the annual internal audit plan to ensure regular audits are carried out in respect of financial, legal, risk, health and safety, investments, insurance, and the asset register via a self-evaluation process and in year receive the internal audit report and action on the findings, ensuring the work complements the external audit process
- Direct the Trust's internal scrutiny via the approval of an annual programme of work
- Ensure processes are in place and secure for compliance and fraud
- Approve the policies for fraud and whistleblowing
- Receive and keep under review internal compliance information to ensure that the financial regulations, scheme of delegation and internal control framework are being complied with and action taken on any reports
- Review and approve the statements to be included in the annual report concerning internal controls, risk management, and accounting policies
- Receive and respond to the internal and external management reports

- Review the Annual Report of the Directors and Financial Statements for the year-end in accordance with the Companies Act 2006 and make recommendations to the Trust Board
- Ensure that the ESFA are informed of any financial issues and/or irregularities
- Report to the Trust Board on the adequacy of the Trust's internal controls framework for non-financial areas and ensure action is taken on any reports
- Keep under review and report on a regular basis to the Trustees on the adequacy and effectiveness of the company's internal financial controls, internal control, and risk management systems
- To review and approve the Trust's procedures for detecting fraud, bribery, and corruption
- Overview risk to ensure that risk is rated, and progress is reported at each meeting to ensure that risks are being appropriately managed and addressed
- Ensure that robust whistleblowing processes are in place and secure

## Resources Committee

### Purpose

The Resources Committee is responsible for the oversight of the financial management of the Trust, and this includes:

- Assisting the decision-making process of the Trustees, by enabling more detailed consideration to be given to the Trust's finances and resources
- Ensuring the annual accounts are produced in accordance with the requirements of the Companies Act 2006, Charity Commission requirements, and the DfE guidance issued to academies
- Reporting directly to the Trust Board on the overall finances of the Trust and a summary position of each Academy within the Trust
- Compliance with financial regulations and standing orders of the Trust

### Membership

The membership of the Resources Committee is agreed on an annual basis.

The membership is a minimum of 7 and up to a maximum of 9 named Trustees and Governors:

- CEO
- Chair of the Trust Board
- A minimum of 3 Trustees nominated by the Trust Board
- Chair of a SPC (up to a maximum of 4)

### Frequency of meetings and programme of work

The Resources Committee will meet as often as is necessary to fulfil their responsibilities but must meet at least three times per academic year.



The Chair of the Resources Committee meets with the Finance Director and CEO at the beginning of each year to plan the work of this committee.

### Terms of Reference

- Review the annual budget, as notified by the ESFA and in year any accounting officer updates
- Recommend the initial budget for the Trust
- Approve the annual staffing establishment for the Trust and its academies
- Approve medium term financial projections (3-5 years) in accordance with the requirements of the Trust's financial regulations
- Approve or recommend to the Trustees appropriate action on changes to the budget of the Trust and the budgets of each Academy within the Trust during the financial year
- To approve and use key financial performance indicators and measure performance against these regularly
- To receive and approve the Trust's and each Academy's management accounts and budget monitoring reports
- To approve the financial targets each year and monitor in year
- To receive details of the Trust's and each Academy's management accounts monthly
- To review and decide on tenders over the value of £50,000 and up to £100,000 in conjunction with a finance representative
- To agree contractual spend over £50,000 and up to £100,000
- To approve the financial regulations for the Trust in accordance with the Academy Trust Handbook
- To approve all statutory finance policies as delegated down by the Trust Board and provide guidance for Academies
- To ensure that the insurance cover held by the Trust provides adequate protection against risks
- Reporting of the year end position for each Academy (before preparation of the statutory accounts)
- To approve the disposal of surplus equipment in accordance with the Trust's regulations over £5,000 and up to £45,000. In the case of items of value in excess of £45,000 purchased using capital grant, secure prior permission from the ESFA
- To authorise the write-off of debts in accordance with the scheme of delegated authority
- To approve the cash flow management, treasury, and investments
- Setting of the best value statement for the Trust and its Academies
- To report to regulatory bodies in agreed format as required (over and above the annual accounts)
- Providing a clear strategy for use of Trust property and assets to ensure they are adequately maintained and used effectively and efficiently (strategic setting)

### Remuneration Performance Management Committee (RPMC)

#### Purpose

The RPMC has responsibility for performance management of staff for the Trust, to include:



- Determine the pay structure for all staff within the Trust including the approval of pay awards.
- Apply the performance management framework to senior members of staff across the trust
- Receive reports on the performance and appraisal of all staff
- Determine the salary of those on the Executive Pay Spine
- Determine and agree that annual honorarium payments will be target driven
- Make recommendations on these matters to the Trust Board

## Membership

The membership of the RPMC is all Trustees, but must be a minimum of three Trustees (subject to the Articles of Association) will be comprised of:

- The Chair and/or Vice-Chair of the Trust Board or their Trustee nominee
- 3 other Trustees

Any Trustee who is employed by the Trust may not be a member of the RPMC.

Any Trustee who has a business relationship either directly or indirectly with Trust or its Academies must have previously completed a declaration of interests for the academic year in question.

## Frequency of meetings and programme of work

The RPMC will meet as often as is necessary to fulfil their responsibilities but must meet at least twice per academic year.

## Terms of Reference

- To approve the pay structure for the Trust including the approval of pay awards
- To agree pay policies delegated down from the Trust Board
- To approve any changes or increase to the size of leadership teams within the Trust and its Academies
- Advise the Trust Board on all matters related to the performance management framework for senior members of staff across the Trust by receiving an annual progress report on the performance, in relation to previously agreed objectives and success criteria
- Determine and approve the corporate payments for senior members of staff across the Trust
- Determine and agree annual honorarium payments that will be target driven
- Determine and agree the salary of those on the Executive Pay Spine
- Approve the finances for the corporate payments
- Approve the finances for the performance management of all staff

## Discipline Committee

### Purpose

To comply with the Funding Agreements between the Secretary of State and the Trust which require the Trust to have regard to the Secretary of State's guidance regarding exclusions.

## Membership

The membership of the Committee is agreed on an annual basis or as needed but must comply with the requirements of a Committee to be quorate.

The membership shall be any Trustee or Governor subject to the Articles of Association.

A member of the Standards and Performance Committee of an Academy can also be a member of the Discipline Committee of that Academy.

No committee member may participate in the meeting, or be counted in the quorum, if they have a connection with or knowledge of the issue that might affect their impartiality.

Participation in the meeting is permitted to any committee member who is needed to advise the committee on the circumstances of the case under consideration, for example the Principal, but such a person may not vote on a decision.

The Chair has a casting vote.

## Terms of Reference

- To review certain exclusions as defined in the Secretary of State's guidance
- To consider representations about an exclusion made by the parents of an excluded child
- To consider the appropriateness of any permanent exclusion, or any exclusion where one or more fixed period of exclusions totals more than 15 school days in one term.
- To consider representations from all parties in deciding whether to uphold or reinstate a fixed term or permanent exclusion.
- To apply any other obligations contained in the Secretary of State's guidance.

## Appeals Committee

### Purpose

To hear appeals on behalf of the Trust, make appropriate recommendations on such matters to the Trust Board and implement guidance on the conduct of appeals issued by the Secretary of State as it applies to Academies.

### Membership

The membership of the committee will be constituted as needed but must comply with the requirements of a Committee to be quorate. Therefore, the minimum membership must be three independent Trustees or Governors who have not previously been involved in the issue under consideration. At least one of these members will not be involved in the management or running of the relevant Academy.

The membership shall be any Trustee or Governor subject to the Articles of Association.

No committee member may participate in any appeal process or be counted in the quorum if they are an employee of the Academy or have had any prior involvement or association with the circumstances leading to the appeal.

The Chair has a casting vote. The Chair may not be an employee of the Academy.

### Terms of Reference

- To hear any appeal arising from the implementation of any Trust policy
- To hear any appeal arising from the exclusion of a student
- To hear staff dismissal appeals
- To hear staff disciplinary appeals
- To hear appeals on pay grading and or pay awards
- To hear staff appeals on redundancy
- To hear staff appeals on grievance
- To hear complaints
- To hear any confidential reporting disclosure
- To hear any other appeal referred by the Trust.

### Standards and Performance Committee (SPC)

#### Purpose

The SPC is responsible for monitoring and reviewing the operational day to day running of the Academy.

The SPC has the delegated power to approve the recommendations of the CEO and/or the Principal in respect of the operational day to day running of the Academy to include:

- Convening a Discipline Committee when required
- The implementation of policies approved by the Trust Board according to the agreed policy schedule
- Implementing decisions of the Trust Board and the CEO
- The reviewing and monitoring of standards & performance across the Academy, to include:
  - Student progress and performance
  - Keep Children Safe in Education
  - SEND
  - Enrichment for families and students
  - Health & safety
  - Site
  - Financial position of the Academy
  - Staffing (to include appraisal and target setting)
  - Overview of the staffing establishment agreed by the Trust Board
  - Monitor of the Academy's RAP
  - Overview of the Academy's compliance with statutory requirements

Please note, for a University Technical College (UTC) establishment, the SPC will also be responsible for monitoring and reviewing compliance with the UTC Charter.

## Membership

The membership of SPCs will be agreed on an annual basis.

### **SPC Membership (excluding a UTC establishment):**

- 1x Trustee or Governor of the Academy appointed by the Principal as Chair
- 1x Principal of the Academy
- 2x Family Governors
- 1x Staff Governor
- 3x Community Governors
- 1x Co-Opted Governor or 2x Co-opted if the Chair is not a Trustee.

A total of **9 Governors**

### **UTC SPC Membership:**

- 1x Trustee or Governor of the Academy appointed by the Principal as Chair
- 5 x University Sponsor/Employer Sponsor Governors
- 1x Staff Governor
- 2x Parent Governor or 3x Parent Governors if the Chair is not a Trustee.

A total of **9 Governors**

## Frequency of meetings

SPCs will meet as often as is necessary to fulfil their responsibilities but must meet at least three times per academic year.

## Terms of Reference

- To review and monitor standards & performance across the Academy, to include, learner's performance & attainment, staffing establishment, effective use of the estates, safety and welfare of both learners and staff to include safeguarding, SEND, sickness levels, health and safety
- Annually agree the link governors for safeguarding, SEND and Teaching & Learning
- Annually agree, designated officer for Safeguarding and SEND
- Annually appoint the Vice Chair for the Standards and Performance Committee
- Oversight of work to enrich the lives of students and families
- Agree prices for lettings
- To implement single equality duty
- To agree any other local policies determined by the Principal but not required at Trust level
- Monitor the annual budget to ensure that the Academy keep within the limits agreed by the Trust Board
- Monitor the application of the Raising Attainment Plan (RAP) throughout the year

- Receive feedback from Family Forum
- Ensure all relevant statutory policies are adhered to within Academies

## Family Forum

### Purpose

- To enable families to influence the quality of education for their children and for their community
- To help the Academy to understand parents' perspectives on issues which affect them
- To advise on the organisation and evaluation of activities for parents such as options choice and consultation events

### Membership

- A minimum of four parents (other than Trustees and or Governors)
- Up to six representatives from community groups
- Principal of each Academy or their representative
- Any person appointed by the committee because of their parental, community, or business interest.

### Frequency of meetings

The Family Forum will meet at least three times per academic year.

### Terms of Reference

The Family Forum will actively promote a working partnership between parents/carers and the Academy. The Family Forum will report to the Academy's SPC.

The following responsibilities are held by the Family Forum:

- Involve the community in the planning and provision of Extended Services
- Advise on effective means of consultation with parents
- Promote the Academy's key priorities

The Family Forum is a consultative forum, a 'sounding board' of opinion, and a source of help and advice.

## Relationship Between the Trust Board and its Committees

Communication between the levels of governance is achieved in several ways. The Chair of each SPC is appointed by the Principal, although most Chairs are also Trustees. During SPC meetings, there is a standard agenda item where the Chair will feed any information from the Trust Board to the SPC. The SPC chair will also act as the conduit for the exchange of any key information back to the Trust Board from the SPC, supported by the minutes of SPC meetings.

All Trustees and Governors have access to Committee minutes on the Governance Portal. The Trust Board agendas also include a standing item that is feedback from the SPC on issues to be brought to the Trust Board's attention. This acts as a two-way flow of communication between each SPC and the Trust Board.

SPCs have the delegated power to monitor, review and make recommendations. The Chair of any committee may act outside of meetings on behalf of that committee, in accordance with the agreed terms of reference and in conjunction with the Chief Executive Officer. Any recommendation or decisions made via Chair's action will be itemised on the agenda for the next meeting and reported.

## Delegation of Powers and Responsibilities

### Scheme of Delegation

The Trust can (subject to the Articles of Association) delegate to any committee, any Trustee, any person holding an executive office, or to the Chief Executive Officer (CEO) such of their powers or functions as they consider desirable to be exercised by them.

The Trust's scheme of delegation defines the powers and functions delegated to committees and executive officers to maintain robust internal controls. The scheme of delegation is reviewed on an annual basis or immediately when there has been a change within the Trust's management or organisational structure.

The approved scheme of delegation is published on the Trust's website to maintain transparency with stakeholders and meet statutory requirements set by the Department of Education. At the point of approval, the power delegated to the Trust board and its committees becomes binding and effective immediately.

### Powers and responsibilities delegated to the CEO

The CEO is responsible for ensuring the effective internal organisation, management and control of the Academies, the implementation of all policies approved by Trustees and the direction of teaching and the curriculum. In addition, the CEO is responsible for the operation of financial processes and ensuring that adequate operational controls are in place and are maintained. The CEO will ensure that full and accurate financial records are kept, including those of the external auditor and Responsible Officer. In addition, the CEO regularly monitors income and expenditure reports and highlights potential problems to the Resources Committee. Overall, the CEO, as Accounting Officer, will ensure that the Trust fulfils the requirements of the Academy Trust Handbook and the Funding Agreements.

### Powers delegated to the CEO and the Board Chair

At its meeting on 4 September 2007, the Trust Board discussed the fact that it is sometimes necessary for it to act in emergencies and to make decisions on behalf of the Trust. It was proposed that in such circumstances, the Chair should be granted powers in conjunction with the CEO to take such action and to report to the next meeting of the Trust Board. The Trust Board approved the proposal to delegate powers to the Chair, in conjunction with the CEO, to agree executive decisions in emergency situations by telephone or email and to act on behalf of the full Trust Board. All such decisions are reported to the next meeting of the Trust Board.

### The Accounting Officer

The Accounting Officer (AO) is the CEO who is a highly experienced and successful educational leader, having worked as an advisor regionally and nationally for the DfE. The AO is a member of the Trust Board, the Resources Committee and attends Audit and Risk Committee meetings. The AO writes and signs the statements in the Directors Annual Report and Accounts on Governance, Regularity, Propriety, Compliance and Trustees'

Responsibilities. The AO is fully conversant with the Academy Trust Handbook and Funding Agreements and is appraised by the Finance Director (FD) of any regulatory changes as they arise.

### **The Chief Financial Officer**

The CFO prepares the key documents for the Resources Committee and therefore responds personally to questions and challenge from the Resources Committee and the Trust Board. The Trust Board includes persons who have significant financial or commercial expertise and challenge is frequently encouraged. The CFO's scope includes risk management and policy development as well as the expected function of financial management, regulatory control, and compliance. The CFO has asked Trustees and Members of committees to comment on the quality and presentation of finance and governance reports and this deliberate policy of openness and feedback has resulted in a productive exchange in meetings. The method of reporting to the Trust Board and its committees is regularly reviewed to ensure that the best balance is struck between providing sufficient detail to achieve transparency and accountability whilst simultaneously avoiding overloading reports with unnecessary detail. For example, Trust Board and committee agendas have key documents in one column for summary reference of essential information and secondary supporting background information in a further column.

### **The Chair of the Resources Committee**

This Trustee is the de facto lead on finance for the Trust Board and its committees. The current chair of the Resources Committee has experience of budget management, contract management, research and evaluation, monitoring contractor performance, and staff management. These functions have been undertaken in both public service and private practice.



## Effective Governance, Training and Skills

Effective governance is based on six key features:

1. Strategic leadership that sets and champions a vision, ethos and strategy.
2. Accountability that drives up educational standards and financial performance.
3. People with the right skills, experience, qualities and capacity.
4. Structures that reinforce clearly defined roles and responsibilities
5. Compliance with statutory and contractual requirements.
6. Evaluation to monitor and improve the quality and impact of governance.

In order to achieve these goals, the DfE has published 'A Competency Framework for Governance'—the knowledge, skills and behaviours needed for effective governance.

This may be summarised pictorially as follows:



## Training within the Trust

Prior to each Board or Committee meeting there is allocated training/briefing session which can be delivered in person or be sent prior to the meeting. This will be on a relevant issue of which is expected to be between 30 minutes and one hour.

The aim is to provide training interventions that are manageable for Trustees and Governors to attend and focused enough to provide the essential information. We devise a summary of training activities for the year for the Board, the Resources Committee and for the Standards and Performance Committees. This is derived from the knowledge, skills and behaviours that are described in the Competency Framework for Governance and is intended to bridge the gaps in skills, knowledge and effective behaviours that may be identified. We rely heavily on Trustees and Governors to suggest training activities that would help them to be more effective.

Completion of each training/briefing session will be recorded.

## External Training

We also have the subscriptions and resources available to all Members, Trustees and Governors from external sources. These will enable all Members, Trustees and Governors to access a full range of courses throughout the year that will help them to discharge their duties.

As a Trustee and/or Governor you are entitled to attend training courses and use the online resources offered by:

- The Key – an online resource bank
- National Governors Association (Learning Link) – an online resources bank with training course opportunities

Upon appointment to Shireland Collegiate Academy Trust you will have accounts created for each of these organisations to ensure you are able to view the online resources and book onto the training courses they provide.

The website details can be found in the contacts section of this handbook.

## Skills

It is important for the Trust to know the skills, knowledge and experience of its Trustees and Governors. This will enable us to work towards having a Trust Board and its committees which are sufficiently broad and balanced to enable them to achieve their objectives. For this reason, the Trust asks all Trustees and Governors to complete a skills audit. This will be issued as part of a selection process to join the Trust and periodically thereafter. This information will enable skills gaps to be filled when recruiting new Trustees or Governors and for training to be provided to existing members.

## Self-Evaluation and Trust Board Effectiveness

Trustees and Governors regularly evaluate their own effectiveness.

There is an annual evaluation form that is completed at the end of each academic year. The annual evaluation is used to identify training needs for the following year and to assess the effectiveness of the training received. These evaluations are essential and are very useful for ensuring that the skills, knowledge and engagement from Members, Trustees and Governors is at the highest level possible.

All Members, Trustees, and Governors are asked to complete the NGA Skills Matrix which is completed and reviewed annually. The aim is for Members, Trustees, and Governors challenge themselves about their role and effectiveness and to help identify gaps in their knowledge.

The All-Party Parliamentary Group on Education Governance and Leadership has produced Twenty-one questions for Multi Academy Trust Boards. The aim is for Trustees and governors challenge themselves about their role and effectiveness and to help to identify gaps in their knowledge.

Trustees have been asked to review their level of knowledge relating to the Twenty-One questions. Their responses have been included in the training plan so that knowledge gaps and essential competency needs can be addressed. This can be found in Appendix D.

Moreover, an external governance audit will be conducted as deemed necessary by the TSLT, but at least once every two years. The Trust Board's overall efficacy may be one of the important areas that Trust Officers feel needs to be assessed during this audit, which in turn will highlight the Trust Board's impact on Academies. The audit report is then examined to find any areas for improvement that can be integrated to enhance the Trust Board's performance and benefit Academies further.

## Support for Trustees and Governors

### The Governance Portal

The Governance Portal is an essential resource for providing access to information about the Trust, the academies and governance. Please ensure you check the Portal on a regular basis as updates will be shown in the announcements and important dates are on the calendar.

By using the Portal, Members, Trustees and Governors have the most up to date information about past and future Board and Committee meetings, recent developments, safeguarding, policies, key documents and much more.

The Portal reduces the amount of paper that we need to send to you and for you to store in a safe place - everything that you need is there.

We aim to transfer the completing of forms online by creating surveys and questionnaires, these will then be emailed to all required to complete them and responses can be easily collated and monitored. This will reduce costs and move forward to the desired paperless system.

### Trust Support

Your first point of contact for Shireland Collegiate Academy Trust who will be available to answer any queries or provide you support in your role is Miss Emma Billingham (Governance Support Officer). Emma can be contacted at Shireland Collegiate Academy on 07395 881826 or by email – [EBillingham@shirelandcat.net](mailto:EBillingham@shirelandcat.net)

If further assistance is required, Mrs Jo Cook Governance Manager can be contacted by email [joanne.cook@Shirelandcat.net](mailto:joanne.cook@Shirelandcat.net) or Mr Hasnain Panjwani, Chief Strategic Officer can also be contacted by email – [Hasnain.panjwani@shirelandcat.net](mailto:Hasnain.panjwani@shirelandcat.net)

## Use of Personal Data

To comply with legislation and guidance Shireland Collegiate Academy Trust is required to publish information detailing the governance of the Trust and its associated academies. This ensures transparency throughout the Trust.

There are also some external organisations of which are required to hold records of Members, Trustees and Governors. In these cases, your information is stored rather than published.

There are specific details that are required to be published or stored in specific places dependant on an individual's role with the Trust and Academies.

Please see the below roles and the requirements.

	Member	Trustee	Member of the SPC	Accounting Officer	Finance Director
GIAS*	✓	✓	✓	✓	✓
Transparency*	✓	✓	✓		
Companies House**	✓	✓		✓	✓
Trust Banking Provider **		✓			

\* The information disclosed will be published

\*\* The information disclosed will be stored within their organisation for reference

## GIAS

GIAS (Get Information about a School) is a register of educational establishments in England and Wales and is maintained by the Department for Education. The register is updated by the establishment itself as well as the Local Authorities and the DfE. All compulsory, higher and further education establishments must provide the following details for Members, Trustees, Governors, Accounting officer and the Financial Officer:

- Name
- Previous name
- Date of birth
- Nationality
- Country of birth
- Phone number
- Email address
- Address
- Appointment date
- End of office/term date/resignation date where applicable

All information stored on GIAS can be accessed publicly and is part of the Department for Education's (DfE) control and recording measures.

## Transparency

The Transparency document is published on the Shireland Collegiate Academy Trust external website and the personal details and registers it includes are:

- Appointment dates for Members, Trustees and Governors
- Register of people with Significant Control (RSC)
- Declarations of Pecuniary Interests
- Meeting Attendance
- Gift and Hospitality Declarations

The attendance and declaration registers are available within this document for at least the current year and the previous year, this will always be for at least 12 months.

The transparency document also briefly explains the Governance Structure to ensure the details are interpreted accurately.

## Companies House

As the organisation is a company, Shireland Collegiate Academy Trust is required to provide Companies House with the following information:

- The confirmation statement (previously the Annual Return)
- The annual accounts
- notification of any change in the company's officers or in their personal details
- notification of a change to the company's registered office
- allotment of shares
- registration of charges

In relation to the publication of a Trustee's details the following is required:

- His or her name and any previous names
- A service address (which may be stated to be 'the company's registered office')
- The country or state or part of the United Kingdom where he or she is usually resident
- Nationality, business occupation (if any) and date of birth

## Trust Banking Provider

In order to open and maintain the bank account for Shireland Collegiate Academy Trust the Trustees, as Directors, are required to disclose their personal information which will include the following:

- Name
- Address
- Date of Birth
- Previous address

- Previous name
- Nationality
- Date of appointment

This is because of the powers that the Trustees hold as charity/company directors and the control factors in place to ensure the Trust's funding is used and managed appropriately. The Scheme of Delegation sets authorisation limits to control the significant income and expenditure within the Trust its academies. The Scheme of Delegation is approved by the Board and is in accordance with the Governance Structure and Financial regulations approved by the Resources Committee.

The Trust has a Privacy Notice for Trustees and Governors which can be found on the Trusts website.

## Expectations of Trustees and Governors and Protocols

### Conduct of a Member, Trustee and Governor

When appointed as a Member, Trustee or a Governor you will be expected to adhere to the Shireland Collegiate Academy Trust's Code of Conduct which outlines the expectations of Members, Trustees and Governors and your agreement to discharge your responsibility in line with the 7 Principles of Public life (see Annex F).

The mainstream funding for the Trust and its academies is public funds, therefore Members, Trustees and Governors must ensure Value for Money and clearly demonstrate that they do not use public money for personal benefit.

After reading and understanding the Code of Conduct you will be expected to complete an annual online declaration.

### Declarations of Gift and Hospitality

Shireland Collegiate Academy Trust has a policy of which all Members, Trustees and Governors are expected to follow whereby they are required to declare any Gifts and Hospitalities they may receive in respect of their role.

To this extent a register is maintained to record and gifts and hospitality that has been received. Each Member, Trustees and Governor will be asked to complete a paper or online declaration form at the end of each term and the information will then be transposed onto a register that is retained by the Finance and Compliance Director.

### Declarations of Pecuniary Interests

Shireland Collegiate Academy Trust has a Declaration of Interest Policy that complies with Education and Skills Funding Agency (ESFA) direction whereby, Members, Trustees and Governors are asked on an annual basis to complete a paper or online Declaration of Interest form. It is each individual's responsibility to ensure that this information is kept current and any changes are declared in the appropriate agenda item at each meeting and the online form is completed again to reflect your changes.

It is also strongly recommended, as a matter of good practice, that other senior staff complete declarations.

### Payments to Directors and Members

Members, Trustees and Governors may **not** receive any remuneration for their governance work other than payment of all reasonable out of pocket travel, accommodation or other expenses legitimately incurred by them in connection with their attendance at meetings acting in the capacity of Member, Trustee or Governor.



If any expenses are incurred these must be claimed back whilst in accordance with our Governance Expenses policy.

## How can I be most effective as a Member, Trustee or Governor?

This list of activities gives an insight into what is involved in being a Trustee or Governor:

- Participation - your views are valued so please take part actively in discussion
- Attending meetings - be an active member of committees
- Prepare for meetings - use the Governance Portal as a resource, think of questions you wish to ask
- Take action - you may be asked to carry out agreed actions
- Get to know the trust and academies, visiting on a regular basis, be involved in the life of the trust or academy and its activities
- Work as a team and with staff
- Be a critical friend
- Review and evaluate your work and suggest improvements
- Training - tell us about your skills and how we can support you in your role with training

## Meeting Preparation

For all meetings, the agenda and supporting documents will be uploaded to the governance portal seven clear days before the meeting. Trustees and Governors are expected to view the documents prior to the meeting to prepare any issues or comments ready for the meeting.

## Conduct of Meetings

The Chair is responsible for the efficient conduct of meetings. The Chair will work closely with the CEO, senior staff and the Company Secretary to ensure that:

- Reports are of a high standard
- Trustees and Governors receive information in sufficient time to prepare for a meeting
- Clear decisions are reached in meetings
- Action is taken to carry out these decisions
- High standards of governance are established and maintained

## The Role of the Chair

The Chair is responsible for providing strategic leadership on matters such as:

- Formulating the Board's strategy for discharging its statutory duties
- Encouraging high standards of propriety and promoting the efficient and effective use of staff and other resources throughout the school
- Ensuring that the Board, in reaching decisions, takes proper account of guidance provided by government and other regulatory bodies

- Representing the views of the Board to stakeholders and the community

The Chair should ensure that the Board meets at regular intervals throughout the year and that the minutes of meetings accurately record the decisions taken and, where appropriate, the views of individual Board members.

Communications between the board and the DfE will normally be through the Chair and the CEO except where the Board has agreed that an individual member should act on its behalf.

The main point of contact between the Academies and the DfE on day-to-day matters will normally be the CEO.

## The Role of Link Trustees and Governors

Link Trustees and Governors have a responsibility to monitor and evaluate the progress of the Academies and contribute to the school self-evaluation process. Link Governors and Trustees are appointed at the first meeting of the academic year. Currently the mandatory Link positions are:

- Safeguarding
- SEND
- Teaching & Learning
- Wellbeing

More information about Link Trustees and Governors can be found on the Link Governor tab within each Committees section on the Governance Portal.

## Risk Management

Trustees and Governors must consider the major risks that may affect the Trust and its academies.

For example:

- Identifying the major risks
- What the likelihood is of those risks materialising
- What would be the potential impact of the risks?
- What systems have been put in place to mitigate and monitor the risks

The Risk Management process includes the preparation of a contingency and business continuity plan to deal with crises that the Trust could face.

The Board must also ensure that the Trust complies with general legislative requirements covering employment, property and health and safety regulations.

There is a Risk Management Plan for Shireland Collegiate Academy Trust and this is reviewed annually by the Audit & Risk Committee and the Standards and Performance Committees, respectively.

## Safeguarding and Prevent Agenda

Summaries of information about current safeguarding issues are presented to Trustees and Governors when required. The report to the Board and the Standards and Performance Committees on safeguarding practice enables the monitoring of compliance with the requirements of "Safeguarding Children and Safer Recruitment in Education", DfE 2006 and for areas for improvement to be identified.

The CEO, Sir Mark Grundy is ultimately responsible for safeguarding.

The safeguarding person named above is also responsible for the implementation of controls and policies regarding the Prevent Agenda within the Trust.

In each Academy, the safeguarding named persons are also responsible for the implementation of controls and policies regarding the Prevent Agenda.

Each Academy within the Trust will have a Designated Safeguarding Lead (DSL) and a Nominated Safeguarding Link Trustee/Governor. The DSL will be noted and the Safeguarding Link appointed by the SPC at the first meeting of the academic year.

## Ofsted Inspections

In May 2011 Ofsted produced a report 'School Governance: Learning from the Best'. The report concludes that:

- Governance play a critical role in guiding, supporting and challenging schools
- Directors and Governors give up their time to do the very best they can for their schools and it is important that their contribution adds real value
- Directors and Governors who know their school well, and are able to make and support hard decisions in the interests of students will be in the best position to drive improvement at their school
- Effective governance means engaging extensively with parents and the wider community to promote the school's work
- Directors and governors should visit their school to talk to staff and students, and to see the school in action

In summary, inspection evidence tells us that there is a relationship between effective governance, the quality of leadership and management, and the quality of provision and pupil achievement.

As these are the key measures used by Ofsted when inspecting a school, the importance of Directors and Governors cannot be underestimated.

The below framework for inspection was introduced in September 2012 and had some important features:

- Higher standards – it is meant to be very hard to get an “outstanding” grading
- Quality of teaching – good teaching is regarded as essential to good education, and inspectors will concentrate on lesson observations
- Particular attention will be paid to behaviour, and inspectors will endeavour to assess how what they see on their visit is typical of the school normally
- There is close working between the inspectors and senior leadership team, and the CEO is invited to join inspectors in lesson observations
- Account is taken of views of students and parents
- Although Ofsted no longer provides a self-evaluation form to schools, it expects schools to conduct self-evaluation according to whatever system suits them best, and will ask the school for its self-evaluation summary before starting the inspection
- Recommendations as to appropriate action are given by the inspectors on the main points identified at the end of the inspection as needing attention

## The Current Inspection Regime (September 2022)

In September 2022, further key changes were made to Ofsted Inspections and are detailed in the documents that can be found at [Inspecting schools: guide for maintained and academy schools - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/108422/inspecting_schools_guide_for_maintained_and_academy_schools.pdf)

## Ofsted Judgements

Ofsted assesses the standards of schools under four main headings:

- Quality of education
- Behaviour and attitudes
- Personal development
- Leadership and management

In addition, there is a judgement on the overall effectiveness of the school.

A school cannot be judged as 'outstanding' for overall effectiveness unless they have outstanding teaching

There are four points in the grading scale applied to these:

Grade 1	Outstanding
Grade 2	Good
Grade 3	Requires improvement
Grade 4	Inadequate

## The Role of Governance in Inspections

Inspectors will not assess governance separately, but it will be included where appropriate in the judgements on Leadership and Management.

Inspectors will seek evidence of the impact of those responsible for governance. This includes maintained school governors, proprietors, or academy trustees. In a multi-academy trust this may include members of the local governing body, as well as the trustees.

Inspectors will consider whether governors:

- Work effectively with leaders to communicate the vision, ethos and strategic direction of the school and develop a culture of ambition
- Provide a balance of challenge and support to leaders, understanding the strengths and areas needing improvement at the school
- Provide support for an effective headteacher or are hindering school improvement because of a lack of understanding of the issues facing the school
- Performance manage the headteacher rigorously
- Understand the impact of teaching, learning and assessment on the progress of pupils currently in the school
- Ensure that assessment information from leaders provides governors with sufficient and accurate information to ask probing questions about outcomes for pupils
- Ensure that the school's finances are properly managed and can evaluate how the school is using the pupil premium, Year 7 literacy and numeracy catch-up premium, primary PE and sport premium, and special educational needs funding
- Are transparent and accountable, including in recruitment of staff, governance structures, attendance at meetings and contact with parents

There is also no requirement for inspectors to meet any Members, Trustees or Governors, other than at the final session when the lead inspector delivers their findings. However, the Board would be advised to ask one of its members to join the CEO at the meeting with the lead inspector at the start of the first day and at the meeting at the end of the first day when the inspector will discuss with the CEO what the team has discovered.

All Members, Trustees and Governors should be prepared to meet with inspectors during a visit and should be confident in answering questions that they may have. If you are unsure of the responsibilities that Members, Trustees and Governors hold you must seek advice. Please see the Ofsted questionnaire and information in the Key Documents on the Governance Portal. You will also be asked to complete a survey annually, this will be to identify any training needs and ensure all Members, Trustees and Governors are up to date and knowledgeable. This will also prepare Members, Trustees and Governors for such an occasion where they may be called upon.

Inspectors may also ask to see Trustees or Governors if there are governance issues that cause them concern. Trustees and Governors should note that the DfE and Ofsted are increasingly focusing on the importance of effective governance, the need for the skills and behaviours of Trustees and Governors to be of a high standard and for Boards and Committees to demonstrate challenge to the Trust Senior Leadership Team.

## Where to find more information

### 1. Ofsted

Ofsted  
Piccadilly Gate  
Store Street  
Manchester  
M1 2WD  
[enquiries@ofsted.gov.uk](mailto:enquiries@ofsted.gov.uk)  
Tel 0300 123 1231

The government's inspection agency.

### 2. Education and Skills Funding Agency (ESFA)

[academyquestions@efa.education.gov.uk](mailto:academyquestions@efa.education.gov.uk)  
Tel 0370 000 2288

The funding agency for Academies

### 3. National Governors' Association (NGA)

[www.nga.org.uk](http://www.nga.org.uk)

This is an online resource which all trustees and governors have access to through the Trust's subscription.

### 4. The Key

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

This is an online resource which all trustees and governors have access to through the Trust's subscription.

### 5. Governance Handbook

The Governance Handbook is produced by the Department for Education for Governors, headteachers and governing body clerks. This document includes key information that all Trustees and Governors should be aware of. The handbook is on the Governance portal and can also be found on the gov.uk website.

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/925104/Governance\\_Handbook\\_FINAL.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/925104/Governance_Handbook_FINAL.pdf)

### 6. Academies Trust Handbook

The Academies Trust Handbook is produced yearly by the Education and Skills Funding Agency to specify the financial framework which relates to the Academy based on their status as companies, charities and public bodies.

All Trustees must be aware of the Academies Trust Handbook to ensure the Trust remains compliant. This handbook outlines the requirements of the Trust and the roles

that Trustees and Governors should carry out to be effective. The handbook is on the Governance portal and can also be found on the gov.uk website.

[Academy Trust Handbook - Guidance - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/publications/academy-trust-handbook-guidance)

## 7. The Essential Trustee – What you need to know

The Charity Commission produce the Essential Trustee guidance to inform trustees what is required of them as a charity trustee, including their responsibilities to the charity.

<https://www.gov.uk/government/publications/the-essential-trustee-what-you-need-to-know-cc3>



## APPENDIX A Definitions

For the purposes of The Academies Financial Handbook, the following definitions will apply.

<b>Academic year</b>	The 'school year' starting 1 September and ending 31 August.
<b>Academy Trust</b>	The company which has entered into a funding agreement with the Secretary of State to run one or more academies.
<b>Accounting Officer</b>	The senior executive leader of the academy trust, designated as accountable for value for money, regularity and propriety. In single academy trusts this should be the principal. In multi-academy trusts it should be the chief executive, or equivalent, of the overall trust.
<b>Accounting Officer's statement on regularity, propriety and compliance</b>	The academy trust's accounting officer must complete and sign a statement on regularity, propriety and compliance each year. This statement must be included in the trust's annual report and submitted to EFA at the same time as the annual accounts.
<b>Accounts direction</b>	EFA's annually published guide for academies on preparing their annual report and accounts.
<b>Accounts return</b>	A return of key financial information based on academy trusts' annual accounts, but incorporating additional data required for consolidating trusts' accounts into EFA's accounts, and for the collection of benchmarking data. EFA will collect these returns from those academy trusts in scope in a format, and by a date, to be notified. The accounts return replaces the Consistent Financial Reporting (CFR) return for maintained schools.
<b>Articles of Association</b>	The articles set out the trust's charitable object(s) and governance arrangements.
<b>Asset</b>	Anything that is capable of being owned or controlled to produce value and that is held to have positive economic value. Can be 'revenue' (e.g. cash) or 'capital' (e.g. a building).
<b>Balanced budget</b>	A formal budget plan setting out projected income and expenditure drawing on unspent funds from previous years as necessary. Trusts do not have to balance income and expenditure in each year to zero and can carry forward unspent GAG (if eligible).
<b>Capital</b>	Capital assets or funding are those from which an academy trust can expect to derive a benefit for more than one year: typically, land, buildings, vehicles, information technology etc. Capital assets are usually referred to as fixed assets.
<b>Chief Executive Officer</b>	The senior executive leader and head of the management team of a multi-academy trust. Trusts may use alternative descriptions for this post such as CEO.
<b>Chief Financial Officer</b>	The individual who leads the finance department, such as the finance director, business manager or equivalent.

<b>Companies House</b>	Is the UK's Registrar of Companies whose main functions are to incorporate and dissolve limited companies, examine and store company information and accounts, and making this publicly available.
<b>De facto Trustee</b>	A person not validly appointed as a trustee but exercising the functions that could only be properly discharged by a trustee. See also shadow directors.
<b>Economy</b>	Obtaining an outcome for the least possible input of resources.
<b>Education and Skills Funding Agency (ESFA)</b>	EFA is an executive agency of the DfE that acts as the agent of the Secretary of State.
<b>Effectiveness</b>	Obtaining the desired outcome.
<b>Efficiency</b>	Obtaining the best possible outcome for the resources input.
<b>Exempt charity</b>	An exempt charity does not have to register with the Charity Commission. The principal regulator of exempt trusts is DfE. Exempt trusts will still need Charity Commission's prior approval for some transactions e.g. trustee payment for work as trustee.
<b>Ex officio Trustee</b>	By virtue of the office or position held.
<b>Financial Management and Governance Self-assessment (FMGS)</b>	A submission for completion and return to ESFA by a notified date, by new academy trusts that are not yet preparing financial statements and not yet subject to a regularity audit. The return asks trusts to self-assess their financial management arrangements in several specified areas.
<b>Financial year</b>	For academy trusts, this is usually the same as the academic year, from 1 September to 31 August. For most other public sector bodies (e.g. EFA) it means the period from 1 April to 31 March.
<b>Funding agreement</b>	The agreement between the academy trust and the Secretary of State, which includes funding arrangements, obligations of both parties and termination provisions.
<b>General Annual Grant</b>	GAG is the main source of revenue funding for academy trusts.
<b>Principal</b>	The head teacher of an academy and the senior executive leader of a single academy trust.
<b>Private Finance Initiative (PFI)</b>	PFI is a way of funding public infrastructure projects using private capital.
<b>Propriety</b>	The requirement to deal with expenditure and receipts in accordance with Parliament's intentions and the principles of parliamentary control. This covers standards of conduct, behaviour and corporate governance.
<b>Public funds</b>	Funds which, ultimately, derive from parliamentary authority. All academy trusts' income, expenditure, assets and liabilities are consolidated into the accounts of DfE and will be considered by Parliament to be public unless otherwise demonstrated.

<b>Regularity</b>	The requirement to deal with all items of income and expenditure in accordance with legislation, the terms of the trust's funding agreement and this handbook, and compliance with internal trust procedures. This includes spending public money for the purpose intended by Parliament.
<b>Risk protection arrangement</b>	The RPA is an alternative to insurance for academy trusts that opt-in where losses that arise are covered by UK government funds.
<b>Secretary of State</b>	The Secretary of State for the Department for Education.
<b>Shadow director</b>	A person in accordance with whose directions or instructions the directors of a company are accustomed to act. See also de facto trustee.
<b>Special payments</b>	Payments outside the normal range of activities approved by Parliament and therefore requiring greater control. They include ex gratia payments, staff severance payments, compensation payments and other extra-statutory or extra-contractual payments. See annex 4.13 of HM Treasury's Managing Public Money.
<b>Statement of Recommended Practice</b>	The Charity Commission's document describing the form and content of charity accounts.
<b>Value for money</b>	Achieving the best possible educational and wider societal outcomes through the economic, efficient and effective use of all the resources in the trust's charge, the avoidance of waste and extravagance, and prudent and economical administration.
<b>Whistleblowing</b>	When an employee reports suspected wrongdoing at work and makes a disclosure in the public interest, under the protection of the Public Interest Disclosure Act 1998.

## APPENDIX B Pen Portrait of the Chair of the Trust Board

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***Andy Dennis***

*Chair of Shireland Collegiate Academy Trust Board*

*Chair of Resources Committee*

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Andy is the Chair of the Board and graduated from The University of Leeds in 2013 with an Honours Degree in Aviation Technology & Management. He's worked in the Aerospace and Defence industries, most recently as a Project Manager where he is managing the development and production of rocket propulsion systems.

He takes a keen interest in Continuous Improvement and is always prepared to challenge existing processes & systems with the view of enhancing both results & morale. Responsible for budgets exceeding £100m, Andy has achieved a number of notable successes in accelerated delivery and robust improvement projects.

Andy is interested in risk & opportunity management, budgetary analysis, succession planning, the welfare of staff & pupils and the tailoring of education to pupil's needs.

## APPENDIX C 21 Acronyms and Abbreviations used by the Trust

### School's within the Trust

Acronym/Abbreviation	Meaning
S-CAT	Shireland Collegiate Academy Trust
SCA	Shireland Collegiate Academy
TCA	Thorns Collegiate Academy
WBCA	West Bromwich Collegiate Academy
SBU	Shireland Biomedical UTC
SCBSO	Shireland CBSO Academy (City of Birmingham Symphony Orchestra)
HPA	Holyhead Primary Academy
TPA	Tameside Primary Academy
STP	Shireland Technology Primary
WPA	Wallbrook Primary Academy
LPA	Lightwoods Primary Academy

### School's currently being developed

Acronym/Abbreviation	Meaning
WTP	Wednesfield Technology Primary
CTP	Coseley Technology Primary Shireland CBSO Academy (City of Birmingham Symphony Orchestra)

### Governance

Acronym/Abbreviation	Meaning
LA	Local Authority
LGB	Local governing body.
MAT	Multi-academy Trust.
SPC	Standards and Performance Committee
RAP	Raising attainment Plan
RMP	Risk Management Plan
SIP	School improvement Partner

### Pupil Characteristics

Acronym/Abbreviation	Meaning
EAL	English as an additional language – i.e. the pupil's first language is not English.
EHC plan	Education, health and care plan – a statutory document drawn up by the local authority, setting out the education, health and social care support to be provided to a child or young person with SEN or a disability.
Disadvantaged pupils	Pupils who were eligible for FSM at any time during the last 6 years, or LAC/post-LAC pupils (also referred to as pupils eligible for pupil premium)

FSM (also referred to as 'ever-6')	Free school meals (usually refers to pupils who've been eligible for FSM at any time during the last 6 years)
LAC	Looked after child – a child who's looked after by the local authority. It means they're subject to a care order (interim or full care order) or who are voluntarily accommodated by the local authority.
Post-LAC	Any pupil who has left local authority care due to adoption or other formal arrangement.
PP	Pupil Premium
SEMH	Social, emotional and mental health difficulties.
SEN/D	Special educational needs or disability – a pupil has SEN/D if they need special educational provision due to a learning difficulty or disability.

## SEND

Acronym/Abbreviation	Meaning
ASD	Autistic spectrum disorder.
MLD	Moderate learning difficulties.
PMLD	Profound and multiple learning difficulties.
SEMH	Social, emotional and mental health difficulties
SLCN	Speech, language and communication needs.
SLD	Severe learning difficulties. Can also refer to speech and language difficulties.
SpLD	Specific learning difficulties e.g. dyslexia, dyscalculia and dyspraxia.

## Staff

Acronym/Abbreviation	Meaning
CEO	Chief executive officer. MATs must appoint a chief executive in order to comply with the Academy Trust Handbook. Some smaller MATs refer to the chief executive as 'executive headteacher'.
AO	Accounting Officer
FD	Finance Director
ELT	Executive Leadership Team
DPO	Data protection officer. The person in a school, or an external data protection adviser, who takes responsibility for monitoring data protection compliance
DSL	Designated safeguarding lead- takes a leadership role in promoting the educational achievement of every looked after child and previously looked after child on the school's roll

ECT	Early Career Teacher
HLTA	Higher level teaching assistant
SLT	Senior Leadership Team- this will include the Principals, Assistant principal & Heads of Years.
SENCO	Special educational needs co-ordinator is responsible for co-ordinating SEN policies and the day-to-day provision made to support pupils with SEN.
TA	Teaching assistant

## GDPR

Acronym/Abbreviation	Meaning
GDPR	The General Data Protection Regulation. The law that governs data protection across Europe. It came into force in May 2018.
ICO	Information Commissioner's Office. The organisation that upholds data protection rights in the UK

## OFSTED

Acronym/Abbreviation	Meaning
EIF	The Education Inspection Framework. Document that sets out the overarching principles that Ofsted inspectors apply to their inspections for all school types. It includes the categories that inspectors will judge schools against.
HMCI	Her Majesty's Chief Inspector. HMCI is responsible for Ofsted's work, and reports to Parliament on its effectiveness and management.
HMI	Her Majesty's Inspectors, Senior inspectors who carry out inspections, but also quality assure and moderate inspection quality and outcomes.
OFSTED	Office for Standards in Education, Children's Services and Skills

## Finance

Acronym/Abbreviation	Meaning
ESFA	Education and Skills Funding Agency. Government agency accountable for school funding and regulating academies.
GAG	General annual grant- The main source of revenue funding for academy trusts. Academies are expected to meet their day to day running costs from the GAG.
UIFSM	Universal infant free school meals grant.

## Performance Data

Acronym/Abbreviation	Meaning
Attainment 8	The mean average of a pupil's scores across 8 GCSEs - including maths and English (both double weighted), 3 further qualifications that count in the EBacc and 3 others that can be GCSE qualifications or any other non-GCSE qualification on the DfE approved list.
EBacc	English Baccalaureate – a performance measure based on the percentage of pupils who entered for qualifications in English, maths, sciences, a language and either geography or history
EYFSP	Early Years Foundation Stage Profile – a statutory assessment of children's development at the end of the early years foundation stage
GCSEs	General Certificates of Secondary Education – a qualification in a specific subject typically taken by school students aged 14 to 16
KPI	Key Performance Indicator
Progress 8	Progress 8 is the difference between a pupils' actual attainment score across the 8 subjects (see attainment 8) and the average attainment score of pupils with similar prior attainment. The average of all pupil progress 8 scores gives the school's progress 8 score
RAG rating	Red, Orange, Green Rating.
SATs	National Curriculum tests administered in years 2 and 6
SEF	Self-Evaluation Form

## Other

Acronym/Abbreviation	Meaning
P2S	Passport to Success- Enrichment Award Scheme set up by the Trust and managed by the Enrichment team.
PEX	Permanent Exclusion
PRU	Pupil Referral Unit
SSP	Student Support Panel
MACE	Multi Agency Child Exploitation
CP	Child Protection



## APPENDIX D 21 Questions for Local Governing Boards of MAT's

21 questions every Multi-academy Trust Board should ask itself.

<b>Academy Committee Structure and Practice</b>	
1	Does the Academy Committee have a committed team and is it well led and acts professionally?
2	Is there a role description for Academy Committee members which is used to recruit new and diverse Committee members with the right skills and who reflect the local community?
3	Is the Committee the right size for carrying out its role?
4	Does the Trust employ a dedicated Governance Professional who provides advice and guidance to the Academy Committee?
5	Is there a range of Trust-Specific documents- including a scheme of delegation- that explains our role and helps us to fulfill it?
6	Is there a quality induction for new Academy Committee members and a culture of ongoing governance training and development?
7	Is the Academy Committee able to communicate effectively with the Trust Board and the Trust executive leader?
<b>Core functions</b>	
8	Does the Academy Committee understand and embrace the Trust values, ethics and culture?
9	Does the Academy Committee understand the part they play in the Trust's vision and strategy for the future and how that shapes the Academy?
10	Does the Academy Committee have a meaningful role in supporting and challenging the headteacher in order to ensure pupils receive a high-quality education?
11	Does the Academy Committee know its Academy and community, engages with stakeholders and shares views with the Trust?
<b>Compliance</b>	
12	Is the Academy Committee clear which policies it is monitoring and how to report any concerns to the Trust?
13	Does the Academy Committee have a good understanding of its role and responsibilities in ensuring pupils are kept safe and know how to report concerns?
14	Does the Academy Committee understand how the Trust manages risk?
<b>Evaluation and impact</b>	
15	Does the Trust ensure that all participate in evaluating the Academy Committees effectiveness and is action taken as a result?
16	Is the Academy's Committees role in governance valued by both the Trust and the Academy and does that have a positive impact on pupil outcomes?

## APPENDIX E 21 Questions for Multi Academy Trust Boards

<b><i>Vision, ethos and strategy</i></b>	
1	Does the Trustee Board have a clear vision and strategic priorities for the next three to five years, to which all academies contribute, and which is understood by each of its academies?
2	How effectively do these strategic priorities drive the governance structure, activities and agenda setting at all levels of the Trust?
3	What vision does the Trustee Board have for the size of the Trust and how does the strategy ensure that there is the capacity to support any additional academies well?
<b><i>Governance structures</i></b>	
4	Is the structure of the Trust from its members to academy level governance conducive to effective working, ensuring check and balances but avoiding duplication at different levels, and delivering good two-way communications?
5	How does the Trustee Board ensure that its governance structure is clear, in keeping with its Articles of Association, and that those at regional, cluster and academy level understand their roles and responsibilities compared to those of the Trustee Board?
6	a) Does the Trustee Board have a scheme of delegation, is it published on its website and those of its academies, and does the scheme make clear where the following key governance functions are exercised: <ul style="list-style-type: none"> <li><input type="checkbox"/> Determining each individual academy's vision, ethos and strategic direction?</li> <li><input type="checkbox"/> Recruiting each academy's Principal/Head of school?</li> <li><input type="checkbox"/> Performance management of each academy's Principal/Head of school?</li> <li><input type="checkbox"/> Determination of Human Resources policy and practice?</li> <li><input type="checkbox"/> Oversight of each academy's budget?</li> <li><input type="checkbox"/> Assessment of the risks for each academy?</li> </ul>
	b) Is the principle of earned autonomy applied to individual academies or local clusters and if so, do all involved at all levels of governance within the MAT understand how?
<b><i>Trustee Board effectiveness and conduct</i></b>	
7	Right skills: Has the Trustee Board adopted a robust and transparent process for the recruitment both of trustees and those at local governance level, including role specifications, skills audits and interview panel to ensure those carrying out governance functions have the full range of experience, qualities and skills necessary to discharge all the Trustee Board's responsibilities?
8	Clerking: Does the Trustee Board have a professional clerk providing information and guidance on regulatory practice and procedures, including governance leadership to the committees and any academy level governance?
9	Chair: How does the Trustee Board ensure the chair shows strong and effective leadership?

10	Trustee performance: Does the chair carry out an annual review of each trustee's contribution to the Board's performance and ensure each trustee is investing in his/her own development?
11	Succession planning: Do we engage in good succession planning so that, in normal circumstances, no trustee serves for longer than two terms of office and the chair is replaced at least every six years?
12	Conflicts of interest & conduct: How does the Trustee Board ensure conflicts are avoided and that the Nolan principles of public life are adhered to?
13	Learning from others: Has the Trustee Board regularly reviewed its structures and practice, making use of other Boards' experiences and periodically seeking external expertise?
<b>Engagement</b>	
14	How does the Trustee Board listen to, understand and respond to pupils, parents, staff and local communities across all its academies?
15	What benefit do the academies within the Trust draw from collaboration with other schools and other sectors, including employers, locally and nationally; and how is the Trust involved in contributing to improving leadership and schools beyond its own academies?
<b>Effective accountability of the executive leadership</b>	
16	How well does the Trustee Board understand its academies' performance data, and how do Trustees know that pupils in all their academies are making the best progress they can?
17	What mechanisms does the Trustee Board use to ensure there is a strong and effective executive leadership structure and personnel in place across the Trust with the right skills, clear line-management and reporting mechanisms?
18	How does the Trustee Board ensure senior leaders within academies are challenged to improve the education of pupils, and what intervention would be used if improvement is not progressing according to plan at an academy?
19	How does the Trustee Board ensure that the Trust's financial capability and management systems are robust to ensure compliance with the Academies Financial Handbook, best value for money and deliver the long-term strategy?
20	Do the compliance systems give assurance to the Trustee Board that the Trust is meeting its statutory and legal responsibilities?
<b>Impact on outcomes for pupils</b>	
21	How much have the academies improved over the last three years, and what has the Trustee Board's contribution been to this?

## ANNEX F Nolan Principles: The 7 Principles of Public Life

The 7 principles of public life apply to anyone who works as a public office-holder. This includes people who are elected or appointed to public office, nationally and locally, and all people appointed to work in:

- the civil service
- local government
- the police
- the courts and probation services
- non-departmental public bodies
- health, education, social and care services

The principles also apply to all those in other sectors that deliver public services.

### 8. Selflessness

Holders of public office should act solely in terms of the public interest.

### 9. Integrity

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

### 10. Objectivity

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

### 11. Accountability

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

### 12. Openness

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

### 13. Honesty

Holders of public office should be truthful.

### 14. Leadership

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.