

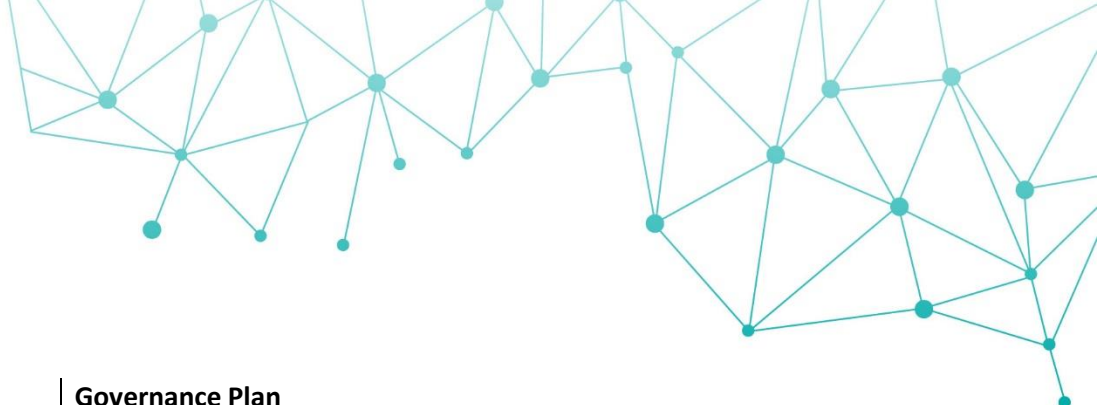


LANCASTER UNIVERSITY  
SCHOOL OF MATHEMATICS

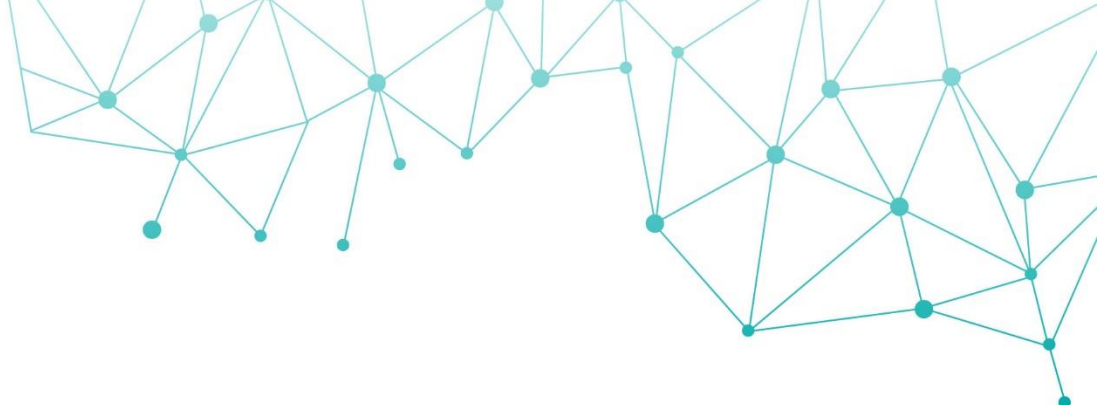
**Lancaster University**

**School of Mathematics**

Governance Plan

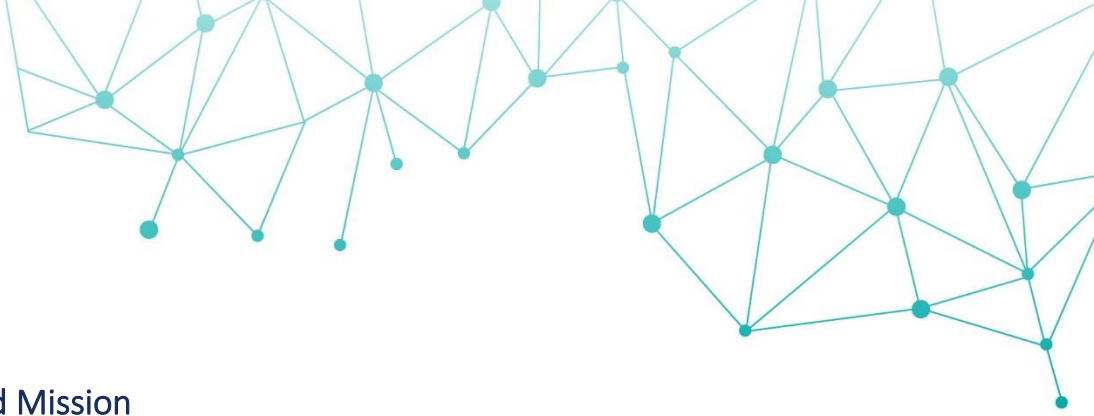


<b>Title</b>	<b>Governance Plan</b>
<b>Version</b>	P01
<b>Approval Status</b>	Pending
<b>Document Owner</b>	
<b>Classification</b>	External
<b>Review Date</b>	26/02/022
<b>Last Reviewed</b>	25/02/2021



## Contents

1.0.	Vision and Mission .....	2
1.1.	Vision.....	2
1.2.	Mission Statement .....	2
1.3.	Principles .....	2
2.0.	The Governance Structure .....	5
3.0.	Roles and Responsibilities of Members .....	6
4.0.	The Trustees.....	8
5.0.	Trustees, Meetings, and Committees .....	11
6.0.	Register of Interests, Handling Conflicts and Related Party Transactions.....	13
7.0.	Training.....	15
7.1.	Clerking Arrangements.....	16
7.2.	Fulfilling the Core Functions.....	16
7.3.	Developing LUSoM .....	16
8.0.	Monitoring LUSoM Performance .....	18
8.1.	Performance Management of the Executive Principal .....	19
8.2.	Accountability for Stewardship of Resources Including Public Funds. ....	19
8.3.	Financial Regulations.....	20
9.0.	Trustee Responsibilities – Safeguarding, skills, Prevent etc. ....	21
9.1.	Safeguarding Risks.....	22
9.2.	Trustee Succession Planning, Skills Audits and Self-Evaluation .....	23
9.3.	Managing Risk .....	24
	APPENDIX A – DRAFT TERMS OF REFERENCE .....	25



## 1.0. Vision and Mission

### 1.1. Vision

‘Our vision is to provide an environment where an increasing number of world-class mathematicians thrive and go on to contribute, through mathematics, to the productivity of the UK economy and beyond.’

### 1.2. Mission Statement

*‘Our mission is to enable the most able mathematicians from all backgrounds to realise their potential within an inspiring, inclusive and supportive learning community’.*

Lancaster University School of Mathematics (LUSoM) will offer able young people within Preston and the surrounding areas access to world-class preparation for entry into mathematics-based university education, at a standard which is unavailable within the mainstream state school system.

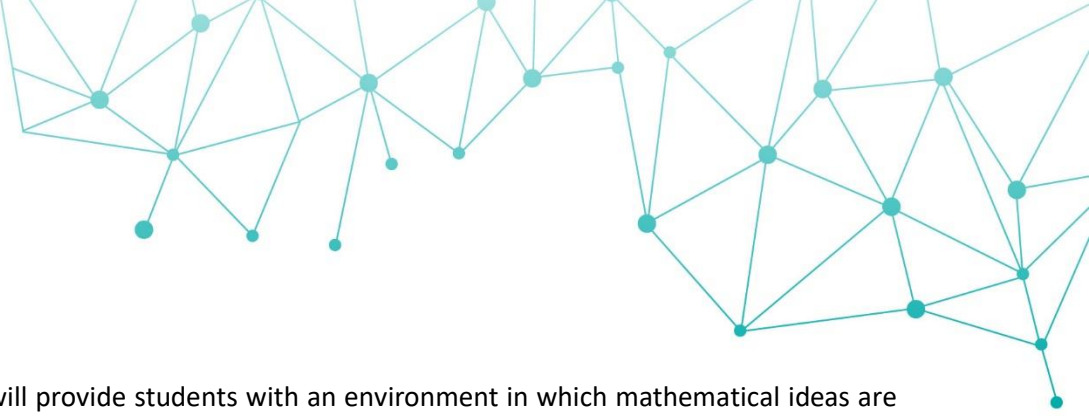
The School will be a centre of excellence and will aim to share best practice throughout the region, raising achievement and aspirations for all. A substantial outreach programme will be offered to feeder schools, with activities ranging from masterclasses and teacher INSET to mentoring individuals and sharing online resources. Close collaboration with the Abacus Maths Hub and Lancashire County Council will help transform mathematics education across the region.

### 1.3. Principles

- **A world-class teaching and learning environment providing an inspiring culture of enquiry for both students and teachers**

A central objective of the School will be to promote a culture of outstanding teaching and learning in mathematics. It will provide a culture and conditions where students have the support to flourish and where staff have the time to work with students individually and to reflect together on how continuously to improve teaching and learning in mathematics.

The School will organise the curriculum so that teachers have time built into their timetables to work with students individually and in small groups. They will also have the space to reflect with colleagues on lessons and topics, refining and sharing good practice. This model is informed by the best practice in the UK and around the world, including the Shanghai model.



The School will provide students with an environment in which mathematical ideas are part of everyday conversation – extending well beyond the examination syllabus. It will encourage enquiry and the investigation of open-ended problems and will engender the confidence to do this without the scaffolding common in current approaches to pre-university mathematics teaching and assessment. Students will be prepared for their university careers with an in-depth understanding of mathematical principles and the logical connections between its different areas. They will have the confidence to tackle complex problems without a predefined structure or menu of options.

▪ **The Student at the heart of everything**

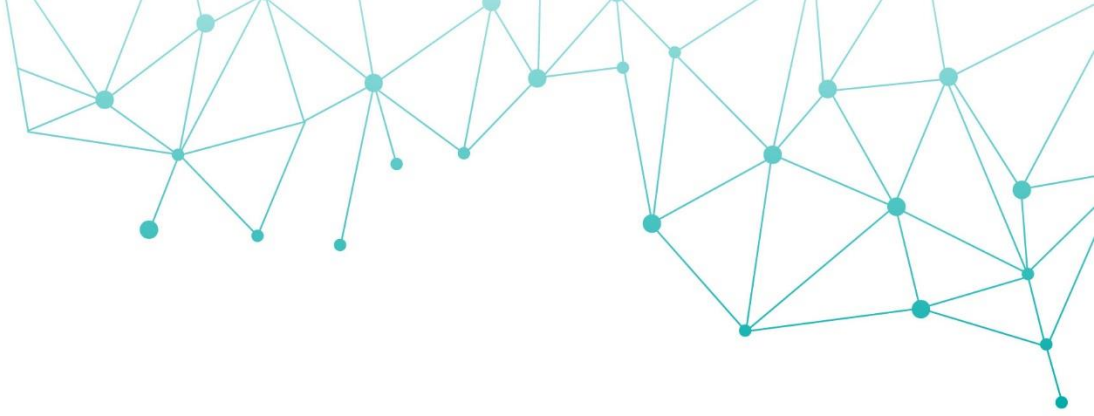
The learners' needs will be at the heart of all the School does. The School's focus, first and foremost, will be to provide an education that enables gifted young mathematicians to flourish and succeed. Learning from the experience of the existing Maths Schools, the aim will be to foster a unique and supportive community for those who wish to immerse themselves in the study of mathematics with others of similar attitudes and aptitude.

The School will welcome and encourage applications from talented mathematicians, regardless of their background. The approach to recruitment and marketing, and the ethos of the School, will ensure that all parts of our community feel that they are welcome and would flourish in the inclusive and supportive community.

The student voice will be important in informing the learning environment. The School will recognise that learners are individuals, each with their own specific needs. The School will provide a safe, caring and supportive structure in which they can work. A holistic package of care will be in place, reflecting the needs of the individual. The School will seek to develop the whole person so that the mathematician can flourish.

▪ **Inspiring the next generation**

Graduates from the School will not only be highly qualified students but will have the high-level skills to be ready to excel on mathematics-related degrees at the very best universities. The enriched curriculum and links to Lancaster University and employers will equip students with the necessary skills and experience to succeed at degree level and beyond, providing the UK with high performing mathematicians ready to work in business and industry.



- **Creating a collaborative learning community**

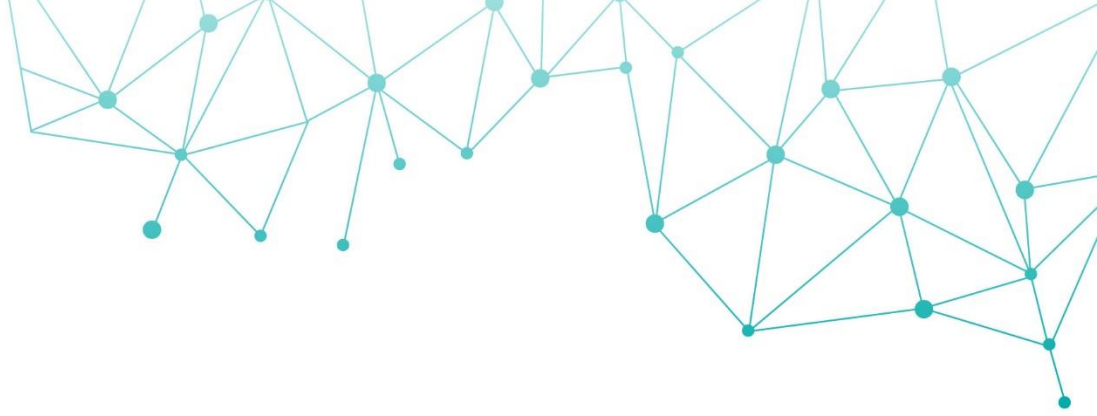
The School will be committed to extensive and ongoing outreach work. This work will be central to identifying the most able mathematicians and to breaking down the barriers preventing some talented students from continuing studying mathematics beyond GCSE level.

A significant opportunity is provided by the Central Lancashire Abacus Maths Hub located at the Maths School's partner institution, Cardinal Newman College. The School will work with the Maths Hub, and with other partners such as Lancashire County Council, to promote the study of mathematics, to encourage the best mathematicians to progress to the school, to identify the talented and to promote a collaborative community sharing best practice in mathematics teaching and learning.

Staff from Cardinal Newman College and Lancaster University will provide a significant resource for collaboration. They will make a significant contribution to the School outreach programme focussed on widening participation.

- **A lasting contribution to the UK economy**

As part of a developing national network of Maths Schools, LUSoM will enable the country's most able students to come together and thrive. In turn, due to the learning environment outlined above, it will play a significant role in contributing to the supply of individually talented people who will make significant contributions to the UK economy. The School will also play its part in raising the status and value of mathematics education across all sectors of society.



## 2.0. The Governance Structure

The Articles of Incorporation determine the Members of the Trust and the Board of Trustees. The two governance entities are clear on their distinct roles. Their objectivity is secured by there being minimal cross-membership – one individual is a Member and a Trustee which allows a useful link for communication without any risk to the independence of the Members as a whole.

Members of the Trust		Trustees	
Lancaster University as a corporate member	1	At least two parent Trustees	2
One person appointed by the University	1	Executive Principal	1
Up to three other persons appointed by the College	3	Up to three appointed by Cardinal Newman College, one appointed by Lancaster University	4
		Co-opted Trustees	

The four currently appointed Trustees will be joined with other Trustees as appropriate. At least two co-opted Trustees will be appointed before pre-opening<sup>1</sup>. The Trustees are expected to number nine post-opening.

The Executive Principal is expected to join the Board of Trustees in the run-up to opening and two parent Trustees will also join the Trustees at the earliest opportunity.

A Chair of Trustees and a Vice-Chair of Trustees have been appointed.

All parents will be invited to express an interest in becoming a Trustee. Elections for these posts will take place as soon as possible after opening. Parent Trustees will bring a vital perspective to governance.

<sup>1</sup> The April 2021 Trustees' meeting will consider the appointment of a candidate with a Maths degree and a background in business and data. The Trustees are also mindful of the need for a Trustee to be appointed before opening with an audit and/or accountancy background.



### 3.0. Roles and Responsibilities of Members

The Articles determine that there will be at least three Members. It is anticipated that there will be five Members although the Articles allow for additional Members.

The Members come from a range of backgrounds.

John Calvert	Retired public sector accountant and management consultant.
Professor Amanda Chetwynd	Professor of Mathematics and Statistics and Provost for Student Experience, Colleges and the Library at Lancaster University
Professor Simon Guy – on behalf of Lancaster University as a corporate member	Professor and Pro-Vice-Chancellor Global (Digital, International, Sustainability & Development) at Lancaster University
Rob Peacock <sup>2</sup>	Retired sixth-form college Principal.
Kathryn Podmore OBE	Retired sixth-form college Principal.

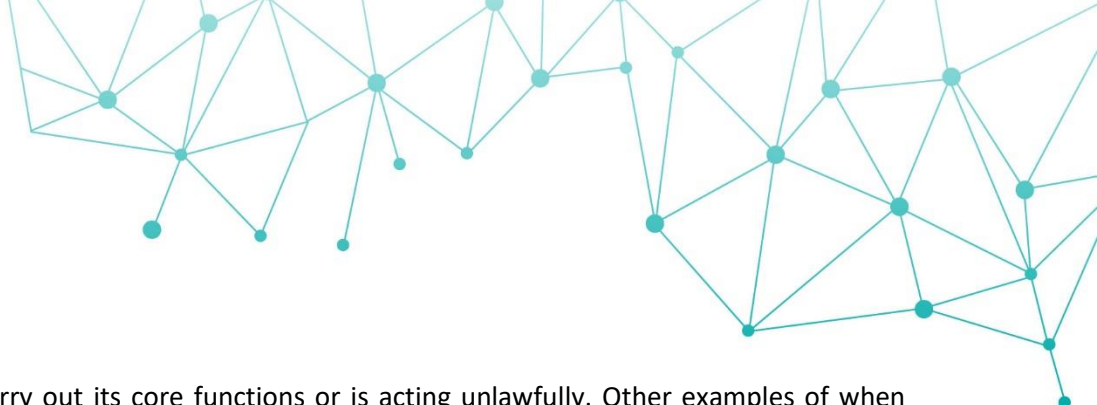
Members meet at least once a year for an Annual General Meeting. Additional meetings may be held when necessary.

Members ensure that Academy Trustees are exercising effective governance by overseeing the Trustees. They have range of powers including:

- Removing Trustees: Members can remove any or all serving Trustees.
- Appointing and removing Members: There must always be a minimum of three Members. Members can appoint new Members or remove existing Members (except the sponsor or and any Members appointed by the sponsor) subject to the Articles.
- Directing Trustees: Members can, by special resolution, direct Academy Trustees to take a specific action where Trustees are unable or unwilling to act in the best interests of the academy trust. Members should consider using this power if they believe the Trustees is

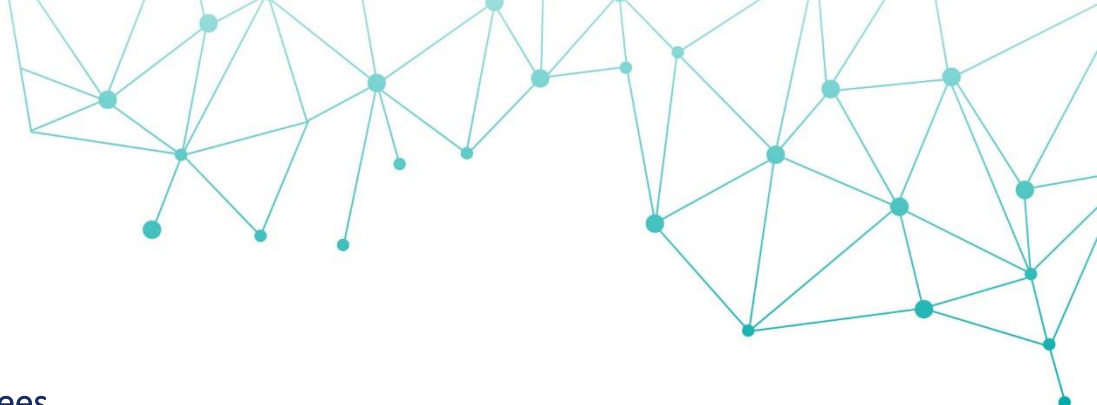
<sup>2</sup> Rob Peacock is a Member and a Trustee.





failing to carry out its core functions or is acting unlawfully. Other examples of when members might consider issuing a direction to Academy Trustees include where they believe an external review of governance should be carried out and the Academy Trustees have not done so, where the Trustees have failed to act on safeguarding, and where the academy trust is in breach of its funding agreement.

- Amending the Articles of Association: Members can amend the articles of association (including the objects clause), subject to any restrictions in the articles, the funding agreement or charity and company law. Members can also change the name of the academy trust and wind it up. Academy trusts must gain permission from the Charity Commission for changes to some clauses known as regulated amendments.



#### 4.0. The Trustees

The Board of Trustees will be responsible for the governance of the Maths School and be committed to its success. There will be no fewer than three Trustees. Trustees will be appointed in accordance with the Articles of Association.

The Trustees will meet six times a year (including the annual awayday). Minutes of the meeting will be sent to members of the Trust, with non-confidential matters published on the Maths School website.

The current Trustees come from a range of backgrounds. The majority have extensive experience in education.

Len Hampson (Chair)	Education consultant; former Headteacher.
Rob Peacock <sup>3</sup>	Retired sixth-form college Principal.
Eddie Sutton	Senior manager with a background in local government and private sector.
Carole Roberts	Director of Data in the financial services sector; a Maths graduate; a trustee at a Multi Academy Trust.
Mary Tuson	Assistant Headteacher; Abacus North West Maths Hub Lead, Specialist Leader of Education – Mathematics.

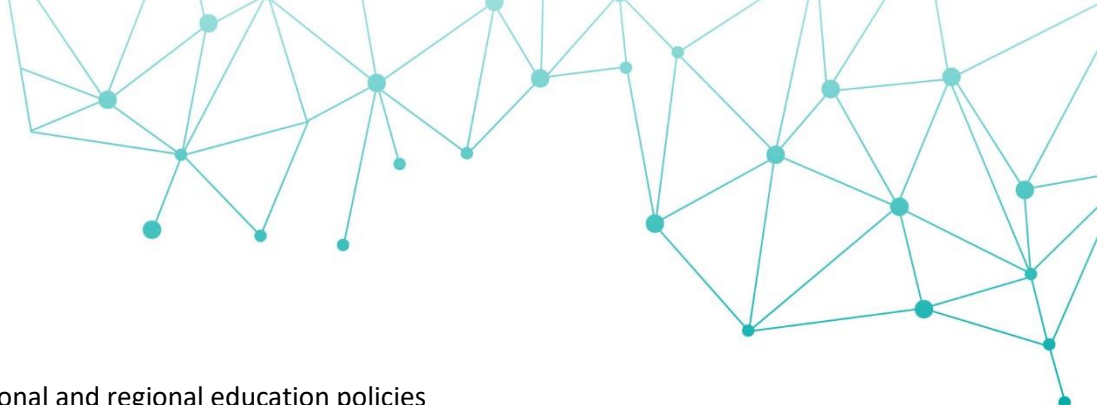
The Trustees will be independent of both Lancaster University and Cardinal Newman College but work closely with these vital partners and stakeholders. The School will provide regular reports to the Education Committee at Lancaster University and the Governing Body at Cardinal Newman College, as well as the academy trust members. There are no family relationships between any Members and Trustees.

The Chair of Trustees has an essential role with:

- Knowledge of:

---

<sup>3</sup> Rob Peacock is a Member and a Trustee.

- 
- national and regional education policies
  - leadership and management processes and tools that support organisational change.
  - The ability to:
    - think strategically about the future direction of the School.
    - lead the Trustees and executive leaders in ensuring operational decisions which contribute to strategic priorities.
    - adopt and strategically lead a systematic approach to change management that is clear, manageable and timely.

In order to ensure that the Trustees have the required skill set, and to identify any skills gaps, the Clerk to the Trustees will co-ordinate and collate an audit of skills for all Trustees. The aim of the self-evaluation process is to identify how Trustee skills, expertise and experience are having a positive impact on the development of the School and holding it to account for its performance. Trustees will be allocated to roles and committees according to their skills and experience.

A Trustee code of conduct will be in place which all Trustees will be expected to sign up to.

The Trustees will review their own performance annually including analysis of the impact on the educational standards and organisational effectiveness of the School. This will enable each Trustee to reflect on his/her individual impact on the School and so identify training needs for the coming year. Results will be analysed, and actions will be identified for the Trustees' development plan for the coming year. Every three years, or more frequently if deemed necessary or helpful, an external review of governance will be commissioned to enhance the Trustees' self-analysis.

The Trustees currently, during pre-opening, operate with a scheme of delegation, with operational responsibilities delegated to the Project Steering Group. Transition arrangements to move from the current Project Steering Group will be in place once the Funding Agreement is signed. The scheme of delegation will reflect the Carver Model of governance and be published on the website. Both the pre-opening and post-opening schemes are intended to ensure clarity of roles and maintain robust internal control.

The Executive Principal<sup>4</sup> has been appointed and, subject to the ESFA approval, he will be accounting officer. Members' have approved him becoming a Trustee which will support the transition process. The Chair of Trustees is also part of the existing Project Steering Group. A

---

<sup>4</sup> The Articles determine that the College Principal will be the Executive Principal unless the Trustees and the College Governing Body agree otherwise. It is envisaged that Executive Principal will be the accounting officer given the responsibility of both roles for resource management and oversight.



handover period will be agreed to ensure a smooth transition from Project Steering Group to the Trustees.



## 5.0. Trustees, Meetings, and Committees

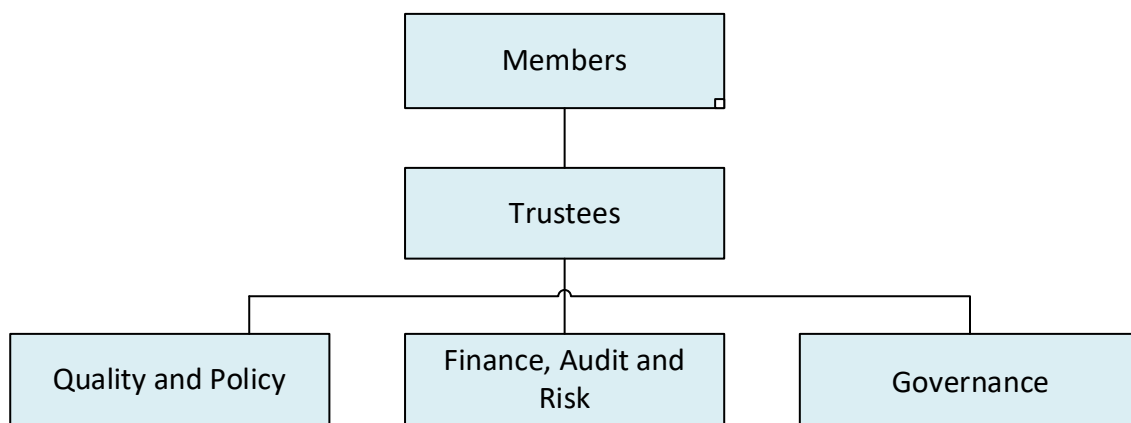
The Trustees will adopt a Carver Model of governance. The Trust will operate with limited delegation to sub-committees.

The Board will meet five times a year<sup>5</sup>. One of those meetings will be within an annual strategy day.

The Executive Principal<sup>6</sup> and the Chief Finance Officer will be experienced in the roles of accounting officer and CFO. Training will be arranged in the event of such appointments not receiving DfE approval.

A lean governance restructure reflects:

- The small size of the Board which is likely to have only seven Trustees (up to nine once parent Governors have been appointed).
- The need for the whole Board to have an understanding across the activities of the School.

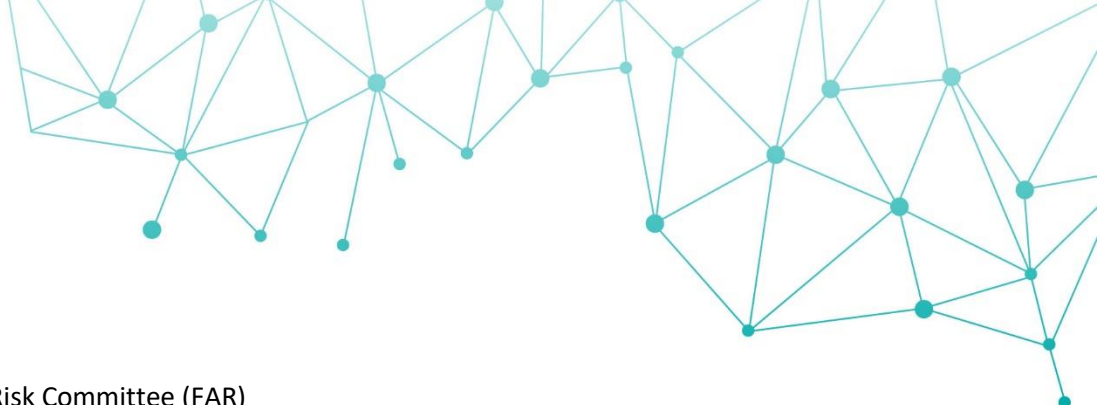


The School will have only three committees:

---

<sup>5</sup> It is anticipated that there will be two meetings in Autumn and Spring terms and one in Summer. Planning, including financial planning cycles will allow for Trustees input in Spring and Summer.

<sup>6</sup> The Articles determine that the College Principal will be the Executive Principal unless the Trustees and the College Governing Body agree otherwise. It is envisaged that the Executive Principal will be the accounting officer



### Finance, Audit and Risk Committee (FAR)

The FAR Committee will normally meet twice a year. It will scrutinise:

- Audit and assurance reports.
- Financial reporting.
- Financial planning and budgeting.

### Quality and Policy Committee

The Quality and Policy Committee will normally meet once a year. It will scrutinise:

- Self-assessment report.
- Student and staff-facing policy.

### Governance Committee

Comprised of the Chair, Vice-Chair, Committee Chairs and Executive Principal, this committee will normally only meet annually to consider:

- Membership of the Board of Trustees
- Governance improvement including the skills audit, training and development.



## 6.0. Register of Interests, Handling Conflicts and Related Party Transactions

A register of Member and Trustees business and personal interests is in place to ensure transparency. The Clerk provides administrative support to both Members and Trustees and is responsible for maintaining the register. The register will be published on the [www.lusom.ac.uk](http://www.lusom.ac.uk) website post-opening.

There are safeguards in place to ensure conflict of interests are avoided and managed:

- The register of interests.
- The Trustees' code of code emphasising the Seven Principles of Public Life<sup>7</sup>.
- The requirements in the Articles that interests in decisions are declared and conflicts avoided<sup>8</sup>.

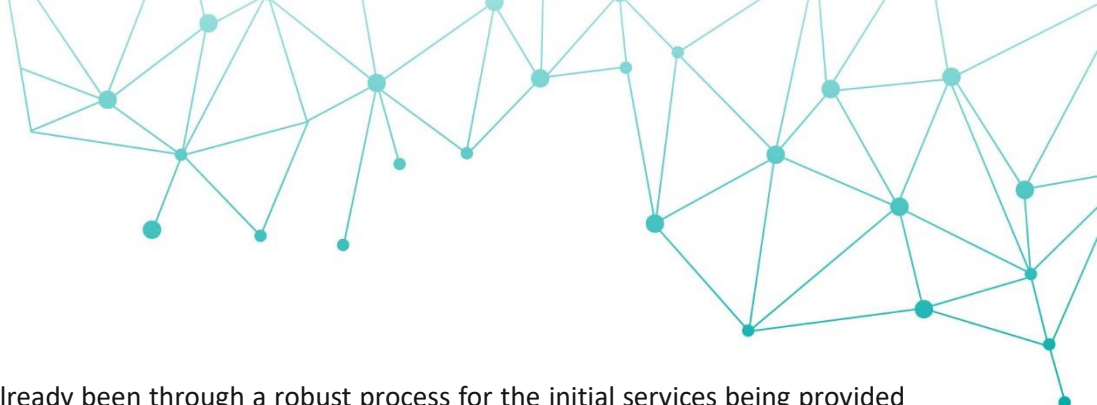
Given that there may be some overlap between the Trustees and the College Governing Body and that the College and Maths School will share corporate and other services, the Clerk will ensure that decisions on financial relationships between the School and the College are appropriately handled.

---

<sup>7</sup> The Nolan Principles

- Selflessness.
- Integrity.
- Objectivity.
- Accountability.
- Openness.
- Honesty.
- Leadership.

<sup>8</sup> The Article 97 states: "Any Trustee who has or can have any direct or indirect duty or personal interest (including but not limited to any Personal Financial Interest) which conflicts or may conflict with his duties as a Trustee shall disclose that fact to the Trustees as soon as he becomes aware of it. A Trustee must absent himself from any discussions of the Trustees in which it is possible that a conflict will arise between his duty to act solely in the interests of the Academy Trust and any duty or personal interest (including but not limited to any Personal Financial Interest)."



The Trustees have already been through a robust process for the initial services being provided by the College to the Maths School. This has included:

Trustees recusing themselves when appropriate.

- Trustees appointing a Vice-Chair from the non-conflicted Trustees to assume the chair when decisions are made on these relationships.
- Trustees reviewing contractual and other evidence to confirm that arrangements are legitimate, “at cost” and value-for-money.
- Trustees seeking assurance that arrangements comply with the Academies Financial Handbook, including the process for related party transactions.

This process will be codified in a policy on Related Party Transactions which will be posted on the website.





## 7.0. Training

The Trustees have already been briefed on their responsibilities under the Academies Financial Handbook, company law and charities law.

Trustees will receive training to enable them to fulfil their responsibilities as Trustees. Training includes the following:

- Safeguarding Training
- Prevent Training
- Health and Safety
- Safer Recruitment (where required)

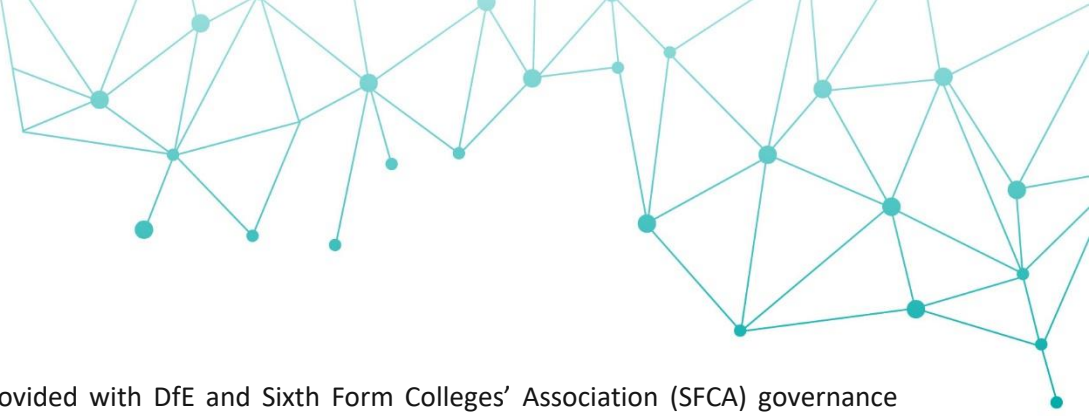
Where Trustees act as Lead Trustees, they will be encouraged to attend relevant training. This will ensure that they are fully aware of the latest developments, regulatory expectations, and legal obligations.

The training and development plan will set out the mix of training including:

- Whole Board training, including sessions at an annual awayday, and individual training and development.
- Training by senior leaders and external training providers e.g., National Governors' Association.
- Face-to-face and online, including the Sixth Form Colleges' Association governance webinars.

As Trustees are appointed, they will have an individual induction including in-school familiarisation with a tour and meeting with the senior leaders. They will also receive a pack including:

- Education Brief
- Strategic Plan
- Latest financial statements
- Summary of latest Ofsted Report (when these are available)
- Trustees' Code of Conduct
- Committees' Terms of Reference
- Calendar of meetings
- Forthcoming Events
- Useful website and contact information.



They will also be provided with DfE and Sixth Form Colleges' Association (SFCA) governance guidance and access to governance webinars.

### **7.1. Clerking Arrangements**

During pre-opening, the Trust has an interim Company Secretary. In the approach to opening, the Maths School will need to appoint a professional Clerk.

### **7.2. Fulfilling the Core Functions**

The Trustees will focus on three core strategic 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 and ensuring effective financial performance.

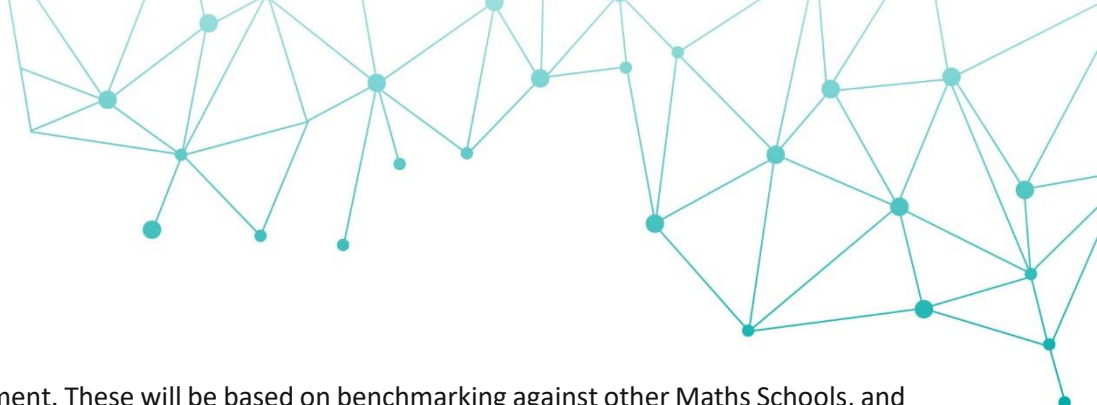
The Trustees need to be strategic in function, providing overall leadership for the School without being involved in the day-to-day management. Trustees are expected to hold the School to account for its performance and be accountable to the Trust.

LUSoM Trustees will also ensure that all policies, practices, and procedures build on compliance with equality legislation. Due regard to equality considerations will be made, with compliance with specific duties to ensure that individuals or groups, particularly those identified with protected characteristics, are protected against unlawful discrimination. Specific policies and procedures for the School will be developed to build upon the good practice of both Lancaster University and Cardinal Newman College and comply with all DfE requirements.

### **7.3. Developing LUSoM**

Trustees will work with the Executive Principal, the Chief Finance Officer and Head of School to review the financial plans and development plans put forward by the Project Steering Group in order to determine the key priorities for establishing and developing the School. These priorities will be based on the strategic objectives outlined in the Education Brief, all of which are to be agreed with the DfE prior to opening.

The Trustees will set targets for each cohort of students. Key performance indicators and targets will be set for the first year of operation, as well as longer-term targets relating to student



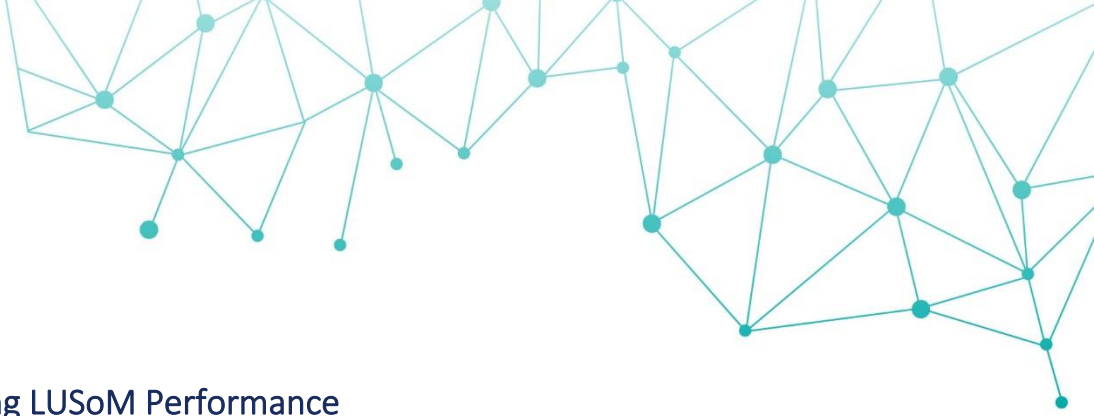
progress and attainment. These will be based on benchmarking against other Maths Schools, and on national data and expectations. When determining the strategic direction of the School, Trustees will also take into account 'soft' data i.e.

- The Executive Principal's and Head of School reports on the quality of teaching.
- Feedback from parent, student, and staff surveys
- Student Voice
- Curriculum Review outcomes
- Information gathered through trustee visits (see below)

LUsom planning will include:

- Collection and analysis of student performance data.
- Evaluation of the Maths School performance and final review of previous strategic plan.
- Senior Leaders and Trustees to determine priorities for following year for the development plan.

Trustees will review and approve the strategic planning as well as monitoring the whole process with the Executive Principal and Head of School.



## 8.0. Monitoring LUSoM Performance

The Trustees will have a secure knowledge and understanding of the School to enable them to be involved in strategic planning and target setting for quality assurance and improvement. To achieve this, Trustees will be expected to undertake visits to the School during the school day and Trustees on appointment must commit to taking time off work, if necessary, to fulfil this requirement of their role. The purpose of the visits is to gain a good understanding of how the School is operating. Visits will also support positive relationships between staff and Trustees.

It is anticipated that most if not all trustees will have lead roles in particular areas including:

- Chair of Finance, Audit and Risk Committee.
- Chair of Quality and Policy Committee.
- Chair of Governance Committee.
- Link Governor for Safeguarding.
- Link Governor for Special Educational Needs.
- Link Governor for enrichment and the Lancaster Award.
- Link Governor for Health & Safety.
- Link Governor for Equality, Diversity and Community Cohesion.

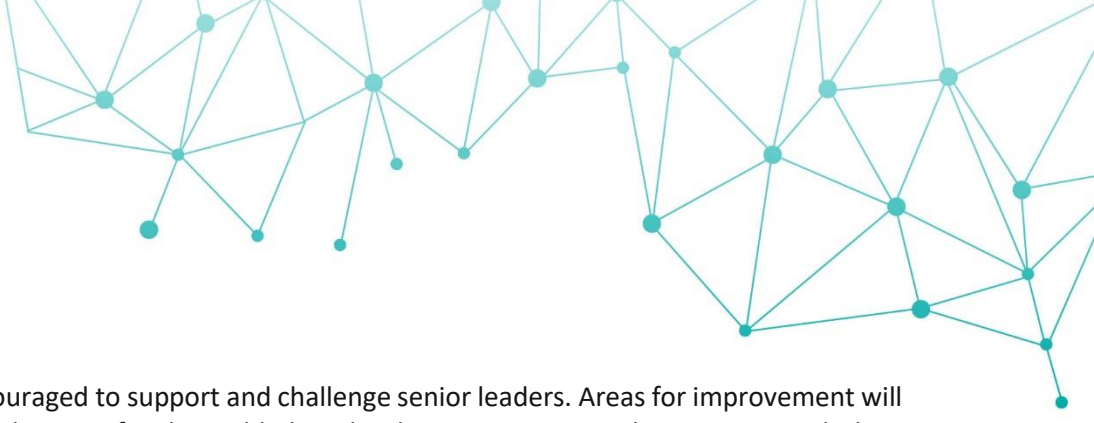
Through engaging with the life of the School, Trustees will understand better the students experience.

Trustees will be responsible for ensuring that the views of parents, staff and students, and the wider community are sought on an annual basis during the consultation period for the Maths School Development Plan. This will be carried out as follows:

- Parents: online survey
- Students: through an age-appropriate online survey and student voice samples
- Staff: online survey with staff meeting or face to face follow up

Transparency will be ensured with the publication of Trustees' meetings and Committee minutes on the website along with the financial statements and other relevant documents.

Monitoring data: The Head of School will provide Trustees with all relevant information to enable them to have a fuller picture of school performance. Trustees will receive training, where required, to ensure they are able to understand and analyse this data, which will include Ofsted's school performance dashboard, school performance tables, Analyse School Performance and financial benchmarking tables.



Trustees will be encouraged to support and challenge senior leaders. Areas for improvement will be identified through use of value added and other QA metrics. These areas and their improvement plans will be reported to Trustees so they can monitor progress. Where performance is not to the standards expected, specific short and medium-term targets and actions will be put into places and monitored and reported on more frequently until the required improvements are seen.

Improvement priorities for the school will be linked to performance appraisal objectives to secure accountability for progress and improvement.

### **8.1. Performance Management of the Executive Principal**

The Chair and Vice Chair of Trustees will undertake the performance management of:

- the Executive Principal and;
- with the Executive Principal, the Head of School.

The Trustees may engage an independent education consultant to support and participate in this process.

The outcomes of this process will be reported to the Board of Trustees.

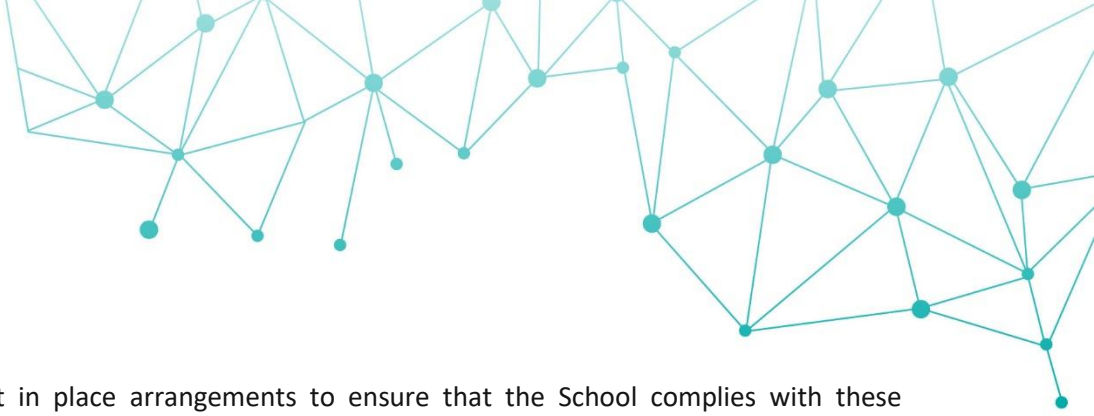
Training requirements and development needs will be ascertained through this process and will feed into school targets and planning.

### **8.2. Accountability for Stewardship of Resources Including Public Funds.**

The Executive Principal, subject to DfE approval, will be the Accounting Officer and has a special responsibility for the School's financial affairs. He/she must be able to assure Parliament, and the public, of high standards of probity in the management of public funds, particularly regularity, propriety and value for money.

The Accounting Officer has the duty to take action if the Trustees or Chairperson is contemplating a course of action, which he or she considers an infringement of propriety or regularity. Objections should be put in writing to the Trustees with details sent to the Permanent Secretary and the Trust's external auditors. The external auditors appointed to the Trust are Murray Smith.

The School is subject to the requirements of the Funding Agreement and the Academies Financial Handbook. The Executive Principal and the Trustees, supported by the Finance, Audit and Risk



Committee, will put in place arrangements to ensure that the School complies with these documents as well as the broader legal and regulatory framework.

In accordance with the Academies Financial Handbook, Trustees will receive the monthly management accounts at least six times a year, which will be placed on the Trustees' intranet.

Financial reports, including management accounts, will normally be on the agenda of Trustees' meetings. These agenda items, as well as the meetings of the Finance, Audit and Risk Committee, will allow Trustees to hold the CFO accountable.

The Trustees are responsible for ensuring that there is effective oversight of the performance of staff and an appropriate framework for their pay and conditions of service. This will include the Trustees approving relevant pay rises and pay awards.

### **8.3. Financial Regulations**

Financial Regulations will be adopted before opening and a procurement and tendering policy is in place for the pre-opening stages. They will be based on the model financial regulations published by CIPFA<sup>9</sup>.

The Regulations will be compliant with the *Academies Financial Handbook* (AFH) and revised every autumn in the light of the annually revised AFH from the Department for Education.

Arrangements for procurement are outlined in the Finance Regulations.

---

<sup>9</sup> Chartered Institute of Public Finance and Accountancy.



## 9.0. Trustee Responsibilities – Safeguarding, skills, Prevent etc.

**Safeguarding:** The Trustees must ensure that:

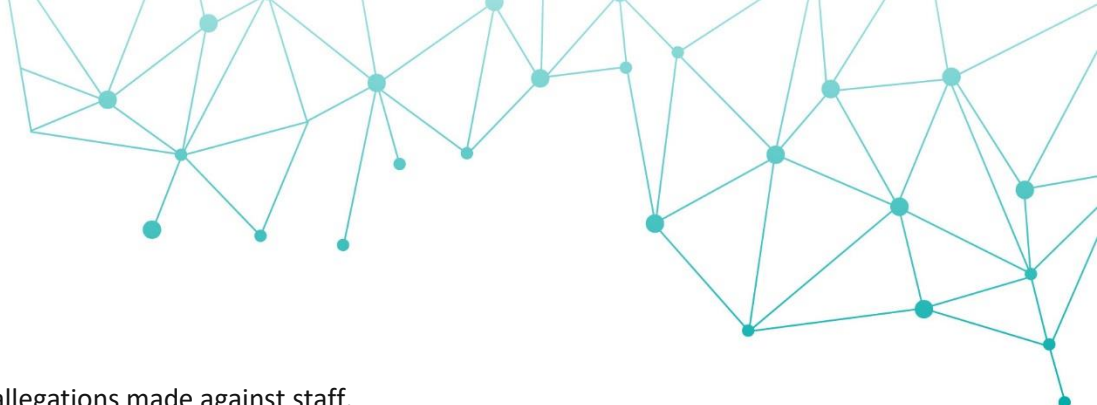
- The School complies with statutory safeguarding procedures.
- It has regard to the DfE statutory guidance ‘Keeping Children Safe in Education 2020’ to ensure that the policies, procedures and training are effective and comply with the law at all times.
- The School contributes to inter-agency working in line with the statutory guidance Working Together to Safeguard Children 2018.
- Safeguarding arrangements take into account the procedures and practice of the Children’s Safeguarding Assurance Partnership (Lancashire).

The Trustees should also:

- Ensure that a Trustee, usually the Chair, is nominated to liaise with the designated officer from the LA or the Children’s Safeguarding Assurance Partnership (Lancashire) and partner agencies in the event of an allegation of abuse.
- Consider how students may be made fully aware of safeguarding, including online safety, through teaching and learning opportunities within the curriculum e.g., through PSHE and SRE.
- Ensure that students wishes are taken into account and there are systems in place for students to express their views and give feedback.
- Ensure that staff members do not promise confidentiality to a student and always act in the interests of the student.

One trustee will take responsibility for ensuring that all safeguarding requirements are met in terms of DBS checks, the Single Central Record and up to date training and safeguarding policies. This trustee will draw up an annual report on safeguarding for the Trustees, and this will be submitted to the Members. The annual report on safeguarding will include:

- A record of all training relating to safeguarding:
- A dated record of all policies relating to safeguarding:
- Confirmation that all staff have read ‘Keeping Children Safe in Education 2020’.
- How the School ensures that all policies have been read, understood and implemented by staff, and how this is monitored.
- Confirmation that the School safeguarding policies are published on the [www.lusom.ac.uk](http://www.lusom.ac.uk) website; the Single Central Record is in place and up to date; all DBS checks for staff, Trustees and volunteers are up to date.
- Total number of Children Looked After on role throughout the academic year.

- 
- Number of allegations made against staff.
  - An update on the safety of the physical environment.
  - Updates on the School's Prevent arrangements with regard to training, policy and concerns.
  - Completion of the Safeguarding Annual Checklist, and report on any areas, which need further action.

Safeguarding will be reported on at least termly at the Board of Trustees.

Trustees will receive Safeguarding and PREVENT training biennially. Trustees involved in recruiting staff will attend Safer Recruitment training.

A lead trustee for Health and Safety will be nominated. He/she will visit each term and be engaged in the development and implementation of Health and Safety policies and procedures.

### **9.1. Safeguarding Risks**

Trustees have a legal responsibility to ensure that students are kept safe in the School. In the event of any safeguarding requirements are not being met, the Trustees will take immediate remedial action. The actions taken will depend on the area of non-compliance. If there is any immediate risk to students, the Safeguarding Trustee and Chair of Trustees in liaison with the Executive Principal will act straight away to remove this risk. Officers from the LA or the Children's' Safeguarding Assurance Partnership (Lancashire) will be called in to advise if this is deemed necessary.

The Chair will be responsible for liaising with the designated officer from the local authority or the Children's Safeguarding Assurance Partnership (Lancashire) in the event of an allegation of abuse made against the Executive Principal. If any member of staff poses an alleged risk to the safety of students, he/she will be suspended from their role, until investigations have been carried out. If a parent/carer or volunteer poses an alleged risk to the safety of students on the School premises, he/she will not be allowed to enter the premises until an investigation has been carried out.

If any adult working with children has been removed or dismissed because of safeguarding concerns, this will be reported immediately to the DBS by the Executive Principal or the Chair in the case of the Executive Principal. There is a policy in place for managing allegations against staff.





Full information on keeping children safe is detailed in the LUSoM Child Protection Policy.

**Prevent:** The Safeguarding trustee will ensure that the School, in exercise of its functions, will have due regard to the guidance in the Counterterrorism and Security Act 2015. A training session to raise awareness of the Prevent duty will be set to take place in the Autumn Term. The Safeguarding Trustee will be responsible for ensuring that new staff are familiar with the Prevent strategy, and for checking whether there are any concerns in relation to individual students. The Trustees will take into account the policies and procedures of the Childrens' Safeguarding Assurance Partnership (Lancashire), with reference to the Keeping Children Safe in Education 2020 document. The School's Prevent arrangements with regard to training and policy will be reported to the Trustees.

**SEND:** There will be one Trustee designated to take responsibility for the support and progress of SEND pupils. To carry out his role, he/she will meet with the SENCO twice a year to monitor the provision of support and the progress of students and to ensure that allocated SEND funding is being used to improve outcomes for SEND students. The Trustee will monitor the tracking processes for these students, scrutinize the progress data (using the School's online tracking system), and look at end of year outcomes. The SEND Trustee will discuss the cost and effectiveness of interventions and 1:1 support for students to ensure value for money in terms of securing the best outcomes for SEND students. This will be reported to the Trustees annually. The SEND Trustee will attend training as appropriate to develop knowledge and understanding of students with special needs and disabilities.

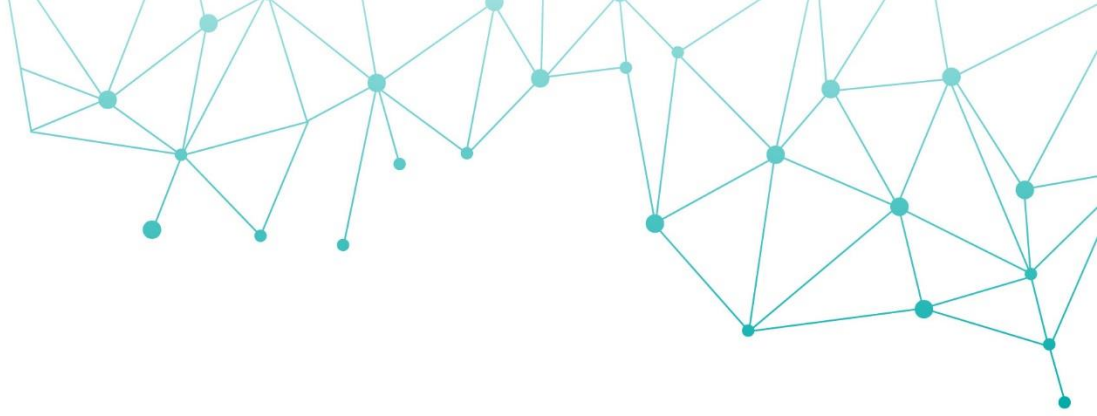
## **9.2. Trustee Succession Planning, Skills Audits and Self-Evaluation**

A term of office for Trustees will last for four years and in normal circumstances, Trustees will serve no more than two terms.

The Chair and the Clerk will prepare and maintain a succession plan for recruiting to and renewing of the Trustees. The Governance Committee will review this plan and its implementation.

The Trustees will undertake a skills audit during pre-opening to identify skills gaps to be addressed through Trustee recruitment and/or trustee training. This exercise, using Google or Microsoft Forms, will be repeated on a biennial basis.

The Trustees will undertake an annual self-assessment review of governance. This will consider how the Board and the Committees fulfil their roles. The Trustees will be mindful of the value of triennial board effectiveness reviews.



### 9.3. Managing Risk

The objectives for managing risk across the School are to:

- Set a risk appetite.
- Comply with risk management best practice.
- Ensure risks facing the Trust are identified, assessed and managed.
- Provide assurance to the Trustees that risks are being addressed.

The risk register will list risks with:

- Risk scores in terms of gross and net risk.
- Existing controls and further actions to manage risks.
- Sources of assurance.

The risk register will be considered by the Trustees on a regular basis:

- The Board of Trustees will consider the top risks each term and the full register annually.
- The Finance, Audit and Risk Committee will commission assurance reviews on both the risk register and risks highlighted by the risk register.

Trustees will be encouraged to suggest where new and emerging risks should be added to the risk register.



## APPENDIX A – DRAFT TERMS OF REFERENCE


### **Finance, Audit and Risk Committee**

Its main combined Finance and Audit functions are to:

1. review and recommend the Annual Report and Accounts to the Trustees for approval with particular attention to:
  - a. the Governance Statement and the Statement of Regularity, Propriety and Compliance.
  - b. the financial performance and position set-out in the accounts.

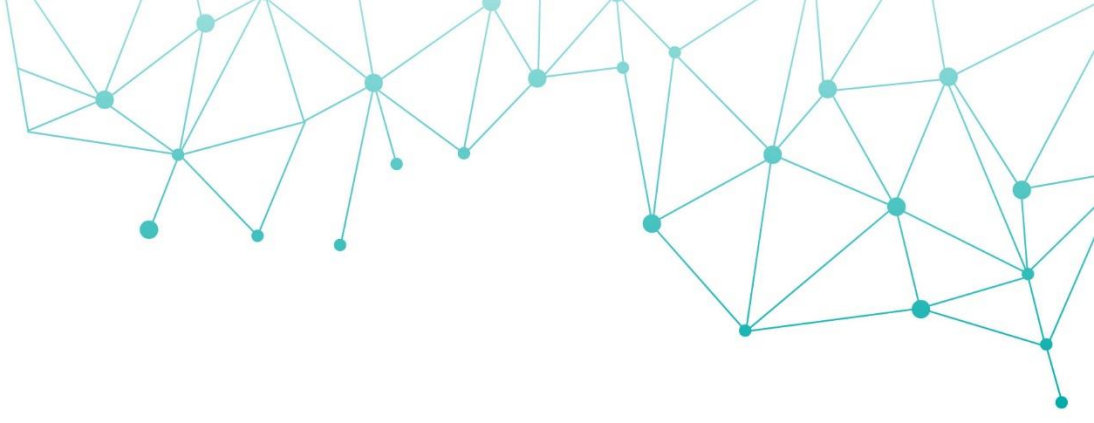
Its main Audit and Risk functions are to:

1. advise the Trustees on the adequacy and effectiveness of the School's systems of internal control and its arrangements for risk management, control and governance processes, and securing economy, efficiency and effectiveness (value for money).
2. review and recommend the Annual Report and Accounts, particularly the Governance Statement and the Statement of Regularity, Propriety and Compliance, to the Trustees for approval.
3. Review the performance of any body providing related party transactions, against agreed KPIs
4. advise the Trustees on the appointment, reappointment, dismissal and remuneration of auditors (both external auditors and internal audit).
5. monitor the effectiveness of auditors, including the use of auditor performance indicators.
6. ensure effective coordination between auditors.
7. ensure that additional services undertaken by the auditors is compatible with the audit independence and objectivity.

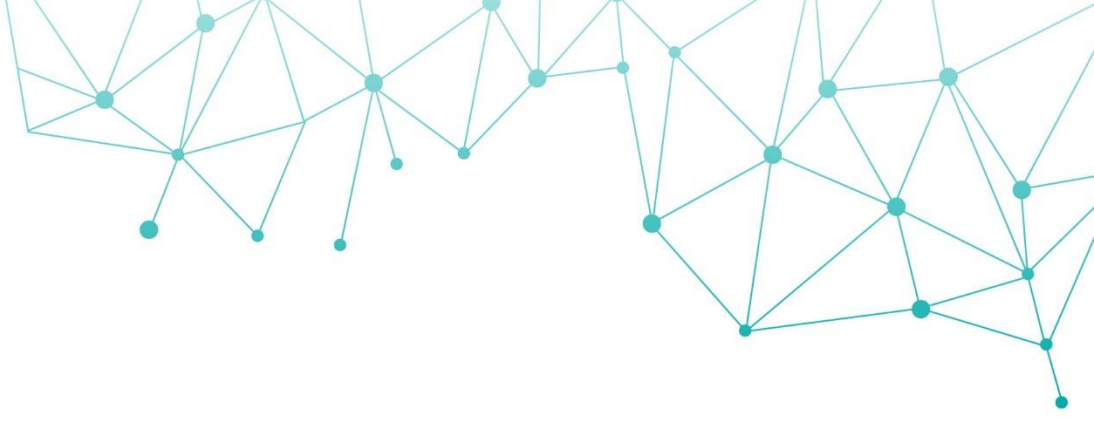
- 
8. agree the work programme of internal audit on risks faced by the School.
  9. consider the reports of the auditors and, when appropriate, advise the Trustees of material controls issues.
  10. monitor the implementation of agreed audit recommendations.
  11. oversee the School's policies on and processes around fraud, irregularity and impropriety.
  12. ensure that all allegations of fraud and irregularity are appropriately investigated, and controls weaknesses addressed.
  13. consider the outputs from other assurance activities by third parties including ESFA financial management and governance reviews, funding audits and investigations:
  14. consider risk to the School including those to financial viability, business continuity and compliance with charity law, company law, other legislation (including GDPR) and the Academies Financial Handbook.

Its main Finance functions:

1. review and approve School policies and procedures related to finance.
2. review and recommend to the Trustees for approval the annual budget for the School.
3. review and agree the long-term financial plan for the School based on appropriate assumptions and consistent with the curriculum and improvement plan.
4. monitor and review School income and expenditure against budgets during the financial year.
5. oversee and agree parameters for treasury management.
6. oversee and agree the School's approach to procurement.



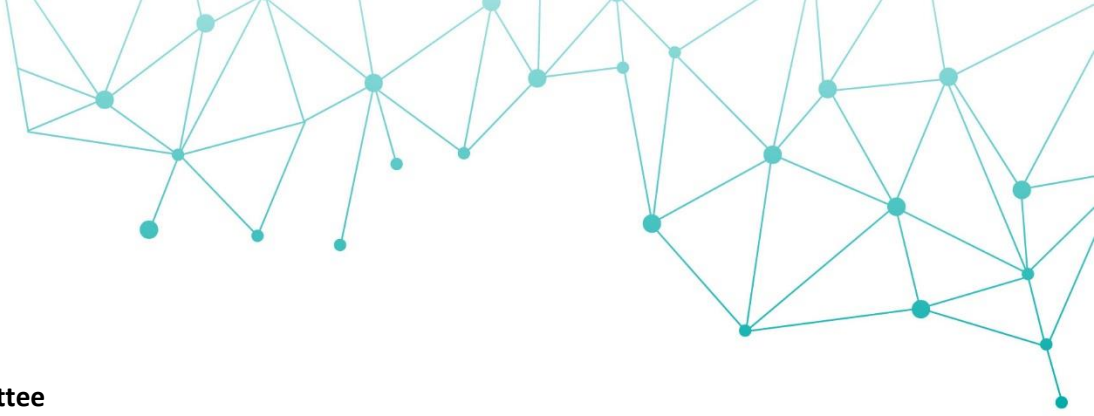
- 
7. review the non-core activities of the School.
  8. consider any other matters relating to finance as directed by the Trustees.



## Quality and Policy

The Committee's role is to:

1. Consider progress in delivering targets and objectives set out in the School's Strategic Plan.
2. Monitor student achievement, including value added, across the School.
3. Monitor student satisfaction and learner feedback across the School.
4. Review learner support across the School.
5. Consider and recommend the School Self-Assessment Report (SAR)
6. Consider and make recommendations to the Trustees in relation to setting the framework for the pay and conditions of service, appraisal and related issues for staff.
7. Consider and make recommendations to the Trustees on Human Resource policies including the procedures for dealing with matters related to the conduct and discipline of staff and staff grievances.
8. Consider the effectiveness of mechanisms in place for liaison with staff and trade union representatives regarding any of the matters referred to above and any matters concerning the general welfare and well-being of all staff.
9. Act as the lead committee for equality, diversity and cohesion and ensure that the School is a safe and welcoming institution.
10. Monitor the Human Resources' Key Performance Indicators.
11. Oversee the School's arrangements for safeguarding.



## **Governance Committee**

The Committee's role is to:

1. Advise the Board of Trustees on matters relating to the composition of the Board including:
  - Regularly reviewing the composition, including any vacancies, and proposing to the Trustees possible new Trustees to fill such vacancies.
  - Liaising with the bodies responsible for the appointment, nomination/election of members.
  - Considering the re-appointment of members of the Trustees.
  - Considering the composition of Trustees in terms of the skills and interests required.
  - Developing procedures for building up a list of possible future members of the Board of Trustees, and, where appropriate, involving them in the work of the School possibly through co-option as members of a committee of the Board.
2. Oversee and implement effective and appropriate induction, training and development for Trustees.
3. Ensure that the Trustee's Self-Assessment Review is rigorous and comprehensive.
4. Ensure that the Trustees and its Committees demonstrate good governance.
5. Oversee the arrangements to ensure the continuity of appropriate skill levels within current and future members of the senior leadership team.