

## **The Societas Trust**

### **Growth Plan**

#### **Statement of Growth**

The Societas Trust is committed to developing mutually beneficial, local partnerships with individual settings and other Multi Academy Trusts.

Effective collaboration can create purposeful and impactful partnerships that lead to improvements in children's outcomes and effective use of resources.

We believe that meaningful collaboration can have a valuable impact upon our trusts self- improving school system, enabling us:

- to understand the strengths and weaknesses of our own settings;
- to generate a culture of ongoing challenge and support between professionals;
- to reflect on relevant research and evidence;
- to share professional perspectives;
- to develop leadership;
- to deploy people with the right expertise strategically to achieve improvements;
- to work together towards identifying solutions to common challenges;
- to ensure financial viability and sustainability (allowing cost effective services to settings, maximising resources to increase the quality of provision);
- to foster an inspiring and collective vision for the local area and the education system as a whole.

Our plans for growth are to work in collaboration with like-minded organisations, including both 'Good' and 'Outstanding' academies/schools, whilst also developing our capacity to support those schools that require additional capacity to improve outcomes for learners.

The Trust will build on existing partnerships, which have been underpinned by trust, mutual respect, a shared ethos and a history of the setting/organisation being committed to the communities they serve.

### **Growth through Collaboration**

Collaboration with others may take various forms:

1. Informal collaboration that grows capacity and ensures our Trust remains outward looking, reflective, innovative and self-improving:

This will be achieved through the creation of network groups (e.g. – governors, leaders, curriculum leaders etc.) who share a commitment to regular and routine partnership working and/or peer review, with a view to sharing outcomes with others in the schools' system. These networks will be committed to research based school improvement principles and practices allowing each member to contribute to and benefit from the membership.

Types of collaboration include:

- Good practice visits;
- Joint projects;
- sharing and moderating at least some of the outcomes with others;
- Joint CPD;
- Peer review with other settings/MATs etc.;
- Activity with other professionals/agencies;

Any costs incurred will be shared across the participating settings/organisations – according to size of setting/organisation.

2. Formal collaboration and growth through shared strategies for school improvement, where innovation and collaboration influence outcomes for children. At this level, a collaboration agreement with timelines & financial details would be in place.

This level of collaboration may include (list is not exhaustive):

- Harmonisation of statutory policies and procedures;
- Harmonisation of governance structures – e.g. shadow arrangements (LGB and Trustees);
- Joint procurement;

- Shared recruitment and retention plans;
- Shared back office functions and resources; thus maximising services and creating efficiencies etc.

### 3. Formal collaboration that results in the expansion of the Trust

This level would be by mutual agreement following a rigorous due diligence process (Appendix 2).

Underpinning all levels of collaboration is a commitment to respect each other's ethos and values at all times; promoting the good working relationships of the parties whenever and wherever possible. The underpinning values are rooted in honesty, transparency and mutual respect.

### **Growth Planning**

Carefully planned growth of The Societas Trust will build on existing good practice, always ensuring that there is sufficient infrastructure to ensure effective:

- Collaboration;
- Educational improvement support;
- Back-office support.

When considering expansion of the Trust we consider:

- Moral obligation (raise standards and address underperformance with no detrimental impact on existing pupils);
- Size of setting / organisation and designation;
- Financial position of setting / organisation;
- Distance between settings / organisations;
- Ofsted category of the setting(s).

Our intention and ambition is to create a network of outstanding settings that thrive through collaboration and interaction. We will only expand when we have the capacity to do so, with our existing settings being in a strong position. It is the responsibility of the Trust to build capacity as it develops and not do anything that would be detrimental to any young person, staff or school in a neighbouring community. We will use the South West MAT Improvement Capacity Framework to support our understanding of our current capacity to support and drive school improvement (Appendix 1). This allows us to build and strengthen our current capacity and potentially to grow our capacity to support more schools.

Any new setting / organisation wishing to join the Trust will be carefully scrutinised through a documented due diligence process involving a review of finance, achievement, staffing, health & safety and facilities (Appendix 2). Trustees will monitor progress and regularly review what needs to happen to support settings / organisations further.

### **Education Improvement Strategy**

Our education improvement strategy reflects the clear vision and values of The Societas Trust in ensuring 'Great Learning Opportunities for All'. Our Trust works within the context of earned autonomy, shared decision making and structured school to school support. Our focus is on supporting continuous improvement and the pursuit of excellence for all within the Trust. Our approach recognises that each academy has important complementary roles in securing this excellence, and that the sharing of strengths across the Trust which, combined with a shared intolerance of underachievement, will lead to improved educational outcomes for all children served by Societas.

### **Education Improvement Capacity**

Our aim is to have expertise in all areas of school improvement, and to have plans for succession in place. Most school improvement capacity comes from our settings, with leaders supporting colleagues within and beyond their own setting.

As a Trust, we have built a team of Senior Leaders and Outstanding Practitioners (including NLEs/LLEs/SLEs) who are deployed by our Executive Team. The Directors' Board and Trust Education Partner oversees the quality and impact of the improving education work via the Academy Performance Review (APR) Process.

### **Steering Groups / Working Parties**

A key feature of the leadership of our school improvement are our trust-wide Steering Groups / Working Parties. These teams have leaders from each of our settings, from subject areas or phases, who are charged with developing the best learning experiences using external expertise where appropriate.

The blend of experienced leaders with new leaders enables professional learning and sharing that supports all of our schools.

Each team is led by an experienced leader. The teams share approaches with subjects, so that leaders and teachers can learn from and offer challenge and support to one another coming from a variety

of different contexts within the Trust, be it through joint moderation, curriculum material development, or, indeed, supporting leadership where a gap has emerged, thereby mitigating standards risks across the Trust. The teams develop best practice and also share expertise across and beyond our schools and academies.

We intend, as we grow, to develop, over the next three years, adding greater capacity in the School Improvement Team, whilst ensuring that this is predominantly school based. The APR process led by our Trust Education Partner quality assures this work.

### **Outstanding Practitioners/NLEs/LLEs/SLEs**

A team of outstanding practitioners underpin and sustain the high quality education for all trust settings. They are experienced staff with leadership and mentoring skills. They have the ability to work with staff to identify their needs and support their development. They analyse student data, agree areas for improvement and introduce the skillsets and techniques required to have a real impact in the classroom. Outstanding Practitioners usually have a particular areas of focus such as English, Mathematics, Science, Teacher Training, Family Support, SEND etc.

### **Professional Development Opportunities**

All settings in the Trust and in collaboration with the trust benefit from CPD programmes for both teaching staff, support staff and governors at every level. This enable the Trust to support the professional development for staff at every career stage: NQT, RQT, middle leaders, aspirant senior leaders, Head Teachers and governors etc.

### **Business Support Services**

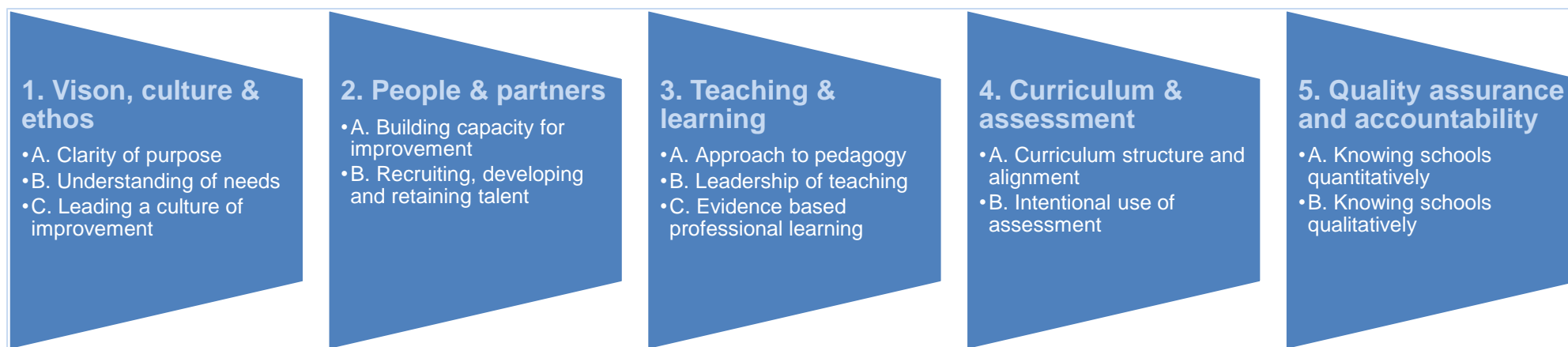
This includes legal, financial, HR, MIS and marketing support. These combined functions will ensure that all settings enjoy excellent value for money. Competitive contracting and procurement across the Trust will enable considerable savings. Our recruitment and retention strategy strives to attract the best staff but also ensure that they stay to develop their career within the trust.

## Appendix 1 - MAT IMPROVEMENT CAPACITY FRAMEWORK

This tool has been designed to help Multi-Academy Trusts (MATs) understand their current capacity to *support and drive* school improvement – so that they can build and strengthen their current capacity and potentially to grow their capacity to support more schools.

It uses a framework which breaks down MAT improvement capacity into 12 elements, under five main headings. These are based on research about what works in MATs and similar networks of schools internationally. The framework does not assume that there is one best way to support and drive school improvement as a MAT; instead, it isolates the questions, issues and practices that should help enable all kinds of MAT to become more effective in supporting their schools to improve.

The MAT improvement capacity framework:



### How to use this tool

For each of the 12 elements of improvement capacity, the rubric includes guiding questions to consider, as well as descriptors of what strong and weak improvement capacity would look like in a MAT.

Use the questions and descriptors to rate your MAT against each element along a four-point scale:

**Red (weak capacity)**

**Amber Red**

**Amber Green**

**Green (strong capacity)**

Descriptors have deliberately not been provided for the “Amber Red” and “Amber Green” ratings. If you think that your MAT matches neither the “Red” nor the “Green” descriptor, think about which end of the scale it is closer to, and choose the appropriate rating. The right-hand column of the rubric has space for you to mark your rating and make some brief notes about your rationale for choosing that rating.

Remember: this tool is diagnostic, not evaluative or judgemental. The aim is to identify your MAT's most significant areas of strength and challenge, so that you can build your capacity for improvement. A "Green" rating does not mean that an element is currently perfect, just that it is an area of strength upon which to build. Likewise, a "Red" rating does not imply failure or underperformance, it simply highlights an area where capacity building should be a priority.

Element	Questions to consider	Red (weak) looks like...	Green (strong) looks like...	Current rating and key evidence
<b>1. Vision, culture and ethos</b>				
<b>1A. Clarity of purpose</b>  Vision for the MAT Link to strategy Roles and responsibilities	i. <b>Does the MAT have a clear vision</b> of what excellent education (in terms of its approach to the curriculum and teaching and learning) looks like in practice?  ii. <b>Does the MAT know how it will improve the schools</b> in its trust to deliver its shared vision for excellent education?  iii. Can the MAT articulate and explain <b>how its strategy for improvement connects to its vision</b> for excellent education?  iv. Has the MAT clearly articulated <b>the distinctive roles of the MAT, clusters and individual schools</b> in driving continued school improvement?  v. Are these different roles reflected in the MAT's allocation of <b>accountabilities in its scheme of delegation</b> ?	i. The MAT has not yet fully developed and refined its vision for the quality of education such that it is insufficiently precise  ii. School improvement initiatives are often reactive and/or incoherent and consequently have limited systematic impact  iii. There is no shared language of improvement across the MAT and schools can't see how the improvement strategy connects to the overall vision for education  iv. There is limited clarity across the MAT about the roles of key players in driving school improvement  v. The scheme of delegation does not answer vital questions about who is accountable for what in school improvement  vi. Leaders pay - at best - lip service to the vision; key decisions are reactive and ad-	i. The MAT has a clear and compelling vision for the quality of education it expects to deliver in all of its schools  ii. There is a clear and shared articulation of <i>how</i> schools across the MAT will be supported to improve, and this approach is followed through systematically across the MAT  iii. The MAT is able to exemplify how its vision for educational excellence can be achieved through an aligned language and practical examples of best practice which form the basis of MAT wide expectations  iv. The distinctive roles of all those responsible for driving school improvement have been clearly defined, both in terms of what individuals actually do, and how they relate to one another and are kept under review	<b>R</b> <b>AR</b> <b>AG</b> <b>G</b>

Element	Questions to consider	Red (weak) looks like...	Green (strong) looks like...	Current rating and key evidence
	vi. <b>Do directors, trustees and staff share the vision and approach</b> and does it inform and drive decision making at all levels across the MAT?	hoc, or mainly viewed through the lens of an individual school	v. Roles in school improvement are reflected in the scheme of delegation, and are well understood across the MAT vi. Everybody in the MAT is aligned around the educational vision and can describe what it looks like in practice. Fidelity to the vision drives all key decisions across the MAT and within individual schools	
<b>1B. Understanding of needs</b>  Pupil/School Needs Link to MAT priorities Approach to school improvement for different schools	i. Does the MAT have a clear <b>understanding of the full spectrum of needs of pupils in its schools</b> (i.e. SEND, pupil premium, low and high prior attainment and EAL pupils)? ii. Does this understanding of needs and performance <b>link to priorities for improvement</b> across the MAT as a whole? iii. Is the MAT's understanding of the <b>improvement priorities of different schools</b> within the MAT informed by a strong understanding of the data and evidence?	i. Leaders' understanding of the differing needs of pupils is superficial; decisions are too often reliant upon assumption/guesswork ii. MAT leaders' priorities for improvement are unclear or too numerous to be manageable and/or do not address the needs of specific groups of pupils or schools within the MAT iii. The MAT's approach to school improvement is not sufficiently refined – or data-informed – to respond to evidence of pupil and school needs	i. MAT and school leaders go beyond headline data to understand variations and trends in performance between groups of pupils within/between schools, phases and geographies ii. MAT leaders have developed a manageable set of priorities for improvement to meet the specific needs of their schools, pupils and communities iii. MAT leaders have a deep understanding of the performance of different groups of pupils across its schools and a differentiated approach to meeting the	<b>R</b> <b>AR</b> <b>AG</b> <b>G</b>



Element	Questions to consider	Red (weak) looks like...	Green (strong) looks like...	Current rating and key evidence
	iv. Does the MAT know how to <b>differentiate its approach to school improvement</b> for schools at different stages in their improvement journey? v. Does the MAT have clear <b>systems and processes to diagnose the needs of new joiners</b> and ensure they quickly get the support they need? vi. <b>Are weaker schools in the Trust prioritised</b> for support and how far is this owned across the Trust? vii. Does the MAT understand how to provide <b>support and challenge to stronger and outstanding schools</b> ?	iv. The MAT's approach to improvement is inflexible and doesn't take account of new evidence or the improvement journey's in individual schools v. The MAT doesn't have systems to quickly diagnose the needs of new joiners and develop a bespoke plan for support and intervention to meet their needs vi. The MAT's capacity and/or expertise to support weaker schools is insufficient to ensure that they receive the resources and support they require to make rapid improvements vii. School improvement is only considered in relation to weaker schools; stronger schools do not receive support and challenge to further improve	needs of all pupils and schools iv. MAT leaders can point to ways in which they have adapted their approach to meet the needs of schools at different stages of improvement v. The MAT quickly diagnoses the needs of new joiners and provides any support needed vi. There is a strong sense of collective responsibility. Leaders and staff are committed to supporting weaker schools to improve vii. Stronger schools are constantly supported and challenged to improve by MAT leaders, and by internal and external peers	
<b>1C. Leading a culture of improvement</b>  Aspirations for pupils Non-negotiables vs autonomy for schools Staff engagement Innovation	i. Is the MAT systematic in how it fosters <b>high aspirations and expectations for pupils</b> in all its schools? ii. Is the MAT clear about what it regards as the <b>non-negotiables for school improvement and where</b>	i. Aspirations and expectations are insufficiently ambitious and inconsistent across schools within the MAT ii. There is confusion and inconsistency over what are MAT-wide expectations and what schools are able to decide for themselves	i. Aspirations and expectations for all pupils are universally ambitious in all MAT schools and this is systematically reinforced by MAT leaders ii. The MAT has a clear rationale for what decisions and activities it expects to	<b>R    AR    AG</b> <b>G</b>

Element	Questions to consider	Red (weak) looks like...	Green (strong) looks like...	Current rating and key evidence
	<p><b>schools have autonomy</b> to decide for themselves?</p> <p>iii. Is the leadership structure of the MAT clear about <b>responsibility for school improvement with clear accountabilities</b> for impact?</p> <p>iv. <b>Do staff across the MAT feel like they have been genuinely engaged</b> in co-constructing the approach to improvement? Are they committed to working across the MAT to support all of its schools?</p> <p>v. Is the MAT's approach to <b>developing consistency and respecting the identity</b> and context of individual schools reviewed and adjusted on the basis of evidence?</p> <p>vi. Does the MAT have a culture and system for <b>encouraging, assessing and scaling up innovation</b> and the identification and dissemination of best practice?</p>	<p>iii. It is unclear how responsibility for school improvement is structured across the Trust or how it relates to the leadership of teaching and learning within individual schools</p> <p>iv. Staff feel that they have not been involved in developing, and are not motivated by, the approach to improvement which has consequences for levels of engagement with the MAT and willingness to support others</p> <p>v. There is unhelpful rigidity in some aspects of the relationship between the MAT and their schools, coupled with too much fluidity in other areas</p> <p>vi. The MAT cannot articulate its approach to best practice. As a result there is no systematic process for taking successful innovations to scale</p>	<p>happen at MAT level, cluster (or region) level and school level. The degree of autonomy afforded to schools and how this varies by the performance of schools is well understood</p> <p>iii. The relationship between the leadership and accountability for school improvement at school and MAT level is clear and well understood by all</p> <p>iv. Staff are highly motivated and engaged in the work of the MAT. They have real influence over the approach taken by the MAT to improvement and are willing to support others</p> <p>v. The balance between autonomy and consistency is reviewed and adjusted in light of evidence and feedback from school leaders within the MAT</p> <p>vi. The MAT has a clearly articulated approach to best practice. Evidence-based innovation thrives. There are clear processes for realising the benefits of</p>	

Element	Questions to consider	Red (weak) looks like...	Green (strong) looks like...	Current rating and key evidence
			successful innovation across the MAT	

## 2. People and partners

<b>2A. Building capacity for improvement</b>  Capacity for school improvement Using the MAT's best leaders and teachers External partners	i. Does the MAT have a clear strategy which sets out <b>how it will structure and locate capacity for school improvement</b> both in its current state and to meet the demands of any anticipated growth?  ii. Does the MAT have a clear <b>system for identifying who are its best leaders and teaching staff</b> and which schools have strength in specific phases or subjects?  iii. <b>Are system leaders and lead practitioners being used strategically</b> to support other schools, model good practice and coach their peers across the MAT?  iv. Does the MAT know where its areas of weakness are, in terms of curriculum and teaching and learning performance and <b>does it</b>	i. The MAT lacks the structures, expertise or capacity to deploy teaching and learning support effectively across its schools in response to identified needs  ii. Where pockets of expertise exist, it is often in isolation and not widely known; as a result schools look externally before looking to internal colleagues  iii. The MAT hasn't yet developed mechanisms to use its most effective leaders/practitioners to support and develop other staff and schools across the MAT  iv. The MAT is resistant to using outside expertise to help it address weaknesses or over-reliant on poorly chosen external providers with little sense of whether it is addressing the greatest needs of the MAT	i. MAT leaders organise the teaching and learning support between schools, clusters and the centre based on a clear, evidence-informed theory of action and evidence of impact  ii. MAT leaders have a strong understanding of where specific expertise exists across the MAT and how it can be used to support other schools  iii. The MAT adopts carefully considered approaches to using system leaders and lead practitioners and promotes knowledge transfer through coaching, modelling and enquiry led learning  iv. MAT leaders are confident in deciding when (and when not) to use external expertise, support or materials; they are clear about where weaknesses lie	<b>R</b> <b>AR</b> <b>AG</b>  <b>G</b>

	<p><b>bring in external expertise where necessary?</b></p> <p>v. Does the MAT make use of an intentional and <b>prioritised set of partnerships and networks?</b></p> <p>vi. Does the MAT assess <b>which partnerships and networks make the greatest impact</b> in terms of improvement?</p>	<p>v. Limited systematic use is made of hubs of recognised expertise such as teaching schools, National Leaders of Education (NLEs), and lead teachers.</p> <p>vi. The MATs approach to and engagement with partnerships and networks is incoherent with relationships prioritised for tenuous or historical reasons</p>	<p>and are open to learning from and with others</p> <p>v. Recognised hubs of expertise such as Teaching Schools, National Leaders of Education (NLEs), or lead teachers play an integral part in supporting the improvement of schools</p> <p>vi. MAT leaders can point to the most important partnerships and networks and can articulate the purpose and impact of these partnerships</p>	
<p><b>2B. Recruiting, developing and retaining talent</b></p> <p>Recruiting to the MAT Staff Progression Talent Management</p>	<p>i. Does the MAT have a <b>clear approach to recruiting staff at all levels</b> - teaching assistant, teachers and leaders? Do staff seek to join the MAT or do they see employment as largely defined in the context of an individual school?</p> <p>ii. Does the MAT have a well-developed <b>strategy for developing teaching staff throughout their careers</b> from ITT to expert? Do all staff understand what this roadmap for progression looks like?</p> <p>iii. Are staff clear about the ways they can <b>gain professional autonomy and promotion?</b></p>	<p>i. Staff recruitment and development is delegated to schools; there is no co-ordinated approach across the MAT; staff decide whether to join based on the school rather than being part of the wider MAT</p> <p>ii. Teaching staff and leaders are not able to benchmark their current performance against clear expectations; which restricts the MATs ability to support promotion and development opportunities</p> <p>iii. Autonomy and promotion are not used strategically in order to grow/retain talented teachers and leaders</p>	<p>i. The MAT has a clear approach to recruiting and developing the best staff in line with its vision; teachers and leaders are attracted to join a school because it is part of the MAT</p> <p>ii. The MAT provides consistent expectations for the standards teachers are required to meet progressively from NQT year onwards; there is a clear development pathway for all staff, which might include managed placements across the MAT</p> <p>iii. Deployment and promotion practices across the MAT give staff who demonstrate their effectiveness</p>	<p><b>R G AR AG</b></p>

	<p>iv. Does the MAT have a <b>common model for appraising staff</b> and identifying priorities for development and improvement?</p> <p>v. Is there a <b>succession planning and talent management strategy</b> across the MAT, supported by formal development programmes?</p>	<p>iv. There is no common model for appraisal; appraisals are left to individual schools to manage on their own and do not focus on development and improvement of staff across the MAT</p> <p>v. There is no systematic approach to developing talent across the MAT; staff have to find their own opportunities to develop and may choose to leave the MAT to find new opportunities for promotion and development as a result</p>	<p>autonomy and opportunities to lead</p> <p>iv. A shared model for appraisal helps school and MAT leaders make informed choices on deployment and development; appraisal conversations help staff grow as professionals</p> <p>v. The MAT is implementing a clear talent management strategy to place staff where they are most needed; aspiring middle and senior leaders are deployed strategically and supported by formal development programmes</p>	
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### 3. Teaching and learning

<p><b>3A. Approach to Pedagogy</b></p> <p>Pedagogical principles Sharing practice across the MAT Evaluation/evidence</p>	<p>i. Are the <b>principles which underpin the MAT's approach</b> to teaching and learning visible and understood by all?</p> <p>ii. Is there a shared understanding and conversation across the MAT about <b>what great teaching and learning looks like</b> based on research and evidence?</p> <p>iii. Does the MAT provide <b>regular opportunities to</b></p>	<p>i. The MAT has not yet developed or defined the core principles which will underpin its approach to teaching and learning</p> <p>ii. There is wide variation in the pedagogical approaches employed across individual schools which make it difficult to embed a shared language of learning or provide informed leadership of teaching and learning across the MAT</p>	<p>i. The MAT's approach to teaching and learning is underpinned by core principles informed by a wide evidence base of proven practice</p> <p>ii. The MAT's principles of learning provide a common language which facilitates conversations about teaching and learning across the MAT</p> <p>iii. There are regular opportunities for teaching</p>	<p><b>R</b>   <b>AR</b>   <b>AG</b> <b>G</b></p>
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	<p><b>share and learn</b> from outstanding practice?</p> <p>iv. <b>Does the MAT designate phase/ subject experts</b> who are responsible for deepening subject knowledge and developing the curriculum and schemes of work?</p> <p>v. Does the MAT have <b>clear expectations and systems for a well-ordered learning environment</b> and addressing the needs of pupils with behaviour issues?</p> <p>vi. Is there a coherent approach to evaluating the <b>impact of specific pedagogies and interventions</b> within the MAT?</p> <p>vii. How effectively do <b>MAT leaders use evidence</b> in their leadership of teaching?</p>	<p>iii. There are little/no opportunities for teaching staff to see great teaching in practice</p> <p>iv. Collective subject leadership across the MAT is underdeveloped. Where phase/subject experts have been designated their role is unclear and not adding value to schools</p> <p>v. Behaviour management and the learning environment is left to individual schools to manage with mixed and varied results</p> <p>vi. Individual approaches to the development of teaching and learning are isolated within individual schools, limiting opportunities for MAT wide development or improvement</p> <p>vii. New approaches to teaching and learning are adopted without a clear rationale and strong evidence that they will be an improvement on existing practice</p>	<p>staff to see and learn from really great practice</p> <p>iv. Phase and subject expertise across the MAT plays a vital role in developing excellent subject and phase pedagogy</p> <p>v. MAT leaders set clear expectations for the learning environment. Schools are able to access strong systems for behavioural support when needed leading to high standards across the MAT</p> <p>vi. Fresh approaches are introduced in a carefully managed way and forensically evaluated before being rolled out across the MAT</p> <p>vii. The MAT is involved in developing and learning about what works, uses evidence intelligently, and changes practice based on their own in-school evaluations and external research</p>	
<p><b>3B. Leadership of teaching</b></p> <p>Role/impact of school and middle leaders</p>	<p>i. Does the MAT enable leaders of teaching and learning to have <b>time to consider their impact on improving learning</b> across the MAT?</p>	<p>i. The MAT does not prioritise the leadership of teaching and learning, delegating it entirely to individual schools</p> <p>ii. The role of middle leaders as leaders of teaching and learning is underdeveloped.</p>	<p>i. Leadership of teaching and learning is prioritised as the most important improvement activity in schools</p> <p>ii. Middle leaders have an explicit role as leaders of</p>	<p><b>R</b>    <b>AR</b>    <b>AG</b> <b>G</b></p>

<p>Skills of leaders of teaching and learning</p> <p>Other support for improving teaching</p>	<p>ii. Are school/middle leaders <b>supported and empowered as leaders of teaching</b> and learning? Are they equipped to help teachers adopt highly effective techniques in the classroom?</p> <p>iii. Does the MAT invest in developing the <b>skills and capacity of leaders</b> to lead and facilitate teacher training and development?</p> <p>iv. How does the MAT invest in both the <b>design and delivery of high quality programmes and support</b> to improve teaching and teachers?</p> <p>v.</p>	<p>Too frequently, middle leaders are managers of staff and systems, but are not expected/supported to help teachers grow as professionals</p> <p>iii. Leaders lack the confidence or expertise to identify effective teaching practice and/or provide support and are not supported to develop these skills</p> <p>iv. The MAT has not developed a menu of effective approaches or programmes to systematically improve the quality of teaching and learning</p> <p>v.</p>	<p>teaching and learning and are effectively empowered and supported</p> <p>iii. Middle leaders have the expertise and tools to lead constructive conversations on effectiveness of teaching and learning</p> <p>iv. The MAT's leadership of teaching is informed by its core principles of learning bringing coherence and depth to the design and development of programmes and support</p> <p>v.</p>	
<p><b>3C. Evidence based professional learning models</b></p> <p>Culture of learning</p> <p>Models of professional learning</p> <p>Involving pupils</p>	<p>i. Are MAT leaders creating and sustaining a “<b>culture of purposeful learning</b>” in every school?</p> <p>ii. Does the MAT have a <b>model for professional learning and development</b> that combines coaching, classroom practice and engagement in research?</p> <p>iii. Are teachers engaged in the right <b>balance between formal learning and developing their practice with their peers</b>?</p>	<p>i. Opportunities are not intentionally provided for staff to innovate or improve their own practice through professional learning and development activities</p> <p>ii. The means for practice-based professional learning exist only in isolated pockets (if at all); and there is no clear model to support these approaches</p> <p>iii. Staff seldom engage in purposeful inquiry with their peers</p>	<p>i. MAT leaders foster a culture of learning in which staff can develop their practice and test the impact of their practice through structured reflection</p> <p>ii. The MAT has developed the infrastructure and networks to support shared professional learning and development – e.g. through subject networks, peer-to-peer coaching and observations and reflections on classroom practice linked to the MAT's priorities</p>	<p><b>R G AR AG</b></p>

	<p>iv. Are <b>systems for teachers to observe and develop aspects of classroom practice together</b> linked to the MAT's priorities for improvement?</p> <p>v. Does the MAT have <b>systems for engaging and involving pupils</b> on how to improve teaching and learning?</p>	<p>iv. The focus of any practice based learning is ad-hoc and not related to the MAT's priorities</p> <p>v. There are few opportunities to engage with pupils' experience of teaching and learning or use pupil voice to improve teaching and learning across the MAT</p>	<p>iii. Staff gain confidence through purposeful models of observation, development of practice and exposure to outstanding practice, and can say how this has helped them improve</p> <p>iv. Practice-based learning and research are focused on areas likely to make the biggest impact on the MAT's priorities</p> <p>v. There are strong systems in place for engaging and involving pupils and using this information to improve teaching and learning</p>	
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#### 4. Curriculum and assessment

<p><b>4A. Curriculum structure and alignment</b></p> <p>Age-related expectations Curriculum design Curriculum resources</p>	<p>i. <b>Are there common age-related expectations</b> for each year group across the MAT? (e.g. do all staff agree on what represents a year's worth of progress?)</p> <p>ii. <b>Is curriculum content and design informed by the age-related expectations</b> and the principles that underpin the MAT's vision?</p> <p>iii. Is the MAT's approach to <b>prescribing/delegating elements of the curriculum</b> well understood?</p>	<p>i. Different staff may have different expectations, and limited opportunities to benchmark, pupil progress; as a result there are no consistent expectations as to what constitutes year-on-year progress across the MAT</p> <p>ii. The MAT's vision and common expectations have not informed the creation/selection of a shared approach to curriculum, based on evidence</p> <p>iii. Staff don't understand why the curriculum is as it is or</p>	<p>i. Staff across the MAT have shared expectations of pupil progress; these are regularly benchmarked within the MAT and externally against others</p> <p>ii. Everyone in the MAT has a consistent answer to the question: "what do we want pupils to know and achieve?"; this is consistent with the MATs vision and informs a disciplined and evidence based approach to curriculum development across the MAT</p>	<p><b>R</b>   <b>AR</b>   <b>AG</b> <b>G</b></p>
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	<ul style="list-style-type: none"> <li>iv. <b>Is the curriculum regularly reviewed</b> for quality, consistency and breadth?</li> <li>v. <b>Has the curriculum remained stable enough</b> to promote effective teaching and learning?</li> <li>vi. Does the MAT <b>expect and facilitate shared lesson planning</b> and the development of shared schemes of work and resources?</li> </ul>	<p>how much discretion they have within it</p> <ul style="list-style-type: none"> <li>iv. There are few opportunities to review the effectiveness of the curriculum for all pupils</li> <li>v. Curriculum has evolved/been tweaked too frequently and in an unevidenced way; pupils lack continuity year-to year</li> <li>vi. The MAT does not facilitate the development and dissemination of shared curriculum and lesson resources and as a result efforts are duplicated across the MAT</li> </ul>	<ul style="list-style-type: none"> <li>iii. Staff understand which elements of the curriculum are common across the MAT, and where they have discretion to innovate, and why</li> <li>iv. MAT leaders regularly review the curriculum from the perspective of pupils to ensure consistency, stretch, progress and breadth</li> <li>v. Consistency of curriculum over time provides continuity for pupils' learning and promotes effective transitions (e.g. when moving primary to secondary)</li> <li>vi. Staff are expected and supported by the MAT to develop and access shared resources that meet the needs of all their pupils, and evaluate their effectiveness</li> </ul>	
<p><b>4B. Intentional use of assessment</b></p> <p>MAT approach to assessment Assessment tools Moderation</p>	<ul style="list-style-type: none"> <li>i. Is the MAT clear about the <b>purposes of the different types of assessment</b> and how they inform conversations about progress in relation to the agreed age-related expectations?</li> <li>ii. Do staff/schools across the MAT follow a <b>broadly consistent approach to assessment</b> based on</li> </ul>	<ul style="list-style-type: none"> <li>i. The rationale underpinning the MAT's approach to assessment is underdeveloped or not widely understood</li> <li>ii. An inconsistent approach to assessment makes comparisons across the MAT difficult</li> <li>iii. Assessment cycles are not aligned, the variation between schools means that data on</li> </ul>	<ul style="list-style-type: none"> <li>i. The purpose of both formative and summative assessment is understood across the MAT, and aligned to the vision, curriculum and age-related expectations</li> <li>ii. A clear policy is being followed on the regularity and consistency of assessment; this is</li> </ul>	

	<p>shared training and peer review?</p> <p>iii. Does the MAT operate <b>common assessment cycles</b> across its schools?</p> <p>iv. Does the MAT systematically review and <b>share the impact of different assessment tools</b> and approaches used by schools?</p> <p>v. Does the MAT have systems in place for <b>shared moderation</b>?</p>	<p>progress is available at different times and therefore hinders meaningful comparison or moderation</p> <p>iv. The impact of different assessment tools is not shared, or is not considered at all</p> <p>v. There are few opportunities and no systems for shared moderation of assessments</p>	<p>reinforced by shared training and peer review</p> <p>iii. Assessment cycles are common across all schools in the MAT, allowing a common picture of progress and comparisons between schools</p> <p>iv. MAT leaders ensure that the impact of all assessment tools in use is systematically reviewed, and that the results are shared widely, and used to inform future decisions</p> <p>v. Shared moderation of assessments is routine and underpins the MATs expectations of what constitutes strong progress</p>	
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#### 5. Quality assurance and accountability

<p><b>5A. Knowing schools quantitatively</b></p> <p>Use of data across the MAT Granularity of data Performance conversations</p>	<p>i. Does the MAT have a well developed approach to the <b>use of data and Key Performance Indicators</b> which is embedded as routine in all schools?</p> <p>ii. <b>Have the MAT's data cycles been carefully structured</b> to ensure that information is collected in a timely enough manner to enable effective quality</p>	<p>i. The MAT does not have a consistent approach to capturing and reviewing the performance and progress of schools through regular reporting against KPIs?</p> <p>ii. Data collection cycles are not structured to enable/inform timely conversations about quality and improvement which lead to impact</p>	<p>i. The MAT has a well thought out Data and Insights strategy that allows MAT and school leaders to routinely review performance against its KPIs</p> <p>ii. MAT and school leaders and staff have access to data when they need it during the year</p> <p>iii. Data is shared widely across the MAT and</p>	<p><b>R G AR AG</b></p>
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	<p>assurance and intervention?</p> <p>iii. <b>Is performance information shared openly across the MAT?</b> Are conversations between MAT and school leaders open and effective?</p> <p>iv. <b>Do MAT leaders have an integrated picture of performance</b>, pulling together data on progress, attainment, wellbeing, exclusions and other key metrics/qualitative information?</p> <p>v. Does the MAT regularly <b>evaluate the impact of teachers' professional learning</b> on outcomes?</p> <p>vi. Does the MAT have the data to know and understand the strengths and weaknesses of <b>different subjects and pupil groups within its schools?</b></p> <p>vii. <b>Does the MAT benchmark its performance</b> and progress with other similar MATs/schools?</p> <p>viii. <b>Does the MAT operate smart data systems</b> – i.e. having been inputted once, can the data be aggregated, disaggregated and analysis</p>	<p>iii. A culture of transparency has not been established, Data is not widely shared. MAT-school conversations are infrequent, superficial and/or defensive</p> <p>iv. MAT leaders' view of performance is limited to their own internal data/opinions and does not take account of the full range of information available</p> <p>v. The data isn't sufficiently granular to allow subject and pupil group differences to be adequately explored</p> <p>vi. The MAT does not systematically review or sample teachers' view of professional learning or their impact on outcomes or does not use any review regularly in self evaluation</p> <p>vii. Any benchmarking is broad-brush and only with schools' local/traditional competitors</p> <p>viii. Data collection/analysis is cumbersome and involves duplication of effort; schools are often asked for the same information multiple times</p> <p>ix. Data provided to governance boards/trustees is too high-level, too detailed or otherwise too opaque to</p>	<p>informs regular, honest, action-focused conversations with schools</p> <p>iv. At all levels (classroom, subject, phase and school) there is effective use of the full range of available data to identify issues regarding progress and to target interventions effectively</p> <p>v. Data gives a rich picture of subject level and pupil group differences in performance allowing these questions to be explored across the MAT</p> <p>vi. The MAT has a regular model of evaluation which samples/ surveys school staff on the impact of professional learning on student outcomes which is shared and used in review</p> <p>vii. Performance and progress for each school and the MAT as a whole is specifically benchmarked against schools/MATs with similar characteristics regionally and (if appropriate) nationally</p> <p>viii. A single MIS system is used effectively across the MAT to allow easy analysis of data by school or student group</p>	
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	<p>for different schools/groups of students?</p> <p>ix. Is overview performance data presented in a way that <b>empowers the MAT board and local governing bodies to ask the right questions</b> about school/MAT performance, and exercise their respective accountability functions?</p> <p>x. Do <b>performance and appraisal conversations of school and MAT leaders</b> reflect the progress being made and capture the future focus of improvement?</p> <p>xi.</p>	<p>enable intelligent questioning and accountability</p> <p>x. Performance conversations focus on compliance, process and assigning blame</p>	<p>ix. Boards/trustees receive clear, focused overviews of performance data, which they are able to explore and use to frame probing questions</p> <p>x. Performance conversations focus on improvement and development and are informed by evidence</p>	
<p><b>5B. Knowing schools well qualitatively</b></p> <p>Reviewing progress Parent/pupil feedback Peer Review</p>	<p>i. <b>Do MAT and cluster leaders regularly meet with school leaders</b> to review progress and is there a clear agenda/template for the conversation so that it is replicated with consistency across all schools?</p> <p>ii. Are MAT and school leaders conducting <b>joint learning walks, book inspections and lesson observations across the schools in the MAT</b> in order to triangulate KPIs</p>	<p>i. The MAT has not yet developed a routine cycle of school improvement review and monitoring activities. Meetings between MAT/cluster and school leaders are infrequent, ad-hoc and unstructured</p> <p>ii. MAT leaders views of what is happening in schools is based purely on reported information and occasional lone visits</p> <p>iii. Parent and pupil feedback is not considered by MAT leaders when assessing</p>	<p>i. MAT/cluster and school leaders meet regularly, in step with the rhythm of the school year; their meetings systematically cover the different aspects of school performance and improvement and have a clear agenda so that everyone comes ready for a focused conversation that helps drive improvement for all</p> <p>ii. MAT and school leaders visit schools and classrooms together so that</p>	<p><b>R    AR    AG</b> <b>G</b></p>

	<p>with the daily lived experience in schools?</p> <p>iii. Is the MAT systematically building in <b>parental and pupil feedback</b> into its assessment of how well schools are progressing?</p> <p>iv. <b>Is the MAT using a formal peer review model</b> (involving schools within and/or beyond the MAT) to help schools identify development needs?</p> <p>v. Does the MAT <b>use peer review for governance</b> of LGBs and the board and/or does it facilitate learning between governance boards /trustees across the MAT?</p> <p>vi. Is the MAT using the <b>expertise of staff and middle leaders</b> to work on issues where the need for improvement is identified?</p>	<p>school performance and progress</p> <p>iv. Schools are left alone to identify their own development needs with no outside support</p> <p>v. Governance boards/trustees for different schools within the MAT rarely interact with each other</p> <p>vi. Staff and middle leaders are not seen as a resource for problem-solving across the MAT</p>	<p>they develop a shared picture of their schools</p> <p>iii. MAT leaders employ a range of techniques to gather parent and pupil feedback; this feedback is an integral part of assessing schools' performance and progress</p> <p>iv. A formal peer review model is in place, enabling school leaders to identify development needs through structured conversations with peers</p> <p>v. MAT leaders ensure that governance boards/trustees have a means to engage in peer review and joint learning; this is well used and valued across the MAT</p> <p>vi. Staff and middle leaders are frequently deployed to solve problems across the MAT, based on their expertise</p>	
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### Capturing the output from your self-assessment

We suggest you might want to capture the outcomes from your self-assessment in a 'heat map' like the one shown below so that you can easily identify from your self-assessment the priority areas where most capacity building work may be needed. You can edit the boxes below to capture judgements for your MAT. Remember that the purpose of the tool is diagnostic, not judgemental. So areas that are judged green or amber green may still have areas for improvement. Areas that you judged amber red or red however are likely to have the most important priorities where capacity needs to be built most urgently.

1. Vision, culture & ethos	2. People and partners	3. Teaching and learning	4. Curriculum and assessment	5. Quality assurance and accountability
Clarity of purpose	Building capacity for improvement	Approach to pedagogy	Curriculum structure & alignment	Knowing schools quantitatively
Understanding of needs		Leadership of teaching		
Leading a culture of improvement	Recruiting, developing & retaining talent	Evidence based professional learning	Intentional use of assessment	Knowing schools qualitatively

### Priorities for improvement

As well as capturing the overall scores from your self-assessment you may also find it helpful to make a note of the key issues you identified for each of the priority areas and start to identify the actions you plan to take as a MAT to address these issues. This will allow you to track your progress over time as well. You can use the table below to capture the specific issues identified by your self-assessment and the actions you propose to take to address them. The table below has been partially completed with examples to give you a sense of the type of evidence you might have identified and captured from the self-assessment. You can add rows to the table if needed. You may also want to link the priorities/actions identified here to your School/MAT Development Plan.

Focus Area	What were the key issues identified?	What do we need to do about it as a MAT?	What progress do we want to see in the next 12 months?
1C Leading a culture of improvement	(i) Mixed views from staff about expected pupil progress they would want to see (ii) and (iii) Schools confused about their freedom to innovate and lead – waiting for direction from the central MAT too often (iv) Views from staff across the MAT were mixed about how well engaged they felt		
2B Recruiting, developing & retaining talent	(i) There are serious staff shortages across some schools and we don't have a MAT strategy to address them (ii) (iii) Some staff said they were unclear about the opportunities for progression across the MAT or how to access them		
3B Leadership of Teaching	(i) and (ii) Leaders of teaching and learning were seen as effective but overstretched		

3C Evidence based professional learning	(ii) and (iii) Few opportunities for teachers across the MAT to learn from each other (v) Little pupil involvement in improvement		
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## Appendix 2 – Due Diligence Process

<b>Due-Diligence – Initial Assessment</b>	<b>When</b>	<b>By whom</b>	<b>Risk Rating (Red/Amber/Green)</b>
Shared Vision and Values	0-2 months	CEO / EER	
<ul style="list-style-type: none"> <li>Identify and cross reference against Trust values</li> <li>Consider motive for change</li> <li>Consider fit to Trust Growth plan (type of school; geographical area)</li> <li>Scheme of delegation fit (If academy)</li> </ul>			
Identify risks and benefits	0-2 months	CEO / EER	
<ul style="list-style-type: none"> <li>Consider trust capacity to take on risk</li> <li>Consider growth plan &amp; capacity to take on due diligence</li> <li>Consider resources needed for new school (if applicable)</li> <li>Consider completion of audits below</li> </ul>			
Identify resources required to support acquisition and costs	0-4 months	CFO	
<ul style="list-style-type: none"> <li>Gather key information; academy order; Edubase number; PAN; Funding Agreements</li> <li>Consider completion of audits* below</li> </ul>			
Consider past, present and future trends	0-2 months	CFO	
<ul style="list-style-type: none"> <li>Future PAN and community needs/pupil forecasts</li> <li>Historical context/reputation/press information</li> </ul>			
Complete SWOT: Strengths, Weaknesses, Opportunities and Threats	0-2 months	CEO / EER	

<b>Due-Diligence Areas: in depth operational and educational</b>	<b>When</b>	<b>By whom / Notes</b>	<b>Capacity Risk Rating (Red/Amber/Green)</b>
Pupil Outcomes audit	0-4 months	Trust Education Partner / Trust Board Rep	
<ul style="list-style-type: none"> <li>Identify areas of strength and for development – Ofsted report; data trends etc.</li> <li>Internal data</li> <li>Teaching and Learning review outcomes</li> </ul>			
Leadership audit – capacity to self-improve	0-4 months	Trust Education Partner / Trust Board Rep	
<ul style="list-style-type: none"> <li>Review latest leadership audit</li> <li>Review latest governance external review</li> <li>Business strategy overview</li> <li>Leadership is sustainable</li> </ul>			
HR audit	0-4 months	Trust Education Partner / Trust Board Rep	
<ul style="list-style-type: none"> <li>Sufficient and suitably qualified staff</li> <li>Recruitment and retention trends</li> </ul>			
Resource audit*	0-4 months	CFO	
<ul style="list-style-type: none"> <li>Resources are managed effectively (See also detailed report below)</li> <li>The financial position over the next three years is sustainable</li> </ul> <p><u>Budgetary Control</u></p> <ul style="list-style-type: none"> <li>Does the school have a fully costed, development plan which covers a period of at least three years?</li> <li>Is there a clear link between the costed priorities and the multi-year budget planning?</li> <li>Has the governing board formally approved the current year's budget?</li> </ul>			

<ul style="list-style-type: none"> <li>• Does the Finance system accurately reflect the school's budget share and do allocations of the total budget to individual cost centres mirror the most recent budget intention return?</li> <li>• Where there are differences (e.g. due to virement between budget headings), are these differences documented and approved by appropriate officers/committees in line with their specific levels of delegated authority?</li> <li>• Is the Finance system reconciled monthly to Tabs issued by the Finance Service and is this evidenced?</li> <li>• Are differences promptly investigated?</li> <li>• If not, what type of check is made and what frequency is the check undertaken?</li> <li>• Have individual budget holders' names been entered onto the Finance system to 'formalise' responsibility for each budget?</li> <li>• Are individual budget holders given transaction information regarding the budgets they are responsible for monthly (i.e. cost centre transaction reports)?</li> <li>• What % of budget has been spent to date?</li> <li>• What is current reserve to date?</li> <li>• To what extent are budgets committed?</li> </ul>			
<p><u>Budget Reporting</u></p> <ul style="list-style-type: none"> <li>• Has the headteacher received a report on the school's financial position within the last month?</li> <li>• Is the school's financial position being reported to the governors at least half termly?</li> <li>• Is a narrative provided with the financial report explaining reasons behind any significant variances?</li> <li>• Are these management reports produced directly from the school's financial management system?</li> <li>• If not, is there adequate documentary evidence to support the accuracy of the financial position reported?</li> <li>• Are financial reports sent to governors prior to the meeting for them to digest the report and prepare any questions arising from the report?</li> <li>• Are financial reports appended to the school's copy of governors' minutes as a matter of course?</li> </ul>			

<ul style="list-style-type: none"> <li>Has a Statement of Internal Control (SIC) been completed and signed within the last twelve months?</li> </ul> <p><u>DEVOLVED FORMULA CAPITAL</u></p> <ul style="list-style-type: none"> <li>Is the school easily able to identify devolved formula capital income and expenditure (eg through separate cost centres or DFC specific ledger codes)?</li> <li>Are individual payments charged to capital above the de minimis level of £2,500 or, where the value is below this amount, is the payment associated to a larger project and can this be evidenced? (Minor expenditure below the de-minimis limit will normally be revenue spending and not capital).</li> <li>Have previous years' unspent allocations been transferred into the current year?</li> <li>Have allocations been spent within the DCSF prescribed three-year timescale?</li> </ul> <p><u>Unofficial Funds</u></p> <ul style="list-style-type: none"> <li>Have all unofficial school fund accounts been independently audited and the audited accounts presented to the governors, ideally within six months of the fund's year end?</li> <li>Have any issues identified by the auditor been promptly addressed?</li> <li>Do the accounts cover a strict 12 month period?</li> <li>Are curriculum activities (e.g. music, educational visits) operated through the delegated school budget?</li> <li>Are all private fund cheques dual-signed in accordance with Ofsted and LA advice?</li> <li>Are surplus bank balances invested effectively (i.e. in a high interest deposit account or a building society account)?</li> </ul>			
Building and estate audit*	0-4 months	CFO	
<ul style="list-style-type: none"> <li>Safe and well maintained site and buildings that are fit for purpose</li> <li>Review latest Health and Safety audit</li> <li>Review latest condition survey</li> </ul>			

## **Financial Control Compliance (Self Evaluation Checklist)**

(To be used to review systems of internal control and tested as part of the Internal Audit Process)

### **Introduction**

This checklist is intended to help The Societas Trust evaluate a setting's level of internal control with a view to assessing the likelihood/impact of any risk arising from the controls not being / not fully in place. It is intended that this evaluation will be completed by the setting then reviewed by the CFO.

The expected internal controls have been identified for each of the nominated risk areas, e.g. Governance and Accountability. The setting should indicate whether the internal controls are in place ("yes" or "no"); provide a statement of evidence to support this; and, based on the overall responses for that risk area, assess if the likelihood and impact of any residual risk is considered to be "high", "medium" or "low" risk.

Where action is required to mitigate against any identified risk, this should be noted under the risk area as "Y" (or "N" if no action required) and an action plan produced that identifies the action to be taken, the responsible officer and the timescale for implementation. The action plan should be shared with the local governing board / Trust Board, whose job it is to monitor progress.

As the Financial Control Compliance Self Evaluation should be completed on an annual cycle, part of the following year's review should be to confirm the implementation of the previous year's action plan.

### **1. Governance and Accountability**

*Risks: There is a lack of accountability for financial decision making, checks and balances are not carried out and there is inadequate control over accounting records.*

		Control in place  Yes/No	Statement of Evidence
1	The roles and responsibilities of the local governing board, its committees and staff for financial decision making and administration have been set out in writing.		
2	All staff with financial responsibilities have access to and an understanding of the Trust's Finance Policy and Procedures Manual		
3	There is a financial scheme of delegation approved and reviewed annually by the local governing board.		
4	There are minutes of all meetings of the local governing board and its committees that include decisions taken and by whom action is to be taken.		

5	There is a register of business interests for governors and staff who influence financial decisions.		
6	Financial control is maintained in the absence of key personnel.		
7	Proper accounting records are maintained and retained in accordance with the document retention schedule.		
8	All accounting records are retained securely and access is controlled.		
9	Any significant variation in spend to date compared to the approved spending plan and medium term plan is highlighted and explained to governors at least 6 times per year and recorded in the relevant Governing Board meeting minutes.		
10	Procedures used to prepare the financial reports issued to governors and senior officers are completed accurately and promptly.		
11	There is a clear audit trail, from reasoning behind variation to authorisation by the Full Governing Board / <del>Trust Board</del> , of any significant changes to the approved Spending Plan.		
12	Changes in Governance and Senior Personnel have been notified to the ESFA via the GIAS System. (Get Information About Schools)		
13	<del>The setting keeps a record of related party transactions and is aware that any contracts agreements exceeding £20,000 need prior approval by the CEO</del>		

Based on the responses to the above what is the:

Likelihood / Impact of the risk	
Action required	

## 2. Income

*Risk: There are inadequate controls over income (collection, receipts, cash holding, banking, etc)*

1	The setting abides by the <del>Trust's</del> charging policy for goods and services; the setting own version also sets out charges, discounts and concessions		
2	<del>The settings own version of the Trust's charging policy is reviewed annually.</del>		
3	There are procedures in place for identifying income due.		

4	Invoices are issued within 30 days.		
5	The setting requests all cheques are made payable to the setting		
6	All income received is recorded and receipted (in accordance with the Trust policy).		
7	All machines that take money, including telephones, are emptied and the cash counted by two people.		
8	Only officially approved documents are used for recording income (e.g. receipts/C&D Books, paying-in slips)		
9	Receipts and receipt books are held securely in a locked cabinet		
10	All cash is held securely in a safe or locked receptacle.		
11	Access to the safe is restricted to authorised staff.		
12	Cash held is within the insurance limits.		
13	Income received is not used for the encashment of personal cheques or for other payments.		
14	The transfer of school money between staff is recorded and signed for by the receiving officer.		
15	Income is banked promptly and in tact.		
16	There is an independent reconciliation on a monthly basis of the income received and income banked.		
17	There is proof of monies collected by a security company.		

Based on the responses to the above what is the:

Likelihood / Impact of the risk	
Action required	

### **3. Expenditure**

*Risk: There are inadequate controls over expenditure (authorisation of orders, invoices)*

#### **3.1 Purchasing**

1	Tenders and quotations are obtained in accordance with the Trust's Finance Policy and Procedures Manual.		
2	Where the quotation/tender process has not been followed or the lowest price not accepted, the local governing board		

	is informed always of the reason for the decision and it is included in the minutes of the relevant meeting.		
3	Each contract specification defines the service to be provided in terms of its nature, quality standards, information, monitoring requirements and contract review procedures.		
4	Advice is always sought <del>from the Trust's External Auditor (Hardings)</del> prior to taking out a lease as to the fundamental nature of the agreement; and permission is always sought <del>from the Trust (CEO)</del> to go ahead should the lease prove to be a finance lease – i.e. borrowing		

Based on the responses to the above what is the:

Likelihood / Impact of the risk	
Action required	

### 3.2 Ordering and Receipt of Goods

1	Only official orders are used for the purchase of goods and services except utilities, rent and rates.		
2	In an emergency where a verbal order is made, it is confirmed by a written order.		
3	Orders are used only for goods and services provided to the setting and not for private use by staff.		
4	Orders are certified/authorised in accordance with the approved financial scheme of delegation.		
5	There is a process in place for checking goods received to the original order.		
6	There is a separation of duty between the person authorising the order and the person receiving and checking the goods delivered.		
7	Inventories are updated promptly when assets above £100 are purchased.		

Based on the responses to the above what is the:

Likelihood / Impact of the risk	
Action required	



### 3.3 Invoices

1	Only original invoices are processed for payment once they have been checked, coded and certified for payment.  There are controls over the processing of electronic invoices.		
2	Payment of invoices are within appropriate time limits.		
3	Invoices are certified for payment in accordance with the scheme of delegation.		
4	There is a separation of duty between the person authorising the order and the person certifying the invoice.		
5	All paid invoices are marked in some way to prevent duplicate processing.		

Based on the responses to the above what is the:

Likelihood / Impact of the risk	
Action required	

### 4. Assets

*Risk: there is inadequate control over the security and safeguarding of assets of the school.*

1	An up to date inventory is maintained of all assets above £100 or those that are deemed portable/desirable.		
2	An annual check is undertaken by an independent officer to ensure the physical items agree to the items listed on the inventory.  The inventory is signed and dated to confirm agreement.		
3	All discrepancies are investigated and any over a specific value are reported to the governing board.		
4	All property taken off site is recorded, signed for and its return recorded.		
5	All write-offs and the disposal of surplus stocks and equipment is undertaken in accordance with written policies/Financial Regulations		
6	There is a procedure for the security of premises, it is adequate and reviewed regularly.		

7	The number of keys in existence to buildings, safes, etc is limited to the minimum practical and access to them is controlled.		
8	All keys to safes, cash boxes and other receptacles in which money or valuables are secured are carried on the person of those responsible at all times.		

Based on the responses to the above what is the:

Likelihood / Impact of the risk	
Action required	

## 5. Payroll

*Risk: Payroll expenditure is not controlled adequately.*

1	There is a formal recruitment procedure in place that includes processes to: <ul style="list-style-type: none"> <li>• follow up of gaps and inconsistencies in applications forms</li> <li>• follow up of references and DBS checks</li> <li>• administer appointments, termination of employment, variations to pay and expenses on a timely basis.</li> </ul> Procedures are updated regularly.		
2	The duties of authorising appointments, changes to pay, terminating employment and maintaining organisation structure changes are allocated according to the scheme of delegation and are separated from the duties of processing claims.		
3	All staff have been made aware of the Trust's code of conduct and HR Policies.		
4	Only authorised staff have access to personnel files.		
5	Payroll transactions are processed only through the payroll system.		
6	The headteacher maintains a list of all staff, it is updated regularly to reflect starters and leavers and is checked under DfE guidelines and (at least six monthly) to reports on payroll transactions to ensure they match.		
7	Expense claims are submitted promptly at the beginning of each month by payroll deadlines.		
8	Supply claims are countersigned by an authorised officer.		

9	Supply claims are recorded and checked against the charge made to the school.		
10	Return to work interviews take place in a timely way and a record kept.		

Based on the responses to the above what is the:

Likelihood / Impact of the risk	
Action required	

## 6. Financial Reporting

1	<del>Monthly monitoring reports are saved in Dropbox in a timely fashion.</del>		
2	The setting produces Financial reports to the Local Governing Board at least 6 Times during the academic year.		
3	Cash Flow Reports are produced on a monthly basis and reconciled to the Bank Account.		
4	An Income and Expenditure Report is produced on a Monthly basis.		
5	A Variation to Budget report is produced at least quarterly clearly identifying variances and providing reasons why the variance has occurred.		

Based on the responses to the above what is the:

Likelihood / Impact of the risk	
Action required	

## 7. Internal Audit Process

1	The setting has carried out the Actions agreed at the last Internal Audit in a timely manner		
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Based on the responses to the above what is the:

Likelihood / Impact of the risk	
Action required	

## 8. Insurance

*Risk: There has been no review of the insurance provision.*

1	The setting reviews all risks annually to ensure that sums insured are commensurate with the risks.		
2	<del>The local governing board has considered the need to insure risks not covered by the Trust.</del>		
3	<del>The setting notifies the Trust immediately of all new risks, property, equipment and vehicles that require insurance or where it affects existing insurance.</del>		
4	The setting notifies the Trust and insurers immediately of all accidents, losses or incidents that may give rise to an insurance claim.		

Based on the responses to the above what is the:

Likelihood / Impact of the risk	
Action required	

## 9. Compliance and Risk

*Risk: The setting has not put measures in place to enable it to continue to provide educational provision after a major incident which threatens, pupils, staff, premises and operational structure and so fail to deliver against the mission statement.*

1	There is a Business Continuity Policy which has addressed the likely threats <del>and is available in Dropbox.</del>		
2.	There is evidence to affirm that Staff are aware of procedures in the event of a major incident.		

Based on the responses to the above what is the:

Likelihood / Impact of the risk	
Action required	

*Risk: The setting is exposed to Financial, Operational and Reputational Risk through inadequate internal control systems and procedures.*

1.	There is a Risk Register in force which has identified Financial Risks <del>and is available in Dropbox.</del>		
2.	There are procedures in place to eradicate or reduce exposure to Financial and Reputational Risk.		

3	There is a Risk Register in place and this has been updated annually <del>with the updated scoring system as detailed in the Risk Management Policy.</del>		
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Based on the responses to the above what is the:

Likelihood / Impact of the risk	
Action required	

### 10. General Data Protection Regulation

*Risk: The setting fails to comply with the GDPR in terms of the financial policies and procedures.*

1.	Office staff are aware of the implications of the GDPR on the Financial Policies and Procedures		
2..	Staff have received the relevant GDPR Training		
3.	The procedure for reporting Breaches has been followed		
4.	A D.P.O. has been appointed.		

Based on the responses to the above what is the:

Likelihood / Impact of the risk	
Action required	

### 11. Health and Safety

*Risk: The setting fails to comply with the Management of Health and Safety Policies and Procedures, Statutory legislation and fails in its duty of care to provide a safe environment.*

1.	An external Health and Safety Audit has been completed and the results reported to the Local Governing Board		
2..	Health and Safety Accidents and Incidents are recorded and reported to a member of the SLT and reported to the Local Governing Board		
3.	Health and Safety checks are undertaken as detailed in the H & S Policy		

Based on the responses to the above what is the:

Likelihood / Impact of the risk	
Action required	

## **Financial and Compliance**

### **Action Plan**

Control Ref	Action	Person(s) Responsible	Timescale	Completed Yes / No

Signed by:-

Head Teacher:            Date: .....

Internal Auditor:            Date: .....

Chair of LGB:            Date: .....