



## Scheme of Delegation 2017/18

The Board of Trustees will review the Scheme of Delegation annually.

Signed: *Sarah Robinson*

Chief Executive Officer

**Approved by the Alpha Academies Trust Finance & Operations Board**

Signed: *Carol Jones*

(Chair)

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# Our Governance

## Our Governance Structure

Our Governance structure is made up of the **Members** who founded the Trust and the **Board of Trustees** who are the accountable body for the Trust. Each Academy has its own **local governing body** which provides local intelligence to the Board. There are two sub Committees, the **Finance and Operations Committee** and the **Audit Committee**. The **Academy Executive Principals'** group meets monthly with the CEO and the **Business Managers'** group meets termly with the Chief Operations Officer.

## Our Members

The members of the Trust are Carol Jones, David Heywood, Paul Richards, Mark White and John Patino. The members can control changes in the constitution (subject to DfE approval) and other fundamental decisions relating to the Trust. Members also have the right to remove a Trustee by ordinary resolution (a vote passed by a simple majority of members).

## Our Trustees

Our Trustees are the accountable body for the Trust. They are responsible for:

- Determining the mission, ethos and key strategic priorities for the Trust.
- Setting targets for pupil and student achievement prepared and proposed by each academy.
- Agreeing the budgets prepared and proposed by each academy.
- Agreeing a curriculum statement for the Trust and supplementary statements for each academy should they be required.
- Appointing Principals and SLT posts.
- Reviewing the performance and pay of the Chief Executive Officer and Principals in conjunction with the Chairs of the local governing bodies.

The Board of Trustees is comprised of the CEO, up to 5 Academy Local Governing Body Chairs, up to 5 co-opted Representatives, and further appointments made by the Members. All Principals are invited to attend meetings with full speaking rights. This Board meets a minimum of four times each academic year and otherwise as required. Any additional meetings require at least 5 days' notice. The quorum is half of the board rounded down and meetings are minuted by the Clerk. The Chair is responsible for drawing up the agenda and sending it out to board members with all associated papers at least 7 days in advance. Should the Chair or Vice Chair not be present at the meeting, a temporary Chair should be elected for the meeting.

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## Our Local Governing Bodies

Our Academy local governing bodies play an important role in supporting the Board of Trustees. They are responsible for:

- Ensuring the academy is operating within the mission and ethos of the Trust and contributing to the Trust's key strategic priorities
- Proposing targets to the board for student and pupil achievement and monitoring progress against the targets.
- Monitoring the quality of teaching and learning, attendance, behaviour and safety, within the academy and progress against the academy improvement plan.
- Engaging with wider academy activities as a means of monitoring overall quality.
- Appointing all staff, except Principals, and SLT posts.

The membership is made up of 12 governors appointed by the Board of Trustees. This includes the CEO, who is appointed by the board, the Principal, 2 staff members, 2 parents and 2 business representatives.

The local governing bodies meet for a minimum of three times each academic year and otherwise as required. Any additional meetings require at least 5 days' notice. **There is an expectation that academy governors attend 'events' between meetings which enable them to develop a clear picture of the quality of provision.**

The quorum is half of the board rounded down and meetings are minuted by the Clerk. The governing body will elect a Vice Chair on an annual basis.

The Trustees will be responsible for drawing up the agenda and sending it out to academy governors at least 7 days in advance. Should the Chair or Vice Chair not be present at the meeting, a temporary Chair should be elected for the meeting.

## Our Finance and Operations Committee

Our Finance and Operations Committee is drawn from members of the Board of Trustees and representatives from Academy local governing bodies. Terms of Reference:

- Considering the academy's indicative funding, notified annually by the DfE, and to assessing its implications for the academies, in consultation with the Principals, in advance of the financial year, drawing any matters of significance or concern to the attention of the Board of Trustees.
- Considering and recommending acceptance/non-acceptance of the academy's budget, at the start of each financial year.
- Contributing to the formulation of the academy's development plan, through the consideration of financial priorities and proposals in consulting with Principals, with the stated and agreed aims and objectives of the academy.
- Receiving and make recommendations on the broad budgets headings and areas for expenditure to be adopted each year, including the level and use of any contingency fund or balances, ensuring the compatibility of all such proposals with the development priorities set out in the development plan.

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- Monitoring and reviewing expenditure on a regular basis and ensure compliance with the overall financial plan for the academies and with the financial regulations of the DfE, drawing any matters of concern to the attention of the Board of Trustees.
- Monitoring and reviewing procedures for ensuring the effective implementation and operation of financial procedures, on a regular basis including the implementation of bank account arrangements and, where appropriate to make recommendations for improvement.
- Overseeing all matters relating to staff performance, management and remuneration, personnel and discipline.
- Overseeing all matters relating to Health and Safety ensuring that the appropriate policies and practice are in place to meet statutory responsibilities.

The membership is made up of 5 Trustees / Local Governor Body members, 3 of whom will be appointed by the Board of Trustees plus the CEO. The committee shall have such co-opted non-voting members as the Board of Trustees shall appoint. The committee may make recommendations for these appointments. The Chief Executive Officer and Chief Operating Officer are expected to attend.

The Board of Trustees appoint a Chair annually and the committee appoints a Vice Chair. The committee meet twice each academic year and otherwise as required. Any additional meetings will require at least 2 days' notice.

The Chair will be responsible for drawing up the agenda and sending it out to committee members at least 7 days in advance. Should the Chair or Vice Chair not be present at the meeting, a temporary Chair should be elected for the meeting. The quorum is half of the committee rounded down. The minutes will be taken by the Clerk to the Academy Trust.

## **Our Audit Committee**

Terms of Reference:

- Assisting the Board of Trustees in fulfilling its oversight of financial responsibilities.
- Making appropriate comments and recommendations on such matters, to the Board of Trustees on a regular basis.
- Referring major issues to the Board of Trustees for ratification.

The Committee is appointed by the Board of Trustees and shall consist of not less than three members. The Strategic Group (Finance and Operations) will delegate the appointment of the Chair to the Audit Committee. At least one member of the Audit Committee should have significant, recent and relevant financial experience. The Chair of the Board of Trustees and the Chair of the Finance and Operations Committee shall not be a member of the Audit Committee nor can employees be a member of the committee. The Audit Committee may recommend to the Board the appointment of one person as a member of the Committee who is not a governor of the Academy (i.e. does not have the right to attend or vote at meetings of the Board of Trustees). Such person shall not be eligible to Chair the Audit Committee. A quorum shall be 2 voting members.

Chair of the Board of Trustees, Chair of the Finance & Operations Committee, Principal, representatives of the internal/external auditors, or other persons e.g. Trustees or Business Managers, as appropriate, may attend meetings at the invitation of the Committee.

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There should be at least one meeting a year, or part thereof, where the Audit Committee meets the auditors without the Chair of the Finance & Operations Committee and executives present. Meetings shall be held not less than twice a year (to coincide with key dates in the Academy’s financial reporting cycle). External auditors may request a meeting if they consider that one is necessary. Any additional meetings will be called as necessary; at least 7 days’ notice must be given when calling a committee meeting. Where decisions within the remit of the committee are required between formal meetings, they will be agreed by email between members.

Chair of the Audit Committee, the Chief Executive Officer and the Chief Operating Officer will be responsible for drawing up the agenda and organising for it to be sent out to the Committee members at least 7 days in advance. The Clerk will take the minutes.

## **The Trust Executive Group**

Terms of Reference:

- Promoting the Trust within the education profession, locally and regionally.
- Advising Trustees on strategy for schools within the local and national context.
- Identifying effective strategies for school improvement to improve outcomes for pupils.
- Reviewing and evaluating performance against KPIs and business plans.
- Sharing good practice across all areas of the Group’s remit.
- Ensuring that policies and procedures are adhered to consistently across the Trust.
- Challenging and supporting each other in the delivery of the Trust’s ethos.

The membership includes the CEO, Chief Operating Officer and the Academy Principals. The committee shall meet monthly during term time. The quorum shall be 5 members. The meetings will be Chaired by the CEO. A note of actions arising from the meeting will be taken and circulated to all members.

## **The Business Managers’ Group**

Terms of Reference:

- Ensuring that policies and procedures are adhered to consistently across the Trust.
- Sharing good practice across all areas of the Group’s remit, e.g. Health and Safety.
- Ensuring value for money is achieved by working together to procure goods and services as a group where possible and appropriate.
- Ensuring the Group offer the capacity to cover for absence, sickness, vacancies etc.
- Complying with the accountabilities demanded by the Terms of Reference of the Finance and Operations Committee and the Audit Committee.

The membership includes the Business/Facility Managers from all academies, plus the Chief Operating Officer. The committee shall meet termly during term time. The quorum shall be 5 members. The meetings will be Chaired by the Chief Operating Officer. A note of actions arising from the meeting will be taken and circulated to all members.

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## Annex 1 – Current Membership

### Members

Carol Jones, David Heywood, Paul Richards, John Patino, Mark White

### Board of Trustees

Carol Jones (Chair), Sarah Robinson (Chief Executive Officer), David Heywood (Vice Chair), Pat Jackson, Kate Townshend, Rachel Billington, Roisin Maguire, Jat Sharma

<b>Audit Committee</b>  Alan Fox Kate Townshend David Heywood Jat Sharma	<b>Finance and Operations Committee</b>  Carol Jones Sarah Robinson Ann Moulton Jat Sharma
<b>Executive Principals Group</b>  Sarah Robinson (Studio College) Simon French (Discovery Academy) Darren Bishop (Excel Academy) Jonathan Baddeley (Maple Court) Ann Marie Lucy (Discovery Academy) Katie Dixon (Birches Head) Lorna Matley (REACH) Rosina Lee (Sneyd Green)	<b>Business Managers Group</b>  Ann Marie Lucy Debbie Daniels Louise Wright Alison Whitehouse David Bills Amanda Anthony Guy Clarke Martin Kerrigan Lisa McLeary

### Local Governing Bodies

<b>Discovery Academy</b>  Pat Jackson (Chair) Jonathan Baddeley Denise Brown Alan Fox Simon French Nichola Millward Ann Moulton Julie Peirson Sarah Robinson Kate Townshend Maxine Bagshaw (Clerk)	<b>Excel Board</b>  Kate Townshend (Chair) Jakk Adams Nova Abela Darren Bishop David Haywood Rosina Lee Lesley Paterson Clare Poole Jane Rigby Sarah Robinson Maxine Bagshaw (Clerk)
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**Maple Court**

Janet Dodd (Chair)  
Jonathan Baddeley  
Aimi Brown  
Simon French  
Sharon Gwilt-Bowen  
Juliet Levingstone  
Samantha McCue  
Sarah Robinson  
Reverend Dave Street  
Kate Townshend  
Claire Walters  
Maxine Bagshaw (Clerk)

**Stoke Studio College**

David Heywood (Chair)  
Carol Jones  
Sarah Robinson  
Zoe Simpson  
Maxine Bagshaw (Clerk)

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## **ANNEX 2 – CODE OF PRACTICE FOR THE BOARD OF TRUSTEES, COMMITTEE AND LOCAL GOVERNING BODIES OF THE ALPHA ACADEMIES TRUST**

### **The Role of Trustees, Committee Members and Governors**

The Board of Trustees is a corporate body and the Local Governing Bodies are sub-committees of the Board of Trustees, which means:

- No Trustee or academy governor can act on his/her own without proper authority from the Board of Trustees.
- Although appointed through different routes (i.e. parents, staff, Board of Trustees), the overriding concern of all Trustees and academy governors has to be the welfare of the schools and all the pupils and students who attend them.

### **Code of Conduct for Trustees, Committee members and Academy Governors**

- We understand the purpose of the Trustee, Committee Members and Academy Governors.
- We are aware of and accept the Nolan seven principles of public life: see appendix 10.
- We accept that we have no legal authority to act individually, except when the Board of Trustees has given us delegated authority to do so, and therefore we will only speak on behalf of the Board of Trustees, Committee Members or Local Governing Body when we have been specifically authorised to do so.
- We have a duty to act fairly and without prejudice, and in so far as we have responsibility for staff, we will fulfil all that is expected of a good employer.
- We will encourage open government and will act appropriately.
- We accept collective responsibility for all decisions made by the Board of Trustees, Committee Members and Local Governing Bodies. This means that we will not speak against majority decisions outside the Trustees, Committee Members or Local Governing Body meetings.
- We will consider carefully how our decisions may affect the community and other schools.
- We will always be mindful of our responsibility to maintain and develop the ethos and reputation of our school. Our actions within the schools and the local community will reflect this.
- In making or responding to criticism or complaints affecting the school we will follow the procedures established by the Board of Trustees.

### **Commitment**

- We acknowledge that accepting office as a Trustee, Committee Member and or an academy governor involves the commitment of significant amounts of time and energy.
- We will each involve ourselves actively in the work of the Board of Trustees, Committees and or local governing body, and accept our fair share of responsibilities, including service on strategic groups.
- We will make full efforts to attend all meetings and where we cannot attend explain in advance in full why we are unable to.

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- We will get to know the school well and respond to opportunities to involve ourselves in school activities.
- Our visits to school will be arranged in advance with the Principal and staff and undertaken within the framework established by the academy and agreed with the Principal.
- We will consider seriously our individual and collective needs for training and development, and will undertake relevant training.
- We are committed to actively supporting and challenging the Principal.

### **Relationships**

- We will strive to work as a team in which constructive working relationships are actively promoted.
- We will express views openly, courteously and respectfully in all our communications with other Trustees, Committee Members and or academy governors.
- We will support the Chair in their role of ensuring appropriate conduct both at meetings and at all times.
- We are prepared to answer queries from other Trustees and academy governors in relation to delegated functions and take into account any concerns expressed, and we will acknowledge the time, effort and skills that have been committed to the delegated function by those involved.
- We will seek to develop effective working relationships with the principal, staff and parents, and other relevant agencies and the community.

### **Confidentiality**

- We will observe complete confidentiality when matters are deemed confidential or where they concern specific members of staff or students, both inside or outside school.
- We will exercise the greatest prudence at all times when discussions regarding school business arise outside a board of trustees, committee meetings or academy local governing body meetings.
- We will not reveal the details of any board of trustees, committee or local governing body vote.

### **Conflicts of interest**

- We will record any pecuniary or other business interest that we have in connection with the Academy Trust’s business in the Register of Business Interests.
- We will declare any pecuniary interest - or a personal interest which could be perceived as a conflict of interest - in a matter under discussion at a meeting and offer to leave the meeting for the appropriate length of time.

### **Breach of this code of practice**

- If we believe this code has been breached, we will raise this issue with the Chair and the Chair will investigate; the Trustees should only use suspension as a last resort after seeking to resolve any difficulties or disputes in more constructive ways.

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## ANNEX 3 – SEVEN PRINCIPLES OF PUBLIC LIFE

### 1. **Selflessness**

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

### 2. **Integrity**

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

### 3. **Objectivity**

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

### 4. **Accountability**

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

### 5. **Openness**

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

### 6. **Honesty**

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

### 7. **Leadership**

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

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## ANNEX 4 – LEVELS OF DELEGATION

In this Annex the phrases used have the following meanings:

**Consult:** the individual/group that should be consulted as part of the process of completing a particular task.

**Deliver:** the individual/group that has responsibility for undertaking the particular task delegated to them and reporting on its delivery at suitable intervals. In the case of the CEO (Chief Executive Officer) this will be at Trust level. In the case of the Principal this will be at Academy level.

**Determine:** the individual/group that has primary responsibility for ensuring the particular task is completed and determining how the Trust and/or Academies (as appropriate) should undertake the task including determining appropriate milestones and targets to be reported against.

**Develop:** the individual/group that has responsibility for developing proposals relating to a task for discussion and approval by the appropriate decision-making individual/group.

**Recommend:** the individual/group that should make recommendations as to how a particular task should be completed. In the case of (i) the CEO they will be making recommendations to the Board and/or LGB (as appropriate), (ii) the LGB they will be making recommendations in relation to their Academy to the Board, CEO and/or Principal (as appropriate) and (iii) the Principal they will be making recommendations in relation to their Academy to the CEO and/or LGB (as appropriate).

**Report:** the individual/group that has responsibility for reporting on the delivery of tasks. In the case of (i) the CEO they will be making reports to the Board and/or AC (as appropriate), (ii) the AC they will be making reports in relation to their Academy to the Board and/or EP (as appropriate) and (iii) the Principal they will be making reports in relation to their Academy to the CEO and/or AC (as appropriate).

**Review:** the individual/group that has responsibility for reviewing whether a particular task is being carried out satisfactorily and where appropriate requiring action to be taken to ensure task is delivered appropriately. In the case of (i) the Board they will be reviewing the CEO and/or LGB (as appropriate), (ii) the CEO they will be reviewing the Principal and (iii) the LGB they will be reviewing the Principal and their leadership team.

**Comply:** the individual/group will follow agreed policies and procedures.

*To assist interpretation of the matters delegated the table below provides additional comment as appropriate.*

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STRATEGY AND LEADERSHIP		<b>Trustees Trust Board</b>	<b>CEO</b>	<b>Academy LGBs</b>	<b>Principals</b>
	<b>Set strategic objectives of the Trust and Academies</b>	<b>Determine and Approve</b> – for the Trust and Academies	<b>Develop</b> – in the case of the Academies in consultation with LGB and Principal	<b>Recommend</b>	<b>Consult</b> – in the case of their Academy
	<b>Set the curriculum model and staffing complement for the Academies</b>	<b>Determine and Approve</b> – for the Academies in line with Trust ethos	<b>Develop</b> – in the case of the Academies in consultation with LGB and Principal	<b>Recommend</b>	<b>Consult</b> – in the case of their Academy
	<b>Deliver strategic objectives of the Trust and Academies</b>	<b>Review</b>	<b>Deliver</b>	<b>Review</b>	<b>Deliver</b>
	<b>Scrutiny</b> – review and challenge progress of the Trust against its strategic objectives and KPIs	<b>Review</b> – progress of the Trust and Academies	<b>Report</b> – reports from the LGB/ Principals	<b>Review</b> – progress of the Academy Report – progress to the CEO and Board	<b>Report</b> – progress of the Academy to the LGB
	<b>Compliance : funding Agreement</b> – comply with all obligations including the Academies Financial Handbook	<b>Review</b>	<b>Deliver</b>	<b>Comply</b>	<b>Comply</b>
	<b>Compliance: Regulatory</b> – with all regulations affecting the Trust (including all charity law), company law, employment law and health and safety	<b>Review</b>	<b>Comply</b> Report – to Board	<b>Review</b>	<b>Deliver</b> Report- to LGB and CEO
	<b>Compliance: Financial Oversight</b> – ensuring that there are appropriate financial controls so that there is value for money in relation to the management of public funds	<b>Determine and Approve</b> – policies to ensure compliance review	<b>Deliver</b> Report – to Board	<b>Review</b>	<b>Deliver Report</b> – To LGB & CEO

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		<b>Trustees Trust Board</b>	<b>CEO</b>	<b>Academy LGBs</b>	<b>Principals</b>
	<b>Compliance:</b> Completing the register of business interests and put in place a procedure to deal with any conflicts of interest and connected party transactions	<b>Determine</b> – policies to ensure compliance		<b>Deliver</b>	
	<b>Appointments of Trustees and Academy Governors</b> – ensuring processes in place for appointment of Trustees (including ensuring that the Trustees and Governors have the skills to run the Trust and the Academies)	<b>Determine</b> – policies and criteria for the selection of Trustees and Governors  <b>Review</b> – the Board’s own performance  <b>Review</b> – performance of the LGBs	<b>Report</b> - to the Board on the performance of the LGBs  <b>Review</b> – annually the size, structure and composition and skills determines of the LGBs  <b>Recommend</b> – if appropriate changes to the size and composition of the LGBs	<b>Review</b> – procedures for the election of staff and parent Associates pf the LGBs  <b>Review</b> – own performance	
	<b>Appointment of the Responsible Officer and Audit Committee</b>	<b>Deliver</b> – appoint Responsible Officer and (if necessary) the Audit Committee	<b>Deliver</b> – the Responsible Officer role		
	<b>Appointment of Clerk – Board and LGB</b>	<b>Deliver</b> – appoint the Clerk to the Board and LGBs		<b>Consult</b> – in connection with the appointment of the LGB Clerk	

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		<b>Trustees Trust Board</b>	<b>CEO</b>	<b>Academy LGBs</b>	<b>Principals</b>
	<b>Policies – review and approval of Trust Wide Policies</b> (including admissions, DBS, charging and remission policies, health and safety and safeguarding)	<b>Determine and Approve</b>	<b>Deliver</b> – presenting policies to the Board for approval  <b>Report</b> – material non-compliance to the Board	<b>Review</b> – all policies approved by the Board and Academy specific policies	<b>Deliver</b> – presenting Academy specific policies for approval by the LGB  <b>Report</b> – non-compliance to the LGB and the CEO
	<b>Safeguarding – ensure the DfE ‘Keeping Children Safe’ publication is shared, understood and implemented at Trust and Academy levels</b>	<b>Determine, Approve and Evaluate</b>	<b>Deliver</b> – present both Trust and Academy schools with policy	<b>Review</b>	<b>Deliver</b> – implement policy in the Academy
	<b>Prepare terms of Reference for LGBs and Committees</b>	<b>Deliver</b>  <b>Review</b> - annually	<b>Develop</b>		
	<b>Training programme for Trustees and Governors</b>	<b>Determine and Approve</b>	<b>Develop</b>		<b>Develop</b>
	<b>Academy Development Plan</b> – for each Academy in line with strategic aims of the Trust	<b>Determine</b> – the Academy Development Plan in consultation with the appropriate LGB	<b>Deliver</b> – drafting and agreeing the Academy Development Plan	<b>Recommend</b> – Academy Development Plan to the Board	Work with the CEO in producing the Academy Development Plan  <b>Review</b> – the Academy Development Plan

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		<b>Trustees Trust Board</b>	<b>CEO</b>	<b>Academy LGBs</b>	<b>Principals</b>
	<b>Key Performance Indicators</b> – setting and reviewing performance of the Trust and the Academies	<b>Determine and Approve</b> – Trust wide and Academy KPIs  <b>Review</b> – performance against KPIs	<b>Consult</b> – with the LGBs and propose KPIs to the Board  <b>Receive reports</b> – from the LGBs and report performance of the LGBs against KPIs	<b>Recommend</b> – targets for performance of the Academy to the CEO  <b>Review</b> – performance of the Academy and report to the CEO  <b>Deliver</b> – holding leadership to account for delivery against KPIs	<b>Deliver</b> – performance of the Academy against KPIs  <b>Report</b> – performance of the Academy to LGB
	<b>Quality of Teaching</b> – ensuring appropriate levels of support, challenge and intervention to support delivery of education outcomes	<b>Review</b> – the work of the CEO	<b>Deliver</b> – supporting the Academies and intervening where appropriate	<b>Review</b> – at the Academy	<b>Review</b> – monitoring of staff to ensure teaching and learning objectives are met  <b>Report</b> – strengths and concerns in the quality of teaching to CEO and LGB
	<b>Curriculum</b> – setting the curriculum for the Academies and reviewing its effectiveness	<b>Determine</b> – curriculum and standards  <b>Review</b> – effectiveness of the curriculum across Trust	<b>Deliver</b>  <b>Recommend</b>	<b>Consult</b>  <b>Review</b>	<b>Deliver</b>

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		<b>Trustees Trust Board</b>	<b>CEO</b>	<b>Academy LGBs</b>	<b>Principals</b>
	<b>Pupil Premium</b> - reviewing and challenging the use and value for money of the Pupil Premium in terms of educational outcomes and narrowing the achievement gap	<b>Review</b>	<b>Report</b> – to Board effectiveness of use of the Pupil Premium across Trust	<b>Determine and Review</b> – how Pupil Premium is spent at the Academy	<b>Deliver Report</b> – on effectiveness of use of the Pupil Premium
	<b>Sports Premium</b> – reviewing and challenging the use and value for money of the Sports premium in terms of educational outcomes and narrowing the achievement gap	<b>Review</b>	<b>Report</b> – to the Board effectiveness of use of the Premium	<b>Review</b>	<b>Report</b> – to Board effectiveness of use of the Premium

<b>EDUCATION AND CURRICULUM</b>		<b>Trustees Trust Board</b>	<b>CEO</b>	<b>LGBs</b>	<b>Principals</b>
	<b>Set Admissions Policy</b>	<b>Deliver</b>	<b>Develop</b>		
	<b>Admissions decisions</b>			<b>Deliver</b>	<b>Consult</b>
	<b>Collective worship arrangements for Academy, without religious character</b>			<b>Review</b>	<b>Deliver</b>
	<b>Student Issues</b> (including attendance, exclusions, punctuality and disciplinary matters for each Academy)	<b>Review</b>	<b>Review</b> delivery	<b>Receiving</b> – reports from the Principal  <b>Report</b> – any material issues to the Board and the CEO	<b>Deliver</b> – ensuring student issues are dealt with in accordance with the Trust and Academy Policies  <b>Report</b> – to the LGB on any material issues

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		<b>Trustees Trust Board</b>	<b>CEO</b>	<b>LGBs</b>	<b>Principals</b>
	<b>Academy Hours</b> – setting the opening and closing times for the Academies	<b>Determine</b> – in consultation with LGBs		<b>Consult</b> – with the Board	<b>Comply</b>
	<b>Term Dates and length of Academy Day</b>	<b>Determine</b> – in consultation with LGBs		<b>Consult</b> – with the Board	<b>Comply</b>
	<b>Academy Lunch</b> – ensure provided to appropriate nutritional standards			<b>Review</b>	<b>Deliver</b>
	<b>Provision of free school meals to those meeting criteria</b>			<b>Review</b>	<b>Deliver</b>

<b>FINANCIAL</b>		<b>Trustees</b>	<b>Finance &amp; Operations Committee (F&amp;O)</b>	<b>CEO</b>	<b>LGBs</b>	<b>Principals</b>
		<b>Funding Model</b> – agreeing a funding model across the Trust and develop an individual funding model for the Academies so as to secure the Trust’s financial health in the short term and the long term	<b>Determine</b> - in consultation with the LGBs	<b>Review</b> – compliance with the overall financial plan for the Academy	<b>Recommend</b> – a funding model to the Board for approval  <b>Review</b>	
	<b>Trust Annual Budget</b> – Formulating and setting the Trust wide budget	<b>Determine</b>	<b>Recommend</b> – the Trust Budget to the Board of Trustees	<b>Deliver</b> – on preparation of Trust Budget and present to the F&O for approval  <b>Review</b> – submission of Trust Budget to the EFA		Consult

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		<b>Trustees Trust Board</b>	<b>Finance &amp; Operations Committee (F&amp;O)</b>	<b>CEO</b>	<b>Academy LGBs</b>	<b>Principals</b>
	<b>Academy Annual Budgets –</b> formulating and determining the proportion of the overall budget to be delegated to each Academy (including use of contingency funds/balances)	<b>Determine</b>	<b>Recommend –</b> individual Academy budgets to The Board of Trustees for approval	<b>Deliver –</b> on preparation of Academy budgets in consultation with the LGBs and present to the Board for approval <b>Review –</b> submission of Academy Budgets to the EFA	<b>Consult</b>	<b>Deliver</b>  <b>Comply</b>
	<b>Expenditure of ensuring delivery of Annual Budgets</b>	<b>Review</b>	<b>Review Report –</b> to the Trustees any issues with expenditure or compliance with the Annual Budgets	<b>Report –</b> to the Board any material issues with delivery against the Annual Budgets by the Academies <b>Receive Reports –</b> on matters of concern in connection with compliance with the Annual Budgets		<b>Report –</b> to the CEO for any matters of concern in respect of the Academy's annual budget
	<b>Reporting:</b> financial reporting, Annual Accounts and KPIs	<b>Determine</b>	<b>Review</b> <b>Recommend –</b> Annual Accounts to Trustees	<b>Deliver</b>		<b>Deliver</b>
	<b>Delegated Budgets and Finances</b> – in the form of a scheme of delegation of financial authority to the Academies	<b>Determine</b>	<b>Review Delivery</b> <b>Comply –</b> Adherence to limits	<b>Deliver –</b> on recommending financial limits to the Board <b>Review –</b> effectiveness of limits		<b>Comply</b>

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HR AND OPERATIONS		Trustees Trust Board	CEO	Academy LGBs	Principals
	<b>Appointing the CEO</b>	<b>Appoint</b>			
	<b>Appointing the principals and leadership team members at each Academy</b>	<b>Approve</b> – in consultation with the CEO	<b>Recommend</b> – sit on appointment panel along with representatives of the relevant LGB and Trustees	<b>Recommend</b> – representatives to sit on the appointment panel with the CEO and a Trustee	
	<b>Appointment of cross –Trust Staff (in line with recruitment policy)</b>	<b>Review</b>	<b>Appoint</b> and <b>report</b> to the Board		
	<b>Appointment of Academy Staff</b>				<b>Approve</b> – in consultation with the CEO
	<b>Establishing Trust wide HR Policies</b> (including recruitment, discipline, capability, grievance and absence policies) in accordance with all appropriate regulations	<b>Determine Review</b>	<b>Comply</b>	<b>Review</b>	<b>Comply</b>
	<b>Setting Appraisal Performance Targets in line with Policy and completed pay reviews</b>  (in line with the trust’s pay policy and all statutory regulations)	<b>Review</b> – in respect of CEO/Principals <b>Receive reports</b> – in respect of appraisal arrangements/outcomes <b>Review</b> – appeals in respect of the Principals and cross academy staff <b>Review</b> – in respect of Principals	<b>Review</b> – in respect of Principals and cross Trust staff (and any appeals from Academy staff) <b>Review</b> – and report – (annually) to the Board on appraisal arrangements and outcomes	<b>Review</b> – in respect of performance management of Principals <b>Review</b> – any appeals in respect of all other staff	<b>Review</b> – in respect of all other staff  <b>Review</b> – annually to the CEO on appraisal arrangements and outcomes

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		<b>Trustees Trust Board</b>	<b>CEO</b>	<b>Academy LGBs</b>	<b>Principals</b>
	<b>Setting Terms and Conditions of Employment and Staff Handbook</b>	<b>Determine</b> – and consider any proposals by LGBs to make amendments	<b>Recommend</b>	<b>Consult</b> – report to Board on any suggested changes to the Academy’s	<b>Comply</b>
	<b>Dismissing CEO, Principals, senior/cross Trust staff (in accordance with the Trust disciplinary and capability policies)</b>	<b>Review</b> – in respect of CEO  Manage and approve procedures and policy and make decisions.	<b>Review</b> – in respect of Principals, cross academy staff and senior leadership teams of the Academies  <b>Report</b> – any dismissal to the Board	<b>Review</b> - in respect of the Principal of the Academy	
	<b>Dismissing any other staff (in accordance with the Trust disciplinary and capability policies)</b>		<b>Review Report</b> – to the Board  Approves and makes decisions	<b>Review</b> – (in consultation with the CEO)  <b>Report</b> – to the CEO	<b>Comply</b>
	<b>Reviewing discipline and grievance policy</b>	<b>Review</b> delivery	<b>Recommend</b>	<b>Review</b> – in line with Trust Policy	
	<b>Setting Trust wide procurement policies</b> (for suppliers including auditors, HR and payroll providers and solicitors) in accordance with the Funding Agreement, Academies Financial Handbook and the Trust’s procurement policy	<b>Determine</b>	<b>Deliver</b>	<b>Comply</b>	<b>Comply</b>

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		<b>Trustees Trust Board</b>	<b>CEO</b>	<b>Academy LGBs</b>	<b>Principals</b>
	<b>Setting academy specific procurement policies</b> – in accordance with the Funding Agreement, Academies Financial Handbook and the Trust’s procurement policy	<b>Determine</b>	<b>Review</b>	<b>Deliver</b> – in accordance with Trust policy	<b>Recommend</b>
	<b>Determining and allocating central service provided to the Academies by the Trust</b>	<b>Determine</b> – (in consultation with the LGBs)	<b>Deliver</b> – on recommending the allocation of services to the Board	<b>Consult</b>	<b>Consult</b>
	<b>Overseeing the effectiveness of services provided centrally by the Trust</b>	<b>Review</b>	<b>Deliver and Report</b> to Board	<b>Report</b> – to the Board	
	<b>Asset and Premises Maintenance Strategy</b> – determine use of Academies’ premises and ensuring premises are adequately maintained	<b>Determine</b> – Trust wide policy/procedure	<b>Recommend</b>	<b>Determine</b> – academy plan in accordance with Trust policy/procedure <b>Review</b> – delivery of academy plan	<b>Deliver</b> – in accordance with Academy policy/procedure
	<b>Acquiring and disposing of Trust Land</b>	<b>Deliver</b>	<b>Recommend</b>		
	<b>Changing use of Assets</b>	<b>Deliver</b>		<b>Recommend</b> – to the Board any changes to fixed assets used by the Academy	
	<b>Arranging insurance for the Trust</b>	<b>Review</b>	<b>Deliver</b>		

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		<b>Trustees Trust Board</b>	<b>CEO</b>	<b>Academy LGBs</b>	<b>Principals</b>
	<b>Media and PR-</b> overseeing public relations activities to project the activities of the Trust and the Academies to the wider community	<b>Review</b>	<b>Deliver</b> – Trust wide activities	<b>Comply</b>	<b>Comply</b>
	<b>Academy Prospectus and Website</b>		<b>Review</b>	<b>Deliver</b>	<b>Recommend</b>
	<b>Trust Prospectus and Website</b>	<b>Review</b>	<b>Deliver</b>		

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## **Annex 5 – Audit Committee Terms of Reference**

### **Purpose:**

- To assist the Board of Trustees in fulfilling its oversight of financial responsibilities.
- To make appropriate comments and recommendations on such matters, to the Board of Trustees on a regular basis.
- Major issues will be referred to the Board of Trustees for ratification.

### Duties

- to recommend to the Board of Trustees the appointment or re-appointment of Auditors.
- to review with the external auditors, the findings of their work, including, any major issues that arose during the course of the audit which have subsequently been resolved and those issues that have been left unresolved; key accounting and audit judgements; levels of errors identified during the audit, obtaining explanations from management and, where necessary the external auditors, as to why certain errors might remain unadjusted;
- to review and monitor the content of the external auditors' management letter, in order to assess whether it is based on a good understanding of the Academy's business and establish whether recommendations have been acted upon and, if not, the reasons why they have not been acted upon;
- to develop and recommend to the Finance & Operations Committee the Trust's policy in relation to the provision of non-audit services by the auditors and ensure that the provision of such services does not impair the external auditors' independence or objectivity.

### Reporting

- The Audit Committee shall annually review its terms of reference and its own effectiveness and recommend any necessary changes to the Board of Trustees.
- The Chair will report to the Board of Trustees on main decisions taken and any recommendations that the Board of Trustees needs to vote on.
- The Audit Committee shall prepare a report on its role and responsibilities and the actions it has taken to discharge those responsibilities for inclusion in the annual report and accounts. Such a report should specifically include a summary of the role of the Audit Committee and the way the Audit Committee discharges its responsibilities.
- If the Audit Committee and Finance and General Purposes) disagree about the appointment of external auditors both Committees shall, as soon as is practicable, report to the Board which will determine the matter. No change of auditors shall be allowed without a formal resolution of the Board of Trustees.
- Where disagreements between the Audit Committee and the Finance & Operations Committee cannot be resolved, the Audit Committee shall report the issue to the Board of Trustees as part of the report on its activities in the Trust's annual report.
- The Audit Committee Chairman or, if not available, a designated member, shall attend the Board of Trustees meeting at which the annual accounts are laid before it for approval and shall answer questions, through the Chairman of the Board of Trustees, on the Audit Committee's activities and their responsibilities.



## Annex 6 – Trust Working Groups



<p><b>Role/Purpose:</b></p> <p>The role of the English Curriculum Development group is to:</p>
<p>Objectives/Priorities:</p> <ul style="list-style-type: none"> <li>- Develop curriculum mapping (demonstrating skills, knowledge and understanding in relation to the new curriculum, creating a culture of high challenge and expectation)</li> <li>- Create an inspiring curriculum (that develops and sustains engagement for all groups of learners)</li> <li>- Ensure a smooth transition through all key stages (KS2 – KS5) (by sharing good practice and cross phase moderation)</li> </ul>
<p>Outcomes:</p> <ul style="list-style-type: none"> <li>- All academies/colleges participate and collaborate in the sharing of best practice across the Trust</li> <li>- All academies/colleges demonstrate a Trust vision to improve standards</li> <li>- Planned and improved staff CPD</li> <li>- Improved teaching profile</li> <li>- Sharing of best practice and inspiring/enrichment</li> </ul>
<p><b>Frequency of meetings:</b></p>
<p><b>Membership:</b></p> <p>Anna Steele (Lead)          Jay Davies          Alison Ellis          Mikaela Clews          Emma Pass</p>

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## Maths – Curriculum Development Group

### Objectives:

- Understand the different contexts and approaches within the Trust.
- Improve the transition between KS2 to KS5
- Curriculum mapping – including consistency and moderation of assessment
- Best Practices for raising attainment
- More Able programme
- Student attendance and engagement
- Numeracy across the Curriculum
- SKU acquisition escalator KS 1-5
- Smooth progression post 16
- Maths Mastery

### Expected Outcomes:

- Shared best practice
- Consistency of Trust approaches/standardisation
- Improved student outcomes
- Improved staff CPD.
- Improved teaching profile
- Capacity building talent
- Campaigns to ensure students enjoy Maths and make progress

### Frequency of meetings: Every Half Term

### Presentation on 1<sup>st</sup> July 2016

### Membership:

David Kelly (Lead)  
 Martin Newton  
 Guy Baxendale  
 Jakk Adams  
 James Williams

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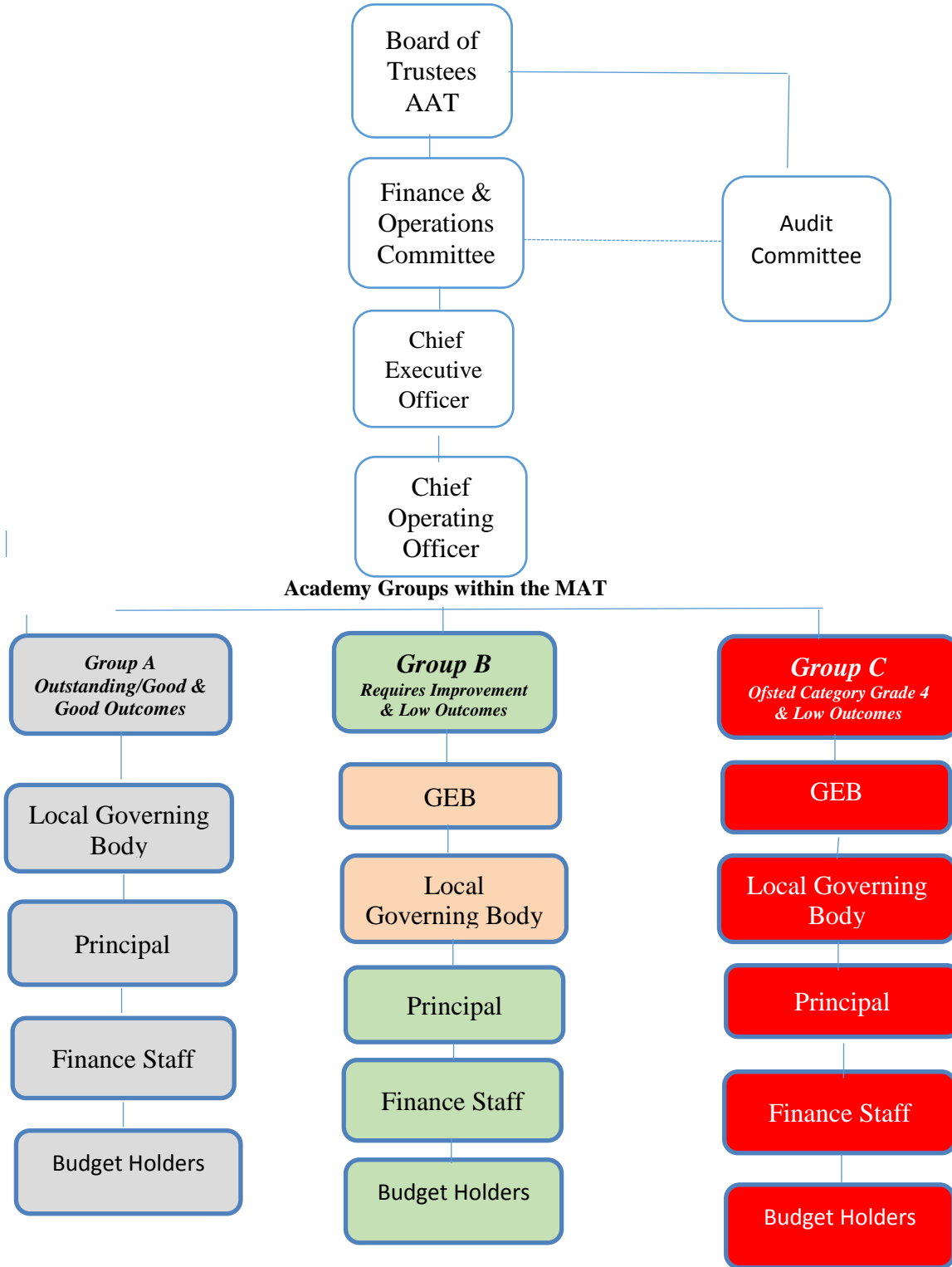
## TLA/Pedagogy Strategy Group

<p><b>Role/Purpose:</b></p> <p>The role of the TLA/Pedagogy Strategy group is to:</p> <p>with reference to the Growth Mindset.</p>
<p><b>Objectives/Priorities:</b></p> <ul style="list-style-type: none"> <li>- Over-arching strategy</li> <li>- SWANS Feedback</li> <li>- Assessment of Learning</li> <li>- Observations and sampling of learning consistency</li> </ul>
<p><b>Outcomes:</b></p> <ul style="list-style-type: none"> <li>- Shared best practice</li> <li>- Consistency of Trust approaches/standardisation</li> <li>- Improved student outcomes</li> <li>- Improved staff CPD, particularly for vocational tutors</li> <li>- Improved teaching profile</li> </ul>
<p><b>Frequency of meetings:</b></p>
<p><b>Membership:</b></p> <p>Alison Ellis (Lead)            Anna Steele            Mikaela Clews            Charlotte Bennett            Leanne Burton            Helen Byrne/Steph Kelly</p>

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## Annex 7- Details of Financial Scheme of Delegation

### Organisation of the Financial Structure within the Trust



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## **The Board of Trustees**

The Board of Trustees shall be responsible for:

### General

- Approval of a written Financial Delegation Policy detailing delegation of its financial powers and duties to its Finance & Operations Committee, the Chief Executive Officer (also acting as Accounting Officer for the Trust), the Chief Operating Officer (also acting as Principal Finance Officer), Local Governing Bodies as applicable and other staff. The scheme must satisfy the Trustees' ultimate responsibility for ensuring that there are adequate operational controls in place for all the financial processes within the Trust. The Financial Delegation Policy should be operated in conjunction with the Finance Regulations and any other financial policies or guidelines of the Trust and as required by:
  - The Funding Agreement
  - EFA guidance, i.e. Academies Financial Handbook, Accounts Direction and other as appropriate
  - All aspects of Charity and Company Law

*For the purposes of this policy, "Financial Regulations" includes all Trust, DFE, Charity and Company financial requirements or guidelines.*

### Budgets/Budgetary Control

- Formally approving the annual Trust budget at least two months prior to the start of each financial year.
- Considering budget reports and recommendations from the Finance and Operations Committee at every meeting, with relevant explanations and documentation where required.
- Retrospective authorisation of all virements between budget lines. Details of all virements approved and authorised by the Finance and Operations Committee (as per Financial Authorisations levels in Appendix A below) are to be formally notified to the Board of Trustees.
- Authorisation of proposed virements of budget allocations to Academies / the MAT.

### Purchasing

- Authorisation of the advertising of tenders as per Financial Authorisations levels in Appendix A below.

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- Authorising the award of such tenders is delegated to the Finance & Operations Committee, but tenders other than the most financially favourable, or late tenders, can only be accepted by the Board of Trustees who shall minute the reasons for their decision.

#### Income

- Authorisation of the write off of debts not collectable as per Financial Authorisations levels in Appendix A below.

#### Security of Assets

- Authorisation of the disposal of individual items of equipment and materials that have become surplus to requirements, unusable or obsolete with an original purchase value as per Financial Authorisations levels.

#### Accounts and Audit

- Receiving the reports and approving recommendations from the Audit Committee for action as appropriate in response to any internal audit findings.
- Receiving assurances from the Accounting Officer that there is compliance with the Handbook, Funding Agreement and all relevant aspects of Company and Charitable Law.
- Appointment of external auditors.
- Reviewing and approval of the audited financial statements prior to submission to the Secretary of State by 31 December or as otherwise advised.
- Receiving the reports of the external auditor and approving recommendations from the Audit Committee for action as appropriate in response to any external audit findings.
- Informing the EFA if it suspects any irregularity affecting resources.

#### ***Powers and Duties Delegated to the finance and operations Committee***

The Finance and Operations Committee shall be responsible for:

#### General

- Exercising the powers and duties of the Board of Trustees in respect of the financial administration of the Trust, except for those items specifically reserved for the Board of Trustees and those delegated to the Chief Executive Officer, the Chief Operating Officer, Local Governing Bodies and other staff.
- Reporting on decisions taken under delegated powers to the next meeting of the Board of Trustees.

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## Budgets/Budgetary Control

- To consider the Trust's indicative funding, notified annually by the DfE, in consultation with the Chief Executive Officer and Chief Operating Officer, in advance of the financial year, drawing any matters of significance or concern to the attention of the Board of Trustees.
- To contribute to the formulation of the Trust's development plan, through the consideration of financial priorities and proposals, in consultation with the Chief Executive Officer, with the stated and agreed aims and objectives of the Trust.
- To establish and maintain an up to date 3 year financial plan
- To receive and make recommendations on the broad budget headings and areas of expenditure to be adopted each year, including the level and use of any contingency fund or balances, ensuring the compatibility of all such proposals with the development priorities set out in the development plan.
- To consider and recommend acceptance/non-acceptance of the Trust's budget, at the start of each financial year.
- To liaise with and receive reports from other committees within the MAT as appropriate, and to make recommendations to those committees about the financial aspects of matters being considered by them.
- Receive reports of significant variations to the budget position and ensure that explanations are given and appropriate action taken.
- Reviewing the virement of sums between budget lines (as approved and authorised by the Chief Executive Officer and Chief Operating Officer in accordance with values as per Financial Authorisations levels in Appendix A) which are to be included in a Variance Analysis report submitted to Finance and Operations Committee.
- Approve and formally notify any proposed virements to budget lines to the Board of Trustees in accordance with values as per Financial Authorisations levels in Appendix A.
- Review any proposed virements to budget allocations to schools within the MAT and make recommendations to Board of Trustees.
- Reporting to the Board of Trustees all significant financial matters and any actual or potential overspending.
- To monitor expenditure of all other funds kept on behalf of the Trustees, or associated trading divisions under the control of the Trustees.
- To review at least annually policies on charging, remissions and expenses.
- Consider information from benchmarking exercises to seek to ensure best value.

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## Purchasing

- To make decisions in respect of service agreements in accordance with values as per Financial Authorisation limits in Appendix A.
- Maintenance of a Register of Business Interests for all Trustees, Governors and those Academy staff with financial responsibilities.
- Authorisation of the advertising of tenders in accordance with values as per Financial Authorisations levels in Appendix A, and authorising the award of such tenders (unless not being awarded to lowest cost – see Board of Trustees responsibilities).

## Insurances

- Ensuring that arrangements for insurance cover are in place and adequate.

## Security of Assets

- Ensuring that there are annual independent checks of assets and the asset register.
- Authorising the disposal of individual items of equipment and materials that have become surplus to requirements, unusable or obsolete with an original purchase value tenders in accordance with values as per Financial Authorisations levels in Appendix A and reporting such authorisations to the Board of Trustees.

## Personnel

- To approve and keep under review the staffing structure in consultation with the Chief Executive Officer and Chief Operating Officer.
- To oversee any process leading to staff reductions and restructuring.
- To ensure the Chief Executive Officer's Performance Management Group's recommendations are robust and to determine whether sufficient funds are available for pay progression.

## Accounts and Audit

- To recommend to the Board of Trustees the appointment or reappointment of the auditors of the Trust
- To monitor and review procedures for ensuring the effective implementation and operation of financial procedures, on a regular basis, including the implementation of bank account arrangements and, where appropriate to make recommendations for improvement.
- To monitor and review expenditure on a regular basis and ensure compliance with the overall financial plan for the Trust, and with the financial regulations of the DfE, drawing any matters of concern to the attention of the Board of Trustees.

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## **Financial Powers and Duties Delegated to the Chief Executive Officer**

The Chief Executive Officer, acting as the Accounting Officer for the Trust, has specific responsibilities which are detailed within the Academies Financial Handbook. In addition, they have delegated powers and functions in respect of internal organisation, management and control of the Trust and the implementation of all policies approved by the Board of Trustees. The Chief Executive Officer shall be responsible for:

### **Budgetary Control**

- Reviewing income and expenditure reports and highlighting actual or potential overspending to the Finance and Operations Committee.
- To facilitate the efficient day to day operation of the Trust, it is necessary to give delegated powers to the Chief Executive Officer to vire amounts between budget Lines. The Chief Executive Officer is therefore given delegated power to vire from one budget line to another in accordance with values as per Financial Authorisations levels in Appendix A and shall seek approval from the Finance and Operations Committee retrospectively.

### **Financial Management**

- Ensuring the arrangements for collection of income, ordering of goods and services, payments and security of assets are in accordance with the Financial Regulations.

### **Purchasing**

- In conjunction with the Chief Operating Officer, authorising orders and contracts as per Financial Authorisations levels in Appendix A.
- Ensuring that all contracts and agreements conform to the Financial Regulations.

### **Payroll and Personnel**

- Approving new staff appointments within the authorised establishment as per Scheme of Delegation.

### **Security of Assets**

- Ensuring that proper security is maintained at all times for all buildings, furniture, equipment, vehicles, stocks, stores, cash, information and records etc. under his/her control.

### **Accounts and Audit**

- The operation of financial processes within the Trust, ensuring that adequate operational controls are in place and that the principles of internal control are maintained.
- Ensuring that full, accurate and up to date records are maintained in order to provide financial and statistical information.
- Ensuring that all records and documents are available for audit by the appointed external auditors and any other approved bodies, eg. TPS, HMRC, internal auditors etc.

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## ***Financial Powers and Duties Delegated to the Chief Operating Officer***

The Chief Operating Officer, acting as the Principal Finance Officer for the Trust, has specific responsibilities which are detailed within the Academies Financial Handbook.

In addition, the Chief Operating Officer shall be responsible for:

### **Budgets/Budgetary Control**

- Preparing an annual draft budget plan for consideration by the Finance and Operations Committee and Board of Trustees before the start of the relevant financial year.
- Monthly monitoring of expenditure and income against the approved budget and submitting reports on the Trust's financial position to every meeting of the Finance and Operations Committee. Any actual or potential overspending shall be reported to the Committee.
- In conjunction with the Chief Executive Officer, approving virements between budget headings as per Financial Authorisations levels in Appendix A below, and reporting such virements to the Finance and Operations Committee.

### **Purchasing**

- Authorising orders and contracts in conjunction with Chief Executive Officer and Local Principals in accordance with Financial Authorisation levels in Appendix A.
- Maintaining a register of formal contracts entered into, to include amounts paid, certificates of completion or other information as relevant.
- Retention of 3 quotes obtained for goods, works and services in accordance with Financial Authorisation levels in Appendix A.
- Ensuring that all correct invoices are duly certified by authorised staff before payments are made and that invoices, vouchers and other records are retained and stored in a secure way and are readily available for inspection by authorised persons.
- Ensuring the appropriate division of duties between staff responsible for processing orders, receiving deliveries and processing payments.

### **Payroll and Personnel**

- Ensuring that any matters affecting payments to employees are processed promptly and efficiently.
- Ensuring that the monthly payroll is checked, and certifying it for payment.

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#### Income

- Ensuring that all income is accurately accounted for and is promptly collected and banked intact.

#### Banking Arrangements

- Maintaining proper records of account and reviewing monthly bank reconciliations.

#### Insurances

- Notifying the Finance and Operations Committee on any eventuality that could affect the Trust's insurance arrangements.

#### Security of Assets

- In conjunction with Local Finance Managers, Principals and Facilities/Support Managers are required to maintain a permanent and continuous register of all items of furniture, equipment, vehicles and plant annually on their site. The Asset Register should be reviewed for items requiring write offs or to be disposed of or the sale of unused items by the appropriate Line Manager or person of authorisation in line with the Scheme of Delegation. Any additions or changes to the school asset manager [S.A.M.] should be notified to the local finance managers/officers. Monthly checks will be carried out to ensure that they are recorded on the S.A.M. database.

#### Accounts and Audit

- In conjunction with external advisors, ensuring that the annual accounts are properly presented and adequately supported by the underlying books and records of the Trust.

#### ***Financial Powers and Duties Delegated to Others***

Members of staff with delegated responsibilities should be aware that these must be exercised in accordance with Financial Regulations.

The following responsibilities are delegated to other staff in addition to the Chief Executive Officer and Chief Operating Officer. In the event of the Chief Operating Officer's absence, for example due to illness, duties shall be delegated as follows: for each academy/studio college- the Principal and Executive Trust Business Manager; for overall Alpha Academies Trust areas-the Chief Executive Officer and Executive Trust Business Manager.

#### Budgets/Budgetary Control

- Budget Holders as published at the start of each academic year are responsible for regular checking of monthly statements of expenditure against their delegated budget and for reporting any errors or irregularities to the Chief Operating Officer.

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## Purchasing

- The following members of staff can authorise expenditure up to the values indicated provided it is within the scope and remaining balance of their delegated budget:
  - Budget Holders – up to the value as per Financial Authorisations levels in the Scheme of Delegation.
  - Administrators nominated by the Budget Holder – up to as per Financial Authorisations levels in the Scheme of Delegation.
- The following members of staff, in addition to the Chief Executive Officer and the Chief Operating Officer, are authorised to open tenders in the presence of another authorised person:
  - Trustees or Governors
  - Principals
  - Vice Principals or Assistant Principals
- The following members of staff are authorised to receive and check goods:
  - Budget Holders
  - Administrators nominated by the Budget Holder

## Payroll

- Budget Holders can authorise time records and authorise overtime within their delegated budget or if the additional hours have been pre-authorised by either the Chief Operating Officer or the Chief Executive Officer.

## Financial powers delegated to academies within the Trust

To recognise the variations in governance and financial structures and the skills base that may exist within academies that are part of the Trust, the delegation of local financial powers to each academy will take the form of one of the following:

- Group A – Academies that are rated Good or Outstanding by Ofsted and where there is evidence of strong controls historically and the academy is able to fully comply with operations and controls as per the Academies Financial Handbook.
- Group B – Academies that have been rated as Requires Improvement by Ofsted and where there is some historical evidence of good control, but the academy is unable to fully comply with the operations or controls as per the Academies Financial Handbook or does not have personnel (staff or Governor) with sufficient skills.
- Group C – Academies that have been rated as category Grade 4 by Ofsted and where there is insufficient evidence of strong financial controls, where the size of the Academy restricts their ability to operate strong controls or where there is a lack of skills or any other concerns.

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The Board of Trustees determines on an annual basis which delegation group each academy is in. It will take into account any recent Ofsted inspections, reports from the Audit Committee in relation to internal and external audits and recommendations from the Chief Executive Officer and Chief Operating Officer. Details of the delegated powers for these groups can be found in Appendix A.

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	AAT	Group A	Group B	Group C
<b>Financial Control and Budgets</b>				
Approving the Financial Regulations upon the recommendation of the Finance & Operations Committee	Board of Trustees			
Approving Trust: <ul style="list-style-type: none"> <li>• Charging and Remission Policy</li> <li>• Accounting Policies</li> <li>• Ethics Policy</li> <li>• Lettings Policy</li> </ul>	Finance & Operations Committee			
Approving the Trust's Treasury Management Policy upon recommendation from the Chief Executive Officer	Finance and Operations Committee			
The AAT Board formally approves the Annual Academies Budgets. The LGB reviews and recommends them to the Finance & Operations Committee prior to the start of each financial year.	AAT to approve all Trust budgets.  Finance & Operations Committee review and recommend all budgets for Trust.	Local Governing Body recommended their individual budget to Finance & Operations Committee		
Considering minutes or recommendations on budgetary control reports from the Finance & Operations Committee at every meeting, with relevant explanations and documentation where required.	Board of Trustees			
Considering management account reports from the Chief Operating Officer at every meeting, with relevant explanations and documentation where required, and reporting to the Board of Trustees	Finance and Operations Committee			

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	AAT	Group A	Group B	Group C
<p>Monitoring of income and expenditure, and ensuring or recommending corrective action where necessary – Including:</p> <ul style="list-style-type: none"> <li>Reviewing of significant variations to the budget and ensuring explanations are given and appropriate action taken.</li> <li>Review the virement of sums between budget lines, approving and notifying as per authorisation powers below.</li> </ul> <p>Information from Benchmarking exercises to seek to ensure best value</p>	Chief Executive Officer and Chief Operating Officer, reporting to the Finance & Operations Committee			
<p>Authorisation of proposed virements of budget allocations to academies within the Trust exceeding The Finance &amp; Operations Committee limit.</p>	Board of Trustees			
<p>Retrospective authorisation of all virements approved and authorised by the Finance and Operations Committee and notified to the Board of Trustees</p>	Board of Trustees			
<p>Authorisation of all virements, as per values advised, between budget headings. Details of all virements approved and authorised by the Principal are to be formally notified to the Local Governing Body</p>	Chief Executive Officer Up to £5,000	Principal Up to £5,000	Principal Up to £5,000	Principal Up to £2,000

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	<b>AAT</b>	<b>Group A</b>	<b>Group B</b>	<b>Group C</b>
Authorisation of all virements, as per values advised, between budget headings. Details of all virements approved and authorised by the Local Governing Bodies or the Chief Executive Officer and Chief Operating Officer are to be formally notified to the Finance and Operations Committee.	Chief Executive Officer and Chief Operating Officer £5,000 to £50,000	Local Governing Body £5,001 to £50,000	Local Governing Body £5,001 to £50,000	Local Governing Body £2,001 to £20,000
Approval of requests for remission or Financial Support	Chief Executive Officer and Chief Operating Officer £2,000	Principal £1,000	Principal £1,000	Principal £1,000
Authorising monthly salary payroll payments	Chief Operating Officer/ Executive Trust Business Manager	Chief Operating Officer/Principal/ Executive Trust Business Manager	Chief Operating Officer/Principal/ Executive Trust Business Manager	Chief Operating Officer/Principal/ Executive Trust Business Manager
Approval of Special Payments	Board of Trustees			

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	AAT	Group A	Group B	Group C
<b>Purchasing/Tendering</b>				
Authorising advertising of tenders and contracts above £100,001, and authorising the award of such tenders, upon recommendation by the Finance & Operations Committee to the Trust Board.	Board of Trustees			
Authorising the award of such tenders other than the most financially favourable or late tenders. Reasons for decisions must be minuted	Board of Trustees			
Authorising advertising and awarding of tenders and contracts up to £100,000 upon recommendation by the Local Governing Bodies / Chief Executive Officer	Finance & Operations Committee			
Authorising tenders and contracts as detailed upon recommendation by the Principal to the Local Governing Body.	Chief Executive Officer & Chief Operating Officer up to £50,000 (AAT)	LGB & Chief Operating Officer £15,001 to £50,000	LGB & Chief Operating Officer £10,001 to £50,000	LGB & Chief Operating Officer £5,001 to £30,000-
Ordering of goods and services/authorising tenders and contracts as detailed upon recommendation to the Local Governing Body.		Local Principal/ Chief Operating Officer Up to £15,000	Local Principal/ Chief Operating Officer Up to £10,000	Local Principal/ Chief Operating Officer Up to £5,000
Ordering of goods and services-budget holder (local scheme of delegation agreement in the Academy)		Budget Holder Up to £5,000	Budget Holder Up to £5,000	Budget Holder Up to £1,000

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	AAT	Group A	Group B	Group C
<b>Income</b>				
Approving any policies related to the generation of income that is not publicly funded, e.g. through fundraising, commercial activity, on the recommendation of Local Governing Body	Finance & Operations Committee			
Authorising the write off of debts not collectable, as advised, by the Principal reporting to the Local Governing Body		Principal Up to £3,000	Principal Up to £1,000	Principal Up to £1,000
Authorising the write off of debts not collectable as advised, by the Local Governing Body, reporting to the Finance and Operations Committee.		Local Governing Body £3,001 to £5,000	Local Governing Body £1,001 to £3,000	Local Governing Body £1,001 to £2,000
Authorising the write off of debts not collectable up to £1,000		Principal/Chief Operating Officer	Principal/Chief Operating Officer	Principal/Chief Operating Officer
Authorising the write off of debts not collectable up to £20,000, upon recommendation by the Local Governing Body	Finance and Operations Committee			
Subject to EFA approval (refer to EFA guidelines), authorising the write off of debts not collectable over £20,000	Board of Trustees EFA			
<b>Accounts and Audit</b>				
Approving the appointment of external auditors, upon recommendation by the Audit Committee.	Board of Trustees			
Approving the audited financial statements, following scrutiny by Finance and Operations Committee prior to submission to the Secretary of State by 31 December.	Board of Trustees			

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	AAT	Group A	Group B	Group C
Receiving the reports of the external auditor.	Board of Trustees / Audit Committee	Local Governing Body	Local Governing Body	Local Governing Body
Approving recommendations from the Audit Committee for action as appropriate in response to any external or internal audit findings	Board of Trustees			
Appointing the internal auditor, where the Board agrees that such an appointment should be made, upon the recommendation of the Audit Committee.	Board of Trustees			
Receiving the reports of the internal auditor or responsible officer.	Board of Trustees / Audit Committee			
Approving the Trust's Anti-Fraud and Corruption Policy	Audit Committee			
Ensuring that the Trust's Fraud policies and procedures are implemented including investigating irregularities where a Principal is suspected.	Board of Trustees	Local Governing Body	Local Governing Body	Local Governing Body
Informing the Department if the Board suspects any irregularity affecting resources.	Board of Trustees			
<b>Assets, Property and Estates</b>				
Approving the Academy's Estate/Assets Strategy, upon recommendation by the Principal, reporting to the Finance & Operations Committee		Local Governing Body	Local Governing Body	Local Governing Body
Authorising the disposal of any equipment asset or property that has become surplus to requirements, unusable or obsolete with an original purchase value in excess of amounts advised, upon the recommendation of an Academy Local Governing Body. Reporting to Board of Trustees. (refer to the EFA guidelines * for approval)	Finance & Operations Committee up to £100,001 with EFA approval			

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	AAT	Group A	Group B	Group C
Authorising the disposal of any equipment asset or property that has become surplus to requirements, unusable or obsolete with an original purchase value, as advised, upon recommendation of the Principal. Reporting to the Local Governing Body.	-	Local Governing Body £3,001 to £20,001	Local Governing Body £2,001 to £20,001	Local Governing Body £1,501 to £10,000
Authorising the disposal of any equipment asset or property that has become surplus to requirements, unusable or obsolete with an original purchase value as advised. Reporting to Local Governing Body is not required.	-	Principal/Chief Operating Officer Up to £3,000	Principal/Chief Operating Officer Up to £2,000	Principal/Chief Operating Officer Up to £1,500
Ensuring that there are annual checks of assets and the asset register and reporting on such to the Governing Body / Finance & Operations Committee	Chief Operating Officer	Principal	Principal	Principal
Ensuring that arrangements for insurance cover are in place and adequate	Finance and Operations Committee			
Loan of assets to members of staff	Chief Executive Officer or Chief Operating Officer in line with Academy policy			
<b>Human Resources/Related Policies</b>	All appointment panels must consist of one member who has undertaken Safer Recruitment training			
	AAT	Group A	Group B	Group C
The discipline, suspension and dismissal of a Principal based on recommendation of the Local Governing Body/Chief Executive Officer	Board of Trustees			
The appointment of Vice Principals and Assistant Principals upon the recommendation of the Chief Executive Officer / Principal and the Local Governing Body	Board of Trustees			

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	AAT	Group A	Group B	Group C
The approval of performance management for pay progression for the Chief Executive Officer is on recommendation of the AAT Board Chair	Board of Trustees			
The approval of performance management for pay progression for the Chief Operating Officer is on recommendation of the Chief Executive Officer	Chief Executive Officer			
The approval of performance management for pay progression for the Principals is on the recommendation of the Chief Executive Officer /SIP	Board of Trustees (Any Appeals would be heard by a Special Committee drawn from Governors across the Trust)			
Any appeals for the approvals of performance management for pay progression	Board of Trustees			
The approval of performance management for pay progression for the Senior Leadership Team/teachers in an Academy is on recommendation of the Academy Principal to the Chief Executive	Local Governing Body			
Any appeals for the approval of performance management for pay progression for the Senior Leadership Team/teachers	Board of Trustees			
The appointment, appraisal, discipline, suspension and dismissal of all other staff	Chief Executive Officer	Local Principal (In line with HR Policy)	Local Principal (In line with HR Policy)	Local Principal (In line with HR Policy)
The appraisal of the members of the Senior Leadership Team is on recommendation of the Principal to the Chief Executive Officer	Finance & Operations Committee			
Approving the policies and procedures for managing the performance of all staff upon recommendation by the Finance and Operations Committee/Local Governing Bodies	Board of Trustees			
Approving and applying the rules specifying the procedures to be followed in exercising the powers and duties relating to the suspension, discipline and dismissal of staff upon recommendation by the Finance & Operation Committee/Local Governing Body	Board of Trustees			

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	AAT	Group A	Group B	Group C
Approving the staffing structure for the Trust as recommended by the Chief Executive Officer after consultation with local Principals and Governing Bodies	Board of Trustees			
Compromise agreements in line with contract termination upon recommendation by Chief Executive Officer or Chief Operating Officer	AAT Chair/Chief Executive Officer	Chair of Local Governing Body	Chair of Local Governing Body	Chair of Local Governing Body
Acting up payments (Additional payments)	Chief Executive Officer/ Chief Operating Officer	Principal/ Chief Operating Officer	Principal/ Chief Operating Officer	Principal/ Chief Operating Officer

**Other Delegated Duties:**

Delegated Duty	Delegated Authority	Comment
Capital Programme	AAT	Proposed capital programmes need to be submitted by June each year with the approval of the Chief Operating Officer/ Principal/ Chief Executive Officer.
Capital Programme Contract Variations	Academy Local Governing Body if within agreed programme budget/ contingency AAT if exceeding agreed programme budget/contingency	It is suggested that a 15% contingency is built into all programmes to allow for some local contract variation during the programme.
Health & Safety	AAT	It is the responsibility of the AAT to ensure that health & safety laws are adhered to and the appropriate health & safety certificates are in place. The operational compliance of this function will be delegated on a day to day basis to the Chief Operating Officer and their team.

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Delegated Duty	Delegated Authority	Comment
Income Generation	Local Governing Body	Any income generated belongs to each individual Academy for them to invest in the future learning of students.
Insurance	AAT	AAT will use its purchasing power to ensure that all Academies receive best value and value for money with their insurance.
Investments	AAT	AAT currently invests any surplus monies on behalf of each Academy in high interest accounts. All interest generated from such investments reverts back to the individual Academy.
Permanent Exclusions	Principal and Academy LGB	All Academies will follow Local Authority procedures for permanent exclusions and independent permanent exclusions appeals.
Private Finance Initiative (PFI)	AAT	Where capital projects are approved within PFI buildings the Chief Operating Officer must be satisfied that appropriate procurement has taken place.
Service Level Agreements / Contracts	AAT/ Chief Executive Officer / Chief Operating Officer	Depending on the context of each Academy, each Academy may have different SLAs/ Contracts in place. The AAT will negotiate new SLAs/Contracts
Safeguarding	AAT	AAT will, in respect of each Academy, act in accordance with, and be bound by, all relevant statutory and regulatory provisions for safeguarding. All Academies will follow AAT policy on safeguarding (the same staff identification scheme will operate in all Academies).

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## Powers and Duties of Local Governing Bodies and Principals

The delegation of local financial powers above to each academy is based on the following:

- Group A – where there is evidence of strong controls historically and the academy is able to fully comply with operations and controls as per the Academies Financial Handbook. It is likely that these academies will be rated Good or Outstanding by Ofsted.
- Group B – where there is some historical evidence of good control, but the academy is unable to fully comply with the operations or controls as per the Academies Financial Handbook, due to being new to the MAT or does not have personnel (staff or governors) with sufficient skills. It may also apply to academies that have been rated as Requires Improvement by Ofsted.
- Group C – where there is insufficient evidence of strong financial controls, where the size of the Academy restricts their ability to operate strong controls, where there is a lack of skills or any other concerns. It may also apply to academies that have been rated as unsatisfactory by Ofsted.

The Board of Trustees determines on an annual basis which delegation group each academy is in. It will take into account any recent Ofsted inspections, reports from the Audit Committee in relation to internal and external audits and recommendations from the Chief Executive Officer and Chief Operating Officer.

After taking into account the recent Ofsted reports and the financial reports / performance it is proposed that on approval of this policy that all Academies are treated as Group A for delegated authority purposes.

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Delegated Duty	Value	Delegated Authority
Ordering of Goods & Services/ Tendering Requirements	Up to £5,000	No tendering required but value for money must be achieved Budget holders according to agreed budget value Limits are subject to A, B, C groups according to Chief Operating Officer and Chief Executive Officer review of operational risk
	£5,001 to £29,999	A minimum of 3 written price quotations, exceptions being utilisation of factoring agency, use of AAT board approved supplier, prescribed alternative provision. 3 quotes do not need to be obtained if the goods/services are supplied by a supplier on the annual AAT board approved supplier list.
	£30,000 to £164,176	Abbreviated tendering procedure.
	Over £164,176	Full tendering procedure / OJEU
Opening of Tenders	Any	Two from: - Chief Executive Officer - Chief Operating Officer - Trustees or Governors - Vice Principals or Assistant Principals
Receive and check Goods	Any	- Budget holder - Receptionist - Facilities Team - Finance Officer
Signatories for cheques, BACS payment authorisations and other bank transfers including salary payments	Any in line with Bank Mandate	Two signatories from: - Chief Executive Officer - Academy Principal - Vice Principal - Chief Operating Officer - Executive Trust Business Manager - Assistant Principal - Nominated Governor
	Up to £10,000 A or B	
	Over £10,000 A & B	

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Delegated Duty	Value	Delegated Authority
Opening new Bank Accounts		Chair of the Board of Trustees / Accounting Officer/ Chief Executive Officer/Chief Operating Officer
Signatories for DfE grant claims and DfE returns	Any	Two signatories (or as required by DfE) from: - Chair of the Trust - Chief Executive Officer/Accounting Officer - Chief Operating Officer - Principal - Vice Principal
Purchase or sale of any freehold property	any	Trust + *EFA approval

Granting or take up of any leasehold or tenancy agreement exceeding three years	Any	The Trust + *EFA approval	
Supplementary Development Projects	Any – provided no increase in the Trust’s net Expenditure	Chief Executive Officer	
	Up to £50,000	Chief Executive Officer and Chief Operating Officer	
	£50,001 to £200,000	Chief Executive Officer and Chair of Finance and Operations Committee	
	Over £200,000	Finance and Operations Committee or Trust Board	
Raising invoices to collect income	< £15,000	0	Senior Finance Manager.
	£15,001 to £50,000	< £10,000	Principal or Trustee / Executive Trust Business Manager
	£50,001 to £100,000	£10,001 to £50,000	Local Governing Body or Chief Executive Officer and Chief Operating Officer
	Over £100,000	> £50,001	Finance & Operations Committee

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