



# AURORA ACADEMIES TRUST

# SCHEME OF DELEGATION

# 2018

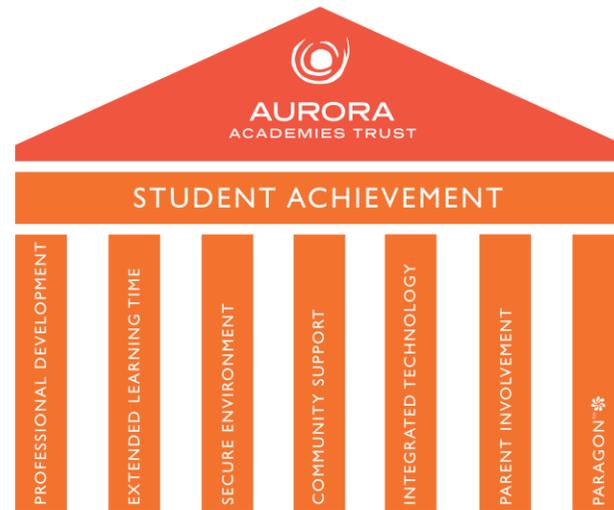
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## AURORA ACADEMIES TRUST SCHEME OF DELEGATION - INTRODUCTION

This document sets out how decision-making is distributed within AURORA ACADEMIES TRUST (AAT). The principles of delegation are first and foremost underpinned by the values of the Trust which are that:

- Aurora academies are '**inclusive**' institutions - welcoming and including the community, families and local businesses. Aurora academies have open admission policies that give equal chances of a place to all children, irrespective of background or prior attainment.
- AAT has the **highest expectations** for every student or pupil. Academies in the Trust are expected to tailor and provide support which enables every student or pupil to achieve their full potential.
- AAT values its staff and guarantees that CPD and training will be available to all so that children and young people benefit from **world class teaching and learning**.
- AAT's **Vision and Values** are best described by our 8 '**Aurora Pillars**'. The most important of these is **Student Achievement** and this pillar is underpinned by the other seven. **Paragon** is our humanities-based curriculum that is studied in all of our schools and as such it is a non-negotiable part of being a school within Aurora Academies Trust

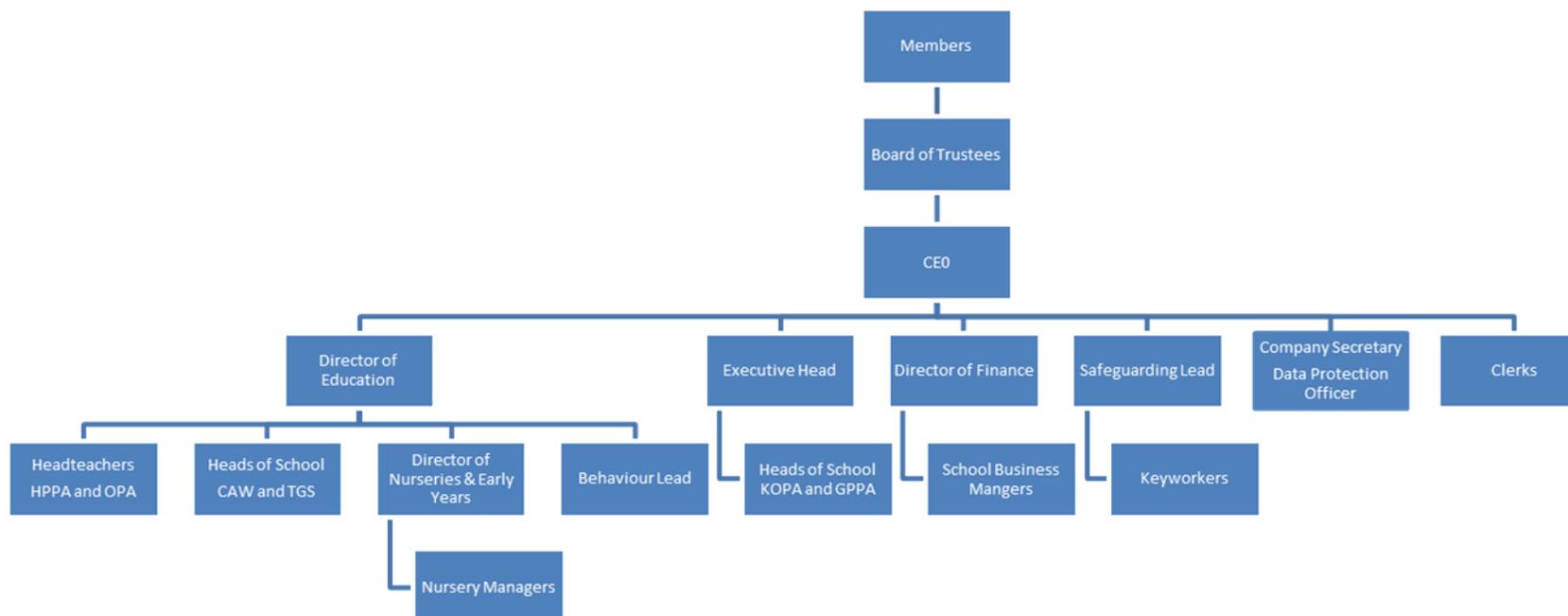


## PRINCIPLES OF AURORA'S SCHEME OF DELEGATION

- The Trustees are agreed that accountability to Parliament and the Secretary of State and their officers remains with them and so power and decision-making rests in the main at Board level in order to leave academies, their senior leaders and local governance through Local Academy Boards (LABs) to focus on raising the standards of teaching and learning and pupil outcomes.
- Wherever possible, powers and decision-making are delegated to those who know best how to meet the needs of their pupils and students, and how best to engage their local communities.
- Policies will be formulated at Trust level but they will be managed and delivered by Local Academy Boards (LABs). Some policies may set out the broad framework for decision-making – for example, the Trust Behaviour policy starts with delivery of AAT's vision and values but will develop into a locally determined policy which covers the particular circumstances, ethos and communities served by an academy. On the other hand, administrative policies – like the Staffing and HR policy will need to be agreed at Trust level with clear instructions and decision points for Headteachers/Heads of School and LABs to follow.

## Aurora Academies Trust Organisational Chart

This chart outlines the hierarchy within the Trust and shows the lines of accountability for its executive officers, centrally appointed staff and senior academy leaders. All other employees are accountable to Headteachers/Heads of School at the academy in which they work.



Within this framework the Trust will:

- Set the strategic direction and determine the vision for the Trust
- Appoint the Trust Executive leaders and the Headteachers at all academies and be responsible for their performance management  
There is a separate remunerations Committee consisting of three Trustees that meets to determine targets and makes recommendations to the main Trust Board for the pay and performance review of the CEO. Members of the Executive team are performance managed by the CEO and the CEO makes any recommendations for their pay progression to the Trust's FA&HR Sub-Committee. The Director of Education and other Exec Leaders (including the CEO) are responsible for performance management of the Headteachers and Heads of School and any pay progression recommendations are made to the CEO.
- Appoint the Chair of each LAB
- Set the budgets for each school and for the Trust
- Be responsible for the deployment of the Trust's resources including human, ICT and estates/buildings
- Procure cross-Trust services e.g. Payroll/HR/Catering etc. to ensure best value
- Ensure that the *Paragon* curriculum is delivered at each academy
- Set annual targets for academic attainment & progress at each academy (schools will contribute to the process)
- Collect data six times per year in order to monitor standards
- Carry out regular monitoring and review at each academy including termly CEO Checklist Meetings & visits, biennial Peer Reviews\* and regular Learning Walks (\* Peer reviews may be more regular if standards are deemed by the Trust to have dipped unacceptably)
- Review the curriculum so as to share best practice
- Provide regular and high quality professional development of its staff especially through Aurora's Global Leadership Institute (GLI)

Individual academies will be responsible for the implementation of the Trust's policies and for appointing staff up to SLT level to ensure that the curriculum can be delivered effectively and that pupil outcomes continue to rise. Aurora's default position is for collaboration and joint working with, and between, its academies. There is a great deal of autonomy given to individual academies to innovate and to be creative. It is envisaged that best practice will emerge from this spirit of collaboration (e.g. the use of *Accelerated Reader*)

## **CIRCUMSTANCES UNDER WHICH THE SCHEME OF DELEGATION MAY BE WITHDRAWN**

If special circumstances\* exist (\*as deemed by the Trust) the powers and decision-making delegated to individual academies within this scheme could be modified or withdrawn completely. Such circumstances might include where:

- there are concerns about financial matters and management including setting deficit budgets or forecasting deficit budgets;
- insufficient progress is being made against the educational targets set by the Trust (including where intervention by Ofsted, the Secretary of State or the Regional Schools Commissioner is being considered or carried out);
- there has been a breakdown in the way the academy is managed or governed; or
- Safeguarding is ineffective and/or the safety of pupils or staff is threatened, including a breakdown of discipline.

## **LINES OF ACCOUNTABILITY AND CHANNELS OF COMMUNICATION**

The Trust Board is responsible for ensuring that there is clarity about lines of accountability and that communication with all stakeholders is timely and two-way. The Board sets the strategic vision and direction for the Trust and commissions Trust resources as it deems appropriate in order to meet its strategic objectives. The Board delegates the day-to-day running of the Trust to the CEO and the Executive Team and it directly holds the CEO to account for overall Trust performance, which includes both educational and financial parameters. The CEO or another appointed Executive Team member chairs the AAT Headteachers' Forum that meets on a fortnightly basis to provide a regular channel of two-way communication with the schools. The Director of Education is responsible for the standards of teaching and learning within the Trust's schools and the Financial Director maintains a regular check on Trust Financial procedures and fiscal health and premises stock by overseeing the work of the Business, Finance and Premises teams in each of the Trust's schools. The Trust Financial Director is further held to account by the Trust's Finance, Audit and HR Committee that meets on a termly basis to review the Trust's financial performance. There are three colleagues who make up the Trust's Central Team and who operate across the Trust. These roles are the Trust Safeguarding, Attendance and Training Manager; the Trust Director for Early Years and; the Trust Lead for Behaviour, Nurture and Mental Health & Wellbeing. School leaders have regular access to the Trust's Executive and Central Teams via weekly informal meetings and termly formal meetings in which they are held to account e.g. the CEO Checklist meetings, which are jointly run by the CEO and the Chair of each LAB, in order to make lines of accountability more streamlined and efficient. LAB meetings and the Regional Standards Councils provide additional

opportunities for two way communication between the Trust Board and its schools. The Trust's GLI programme also provides an effective channel for communication for all stakeholders.

## **ASSESSMENT AND TARGET SETTING**

- To make delegation effective, the Trust has established protocols around systems and ways of working which apply across AAT. For example, there is a common system of assessment (*STAR Assessment*) so that LABs can successfully benchmark themselves against other schools in the Trust; and the board of Trustees can compare and contrast the performance of different schools within the Trust to identify where exceptional practice and/or underperformance exists. The CEO and Director of Education will set the annual targets for attainment and progress at each academy in consultation with academy senior leaders.
- The Regional Schools Councils (RSCs) have devised a set of Trust-wide KPIs that are interrogated at each RSC meeting. The main Trust Board receives an executive summary of a smaller number of KPIs through the CEO reports
- The Board of Trustees is keen to measure and take into account pupil, parent and staff voice so that they can assess whether pupils, parents and employees are satisfied that their needs are being met. It is important that there is an appropriate methodology of evaluating satisfaction of all stakeholders within the Trust.

## **DATA COLLECTION**

- The Trust recognises the burden that data collection and reporting can have on front-line staff and the potential for a negative impact on teaching and learning. Trustees and the Trust Executive Team commit to the principle of 'collect once - use many times'. The CEO will be accountable to the Trust Board to ensure that this is delivered.

## **AVOIDING DUPLICATION**

- The next section on roles and responsibilities sets out clearly what tasks are involved in the governance of the Trust and who takes responsibility for decision-making and delivery. These are: the AAT Members; the AAT Board of Trustees and any Sub-Committee(s); the Trust Executive Team (consisting of the CEO, Director of Education, Financial Director and other Executive leaders); the Regional Schools Councils; each academy's LAB and; each academy's Headteacher/Head of School.
- The underpinning principle here is that there should be no duplication of governance to ensure effective and efficient decision-making.

## **REVIEW**

- This scheme of delegation will be reviewed annually in the Autumn Term by the Board of Trustees following a full consultation with staff, RSCs and LABs.

## GOVERNANCE ROLES AND RESPONSIBILITY MATRIX

Members	Trustees	Finance, Audit and HR Sub-Committee	CEO (inc. Executive Team)	Regional Schools Council (RSC)	Local Academy Board (LAB)	Executive Headteacher, Headteacher, Head of School
<p>To appoint trustees in accordance with the Articles of Association</p> <p>To remove trustees in accordance with the Articles of Association and company law</p> <p>To amend the articles of association</p> <p>To receive (but not approve) the annual report and accounts</p>	<p>To set the terms of Reference of sub-committees</p> <p>To set the terms of reference of the RSC and the LABs</p> <p>To determine the educational character, vision, values, mission and ethos of the Trust</p> <p>To appoint the CEO</p> <p>To appoint members of the Executive Team</p> <p>To ratify the appointment of Headteachers</p> <p>To appoint a Company Secretary</p> <p>To appoint a Clerk to</p>	<p>To agree the annual Trust and academy budgets prior to the beginning of the financial year which will be recommended to the Trust board for approval.</p> <p>To monitor and review the finances of the Trust and to comment on how this may affect the development of the Trust and the strategic plan.</p> <p>To prepare the audited financial report for approval of the Trust board and submission in accordance with the Companies Act / EFA (Education Funding Agency).</p>	<p>To attend meetings of the Trustees and to provide a CEO's report for each meeting</p> <p>To oversee the standard of T&amp;L in all of the Trust's academies/schools and its impact on performance</p> <p>To support the appointment process for the Company Secretary and the Clerk</p> <p>To secure professional advice on behalf of the Trustees as may be requested</p> <p>To support the</p>	<p>To oversee the standard of T&amp;L in the region and its impact on performance</p>	<p>To champion the AAT vision and values in the academy and to ensure the academic &amp; spiritual wellbeing of the pupils</p> <p>To oversee the standard of T&amp;L in the academy and its impact on performance</p> <p>To ensure that the academy has a medium to long-term vision for its future and that there is a robust strategy in place for achieving its vision</p> <p>To appoint (and remove) from its number, members with specific responsibilities for safeguarding and for SEND pupils/pupil premium/vulnerable groups</p>	<p>To implement the educational character, mission or ethos of a particular academy (to the extent that it is not inconsistent with that of the Trust) as determined by the Trust Board</p> <p>To attend meetings of the LAB and to provide a Headteacher's report</p> <p>To support the appointment process for the Clerk</p> <p>To tailor Trust-wide policies to academies as recommended by the Executive Team</p>

	<p>the Trustees</p> <p>To ratify the appointment of the Chairs of each LAB (Trust Chair plus CEO).</p> <p>To review and amend the policies of the Academy Trust</p>	<p>To review the risks to internal financial control</p> <p>To inform the governance statement that accompanies the trust's annual accounts</p> <p>To provide assurance to the external auditors</p>	<p>Trustees and the academies in the preparation of Trust-wide and academy specific policy requirements</p> <p>To recommend appointments at Headteacher Level and above to the Trust Board</p> <p>To appoint Central Team members and Heads of School, and to oversee all other SLT posts</p> <p>To assist the Trust Chair in the appointment of Chairs of LABs</p>		<p>To appoint a Clerk to the LAB</p> <p>To review and amend the policies of the academies (in line with any Trust prescribed policy)</p> <p>To implement a means whereby the Academy can receive and react to pupil, parent and staff feedback</p> <p>To establish and maintain a relationship with members of the local community</p>	
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The Trust Scheme of Delegation is based on the principle that whilst the Trust Board is ultimately responsible for the operation of the Trust, most decisions are best made by those responsible for ensuring that the needs of all pupils are best met.

The Trust has delegated certain financial responsibilities to the Trust Finance and Audit Committee but not to the Regional Standards Councils (RSC) or Local Academy Boards (LABS). The Trust wants the RSC's and LAB's to be aware of and monitor the financial position of each school in order to support their decision making but requires these bodies to focus on improving teaching and learning standards and maximising pupil progress and attainment and not to be side-tracked by the operational details of each school in the Trust.

The Scheme is structured to reflect the lines of responsibility between the Chief Executive Officer, the Director of Education, Executive Headteacher/Headteacher/Head of School, the Trust Financial Director and each academy's Business/Finance Manager.

In terms of policies, there will be Trust policies in place that are applicable across the Trust, whether statutory or operational, supported by separate academy policies and procedures to meet local operational requirements. These policies are separately recorded and maintained by the Clerk to the Trust Board, together with their renewal dates.

Area of Responsibility	Level of Responsibility					
	Trust Board	Finance and Audit/HR Committee	CEO	Director of Education	Financial Director	Other
<b>Financial Management</b>						
Ensure the Trust's continuing compliance with Academies Financial Handbook	✓	✓	✓		✓	Headteachers, Business Managers and LABs to be aware of its content
To review the Trust's Financial Procedures Manual and all corresponding financial policies for approval by the Trust board biennially		✓				
Approval of the Trust's Financial Procedures Manual	✓					
Ensure that all relevant financial updates are brought to the attention of the Finance Committee / Trust board					✓	
To consider all relevant financial updates and advise the Trust board of any issues affecting the Trust's financial administration		✓			✓	
<b>Three year financial planning</b>						
Prepare a three-year consolidated budget for the Trust					✓	Headteachers, Business Managers and LABs to be aware of its content
Consider the Trust 3-year consolidated budget		✓				

Area of Responsibility	Trust Board	Finance and Audit/HR Committee	CEO	Director of Education	Financial Director	Other
Approve the 3-year consolidated budget and review this document in the light of any significant factors that come to the attention of the Trust Board.	✓					
<b>Annual financial planning</b>						
Undertake benchmarking exercises on an annual basis for review by the Finance Committee					✓	Headteachers, Business Managers and LABs to be aware of its content
Consider the benchmarking work undertaken by the Trust and propose changes, as required, to ensure that the Trust budget achieves value for money.		✓				
Prepare the draft academy budgets based on the agreed objectives of the Trust as set out in the strategic plan, the academy improvement plans and Trust three year plan					✓	Headteachers and Business/Finance Managers
Consider the draft Trust and academy budgets		✓				Headteachers, Business Managers and LABs to be aware of its content and assumptions used
Approve the Trust and academy budgets	✓					
Prepare a timetable with key dates for annual budget management					✓	
Ensure that meetings are timetabled taking			✓			

into consideration financial deadlines.						
<b>Area of Responsibility</b>	<b>Trust Board</b>	<b>Finance and Audit/HR Committee</b>	<b>CEO</b>	<b>Director of Education</b>	<b>Financial Director</b>	<b>Other</b>
<b>Monthly financial reporting</b>						
Prepare monthly management accounts for the Trust and academies showing expenditure against budget					✓	Business/Finance Managers
Review the monthly management accounts and any projected surplus or deficit.		✓				Trust Executive Team and Headteachers.
<b>Budget Monitoring and Control</b>						
Monitor and control expenditure against the budget during the financial year.			✓ (central budget)		✓ (all budgets)	Trust Executive Team, Headteachers, Head of School, Business/Finance Managers (school budgets). LABs to be made aware of a summary of the school financial position
Withdraw Scheme of Delegation in the event of projected in year and/or cumulative deficits at any individual school/central office	✓					
Ensure that any trading activities are separately monitored and reported to the Trust Board.					✓	
<b>Financial Reporting to the Education &amp; Skills Funding Agency</b>						
The preparation of the annual financial statements and other financial returns required					✓	

by the ESFA, including the annual Budget Forecast Return.						
<b>Area of Responsibility</b>	<b>Trust Board</b>	<b>Finance and Audit/HR Committee</b>	<b>CEO</b>	<b>Director of Education</b>	<b>Financial Director</b>	<b>Other</b>
The preparation of other returns required by Companies House	✓					Company Secretary
Approve the audited annual financial statements and any financial returns required by the ESFA	✓					
<b>Audit Reports</b>						
Produce a formal response to the annual financial statements management report and Responsible Officer audit reports, together with an action plan showing how the recommendations will be implemented.					✓	
Consider the recommendations set out in any auditor's report and the action plan proposed by the Finance Director for implementing these.		✓				
Ensure that the recommendations agreed by the Trust have been implemented.		✓	✓		✓	
<b>Retention and Disposal of Accounting Records</b>						
Ensure maintenance of complete financial accounts and full supporting records for all accounts					✓	Business/Finance Managers
The retention, secure storage and disposal of accounting records in accordance with both legal and EFA requirements.					✓	Business/Finance Managers
The maintenance of full financial records for all					✓	Business/Finance

accounts.						Managers
<b>Area of Responsibility</b>	<b>Trust Board</b>	<b>Finance and Audit/HR Committee</b>	<b>CEO</b>	<b>Director of Education</b>	<b>Financial Director</b>	<b>Other</b>
<b>Financial Systems</b>						
Undertake an annual review of the controls within the Trust's financial systems					✓	Trust Executive team
<b>Banking Arrangements</b>						
The signing of cheques or authorisation of BACS payments (two signatories always required) <i>NB the cheque/BACS signatory must have no connection to the cheque/BACS payee</i>			✓	✓	✓	, Headteachers, Head of School, Business/Finance Managers
Use of Trust corporate cards for purchasing goods up to the card limit of up to £2,000 per month			✓			Headteachers, Head of School and Business/Finance Managers. Monthly statements to be authorised by a Director of Education/Executive Headteacher
The control and reconciliation of the academy bank accounts for consideration by the Finance Director					✓	Business/Finance Managers
Approve the bank reconciliation on a monthly basis.					✓	Headteacher, Head of School
<b>Petty Cash</b>						
Agree an appropriate amount of petty cash to be held and the periodic check of completeness of financial records					✓	Business/Finance Managers
The maintenance of accounting records, the					✓	Business/Finance

security and regular reconciliation of petty cash.						Managers. Headteacher/Head of School to evidence their review and approval of the monthly reconciliation and supporting receipts
<b>Area of Responsibility</b>	<b>Trust Board</b>	<b>Finance and Audit/HR Committee</b>	<b>CEO</b>	<b>Director of Education</b>	<b>Financial Director</b>	<b>Other</b>
<b>Staffing, HR and Payroll</b>						
Adopt Trust-wide policies and procedures	✓					
Appoint an FA&HR Committee	✓					
Review and approve the staff structure of the Trust and academies annually, as supported by the approved annual budget	✓					
Appoint, suspend and/or dismiss the CEO as appropriate acting through a committee	✓					
Conduct the performance management review of the CEO (acting through the Remuneration Committee)	✓					
Appoint, suspend and/or dismiss as appropriate members of the Executive Team (other than the CEO) acting through a Committee and in consultation with the CEO	✓		✓			
Conduct the performance management review of members of the Executive Team and make pay recommendations to the Remuneration Committee			✓			
Appoint, suspend and/or dismiss the Company	✓					

Secretary and Clerk						
Conduct the performance management review of the Company Secretary and Clerk	✓					
<b>Area of Responsibility</b>	<b>Trust Board</b>	<b>Finance and Audit/HR Committee</b>	<b>CEO</b>	<b>Director of Education</b>	<b>Financial Director</b>	<b>Other</b>
Appointment of academy senior leadership team members	✓ CEO and Exec Team Ratify all HT appointments	✓ FD appointments	✓ HTs HOS DHTs AHTs	✓ HTs HOS DHTs AHTs	✓ BM/Bursars	Trust Board appoints CEO and Exec Team plus ratifies Headteacher appointments  CEO, DofE and Exec HTs appoint HOS, DHTs & AHTs  Exec HTs, HOS and Director of Finance for Business Manager/Bursar appointments
Convene a recruitment panel to recruit a Headteacher (acting with the delegated authority of the Board of Trustees) and to contribute to the performance management of Headteachers/Heads of School	✓		✓	✓		Director of Education and LAB Chairs to support the process
Advise Trustees where staffing resources may be needed in order to positively impact upon standards of T&L and pupil outcomes			✓	✓		Chair of each RSC
Ensure that the Trust's HR policies are implemented at academy level					✓	LAB Chairs

Where necessary set up an appeals panel for any dismissals carried out by the HT/HOS						LAB Chairs
<b>Area of Responsibility</b>	<b>Trust Board</b>	<b>Finance and Audit/HR Committee</b>	<b>CEO</b>	<b>Director of Education</b>	<b>Financial Director</b>	<b>Other</b>
Approval of performance related pay policy	✓					
Appoint, suspend and/or dismiss as appropriate all main scale teaching and support staff, apart from support managers, within the agreed staff structure of the academies				✓		Executive Headteachers, Headteachers, Head of School
Appoint, suspend and/or dismiss as appropriate all other school leadership scale staff and school support staff managers within the agreed staff structure of the academies				✓	✓	Executive Headteachers, Headteachers and Heads of School
Conduct the performance management review of all staff employed in the academy						Executive Headteachers, Headteachers and Heads of School
Recruitment of staff beyond the agreed staff structure of the Trust and academies		✓				
The filing and storage of personnel and pay records (including person specifications and interview notes for a least 12 months).						Business/Finance Managers for school staff and the Finance Director for Trust staff
Authorise pay increases for academy staff in accordance with the performance related pay policy				✓	✓	Executive Headteachers, Headteachers and Heads of School to make recommendations

Area of Responsibility	Trust Board	Finance and Audit/HR Committee	CEO	Director of Education	Financial Director	Other
Approve applications for early retirement, secondment and leave of absence for Trust Executive Team	✓					Recommendations from CEO
Approve recommendations for early retirement, secondment and leave of absence for school leaders				✓	✓	Recommendations from Executive Headeachers, Headteachers and Heads of School
Approve recommendations for early retirement, secondment and leave of absence for all other academy staff						Executive Headteachers and Headteachers
Authorise pay increases for academy staff outside of the performance related pay policy			✓			
Authorise pay increases for Trust staff, not at Director level			✓	✓		
Authorise Trust Director and CEO pay increases	✓					
Authorise all employee-related expenses to be paid through payroll (e.g. employees' overtime, special allowances, travel expenses, etc.).			✓ (Central staff)	✓	✓	Executive Headteacher, Headteacher, Head of School
Implement the Trust pay policy and appointment procedures for all staff employed by the Trust.			✓		✓	Trust Executive Team, Headteachers, Head of School
Monthly payrolls to be approved both pre-run and post run having been compared to the previous month payroll plus authorized changes					✓	Headteacher, Head of School

Area of Responsibility	Trust Board	Finance and Audit/HR Committee	CEO	Director of Education	Financial Director	Other
<b>Purchasing – provision of goods and services</b>						
Approve procurement policy	✓					
Monitor purchasing regulations to ensure compliance by the Trust.		✓			✓	
Maintain a contracts register for the Trust					✓	Business/Finance Managers
Act as Contract Manager and monitor contracts on an on-going basis.					✓	Business/Finance Managers
Review contracts on an on-going basis (and as part of ensuring the Trust continues to achieve 'best value')			✓		✓	Headteachers, Head of School, Business/Finance Managers
Ensure that a minimum of three written quotes are obtained for purchases and contracts valued at over £1,000 and up to a value of £10,000.			✓		✓	Headteachers, Head of School, Business/Finance Managers
Ensure that a minimum of 3 tenders are obtained for purchases and contracts valued between £10,001 and £100,000.			✓		✓	Trust Executive Team, Headteachers, Head of School, Business/Finance Managers
Ensure that EU regulations are applied for all contracts over the EU threshold.	✓					
<b>Leasing</b>						
The maintenance of a register of all operating leases held by the Trust (other types of leases or borrowing is prohibited)					✓	Business/Finance Managers

Area of Responsibility	Trust Board	Finance and Audit/HR Committee	CEO	Director of Education	Financial Director	Other
<b>Orders for Goods and Services and Payment of Accounts</b>						
The maintenance of an authorised signatory list for orders (subject to the limitations agreed).					✓	Business/Finance Managers
The authority for the signing of official orders for the purchase of goods and services up to £1,000 (one signatory required)						Headteacher, Head of School and Business/Finance Manager where a Head of School is in post
The authority for the signing of official orders for the purchase of goods and services between £1,001 and £5,000 (two signatories required)			✓		✓	Executive Headteacher, Headteacher/Head of School
The authority for the signing of official orders for the purchase of goods and services up to £2,500 (one signatory required)						Headteacher, Business Managers where a Headteacher is in post.
The authority for the signing of official orders for the purchase of goods and services between £2,501 and £5,000 (two signatories required)			✓		✓	Director of Education Headteachers,
The authority for the signing of official orders for the purchase of goods and services between £5,001 and £25,000 (two signatories required)			✓	✓	✓	
The authority for the signing of official orders for the purchase of goods and services		✓				

between £25,001 and £50,000						
Authorisation of supplier invoices for payment						Headteacher or Deputy Headteacher in schools and the Chief Executive Officer or Financial Director for the Trust Central Office
Authorisation of charge card statements					✓	
<b>Area of Responsibility</b>	<b>Trust Board</b>	<b>Finance and Audit/HR Committee</b>	<b>CEO</b>	<b>Director of Education</b>	<b>Financial Director</b>	<b>Other</b>
<b>VAT</b>						
Monitor the regulations on VAT, ensuring compliance by the Trust.					✓	
Complete and submit the reimbursement claim for VAT					✓	
The signing of the VAT reimbursement claims.					✓	
<b>Income</b>						
Approve the charging policy.		✓				
Draw up proposed charges for the various areas of Trust income, including lettings on an annual basis.						Business/Finance Managers
Approve the annual review of charges for the various areas of Trust income		✓				
Set suitable controls for the recording and collection of monies due						Business/Finance Managers
The control and collection of all income.						Business/Finance Managers
The preparation of receipts for banking.						Business/Finance Managers

The physical banking of monies.						Business/Finance Managers
<b>Income</b>						
Approve procedures for chasing outstanding income due to the Trust (debt recovery policy).		✓				Business/Finance Managers
Write off bad debts	>£1,000	< £1,000	<£500	<£300	<£300	<£200 Exec HTs and HOS
Ensure the security of monies held on site.					✓	Business/Finance Managers
<b>Area of Responsibility</b>	<b>Trust Board</b>	<b>Finance and Audit/HR Committee</b>	<b>CEO</b>	<b>Director of Education</b>	<b>Financial Director</b>	<b>Other</b>
<b>Security of Assets, Stocks and Other Property</b>						
Produce and implement a policy for security arrangements at the Trust (including procedures for call-out and key replacements)					✓	
Approve and periodically review the policy for security arrangements at the Trust.		✓				
To determine a value above which assets should be recorded on the Trust's inventory.		✓			✓	
Ensure the physical security of the Trust's assets, and maintain and periodically inspect an up-to-date inventory.					✓	
To determine a value above which discrepancies in the inventory should be reported to the Finance Committee.	✓					
The physical inspection of the inventory on an annual basis or through an on-going programme of (random) sample checks.					✓	
Approve the policy for disposal of surplus stock and equipment and the sale of property, other	✓					

than land buildings.						
Authorise items for disposal above a value of £5,000		✓				
Maintain a register of key holders.			✓			Business/Finance Managers and Site Managers
<b>Area of Responsibility</b>	<b>Trust Board</b>	<b>Finance and Audit/HR Committee</b>	<b>CEO</b>	<b>Director of Education</b>	<b>Financial Director</b>	<b>Other</b>
<b>Insurance</b>						
Initiate adequate insurance cover for the Trust, and maintain a register of policies taken out.					✓	
Undertake an assessment of risk management for insurance purposes at the Trust.		✓			✓	
<b>Health and Safety</b>						
Ensure an appropriate health and safety policy is in place and is reviewed at least annually <sup>1</sup>	✓					Local Academy Boards to monitor
Prepare the Risk Register for the Trust					✓	
Review and maintain the Risk Register		✓	✓	✓	✓	Executive Team to review regularly and make recommendations to FA&HR Committee
Receive reports from the FA&HR Committee Chair relating to all H&S, Risk & Estates issues	✓					

<sup>1</sup> See DfE guidance “Health and Safety: advice on legal duties and powers” February 2014 and HSE guidance at <http://www.hse.gov.uk/services/education/index.htm>

Approve Insurance arrangements for the Trust		✓				
Review and maintain an Estates Strategy and Asset Management planning arrangements		✓				
Adopt a Trust-wide H&S policy		✓				RSC Chair and Executive Team to monitor and advise FA&HR Committee
<b>Area of Responsibility</b>	<b>Trust Board</b>	<b>Finance and Audit/HR Committee</b>	<b>CEO</b>	<b>Director of Education</b>	<b>Financial Director</b>	<b>Other</b>
Adopt a Trust-wide lettings policy		✓				Finance Director to monitor and advise FA&HR Committee
Draw up an agreed Accessibility Plan for each academy in conjunction with the Executive Headteacher or Headteacher					✓	LAB Chair to monitor
Prepare a H&S policy for the academy in line with the Trust-wide policy for adoption by the LAB						LAB Chair, Executive Headteacher, Headteacher and Head of School
Ensure that H&S incidents are recorded in the Accident Book and appropriate actions are taken as a result						LAB Chair, Executive Headteacher, Headteacher and Head of School
Review the security of estates and equipment						LAB Chair, Executive Headteacher, Headteacher and Head of School
Conduct site inspections to review any H&S					✓	

issues and the security of estates and equipment						
<b>Area of Responsibility</b>	<b>Trust Board</b>	<b>Finance and Audit/HR Committee</b>	<b>CEO</b>	<b>Director of Education</b>	<b>Financial Director</b>	<b>Other</b>
<b>Safeguarding</b>						
Ensure appropriate safeguarding procedures are in place and review such procedures at least annually <sup>2</sup>	✓					Regional Standards Council/Local Academy Boards
Ensure that the Trust Board appoints a Designated Safeguarding Trustee	✓					
Ensure that all Trust staff receive statutory safeguarding training			✓			Trust Safeguarding Lead to ensure that appropriate training is given/received and that records are kept
Ensure that Safeguarding in all academies is effective				✓		LAB Chair, Executive Headteacher, Headteacher and Head of School
Ensure that there are the appropriate number of Designated Safeguarding Leads (DSLs) in each academy and that they receive additional statutory annual training				✓		Trust Safeguarding Lead, LAB Chair, Executive Headteacher, Headteacher, Head of School

<sup>2</sup> See DfE guidance “Keeping children safe in education” September 2018

Conduct effective supervision of all DSLs						Trust Safeguarding Lead
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## **Terms of Reference for the [INSERT NAME OF SCHOOL] Local Academy Board (LAB)**

### **Purpose of the LAB:**

The LAB is a sub-committee of the Trust Board with delegated responsibility for continual improvement of [insert school name]'s educational outcomes.

The role of the LAB is to act as [insert school name]'s "Critical Friend". The LAB will keep a local oversight of educational outcomes, financial performance, asset management, health and safety, Trust policy implementation and safeguarding. Budget setting will remain the responsibility of the Trust Board. For clarity as regards Ofsted, the LAB will be the body that provides local governance for the school.

The LABs in each region will report into the relevant Regional Standards Council (RSC).

### **Members of the LAB:**

- The Chair (appointed by the Trust)
- The Executive Headteacher/Headteacher/Head of school (ex-officio)
- Two parent members (elected)
- One staff member (elected)
- A minimum of two co-opted members (appointed by the LAB)

Other members of staff may be invited to attend LAB meetings but they shall not have a vote or count in the quorum.

### **LAB procedure**

- A Full LAB Meeting is to be held each term (a minimum of four meetings per academic year) prior to the Regional Standards Council (RSC) meeting. A LAB may decide to hold additional meetings.
- Meetings are quorate when four members are present.
- LAB Sub-Committees and Working Parties may be formed but written terms of reference must be put in place (Note: It is not the intention to simply replicate existing structures of traditional governing bodies, although, say, establishing a Learning and Teaching Committee would be seen as good practice)
- The LAB shall appoint one member to lead on Safeguarding and another to lead on Pupil Premium.
- The LAB may appoint a Vice Chair but this is not compulsory.
- Pupil or Staff Disciplinary Committees are to be formed as and when necessary and shall consist of three members, with a further committee of 3 different members being formed in the case of any appeal. In the case of any conflicts of interest for

any LAB members then the Trust reserves the right to appoint LAB members from other free schools/academies to sit on these panels.

- Each LAB shall appoint a clerk, who must be approved by the Trust.
- Minutes of each LAB meeting shall be prepared and be available for inspection at the free school/academy.

#### **Remit of the LAB**

- To monitor the academic performance of the free school/academy and thereby hold senior leaders to account
- To agree the School Improvement Plan (SIP) and to monitor its implementation
- To ensure that self-evaluation processes are robust and accurate
- To ensure that additional funds, including Pupil Premium and Sports Grants, are used for the purposes intended and that they provide good value for money
- To ensure that safeguarding procedures meet all legal requirements and are consistent with current legislation and DfE/legal advice
- To receive Health & Safety and Premises updates and report to the RSC as appropriate
- To ensure that safer recruitment procedures are in place for all appointments including ensuring that the free school/academy complies with “Keeping Children Safe in Education” (as amended) and maintains an accurate Single Central Record.

#### **Appointment of the members of each LAB**

- The CEO and the Director of Education shall recommend a Chair of the LAB following an interview process. The Trust Board must approve the appointment.
- Parent and staff members shall be appointed following an open and transparent election process amongst the appropriate constituents (e.g. parents vote for their own representatives etc.).
- In all-through schools/academies with both primary and secondary aged children, then it is best practice to elect one parent member from each phase.
- The Chair shall co-opt at least two high quality community LAB members.
- All LAB members (except for the Chair and the Headteacher/Head of School) will serve a term of office lasting for four years. These members may then stand for re-election or further co-option.

#### **Removal of a LAB member**

The LAB Chair may remove a LAB member for one of two reasons:

- The member's apologies not being accepted for two consecutive LAB meetings
- The member's ineffectiveness, following a formal review of performance

**Reporting Structure:**

- The Chair of each LAB shall provide a written report containing dashboard information to the termly Regional Standards Council meetings.
- The Chair of the LAB and the Headteacher/Head of school will serve as ex officio members of the Regional Standards Council.

**Purpose of the RSC:**

The purpose of the RSC is to ensure the continual improvement of educational standards in all schools/academies within the region.

**Members of the RSC:**

The membership of the RSC will be:

- The Trust Director of Education
- The Chair of each school/academy's Local Academy Board (LAB)
- The Executive Headteacher, Headteacher or Head of School of each school/academy
- The Trust Director of Nurseries
- The Trust Financial Director

Other Trust employees or trustees including the chief executive officer may attend by invitation.

**Remit of the RSC is to:**

- Ensure that the Trust's Strategic Plan is implemented at the regional level;
- Monitor academic performance data to ensure continual improvements in the academic performance of each free school/academy;
- Commission resources within the Trust's Scheme of Delegation and/or make recommendations to the Trust Board, in order to effect educational improvements;
- Monitor the strategic asset management plan (including collating/analysing data on health and safety compliance);
- Promote partnerships within the regional community;
- Ensure ethical integrity and accountability of the LABs;
- Evaluate the work of the RSC on an annual basis; and
- To provide a written report in an agreed format containing dashboard information to the Trust Board meetings

**Operational Functions**

- The Chairs of each LAB shall elect a Chair from their number who shall serve a four year term as Chair of the RSC. This elected Chair shall also be appointed as an ex officio trustee of the Trust Board.
- A Full RSC Meeting is to be held four times per year (after LAB meetings but prior to Trust Board Meetings).
- For meetings to be quorate four members of the RSC must be present.
- Sub-Committees and Working Parties may be formed but written terms of reference must be agreed by the RSC. Examples could include a Teaching & Learning Group; a Safeguarding Group etc.

## **Terms of Reference – Finance, Audit and HR Committee**

**Name of Committee:** Finance, Audit and HR committee

### **Purpose statement**

To ensure the Trust has strategic plans in place to deliver effective teaching and learning within the budget. In addition, the Academies Financial Handbook requires that the Trust has a committee to review the risks to internal financial control and must agree a programme of work that will address these risks, to inform the governance statement that accompanies the trust's annual accounts and, so far as is possible, provide assurance to the external auditors.

To review the staffing structure across the trust and its schools, as part of the annual budget review. To receive HR reports on staffing changes and any staffing issues, including sickness absence trends and corrective actions being taken.

To review asset management plans for each school in the trust, covering premises and ICT equipment, to ensure that appropriate funding is available to maintain and improve the trust assets.

### **General Procedures**

At least three Committee members will be appointed by the Trust board and the chair of the Committee (who shall be a director of the Trust) will be appointed by the Committee members on an annual basis.

The committee members will include the Trust Accounting Officer, Chief Financial Officer, three Trust Board members and co-opted members as required.

A quorum shall be two members and the committee shall meet at least three times per year.

Minutes will be kept of all meetings and distributed to the Trust board once agreed as a correct record by the chair. Apart from confidential items these are open for public inspection.

### **Remit**

## Finance

- a) To agree the annual Trust and academy budgets prior to the beginning of the financial year which will be recommended to the Trust board for approval.
- b) To monitor and review the finances of the Trust and to comment on how this may affect the development of the Trust and the strategic plan.
- c) To prepare the audited financial report for approval of the Trust board and submission in accordance with the Companies Act / EFA (Education Funding Agency).

## Risk Management

- a) To assess the risks arising from the Trust's operations including the likelihood and materiality of each risk, regularly reviewing the Trust's risk register.

## Audit

- a) To agree and monitor compliance with the expected practice, financial policies and segregation of duties as outlined in the financial regulations document and authorisations policy; ensuring this is in line with the latest guidance from the Department for Education as published in Academies Financial Handbook.
- b) To review the risks to internal financial control and plans to address any issues identified.
- c) To agree a programme of internal audit.
- d) To maintain and ensure there is a central register of business interests and that all directors and senior management have declared any related party interests.

## HR

- a) To review staffing structures across the trust as part of the annual budget review.

b) To receive HR reports for each trust location that includes reference to: joiners, leavers, contract of employment changes, sickness absence data, any disciplinary or other HR issues, etc.

b) To discuss the financial implications of HR issues

#### Asset Management Plans

a) To review asset management plans for each school in the trust

b) To review and agree any capital grant bids

c) To monitor spend against capital grants to ensure best value is being achieved.

d) To monitor significant building projects to ensure the project specification is being met , to the required timetable and within budget

This Scheme will be reviewed annually by the Trust Board at its first meeting in Term One.