ALL SAINTS' TRUST

SCHEME OF DELEGATION

EFFECTIVE DATE: 1 JANUARY 2016

(Revised March 2026)

Winckworth Sherwood

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1. INTRODUCTION

1.1 All Saints' Trust (referred to herein the "**Trust**") was established on 25 November 2015 as a multi academy trust and, in consequence of it entering into both a Master Funding Agreement and a number of Supplemental Funding Agreements (the "**Funding Agreements**"), operates and maintains a group of Catholic schools in the Diocese of Westminster (the "**Academies**"). The Academies shall at all times remain Catholic schools, conducted in conformity with any trust deed governing the use of land used by the Trust and in conformity with canon law and with the teachings of the Catholic Church. Both the Trust and the Academies must comply with any advice or directive issued by or on behalf of the Diocesan Bishop.

1.2 The Trust is both a company limited by guarantee, registered at Companies House (Company Number 9887971) and, by virtue of its charitable object "to.... advance the Catholic religion in the Diocese by such means as the Bishop may think fit and proper by establishing Catholic schools ....and with the approval of the Archbishop other Academies" (i.e. schools which are not Catholic schools) is a charity. The Trust is not a registered charity but an "exempt" charity, regulated by the Secretary of State for Education, who acts as the principal regulator.

1.3 The Trust's constitution is set out in its Articles of Association and this Scheme of Delegation has been put in place in accordance with the provisions of the Articles and should be read in the light of them.

1.4 The purpose of this Scheme of Delegation is to provide clarity as to the role and responsibilities of those who contribute to the governance of the Academies and the Trust itself. All those with governance and management responsibilities must be familiar with this Scheme of Delegation so that appropriate steps can be taken to ensure there is sufficient and proper challenge of those with leadership responsibilities, to ensure that senior leaders are held to account for the performance of the Academies and that there is financial stability within the Trust.

1.5 This Scheme of Delegation will apply to each of the Academies.

1.6 The Effective Date of this Scheme of Delegation is 1 January 2016 and it will be reviewed every year, on the recommendation of and in consultation with the Heads & Chairs' Advisory Forum.

2. VISION AND VALUES

2.1 To provide an outstanding Catholic Comprehensive education from 3 -18 years old for young people in Brent, Harrow and Islington

2.2 The Academies, and those responsible for the governance and management of the Trust and the Academies, have committed to working in partnership, supporting one another. The drafting and adoption of this Scheme of Delegation has been guided by the following principles:

2.2.1 Catholic Ecclesiology

The Trust is part of a family of Catholic schools that exist to further the Church's saving mission by educating its young people in accordance with the teachings of the One Teacher, Jesus Christ. In carrying out any functions on behalf of the Trust all Members, Directors and those in any way involved in the business of the Trust and the Academies recognise the Archbishop of Westminster as the Chief Teacher and the focus of unity in the Diocese and will carry out those functions and responsibilities in full communion with him and in accord with the mind of the Catholic Church. Accordingly, the functions of the Trust and the Academies will be conducted in accordance with the following principles and observing the commitments set out in the Diocesan Memorandum of Understanding.

2.2.2 Equal Partners

The Academies are equal partners within the Trust and at all times the partners will strive for consensus in decision making, recognising that each Academy has both strengths and weaknesses. The Academies will seek to preserve and protect each other's distinctiveness and will be respectful of each Academies' respective ethos and mission. The Academies will work collaboratively with each other, sharing resources, knowledge and best practice, to fulfil the Trust's mission, vision and values.

2.2.3 Transparency

All those involved in the running and oversight of the Trust and the Academies will be open and honest in their dealings with each other,

at all times acting in good faith and recognising the value of independence and separation in relation to decision making.

2.2.4 **Subsidiarity**

Decisions are to be taken at the level nearest to those affected by those decisions which is compatible with the principles of solidarity and support for the common good, avoiding unnecessary bureaucracy and aiming in so far as possible to make changes to established practices only where it can be demonstrated there is a reasonable need. Where governance responsibility is delegated appropriate decision making authority will be given. The parameters of such authority will be clear and those to whom responsibility is given will be required to report to those who retain overall responsibility.

2.2.5 **Solidarity**

All those with responsibility for the Trust and the Academies share a particular commitment to the mutual support of all Academies for whom the Trust is responsible, especially those that are in need of assistance at any particular time. Accordingly, this Scheme of Delegation recognises the obligation to contribute to the common good of all Academies from out of the resources entrusted to them. The Directors will ensure that common action and collaboration is conducted at the correct level and that the balance between subsidiarity and solidarity serves the common good in the most appropriate way.

2.2.6 **The Common Good**

All recognise their responsibility towards the common good, not just of the Academies for whom the Trust is responsible and the wider Diocesan family of schools, but of all of the families and communities in the areas served by the Trust. In light of the principle of common good, those with particular responsibility for an Academy acknowledge the desire and obligation on the Directors to put in place measures to ensure that any Academy for whom the Trust is responsible is supported when the need arises.

3. ACCOUNTABILITY: GOVERNANCE AND MANAGEMENT STRUCTURES

3.1 Overall Structure

3.1.1 The nature of the Trust as a company running multiple academies means there are many governance and management layers.

3.1.2 The "**Members**" of the Trust are equivalent to shareholders of a trading company but as the Trust is charitable with no power to trade or distribute profit to shareholders, the Members are best viewed as guardians of the constitution, ensuring the charitable object is fulfilled. Each Member's liability is limited to £10 and, in view of the limited liability and therefore scope for accountability, they have limited governance and no day to day management responsibilities.

3.1.3 The corporate management and "**Director**" responsibility for the Trust is vested in the "**Directors**", who will also be the company directors registered with Companies House. The Directors are personally responsible for the actions of the Trust and the Academies and are accountable to the Members, the Secretary of State for Education and the wider community for the quality of the education received by all pupils of the Academies and the expenditure of public money. The Directors are required as Directors and pursuant to the Funding Agreements to have systems in place through which they can assure themselves of the quality, safety and good practice of the affairs of the Trust. The Directors meet as a board of Directors, generally known as the "**Trust Board**". All Directors have the same responsibility to act in the best interests of the Trust and the Academies, irrespective of their role on the Board i.e. whether appointed in an executive capacity or appointed as a representative of the Academies.

3.1.4 The Directors oversee the management and administration of the Trust and the Academies run by the Trust and delegate authority and responsibility to others, including executive officers and individuals who are locally based who can undertake the day to day management and governance of the Academies. The Trust Board will continue to have the necessary strategic and legal oversight of the Trust and will monitor all activities; determining the strategic direction of the Trust, assessing the performance of the Academies and establishing and reviewing the policies and practices governing the life of the

Academies, at all times being supported and working with both the Strategic Advisory Board and the Local Governing Committees.

3.1.5 Article 101 of the Articles of Association provides for the appointment by the Directors of committees or working groups to whom the Trust Board may delegate certain functions and responsibilities. The Trust Board has established "**Local Governing Committees**" for each of the Academies and their power is derived from the Trust Board. Like the Directors on the Trust Board, the individuals (the "**Governors**") serving on a Local Governing Committee are also responsible for fulfilling a largely strategic, governance role in the conduct of the Academies in conjunction with a "**Principal**" (executive headteacher, headteacher or head of school, as the case may be), who is responsible for the internal organisation, management and control of the Academy (or Academies where schools are federated or an executive arrangement is in place). The Trust Board will also delegate management responsibility directly to the Principals, who will report primarily to the Local Governing Committee but subject to the oversight exercised by the Trust Board.

3.1.6 The Trust Board has also set up a committee, the "**Heads & Chairs' Advisory Forum**" of representatives of the Academies to provide a focus for the setting of policy and to develop the strategic vision of the Trust. The Heads & Chairs' Advisory Forum will both support and challenge the Trust Board and will facilitate communication between the Trust Board and the Local Governing Committees as well as provide an opportunity for the Academies to explore and develop areas of collaboration and shared working. This group will also act as a strategic advisor on educational matters to ensure the long term success of the Academies and that continuous improvement is made within all Academies. The Heads & Chairs' Advisory Forum will meet at least once a term and will advise on matters relating to; teaching and learning, leadership and management, curriculum development, transition and pupil support and achieving sustained attainment. The Trust Board recognises the important role played by the Heads & Chairs' Advisory Forum and commits to keeping the Heads & Chairs' Advisory Forum informed and to have regard to any advice or guidance provided by the Heads & Chairs' Advisory Forum on any matter affecting the Trust or the Academies.

3.2 **Role of the Members and the Diocesan Education Service**

3.2.1 The Members are the guardians of the constitution, determining the governance structure of the Trust and providing oversight and challenge of the Directors to ensure the charitable object of the Trust is being fulfilled. Whilst the Members have limited legal and financial responsibility for the affairs of the Trust, the Department for Education recommends that there is some distinction between the Members and the Directors as "this enables members who are independent of the trustees to provide challenge and scrutiny to the board" (Governance Handbook November 2015). In view of the overarching role of the Members, the Diocesan Bishop will be a Member together with the Diocesan Corporate Director.

3.2.2 The Members' key responsibilities are:

3.2.2.1 to ensure the Objects of the Trust are met, the Annual Report should address this which will be presented to the Members either at the Annual General Meeting or by other means;

3.2.2.2 to determine the Trust's constitution and governance structure, i.e. the Articles which will have been finalised on incorporation; and

3.2.2.3 exercising either a direct power under the Articles or a statutory power under the Companies Act 2006 to appoint and remove Directors (noting any power of the Trust Board or the Bishop to make such appointments), which should be exercised sparingly given the management responsibility is vested in the Trust Board.

3.2.3 The Bishop, through the Diocesan Education Service, will also exercise oversight and supervision as diocesan authority and the Diocesan Memorandum of Understanding seeks to articulate this. The Members, Directors and Governors are required to observe any requirements and conditions of the Diocese.

3.3 **Role of the Directors and the Trust Board**

3.3.1 The Directors have overall responsibility and ultimate decision making authority for all the work of the Trust, including the establishing and

maintaining of the Academies (which includes taking existing schools into the Trust). The Directors have the power to direct change where required.

3.3.2 As Directors of a charity, the Directors have a fiduciary duty to act in good faith in the best interests of the charity. This duty includes a responsibility to do the following:

3.3.2.1 to ensure compliance with any legal obligations;

3.3.2.2 to report on the charity's activities (the Trust must prepare accounts in accordance with the Statement of Recommended Practice for Charities, the so called "**Charity SORP**");

3.3.2.3 to fulfil the charitable object of the charity as set out in its constitution (i.e. the **Articles of Association**) and to act in a way which is compliant with the rules of the charity contained in the Articles;

3.3.2.4 to act with integrity and to avoid any personal conflicts of interest and not to misuse any charity funds or assets;

3.3.2.5 to act prudently in the financial management of the Trust, avoiding putting any assets, funds or reputation of the Trust at undue risk;

3.3.2.6 to exercise reasonable care and skill, using personal knowledge and experience to ensure the Trust is well run and efficient; and

3.3.2.7 to act responsibly, getting advice from others, including

3.3.2.8 to foster equality, diversity and inclusion (this includes building a diverse board).

3.3.3 The Directors must act independently and in the best interest of the Trust even if those interests conflict with those of the body or organisation that might have appointed or nominated such Director to serve on the Trust Board, this will include a conflict of loyalty where there is no obvious benefit involved, as well as a conflict of interest. The Trust Board has adopted a formal **Conflict of Interest Policy**, attached to this Scheme of Delegation as Appendix 5, in order to assist

all those involved in the running of the Trust at every level to avoid and manage conflicts. Specific attention must be given to any arrangement whereby a Member or Director will personally benefit from an arrangement and the Conflict of Interest Policy makes reference to the DfE guidance on “related party transactions” which all those involved in the running of the Trust must have regard to. This does recognise however the fundamental and necessary relationships between the Members (including the Diocese), the Directors and the Academies in both governance and management terms and that individuals may serve in a number of capacities and at numerous levels within the Trust.

3.3.4 The specific tasks and responsibilities of the Trust Board are as follows:

3.3.4.1 to determine and fulfil the shared vision and ethos of the Trust and the Academies, acknowledging the uniqueness of each individual Academy and the needs of the communities they serve;

3.3.4.2 to develop a strategic plan for the Trust and to effectively communicate that plan so this can be implemented across the Trust and all the Academies, including determining any future expansion of the Trust and the relationship that the Trust has with the Diocese and the Secretary of State for Education (including also the Department for Education, the Education Funding Agency and Ofsted);

3.3.4.3 to develop and support strategic partnerships with other bodies and organisations, including service providers and government agencies, which will further the Trust’s strategic plan;

3.3.4.4 to act as a critical friend to each of the Local Governing Committees and to ensure they are effective;

3.3.4.5 to determine and implement policies and procedures which it is intended will achieve a consistently high standard of education and financial prudence across the Trust dealing with (but not limited to) the following:

- Human Resources/Employment
- Audit & Risk Management
- Contingencies and Reserves (both central and at Academy level)
- Governance
- Health & Safety (including staff well-being)
- Operational Matters
- Data Management
- Complaints and Appeals
- Legal Compliance

3.3.4.6 As and when applicable work with the Advisory Committee(s) to develop the local capacity within the Trust to provide both governance and leadership support and mentoring to the Local Governing Committees and the leadership teams, as well as direct school improvement support, facilitating the development of the Academy Action Plans where required;

3.3.4.7 working with the Diocese and having regard to any recommendations by the Diocesan Education Service, to make or facilitate the making of suitable appointments of governors who will serve on the Local Governing Committees, including removing governors who fail to fulfil the expectations on Governors set out in this Scheme of Delegation;

3.3.4.8 to determine the budget for any shared or central expenditure and support and to monitor the individual Academy budgets (acknowledging the full delegation of the Academy's budget to the Local Governing Committee as set out in this Scheme of Delegation);

3.3.4.9 to monitor and evaluate the delivery of the central or shared services and functions provided by any Executive Team, ensuring there is comprehensive support to the Academies and procuring any strategic third party services as determined appropriate;

3.3.4.10 to ensure there is a proper system for the internal audit of the accounts of the Trust (including the Academies) and the financial procedures followed by the Academies, facilitating the auditing of the Trust's accounts by the Trust's auditors, establishing a formal audit committee adopting the terms of reference set out in Appendix 4 which will be responsible for carrying out periodic internal audits of the Academies' financial processes, procedures and accounting records;

3.3.4.11 to act as the ultimate decision maker in relation to any appeals by staff following disciplinary or grievance procedures;

3.3.4.12 to ensure proper advice is available to the Trust and the Academies in relation to legal and compliance matters;

3.3.4.13 to ensure that insurance or risk protection cover is put in place and maintained for all risk areas including damage to property, employer liability, public and third party liability and Director liability;

3.3.4.14 to liaise with and support the Local Governing Committees ensuring there is collaboration not just within a region but across the whole Trust, emphasising and facilitating the benefits of such collaboration.

3.3.5 The following are the core competencies and skills expected of all Directors:

3.3.5.1 to work as a team;

3.3.5.2 to attend meetings and be prepared to contribute to discussions;

3.3.5.3 to be respectful of the views of others and to be open to new ideas and thoughts;

3.3.5.4 to treat all confidential information confidentially;

3.3.5.5 to develop a deep understanding of the vision and ethos of the Trust, in particular its Catholic purpose, and its

Academies and the roles played by all individuals in fulfilment of the Trust and the Church's mission;

3.3.5.6 to understand the policies and procedures of the Trust and how these flow down to the Academies;

3.3.5.7 to support the Trust and the Academies in public and act as an ambassador;

3.3.5.8 to commit to training and skills development

3.3.5.9 to be ready to ask questions;

3.3.5.10 to be focussed on problem solving and be ready to learn from past experiences.

3.3.5.11 to engage with stakeholders (including parents and the diocese of Westminster).

3.3.6 Specific skills may be needed if a Director is to take responsibility for and lead on a specific area. A regular skills audit will be undertaken and Directors should expect to be able to articulate their contribution to the success of the Trust and the Academies.

3.4 **Executive Functions**

3.4.1 As a non-executive body, the Trust Board must rely on others to fulfil the executive functions. For the most part, this responsibility will fall on the Principals / Headteachers of the Academies, supported by the leadership teams. Certain functions relating to the management of the Trust itself or which relate to the activities of more than one Academy may be undertaken by an "**Executive Team**", who may also fulfil a function in the Academies.

3.4.2 The need for and size of the Executive Team will be determined by the Trust Board, in consultation with the Heads & Chairs Advisory Forum. Where possible, resources will be drawn from the Academies themselves rather than the use of external consultants or through recruitment. This will include the identification of a person who will fulfil the roles of the "**Accounting Officer**" and "**Chief Financial Officer**" as required by the Academy Trust Handbook. For more information on these roles please see the [Scheme of Financial Delegation]

3.4.3 The likely principal functions of the Executive Team are:

3.4.3.1 to manage the conversion of schools to Academies. Prior to a school's conversion, the Executive Team will carry out relevant due diligence to establish the school's position and identify any actions required to address areas of weakness or opportunities for improvement [(including the formulation of a 12 month strategic plan for the Academy (the "**Academy Action Plan**"))], and, in conjunction with the DfE, relevant Local Authority and the Trust's solicitors, will manage the associated legal processes;

3.4.3.2 following conversion and where appropriate, to assist with the development and implementation of the Academy Action Plan;

3.4.3.3 to provide operational and management support to the Principals / Headteachers and senior leadership teams within the Academies (including assisting with budget setting);

3.4.3.4 to facilitate the production of management information on the Academies and to support the production of the Trust's and the Academies' financial accounts;

3.4.3.5 support any Trust wide projects;

3.4.3.6 to ensure that insurance or risk protection cover is put in place and maintained for all risk areas including damage to property, employer liability, public and third party liability and Director and governor liability;

3.4.3.7 to undertake the strategic management of the whole school estate, advising the Trust Board on areas of risk and assessing the Trust's overall safeguarding responsibilities, including assisting the Local Governing Committees in drawing up a long term estate plan which identifies areas in need of expansion and/or development and areas likely to be surplus to requirements; and

3.4.3.8 to take a lead on any capital bids and allocations, supporting the Academies' premises teams to carry out works safely and cost effectively.

3.4.3.9 to attend inspections of Trust schools.

3.4.4 The cost of the functions undertaken by the Executive Team and the Trust Board are generally funded on a fair and equal basis by the Academies by the contribution of a percentage of the central government funding provided for each Academy the "**Support Cost Contribution**"). This contribution will be set each year against a budget for the shared costs approved by the Trust Board in consultation with the Heads & Chairs Advisory Forum. The percentage may vary according to the level of activities undertaken and costed on a menu type basis. Additional funding received by the Trust from other non Academy sources (such as other government grants) will contribute directly to the shared costs and will offset the Support Cost Contribution required from the Academies.

3.5 **Role of the [Heads & Chairs' Advisory Forum]**

3.5.1 The Trust operates across a wide area identified by the Diocese with an emphasis on the grouping Academies in a local cluster in order to promote shared working and to build leadership capacity and expertise, with an emphasis on standards and school improvement. Where a Heads & Chairs' Advisory Forum has been established, it shall meet at least 3 times per year to agree the regional strategic direction for the Academies in the Trust and the local priorities in so far as these relate to standards and school improvement targets.

3.5.2 The Heads & Chairs' Advisory Forum will also provide a forum and focus for performance benchmarking and will support the Local Governing Committees and the Trust Board, facilitating peer to peer review. It will advise the Trust Board on the agreed strategic focus for the Academies, as well as the threats and opportunities facing the Academies.

3.5.3 Terms of Reference for the operation of the [Heads & Chairs Advisory Forum] are attached to this Scheme of Delegation as Appendix 6.

3.5.4 The Trust Board will have regard to the interests of all the Academies in deciding and implementing any policy or exercising any authority in respect of any one or all of the Academies for which it is responsible. Notwithstanding this, the priority for the Trust Board is to put in place measures to ensure that any of the Academies are supported when the need arises. Where this may have a financial impact on the funding of the support provided by or on behalf of the Trust Board, any policy shall first be discussed with the [Heads & Chairs' Advisory Forum] and its views taken into account in relation to the setting and implementation of any such policy.

3.6 **The role of the Governors and the Local Governing Committees**

3.6.1 The role of a Governor within a multi academy trust is an important one. In developing a governance structure, the Trust has sought to ensure that as much as possible the responsibility to govern is vested in those closest to the impact of decision making and that such responsibility matches the capacity of those assuming responsibility. The Trust Board has established Local Governing Committees for each of the Academies, for the most part made up of individuals drawn from the Academy's community, both as elected and appointed members, with an emphasis on appropriate skills and experience.

3.6.2 The Governors serving on such Local Governing Committees are accountable to the Trust Board (which in turn of course is accountable to the Bishop, the Members and to the Department for Education) as well as to the communities they serve.

3.6.3 Whilst not Directors under charity law, nevertheless, the Governors are under a duty to act in good faith and in the best interests of the Academy and the Trust, which includes all the Academies. This duty includes a responsibility to do the following:

3.6.3.1 to ensure the Academy complies with its legal obligations;

3.6.3.2 to fulfil the charitable object of the Trust;

3.6.3.3 to act with integrity and to avoid any personal conflicts of interest and not to misuse any charitable funds or assets of the Academy or the Trust;

3.6.3.4 to act prudently in the financial management of the Academy, avoiding putting any assets, funds or reputation of the Academy or the Trust at undue risk;

3.6.3.5 to exercise reasonable care and skill, using personal knowledge and experience to ensure the Academy is well run and efficient;

3.6.3.6 to act responsibly, getting advice from others from within the Trust and if appropriate external professional advisors;

3.6.3.7 to act as an ambassador of the Trust and in a way which is consistent with the vision and ideals of the Trust.

3.6.4 Governors must act independently and in the best interest of the Academy even if those interests conflict with those of the body or organisation that might have appointed or nominated them to serve on the Local Governing Committee. As with the Directors, the Governors must comply with the Trust's Conflict of Interest Policy.

3.6.5 The specific tasks and responsibilities of the Governors are as follows, with further detail set out in Section 4 of this Scheme of Delegation:

3.6.5.1 to fulfil the vision and ethos of the Trust in so far as it relates to the Academy, ensuring that the Academy achieves the aims and ambitions it has for its pupils, having regard in particular to the benefits of being part of a family of schools which stresses the importance of collaboration and mutual support;

3.6.5.2 to implement and review from time to time the strategic plan for the Academy (including any initial Action Plan), focussing on the Academy's performance and achieving sustained school improvement [and having regard to any locally agreed priorities identified by the Heads & Chairs' Advisory Forum;

3.6.5.3 to act as a critical friend to the Academy's senior leadership team, being ready to challenge and hold senior leaders to account for all aspects of the Academy's performance;

3.6.5.4 to oversee the management of the finances of the Academy, assessing the annual budget prepared by the Academy's Principal / Headteacher (with the support of the Academy's senior leadership team) and submitting such for approval by the Trust Board, ensuring that the Academy works within its budget and the Academy's senior leadership team adopts and implements appropriate risk and financial management policies and practices including in particular any adopted by the Trust Board for application across all the Academies;

3.6.5.5 to support the Academy's Principal / Headteacher in the development and review (from time to time) of an appropriate staffing structure for the Academy, ensuring there is robust and accountable monitoring of the performance of staff and implementing all and any policies relating to staff adopted by the Trust Board;

3.6.5.6 to support the Trust Board in its monitoring and evaluation of the delivery of any central or shared services and functions provided or procured by the Trust for the Academies, reporting any issues or concerns to the Executive Team and, if necessary, the Chair of the Trust Board;

3.6.5.7 to promote the benefits of collaboration with the other Academies and to actively seek opportunities to work together either with the aim of improving economic efficiencies within the Academies or identifying and implementing best practice;

3.6.5.8 to develop effective links within the Academy's community, (especially parents and carers) communicating openly and frequently as appropriate and ensuring that the Academy meets its responsibilities to the community and serves the community's needs in relation to the safeguarding and education of its pupils; and

3.6.5.9 to engage fully and openly with any inspection of the Academy, whether by the Trust Board, the Diocese, Ofsted or any other appropriate public body to whom the Academy is accountable.

3.6.6 Individual Governors may be given primary responsibility for particular functions such as standards, finance, premises and resources with the view to matching skills and experience to functions. This will not affect collective and overall individual responsibility but Governors are expected to use their skills and experience in the fulfilment of their duties.

3.6.7 Subject to the provisions of the Companies Act 2006 every member of the Local Governing Committee or other officer or auditor of the Trust acting in relation to the Academy shall be indemnified out of the assets of the Trust against any liability incurred by him or her in that capacity in defending any proceedings, whether civil or criminal, in which judgment is given in favour or in which he or she is acquitted (including where there has been an investigation but no formal charges brought) or in connection with any application in which relief is granted to him or her by the court from liability for negligence, default, breach of duty or breach of trust in relation to the affairs of the Trust.

3.6.8 As with the Directors, the following are the core competencies and skills expected of all Governors:

3.6.8.1 to work as a team;

3.6.8.2 to attend meetings and be prepared to contribute to discussions and commit to agreed actions;

3.6.8.3 to be respectful of the views of others and to be open to new ideas and thoughts;

3.6.8.4 to treat all confidential information confidentially;

3.6.8.5 to develop a deep understanding of the vision and ethos of the Trust and its Academies and the roles played by all individuals in fulfilment of the Trust's mission;

3.6.8.6 to understand the policies and procedures of the Trust and how these flow down to the Academy;

3.6.8.7 to support the Trust in public and act as an ambassador of the Trust;

3.6.8.8 to commit to training and skills development

3.6.8.9 to be ready to ask questions;

3.6.8.10 to be focussed on problem solving and be ready to learn from past experiences.

3.6.9 Specific skills may be needed if a Governor is to take responsibility for and lead on a specific area. A regular skills audit will be undertaken and Governors should expect to be able to articulate their contribution to the success of the Academy.

3.6.10 The Trust Board also recognises the role that the Academies play in their communities and the Local Governing Committee is free to decide how such support and patronage is given. The Local Governing Committee shall ensure that any support is not inconsistent with the objects of the Trust and the restrictions on the use of its charitable resources and any advice or restriction placed on the Trust by either the Diocese or the Secretary of State (including the Charity Commission). The Local Governing Committee shall ensure that any formal collaboration or support with third parties, including with those with whom the Trust has a strategic partnership is appropriately documented and the details notified to the Audit Committee to assess effectiveness and where financial support is provided for accounting reasons.

4. DELEGATED AUTHORITY AND RESPONSIBILITIES OF THE LOCAL GOVERNING COMMITTEE

4.1 General Provisions

4.1.1 The Trust Board reserves the right (subject to consultation with the Heads & Chairs' Advisory Forum and any guidance issued by the Diocesan Education Service or approval required from the Bishop and the Diocesan Trustees) to review and alter this Scheme of Delegation and the level of delegated responsibility at any time, noting that it is likely to be reviewed for its effectiveness at least every two years. Whilst the Scheme cannot take the form of a legally binding contract and is subject to the overriding duty on the Directors to act freely and in the best interest of the Trust, in so far as the Directors are able they agree to abide by the provisions of it and will consult the Local Governing Committees on any significant changes.

4.1.2 Those to whom delegated responsibility is given must acknowledge the limitations on their authority and must not act outside of their authority. Any wilful disregard of the matters expressed in this Scheme is likely to lead to the Scheme being withdrawn. In the event of any serious disagreement between the Trust Board and a Local Governing Committee, which cannot be resolved by the Chair of the Local Governing Committee discussing the matter with the Chair of the Trust Board, will be referred to the Diocesan Education Service for guidance.

4.1.3 As a matter of general principle, the Local Governing Committee will adopt and will comply with all policies adopted by the Trust Board and will comply with any direction issued by the Trust Board and have regard to any advice given. The Local Governing Committee will also comply with any requirements of the Diocese and adopt any guidance issued by it.

4.1.4 Subject to the provisions of the Companies Act 2006, the Articles and to any directions given by the Members following a special resolution, the governance and management of an Academy shall be delegated by the Trust Board to the relevant Local Governing Committee. The Governors shall exercise all the powers of the Trust Directors in so far as they relate to the Academy, only in accordance with the terms of this Scheme of Delegation, any Trust policy and specific agreement

between the Trust Board and the Local Governing Committee. No alteration of the Articles or change to the Scheme shall invalidate any prior act of the Local Governing Committee which would have been valid if that alteration had not been made. Except as provided for in this Scheme of Delegation, the powers given by this Scheme shall not be limited by any special power given to the Directors by the Articles or to the Local Governing Committee by this Scheme of Delegation and a meeting of the Local Governing Committee at which a quorum is present may exercise all the powers so delegated.

4.2 **Finance and Audit**

4.2.1 Except as provided for in this Scheme of Delegation, in addition to all powers hereby expressly conferred upon the Local Governing Committee and without detracting from the generality of the powers delegated, the Local Governing Committee shall have the following powers, namely:

4.2.1.1 to expend the funds of the Trust received in respect of the Academy in such manner as the Local Governing Committee shall consider most beneficial for the running of the Academy, acknowledging the responsibility of the Local Governing Committee to pay the Support Cost Contribution levied by the Trust; and

4.2.1.2 to enter into contracts on behalf of the Trust in so far as they relate to the Academy and are within the scope of the Local Governing Committee's responsibility as set out in this Scheme of Delegation, subject to the limits to act without specific authorisation as set out in the ["**Financial Regulations Manual**"] ["**Scheme for Financial Delegation**"] annexed to this Scheme of Delegation as Appendix 1.

4.2.2 Each Academy will have its own bank account, opened by the Trust when the Academy joined the Trust, which shall be operated by the Local Governing Committee. All cheques, BACS and other electronic orders for the payment of money from such account shall be signed by or authorised in accordance with the [Financial Regulations Manual] [Scheme of Financial Delegation].

4.2.3 No Trust monies (whether or not authority to expend has been devolved to the Local Governing Committee) shall be paid into any bank account other than a bank account authorised by the Trust Board.

4.2.4 The Trust's accounts shall be the responsibility of the Trust Board overseen by the Audit Committee but the Principal / Headteacher of the Academy shall provide such information about the Academy, as often and in such detail and format as the Audit Committee shall reasonably require, in order to carry out an internal audit of the Academies in accordance with the requirements of the Academy Trust Handbook. Without prejudice to the above, the Principal / Headteacher shall provide management accounts in an approved format to the Audit Committee at least once per term (three times per year) or as requested by the Audit Committee. These accounts may be shared with the Diocesan Education Service (or Diocesan finance office) at their request.

4.2.5 The Local Governing Committee shall ensure that proper procedures are put in place for the safeguarding of funds and that the requirements of the Academy Trust Handbook and the Funding Agreements are observed at all times as well as any requirements and recommendations of the Audit Committee and the DfE. For the avoidance of doubt the Local Governing Committee acknowledges the restriction on borrowing contained in the Funding Agreements.

4.2.6 The Trust Board acknowledges the Local Governing Committee's right and intention to use any voluntary (i.e. non grant) funds (including any restricted funds) raised by the Academies for the purposes for which they have been raised and otherwise solely at the discretion of the Local Governing Committee provided this is within the charitable object of the Trust. Proper accounts will be kept by the Principal / Headteacher showing the receipt and use of such funds and the extent to which such funds are restricted, in the light of the obligation on the Trust to note these funds separately in the Trust accounts.

4.2.7 The Trust Board also acknowledges that from time to time the Academies themselves may seek to generate additional funds by undertaking certain activities, such as: lettings, the provision of sporting and recreational facilities, running a nursery and/or providing childcare, teacher training, leadership support, school

improvement, providing and supporting ICT and other administrative services. In some cases and particularly where such activities do not fall within the charitable object of the Trust, these may need to be channelled through a trading subsidiary, decisions about which will be made by the Trust Board. Any income generated from such Academy activities and/or gift aided by a trading subsidiary to the Trust in respect of a particular Academy's activities shall be delegated to the relevant Local Governing Committee. Such funds will however be noted separately in the accounts of the Academy and, like all Academies' funds, will be subject to any reserves policy operated by the Trust Board.

4.2.8 The Local Governing Committee shall make sufficient funds available to enable the Trust to place such insurance or risk protection cover as is necessary to protect the Academy and the Trust from loss and other risks that shall include (but shall not be limited to) the following, such insurance or risk protection cover to be placed either with the Diocese's own insurer (currently Zurich Municipal) or through the DfE Risk Protection Arrangement scheme as directed by the Trust Board and the Diocese:

4.2.8.1 land, buildings and contents;

4.2.8.2 public, employer's and hirer's liability;

4.2.8.3 Directors' and Governors' liability and professional indemnity;

4.2.8.4 personal accident and school journeys;

4.2.8.5 terrorism and business interruption;

4.2.8.6 money and fidelity;

4.2.8.7 legal expenses, libel and slander;

4.2.8.8 engineering.

The Local Governing Committee will fulfil any requirements of the insurers and will notify the Trust Board as soon as reasonably practicable following the occurrence of an event where loss has been suffered or is threatened. The responsibility for notifying the insurers or the DfE (as the case may be) is the Principal's / Headteacher's. The

Executive Team and the Principal / Headteacher will provide each other with all necessary information and assistance as may be helpful in the management of any claims.

4.3 **Curriculum and Assessment Standards (the nominated careers lead trustee is Eamonn Brennan).**

4.3.1 The Local Governing Committee shall be responsible for the setting and review of the curriculum priorities for the Academy, but shall have regard to any views of the Trust Board in recognition of the Trust Board's obligation to the Secretary of State to provide a broad and balanced curriculum and to the Diocese in respect of the teaching of RE and more widely.

4.3.2 The Local Governing Committee shall be responsible for the standards achieved by the Academy and the pupils attending the Academy. Producing and analysing educational data for the Trust Board. The Local Governing Committee will support the Headteacher in the development and implementation of any action plan or school development plan which is to address any weaknesses and areas for improvement of standards and overall attainment at the Academy, but in so doing shall have regard to any advice and recommendations of the Trust Board and the Diocese (including the Diocesan Academy Strategic Board) as they might issue from time to time, particularly in relation to benchmarking and target setting.

4.3.3 The Local Governing Committee will develop appropriate links with other local schools or education organisations to promote best practices in learning and development and to facilitate peer to peer review and support. The Local Governing Committee will also promote and develop links with local businesses and community organisations which are designed to enrich the school life of pupils and foster citizenship.

4.4 **Personnel**

4.4.1 **Principal/Headteacher**

4.4.1.1 The formal power to appoint the Principal (or headteacher or head of school) of each Academy is vested in the Trust Board who must consult with the Diocese and the Local Governing Committee. Whenever an appointment is to be made, the Trust Board will establish an appointments committee made up of 3 persons appointed by the Trust Board (which will include the Chair of the Trust Board and may include a further independent and expert education adviser), 2 persons nominated by the Local Governing Committee and, at the discretion of the Diocesan Education Service, a person nominated by the Diocesan Bishop. The Trust Board is expected to follow the appointment committee's recommendation for appointment.

4.4.1.2 The appraisal and performance management of the Principals / Headteachers will be undertaken by the Trust Board in collaboration with the Local Governing Committee. Any disciplinary action or capacity review will be undertaken by the Trust Board.

4.4.1.3 The Trust Board may delegate such powers and functions as they consider are required by the Principal / Headteacher for the internal organisation, management and control of the Academy (including the implementation of all policies approved by the Trust Board for the direction of the teaching and learning and curriculum at the Academy).

4.4.2 **Other Staff**

4.4.2.1 The Local Governing Committee through the Principal / Headteacher shall be responsible for the appointment and management of all other staff to be employed at the Academy provided that the Local Governing Committee and Principal / Headteacher shall:

4.4.2.1.1 implement and comply with all policies dealing with staff issued by the Trust Board from time to time;

4.4.2.1.2 take account of any pay terms set by the Trust Board;

4.4.2.1.3 adopt any standard contracts or terms and conditions for the employment of staff issued by the Trust Board;

4.4.2.1.4 adopt appropriate and transparent procedures for the recruitment of staff;

4.4.2.1.5 manage any claims and disputes with staff members having regard to any advice and recommendations given by the Executive Team and/or the Trust's insurers or the DFE;

4.4.2.1.6 bring to the attention of the Chair of the Trust Board and, if required, the Trust's insurers and/or the DFE without delay any claims or disputes with staff that may require a hearing by a panel of members of the Local Governing Committee where escalation is necessary;

4.4.2.1.7 seek the advice of the Trust Board where any significant cost is contemplated either in relation to the appointment or resignation of a member of staff, including in relation to ill health retirement or the settlement of any claims or grievances.

4.4.2.2 The Local Governing Committee shall carry out or delegate to either the Principal / Headteacher and/or an appropriate committee (as appropriate) the performance management of all staff and shall put in place procedures for the proper professional and personal development of staff taking into account any training and support available from or procured by the Executive Team.

4.5 **Admissions and Suspensions and Exclusions**

4.5.1 The Local Governing Committee shall be responsible for the setting and review from time to time of the Academy's admissions policy provided that no material change will be made to the admissions

criteria without the approval of the Trust Board and the Diocese where relevant having regard to the statutory duties and responsibilities on the Trust and the Academy.

4.5.2 Any decision to expand the Academy shall be that of the Local Governing Committee but who shall have regard to the views of the Trust Board and the Diocese where appropriate.

4.5.3 Any appeal against admissions shall be heard by an independent appeal panel established and authorised by the Local Governing Committee.

4.5.4 The Local Governing Committee shall consider any decision by the Principal / Headteacher to suspend or permanently exclude any pupil and will be the appropriate body for reconsidering any decision to readmit required by any independent panel hearing.

4.6 **Premises**

4.6.1 The day to day maintenance and care of the buildings and facilities (including the control of asbestos) used in respect of the Academy is the responsibility of the Local Governing Committee (with management responsibility being delegated to the Principal / Headteacher), who shall have regard at all times to the safety of the users of the buildings and the facilities and the obligations of the Trust to the Diocesan Trustee, as the legal owner of such buildings and facilities under the Diocesan Memorandum of Understanding.

4.6.2 The Local Governing Committee shall work in collaboration with the Executive Team (or at their request the Trust Board) in developing a long term estate management strategy that will identify the suitability of building and facilities in light of long term curriculum needs and the need for and availability of capital investment to meet the Trust's legal responsibility to ensure the buildings and facilities used by each Academy are maintained to a good standard.

4.6.3 Short term lettings and day to day uses of the school buildings and playing fields will be the responsibility of the Local Governing Committee who shall comply with any policy issued from time to time by the Diocesan Education Service regarding such uses.

4.6.4 The responsibility for any disposals or acquisitions of land to be used by the Academy will be that of the Trust Board, who will seek the approval of the Diocese.

4.7 **Community Activities and Community Engagement**

4.7.1 Whilst the undertaking of any activities which would be described as part of the Academy's "extended schools agenda" or any activities designed to generate business income, will be the responsibility of the Local Governing Committee, this shall only be undertaken in a manner consistent with any policy set by the Trust Board and having regard to the viability of such activities, the impact on the Academy's activities and any financial implications, such as the threat of taxation in light of the Trust's charitable objects and any threat to funding provided by the Secretary of State. The financial implications are noted above.

4.7.2 The Local Governing Committee is responsible for all community engagement and consultation and will acknowledge and reinforce the vision of the Trust in all communications. The importance of building and maintaining good relations with other local schools, businesses and organisations is acknowledged.

4.8 **Safeguarding**

4.8.1 Safeguarding and promoting the welfare of children is everyone's responsibility within the Trust. Lee-Ann Frampton Anderson is the nominated lead trustee for Safeguarding and SEND.

4.8.2 The responsibility for the day-to-day management of safeguarding is delegated to each Local Governing Committee. This will include a termly meeting between the Designated Safeguarding Lead and the Designated Safeguarding Governor and the completion of an annual Safeguarding Audit in each academy.

4.8.3 The outcome of each termly meeting and the annual Safeguarding Audit will be reported back to the Trust Board.

5. SUPERVISION AND INTERVENTION - RISK MANAGEMENT

5.1 Supervision and Reporting

5.1.1 Notwithstanding the level of delegated responsibility, the Directors remain legally responsible for all matters in connection with the Academies and they are required to have systems in place through which they can assure themselves of quality, safety and good practice in the Academies.

5.1.2 At least once per school year, the Trust Board will request and the Local Governing Committee (or Principal / Headteacher) will provide an ["**Operational Risk Management Report"**] in a format specified by the Trust Board. [The current form of report is annexed to this Scheme as Appendix 3.]

5.1.3 The Local Governing Committee is appointed as a sub-committee of the Trust Board and as such has no separate legal status to that of the Trust or the Trust Board. Consequently, any act or omission of the Local Governing Committee or any officer of the Trust or the Academy that subsequently leads to prosecution or other litigation will be a liability of the Directors and any event in an Academy that might lead to public criticism or adverse publicity or damage to the reputation of the Trust will also be concern for the Trust Board. In such events and in order to minimise risk, the Chair of the Local Governing Committee or the Principal / Headteacher will as soon as reasonably practicable advise the Chair of the Trust Board (and if appropriate a member of the Executive Team). These events will include the following (but shall not exclude any other event that falls within the generality of the circumstances described above):

5.1.3.1 any event leading to loss of life or critical injury on the premises of the academy or during an event off the premises organised or supervised by Academy staff;

5.1.3.2 any sexual or violent or illegal act against a child committed by any adult while on the premises of the Academy or by a member of staff under any circumstances;

5.1.3.3 the suspension or summary dismissal of any member of staff;

5.1.3.4 any event that requires a report to the Health and Safety Executive or that results in the service of a legal notice on the Academy alleging a breach of fire or health or safety law or regulations;

5.1.3.5 any event that requires a formal hearing by a panel of representatives of the Academy or that results in the service of a legal notice on the Academy alleging a breach of employment law or regulations.

5.2 **Intervention and Removal of Delegated Responsibility**

5.2.1 The Local Governing Committee shall work closely with and shall promptly implement any advice or recommendations made by the [Trust Board] in respect of standards and performance, particularly where areas of weakness have been identified by either the Diocese or Ofsted.

5.2.2 In the event that intervention is either formally threatened or is carried out by the Secretary of State, the Trust Board expressly reserves the unfettered right to review or remove any power or responsibility conferred on the Local Governing Committee under this Scheme of Delegation in such circumstances. Any Local Governing Committee of any Academy which is to be sponsored by the Trust will be dissolved and a transition board put in place, the details of which are referred to below.

5.2.3 Notwithstanding the above, the Trust Board and the Local Governing Committee acknowledge the value of maintaining a good working relationship particularly in light of the levels of delegated responsibility within the Trust and the impact this may have on the ability of the Trust Board or the Local Governing Committee to react when standards are falling and/or there is evidence of financial imprudence exposing the Academy or the Trust to a threat of intervention. The Trust Board and the Local Governing Committee in such circumstances make the following commitments to each other:

5.2.3.1 to discuss openly any weaknesses or any situation which may in the opinion of either potentially lead to a threat of intervention by the Secretary of State;

5.2.3.2 to use all reasonable endeavours to agree the measures to be taken to improve standards and the performance of the Academy and to support each other in the implementation of those measures, including involving the Diocesan Academy Strategic Board who will support and advise on steps to be taken and facilitate additional support if needed;

5.2.3.3 to allow each other the opportunity to effect improvements at the Academy provided such steps do not seek to undermine the collaborative and respectful approach being adopted by each;

5.2.3.4 not to remove or deny delegated authority without first agreeing to put in place for an appropriate period of time a transition or improvement board whose responsibility it will be to address the areas of weakness, the terms of reference for such "**Intervention Board**" being set out in Appendix 7 to this Scheme;

5.2.3.5 not as the Trust Board to exercise any power to remove a Principal / Headteacher or to attend and vote at any meeting of the Local Governing Committee at which this is to be discussed without first discussing with the Chair of the Local Governing Committee the need to ensure that such power is being exercised appropriately and proportionately.

6. FUNCTIONING OF THE LOCAL GOVERNING COMMITTEES

6.1 Constitution of the Local Governing Committee

6.1.1 A Local Governing Committee shall be established for each of the Academies comprising at least [9] Governors as follows:

6.1.1.1 the **Principal / Headteacher** of the Academy;

6.1.1.2 up to [2] "**Staff Governors**", elected or appointed through such process as the Local Governing Committee may determine;

6.1.1.3 at least 2 "**Parent Governors**", elected by parents or carers of registered pupils at the Academy and being a parent or carer of a pupil at the Academy at the time when elected;

6.1.1.4 such number of "**Foundation Governors**" appointed by the Diocesan Bishop to ensure that the number of Foundation Governors outnumbers all other Governors (including Co-opted Governors) by at least 2;

6.1.1.5 up to 2 "**Additional Governors**" appointed either by the Local Governing Committee or if required by the Trust Board appointed by the Directors.

6.1.2 All persons appointed or elected to the Local Governing Committee shall give a written undertaking to the Trust Board and the Diocese to uphold the object and mission of the Trust.

6.1.3 The Directors (all or any of them) shall also be entitled to attend any meetings of the Local Governing Committee but would not expect to do so except in exceptional circumstances. Any Director attending a meeting of the Local Governing Committee shall count towards the quorum for the purposes of the meeting and shall be entitled to vote on any resolution being considered by the Local Governing Committee. However in such circumstances the quorum for the meeting will be increased by one for every Director who attends and at the start of the meeting expresses an intention to vote.

6.1.4 The Governors may also appoint "**Co-opted Governors**" from time to time, who will be appointed to provide specific support to the Local

Governing Committee and shall serve for a term of up to 3 years decided at the time of appointment.

6.2 **Term of office**

6.2.1 The term of office for any Governor shall be 4 years, except for any post which is held ex officio. Subject to remaining eligible to be a particular type of Governor, any person may be re-appointed or re-elected to the Local Governing Committee. Any Staff Governor who ceases to be employed at the Academy will resign as a Governor.

6.2.2 A Governor shall serve for no more than 2 terms of office, 3 by exception and only with the consent of the Diocesan Bishop and the Diocesan Director of Education, with special regard being made where a Governor's skills are deemed to be of special benefit to the Trust and/or the Academy.

6.3 **Resignation and Removal of Governors**

6.3.1 A Governor shall cease to hold office if he or she resigns his or her office by notice to the Chair of the Local Governing Committee. Any vacancy on a Local Governing Committee will trigger an appropriate election or right of appointment. The Chair of the Local Governing Committee shall ensure that any vacancies and appointments are notified to the Diocesan Education Service and the Education Funding Agency as required by the Funding Agreement.

6.3.2 A Governor shall cease to hold office if he or she is removed by the person or persons who appointed him or her, i.e. the Diocesan Bishop or the Local Governing Committee as the case may be, or in exceptional circumstances by the Trust Board (and in the case of a Foundation Governor only with the approval of the Diocesan Bishop). Whilst at the same time as acknowledging that no reasons need to be given for the removal of a Governor, any failure to uphold the values of the Trust or the Diocese and/or the Academy or to act in a way which is appropriate in light of this Scheme of Delegation, including where the DfE have indicated any concerns as to the suitability of the Governor, will be taken into account.

6.3.3 The removal of any Parent Governor or Staff Governor will be undertaken only in exceptional circumstances.

6.3.4 Where a Governor resigns his or her office or is removed from office, that person or, where he or she is removed from office, those removing him or her, shall give written notice thereof to the Chair of the Local Governing Committee.

6.4 **Disqualification of Governors**

6.4.1 A person serving on the Local Governing Committee shall cease to hold office if he or she becomes incapable by reason of illness or injury of managing or administering his or her own affairs.

6.4.2 A person serving on the Local Governing Committee shall cease to hold office if he or she is absent without the permission of the Chair from all the meetings of the Local Governing Committee held within a period of six months and the Local Governing Committee resolves that his or her office be vacated. A Governor may be suspended from office at the discretion of the Local Governing Committee or the Trust Board.

6.4.3 A person shall be disqualified from serving on the Local Governing Committee if:

6.4.3.1 his or her estate has been sequestrated and the sequestration has not been discharged, annulled or reduced; or

6.4.3.2 he or she is the subject of a bankruptcy restrictions order or an interim order.

6.4.4 A person shall be disqualified from serving on the Local Governing Committee at any time when he or she is subject to a disqualification order or a disqualification undertaking under Company Directors Disqualification Act 1986 or to an order made under section 429(2)(b) of the Insolvency Act 1986 (failure to pay under county court administration order).

6.4.5 A person serving on the Local Governing Committee shall cease to hold office if he or she would cease to be a Director by virtue of any provision in the Companies Act 2006 or is disqualified from acting as a Director by virtue of section 178 of the Charities Act 2011 (or any statutory re-enactment or modification of that provision).

6.4.6 A person shall be disqualified from serving on the Local Governing Committee if:

6.4.6.1 he or she has been removed from the office of charity Director or director of a charity by an order made by the Charity Commission or the High Court on the grounds of any misconduct or mismanagement in the administration of the charity for which he or she was responsible or to which he or she was privy, or which he or she by his or her conduct contributed to or facilitated;

6.4.6.2 or has been deemed unsuitable to be a governor or Director of an academy by the Secretary of State.

6.4.7 A person shall be disqualified from serving on the Local Governing Committee where he or she has, at any time, been convicted of any criminal offence, excluding any that have been spent under the Rehabilitation of Offenders Act 1974 as amended, and excluding any offence for which the maximum sentence is a fine or a lesser sentence except where a person has been convicted of any offence which falls under section 178 of the Charities Act 2011.

6.4.8 Where, by virtue of this Scheme of Delegation, a person becomes disqualified from serving on the Local Governing Committee, and he or she was, or was proposed, to so serve, he or she shall upon becoming so disqualified give written notice of that fact to the Chair of the Local Governing Committee.

6.5 **Appointment of the Chair and Vice-Chair**

6.5.1 The Governors shall each school year, at their first meeting in that year, elect a Chair and a Vice-Chair from amongst the Foundation Governors.

6.5.2 The role of the Chair of the Local Governing Committee is an important one, demanding yet worthwhile. The Chair is elected by the Governors annually but because of the vital link and the importance of maintaining a strong and effective relationship between the Local Governing Committee and the Trust Board, the appointment following election is subject to the approval of the Trust Board and subject to any further requirements of the Diocese. The Chair must be approachable, readily

accessible and ready to take issues and ideas raised by Governors seriously.

6.5.3 The Chair's specific duties are to:

6.5.3.1 provide a clear lead and direction for the Governors, understanding the aims of the Academy, the roles played by all those involved and the vision of the Trust in relation to its Academies;

6.5.3.2 build an effective team, attracting Governors with necessary skills and experience promoting equality and diversity and ensuring priority is given to those who can make a positive contribution to driving school improvement and supporting their development to maximise the benefit of their contribution;

6.5.3.3 work closely with the Principal / Headteacher and the Chair of the Trust Board to ensure there is proper challenge and encouragement;

6.5.3.4 ensure that school improvement is the focus of all policy and strategy for the Academy, reminding Governors of this as often as necessary;

6.5.3.5 hold Governors to account, ensuring the business of the Local Governing Committee is conducted efficiently and effectively, chairing meetings ensuring all members have the opportunity to contribute and are listened to with clear decisions being made when necessary.

6.5.4 The Chair or Vice-Chair may at any time resign his or her office by giving notice in writing to the Local Governing Committee. The Chair or Vice-Chair shall cease to hold office if:

6.5.4.1 he or she ceases to serve on the Local Governing Committee;

6.5.4.2 he or she is employed by the Trust whether or not at the Academy;

6.5.4.3 he or she is removed from office in accordance with this Scheme of Delegation; or

6.5.4.4 in the case of the Vice-Chair, he or she is elected in accordance with this Scheme of Delegation to fill a vacancy in the office of the Chair.

6.5.5 Where by reason of any of the matters referred to in paragraph 6.5.4, a vacancy arises in the office of Chair or Vice-Chair, the members of the Local Governing Committee shall at its next meeting elect one of their number to fill that vacancy.

6.5.6 Where the Chair is absent from any meeting or there is at the time a vacancy in the office of the Chair, the Vice-Chair shall act as the Chair for the purposes of the meeting.

6.5.7 Where in the circumstances referred to in paragraph 6.5.6. the Vice-Chair is also absent from the meeting or there is at the time a vacancy in the office of Vice-Chair, the members of the Local Governing Committee shall elect one of their number to act as a chair for the purposes of that meeting.

6.5.8 The clerk to the Local Governing Committee shall act as chair during that part of any meeting at which the Chair is elected.

6.5.9 Any election of the Chair or Vice-Chair which is contested shall be held by secret ballot.

6.5.10 The Chair or Vice-Chair may be removed from office by the Trust Board at any time.

6.6 **Committees and Further Delegation**

6.6.1 Subject to this Scheme of Delegation, the Local Governing Committee may establish any subcommittee or working group to advise and inform the Governors to support them in their decision making.

6.6.2 Provided such power or function has been delegated to the Local Governing Committee, the Local Governing Committee may further delegate to the Principal / Headteacher or any other holder of an executive or leadership post, such of their powers or functions as they consider desirable to be exercised by them. Any such delegation may be made subject to any conditions or requirements the Trust Board may impose and shall be consistent with any policy or statement of

recommended practice issued from time to time by the Trust Board and may be revoked or altered by the Local Governing Committee or the Trust Board.

6.6.3 Where any power or function of the Trust Board or the Local Governing Committee is exercised by another, that person or body shall report as required to those delegating responsibility in respect of any action taken or decision made with respect to the exercise of that power.

6.7 **Meetings**

6.7.1 The minutes of the proceedings of a meeting of the Local Governing Committee shall be drawn up and entered into a book (electronic or otherwise) kept for the purpose by the person authorised to keep the minutes of the Local Governing Committee and shall be signed (subject to the approval of the members of the Local Governing Committee) at the same or next subsequent meeting by the person acting as chair thereof. The minutes shall include a record of:

6.7.1.1 all appointments of officers made by the Local Governing Committee; and

6.7.1.2 all proceedings at meetings of the Local Governing Committee and of committees of the Local Governing Committee including the names of all persons present at each such meeting.

6.7.2 The Chair shall ensure that copies of minutes of all meeting of the Local Governing Committee (and such of the subcommittees and working groups as the Local Governing Committee shall from time to time notify) shall be provided to the Chair of the Trust Board (and if required to the Diocese) as soon as reasonably practicable after those minutes are approved.

6.7.3 Subject to this Scheme of Delegation, the Local Governing Committee may regulate its proceedings as the Governors think fit, provided at all times that there is openness and transparency in matters relating to the Local Governing Committee. The Local Governing Committee is expected to meet at least once a term but may meet more often if felt appropriate or if requested to meet by the Trust Board.

6.7.4 Meetings of the Local Governing Committee shall be convened by the clerk to the Local Governing Committee. In exercising his functions under this Scheme of Delegation the clerk shall comply with any direction:

6.7.4.1 given by the Local Governing Committee; or

6.7.4.2 given by the Chair or, in his absence or where there is a vacancy in the office of chair, the Vice-Chair.

6.7.5 Any three Governors may, by notice in writing given to the clerk, requisition a meeting of the Local Governing Committee; and it shall be the duty of the clerk to convene such a meeting as soon as is reasonably practicable.

6.7.6 Each Governor shall be given at least seven clear days before the date of a meeting:

6.7.6.1 notice in writing thereof, signed by the secretary, and sent to each Governor at the address provided by each member from time to time; and

6.7.6.2 a copy of the agenda for the meeting;

provided that where the chair or, in his or her absence or where there is a vacancy in the office of Chair, the Vice-Chair, so determines on the ground that there are matters demanding urgent consideration, it shall be sufficient if the written notice of a meeting, and the copy of the agenda thereof are given within such shorter period as he directs.

6.7.7 The convening of a meeting and the proceedings conducted thereat shall not be invalidated by reason of any individual not having received written notice of the meeting or a copy of the agenda thereof.

6.7.8 A resolution to rescind or vary a resolution carried at a previous meeting of the Local Governing Committee shall not be proposed at a meeting of the Local Governing Committee unless the consideration of the rescission or variation of the previous resolution is a specific item of business on the agenda for that meeting.

6.7.9 A meeting of the Local Governing Committee shall be terminated forthwith if:

6.7.9.1 the Governors so resolve; or

6.7.9.2 the number of Governors present ceases to constitute a quorum for a meeting of the Local Governing Committee in accordance with paragraph 6.9, subject to paragraph 6.11.

6.7.10 Where in accordance with paragraph 6.7.9 a meeting is not held or is terminated before all the matters specified as items of business on the agenda for the meeting have been disposed of, a further meeting shall be convened by the secretary as soon as is reasonably practicable, but in any event within seven days of the date on which the meeting was originally to be held or was so terminated.

6.7.11 Where the Local Governing Committee resolves in accordance with paragraph 6.7.10 to adjourn a meeting before all the items of business on the agenda have been disposed of, the Local Governing Committee shall before doing so determine the time and date at which a further meeting is to be held for the purposes of completing the consideration of those items, and it shall direct the clerk to convene a meeting accordingly.

6.8 **Quorum for meetings**

6.8.1 Subject to paragraph 6.8.3, the quorum for a meeting of the Local Governing Committee, and any vote on any matter thereat, shall be three.

6.8.2 The Local Governing Committee may act notwithstanding any vacancies on its board, but, if the numbers of persons serving is less than the number fixed as the quorum, the continuing persons may act only for the purpose of filling vacancies or of calling a meeting to agree on a strategy for addressing such vacancies.

6.8.3 The quorum for the purposes of any vote on the removal of a person in accordance with this Scheme of Delegation shall be any two-thirds (rounded up to a whole number) of the persons who are at the time persons entitled to vote on the matter.

6.8.4 Subject to this Scheme of Delegation, every question to be decided at a meeting of the Local Governing Committee shall be determined by a

majority of the votes of the persons present and entitled to vote on the question. Every Governor shall have one vote.

6.8.5 Subject to paragraphs 6.8.6 – 6.8.8, where there is an equal division of votes, the Chair shall have a casting vote in addition to any other vote he or she may have.

6.8.6 The proceedings of the Local Governing Committee shall not be invalidated by:

6.8.6.1 any vacancy on the board; or

6.8.6.2 any defect in the election, appointment or nomination of any Governor.

6.8.7 A resolution in writing, signed by all the persons entitled to receive notice of a meeting of the Local Governing Committee, shall be valid and effective as if it had been passed at a meeting of the Local Governing Committee duly convened and held. Such a resolution may consist of several documents in the same form, each signed by one or more of the Governors and may include an electronic communication by or on behalf of the member indicating his or her agreement to the form of resolution providing that the member has previously notified the Local Governing Committee in writing of the email address or addresses which the Governor will use.

6.8.8 Subject to paragraph 6.8.9, the Local Governing Committee shall ensure that a copy of:

6.8.8.1 the agenda for every meeting of the Local Governing Committee;

6.8.8.2 the draft minutes of every such meeting, if they have been approved by the person acting as chair of that meeting;

6.8.8.3 the signed minutes of every such meeting; and

6.8.8.4 any report, document or other paper considered at any such meeting,

are, as soon as is reasonably practicable, made available at the Academy to persons wishing to inspect them.

6.8.9 There may be excluded from any item required to be made available in pursuance of paragraph 6.8.8, any material relating to:

6.8.9.1 a named teacher or other person employed, or proposed to be employed, at the Academy or the Trust;

6.8.9.2 a named pupil at, or candidate for admission to, the Academy; and

6.8.9.3 any matter which, by reason of its nature, the Local Governing Committee is satisfied should remain confidential.

6.8.10 Any Governor shall be able to participate in meetings of the Local Governing Committee by telephone or video conference provided that:

6.8.10.1 he or she has given notice of his intention to do so detailing the telephone number on which he or she can be reached and/or appropriate details of the video conference suite from which he or she shall be taking part at the time of the meeting at least 48 hours before the meeting; and

6.8.10.2 the Local Governing Committee has access to the appropriate equipment, and

if after all reasonable efforts it does not prove possible for the person to participate by telephone or video conference the meeting may still proceed with its business provided it is otherwise quorate.

6.9 **Notices**

6.9.1 Any notice or communication to be given to or by any person pursuant to this Scheme of Delegation shall be in writing or shall be given using electronic communications to an address for the time being notified for that purpose to the person giving the notice or communication. In this Scheme of Delegation, “address” in relation to electronic communications, includes a number or address used for the purposes of such communications.

6.9.2 A Governor present, either in person or by proxy, at any meeting of the Local Governing Committee shall be deemed to have received notice of the meeting and, where necessary, of the purposes for which it was called.

6.9.3 Proof that an envelope containing a notice was properly addressed, prepaid and posted shall be conclusive evidence that the notice was given. Proof that a notice or communication contained in an electronic communication was sent in accordance with guidance issued by the Institute of Chartered Secretaries and Administrators shall be conclusive evidence that the notice was given. A notice shall be deemed to be given at the expiration of 48 hours after the envelope containing it was posted or, in the case of a notice contained in an electronic communication, at the expiration of 48 hours after the time it was sent.

APPENDIX 1

FINANCIAL REGULATIONS MANUAL/ FINANCIAL SCHEME OF DELEGATION

The Local Governing Committee

The Local Governing Committee has wide discretion over its use of the Trust's funds received in respect of the Academy. It is responsible for the proper stewardship of those funds and for ensuring economy, efficiency and effectiveness in their use – the three key elements of value for money. It must also ensure that it uses its discretion reasonably, and takes into account any and all relevant guidance on accountability and propriety. It is accountable to the Trust Board who in turn is accountable to the Secretary of State for Education and Parliament.

It is specifically responsible for ensuring that the Trust's funds are used in accordance with: the law; the Trust's powers under the Funding Agreements, the Articles of Association, this Scheme of Delegation and the Academy Trust Handbook. Consequently, the Trust must not become overdrawn on any of its accounts.

The Finance Committee

The Finance Committee is a committee of the Local Governing Committee. The Finance Committee meets at least once a term but more frequent meetings can be arranged if necessary. The main responsibilities of the Finance Committee include:

- the initial review and authorisation of the annual budget for each Academy;
- the regular monitoring and scrutiny of the Academy management accounts;
- reviewing any Trust Procurement Policy and the Scheme of Financial Delegation;
- reviewing and checking details of any contracts and purchases by the Academy;
- authorising the award of contracts and purchases;
- liaising as necessary with the Trust's Risk and Audit Committee (or the Trust Board if appropriate) to ensure accountability and propriety and to manage the level of financial risk within the Trust as well as review the effectiveness of the financial procedures and controls.

Accounting Officer

As required by the Academies Trust Handbook, the Trust has appointed an Accounting Officer who has overall responsibility for the Trust and each Academy's activities including financial activities. The Accounting Officer is personally responsible to Parliament and to the accounting officer of the DFE for the resources under the control of the Trust. The essence of the role is a personal responsibility for the propriety and regularity of the public finances for which they are answerable; for the keeping of proper accounts; for prudent and economical administration; for the avoidance of waste and extravagance; for ensuring value for money; and for the efficient and effective use of all the resources in their charge. Essentially accounting officers must be able to assure Parliament and the public of high standards of probity in the management of public funds.

Much of the financial responsibility of the Accounting Officer has been delegated to the Principal and School Business Manager of the Academy but the Accounting Officer still retains responsibility for:

- ensuring the annual accounts are produced in accordance with the requirements of the Companies Act 1985 and the DFE guidance issued to academies;
- completion of the accounting officer's statement on governance, regularity, propriety and compliance for inclusion in the Trust's annual report;
- establishing and reviewing the procedures for the authorising and entering into of contracts and legal commitments;
- overseeing expenditure and advising the Trust Board where significant expenditure is anticipated, and;
- where indicated in this Financial Regulations Manual Scheme for Financial Delegation signing cheques and authorising BACs payments in conjunction with the bank mandate.

Chief Financial Officer

As required by the Academies Trust Handbook, the Trust has appointed a Chief Financial Officer who is responsible for the development and implementation of the accounting and financial processes adopted by the Trust. The Chief Financial Officer plays both a technical and leadership role, including ensuring sound and appropriate financial governance and risk management arrangements are in place, preparing and monitoring of budgets, and ensuring the delivery of annual accounts. The Chief Financial Officer may also support in an administrative function, supporting the business management teams in the Academies and ensuring there is consistency in financial procedures across the Trust. The Chief Financial Officer will lead on any procurement of supplies and services to the Trust as a whole or any strategic procurement to be undertaken by an individual Academy.

Shared Costs

The Trust Board will determine the shared costs for all of its schools. These shared costs will be for the provision of central services across the Trust.

Accounting Policies (please see annual trustees report and financial statements)

Including: Charging Policy, Governor's Allowance Policy and Pay Policy

All accounting policies shall ensure that:

- Accounts are a fair presentation of the school's financial position and the transactions in respect of that financial year;
- Income and expenditure relate to the services provided in the same financial year, and that provision is made for income and expenditure earned/used irrespective of when the amounts are actually paid or received;
- Accounts are prepared on a prudent basis with income only being included to the extent that is likely to be received, and that proper allowance is made for all known liabilities and losses.

Appeals Mechanism

The Trust will give consideration to the funding needs and allocations of each constituent academy.

The appeals mechanism is described below for academies who may feel that they are being treated unfairly by the Trust.

The Academies Trust Handbook states:
"If a constituent academy's principal feels that the academy has been unfairly treated, they should first appeal to the trust. If the grievance is not resolved, they can then appeal to the Secretary of State, via DFE …. DFE's decision will be final and can result in pooling provisions being dis-applied". (Section 5-31)

The Trust appeals process is:

- The constituent academies have 10 working days from the issuing of a statement from the Trust to the academy to appeal
- Appeals should be made in writing directly to the Chief Executive Officer (CEO)
- The CEO will consider the appeal and notify the academy of their decision within 10 working days of receipt of the written appeal

Internal Controls Framework

Internal Controls includes policies and procedures that:

- Pertain to the maintenance of accurate complete and permanent records
- Provide reasonable assurance that transactions are properly recorded and authorised
- Safeguard assets

The Local Governing Committee and Headteacher will ensure that:

- Adequate systems of internal control are established, adhered to, tested and regularly reviewed
- Staff have a clear understanding of the consequences of lack of control and knowledge of these Financial Regulations.

The Local Governing Committee shall put in place appropriate measures to achieve effective internal financial controls. These include:

- Adequate operation of budgetary control and accounting systems;
- Adequate supervision;
- Physical safeguarding of property and staff;
- Segregation of duties;
- Maintenance of local information systems;
- Adherence to authorisation and approval process (including signatories)
- Audit arrangements
- Risk Management

INTERNAL FINANCIAL CONTROL

Contents

Internal Financial Control

1. Separation of duties
2. Approved signatories
3. Maintenance of complete and permanent records
4. Review and assessment of procedures
5. Audit arrangements
6. Risk Management
7. Safeguarding assets
8. IT systems

1. Separation of Duties

All Saints' Trust maintains this document to reflect the day-to-day management of financial administration. As far as possible, the allocation of duties has been made to ensure that the same person is not responsible for a process from start to finish. This will reduce the risk of error or intentional manipulation. As far as is possible, the following functions are separated:

- Authorisation
- Execution

e.g. the authorisation of orders and invoices (Dept Budget Holders) is separated from the placing of orders (Finance Officer) and signing of cheques (Headteacher / Deputy Headteacher)

- Custody
- Recording

e.g. the responsibility for managing assets (BURSAR) is separated from the recording of items on the inventory (Network Manager) and again from the annual checking process (Dept Budget Holders)

- The responsibility for system development from the operation of the system
- Access profiles

e.g. the development of the computer based packages is separated from the day-to-day users. Profiles are set within the system to restrict access to specific areas only.

For expenses incurred by the Headteacher, approval is obtained from either the Chair of Finance / Chair of Governors or the two nominated Deputy Headteachers. Other authorised signatories sign cheque reimbursements to the Headteacher.

2. Approved Signatories

Authorisation of an action, transaction, etc is a key internal control. Staff are expected to exercise authority only where they have been delegated the power to do so. In any event, authorisation should be clearly recorded by the individual's signature and printed name. The Finance Office will maintain specimen signature schedules. External agencies, notably the payroll provider, will be notified of changes to authorised personnel promptly.

All orders and invoices are authorised for payment by the delegated Budget Holder. Details of all Budget Holders are held within the Finance Office listing the name of the Budget Holder and their signature. This record is retained securely.

3. Maintenance of Complete and Permanent Records

Complete financial records are maintained at all times so that transactions are traceable from the original documentation to the accounting records and vice versa. Where amendments are required, the person making the change initials the alteration. Records are authorised or approved independently from the person completing them, e.g. bank reconciliations and the records are signed to reflect this.

4. Review and Assessment of Procedures

On an annual basis, the auditors undertake an assessment of the school's financial systems to ensure that effective controls are in place.

5. Audit arrangements

The Local Governing Committee will ensure that access to financial records is given to our external auditors, BLK.

6. Risk Management

Each Local Governing Committee will regularly review the areas of risk within the school both in terms of people and premises, including the following areas:

- identifying and assessing risks

- determining appropriate actions
- implementing the actions
- monitoring the results

The findings of any risk assessments are formally reported to the Premises Committee.

7. Safeguarding Assets

Each Local Governing Committee is responsible for the safe custody of stocks, stores, cash and valuables at the school and in transit.

The Network Manager is responsible for the maintenance of an inventory for all assets. The inventory is kept on a separate computer software program, Wasp. The register is held on a web-based server.

All portable equipment belonging to the school is security marked with a barcode.

8. IT Systems

IT systems are used to process and record financial, student, personal and other management data efficiently. It is therefore important that such information is properly protected and backed up with access restricted only to authorised users.

- Data Protection

Each school and Local Governing Committee has a current Data Protection Act registration that has to be renewed on an annual basis. The registration is the responsibility of Bursar to ensure continuous renewal.

- IT System Back-up Procedures

Although the precise practices will vary across the academies. The following principles **MUST** be adhered to:

- All data must be backed up daily onto two devices

- One of these devices must be offsite or not in the main academy building

In addition

- All data should be backed up onto 2 sets of encrypted tapes weekly, one set should be kept off site and the other stored onsite in a fireproof safe OR
- All data should be backed up externally off-site by the school's IT Support Provider.

- Access Rights

Only authorised staff have access to computer hardware and software used for school management. The Network manager sets access rights at the appropriate level for each member of staff. Passwords are kept securely.

- Software

Only authorised software is used in school to prevent viruses being imported. Anti-virus software is installed on computers used for academy management.

Custody and smooth-running of the accounting system and records is the responsibility of the Network Manager who ensures that all staff are familiar with the procedures. Access to computer records is restricted at the following user levels:

Headteacher
Complete access to all records.

Bursar
Complete access to financial and personnel records.

Head's PA
Complete access to personnel records.

Finance Officer
Restricted access to finance modules only.

Other Administration Staff
Access to relevant modules only (e.g. timetables pupil records etc.)

Budget Holders
No access. All queries are resolved by the procedures outlined herein.

Reserves and Treasury Policy

See Appendix 8

Novel, contentious and / or repercussive transactions

Novel payments or other transactions are those of which the academy trust has no experience, or are outside the range of normal business activity for the trust. Contentious transactions are those which might give rise to criticism of the trust by Parliament, and/or the public, and/or the media. Repercussive transactions are likely to set a precedent or cause pressure for other academy trusts to take a similar approach. Novel, contentious and / or repercussive transactions **must** always be referred to the D*f*E for explicit prior authorisation.

Investigation of fraud, theft and/or irregularity

The trust **must** notify DFE, as soon as is operationally practical based on its particular circumstances, of any instances of fraud, theft and/or irregularity exceeding £5,000 individually, or £5,000 cumulatively in any academy financial year. Any unusual or systematic fraud, regardless of val0075e, **must** also be reported.

Pooling of GAG by Multi-Academy Trusts

A multi-academy trust has the freedom to amalgamate a proportion of GAG funding for all its academies to form one central fund. This fund can then be used to meet the normal running costs at any of its constituent academies within the trust. In accordance with its funding agreement a multi-academy trust **must not** pool PFI funding.

The multi-academy trust **must** give individual consideration to the funding needs and allocations of each constituent academy, and **must** have an appeals mechanism in place. If a constituent academy's principal feels that the academy has been unfairly treated, they should first appeal to the trust. If the grievance is not resolved, they can then appeal to the Secretary of State, via DFE, whose decision will be final and can result in pooling provisions being dis-applied:

Budgeting and Reporting

Role	Value	Delegated Authority	Method	Review Period
Budget setting process		Accounting Officer and Headteacher	Agree academy improvement priorities	Annual
		Academy Headteacher and Management team	Draft budget plan	Annual
		Accounting Officer and Headteacher	Agree budget plan	Annual
		Local Governing Committee	Approve budget plan for submission to the MAT	Annual
		Trust Board	Approve or reject budget after **consideration of whether reserves going forward will be positive or negative. If negative, the Trust Board will require the local governing committee to reconsider the budget.** If the Trust Board require the Local Governing Committee to reconsider the budget, then the Trust Board must provide a full explanation to the Local Governing Committee of its reasons and the timescales by which an alternative budget should be provided. If the Trust Board has lost confidence in the ability of the Local Governing Committee to set **an acceptable** budget, it will provide a full written explanation to the Local Governing Committee for its judgement. Under these wholly exceptional circumstances, the Accounting Officer will take responsibility for recommending a budget plan to the Trust Board **in line with the Academy Trust Handbook.**	Annual
Budget holders' responsibilities	As per the individual budgets set	Headteacher, SLT and other budget holders	Budget monitoring is the responsibility of the budget holder and must not be overspent at any time during the year unless through prior agreement from the appropriate authorisation level.	Monthly
Monthly Management Accounts		School business manager and Headteacher in conjunction with Finance Consultants	All transactions to be processed and reconciled by the academies finance staff for the timely checking and production of the monthly management accounts and governors reports as per the Financial Timetable.	Monthly
Virements	**Greater than £5000**	Headteacher or Accounting Officer	Must be disclosed **as necessary**	As necessary
	Over £30,000	**Notification to LGB chair**	**Must be approved by the LGB Finance committee.**	**As necesaary**
DFE Reporting		Headteacher, Accounting Officer/Accounting Officer in conjunction with the Trust's Auditors and Financial Consultants	An annual Financial Reporting Timetable will be released by the DFE dates and requirements will be included on this timetable.	As necessary to ensure compliance

<u>Income</u> from Outside of the Trust excluding investment refunds

Role	Value	Delegated Authority	Method	Review Period
Collection and receipt of cash and cheques	Any	School business manager or delegated administration assistant	Cash must be receipted by the person with delegated authority and recorded in the appropriate ledger. All on site cash and cheques must be locked in the safe until banking	Daily
Sales invoices	Up to £15,000	**Business Manager to authorise issue of invoice**	All sales invoices must be processed through the financial management system, and issued in a timely manner.	As required
	£15,001 to £100,000	**Headteacher to authorise issue of invoice**	Headteacher to authorise the issuing of sales invoices above £15,001, and then as above.	As required
	Over £100,001	**LGB / Trust Board to minute approval depending on value**	**LGB to be informed of sales > £100K** **Trust Board to be informed of sales invoices > £200K**	As required
Banking of cash and cheques	Any	School business manager or delegated administration assistant	Cash and cheques should be banked on a regular basis and should not be allowed to accumulate **above £5000. Banking should be checked and agreed by another member of staff.**	As required
Reconciliation of bank accounts		School business manager or delegated administration assistant or finance consultant	Bank accounts should be reconciled at least on a monthly basis by someone other than the person doing the banking. Bank reconciliations should **be signed by HT and SBM,** dated and filed.	Monthly
Petty Cash		School business manager **or** delegated administration assistant	Petty cash should be kept in a locked tin and stored in the school safe. Petty cash payments should be kept below £25. Receipts must be provided for any claim. Pre approval from the appropriate budget holder must be obtained before any purchases take place. **Termly reconciliations** should take place by finance consultant or responsible officer, **signed by HT**	**Termly**

Purchases and Payments Made Outside of the Trust

Role	Value	Delegated Authority	Method	Review Period
Purchase orders **/ invoices**	Up to **£7,500**	School business manager **or** budget holders One signature only	**Orders should be placed with approved suppliers** Orders should be written on approved purchase **order template** and authorised before being processed in the financial management system, and before order is placed with supplier. Approved paper-based orders should be entered into the financial management system by someone other than the person who approved the order.	Monthly
	£7,501 to £25000 (for primary schools) **£7,501 to £30,000 (for secondary schools**)	Headteacher **to authorise. In Headteachers absence DH to authorise.**	As above and three quotes must be obtained. These can include both written and verbal.	Monthly
	£**25,001** to £74,999 (for primary schools) **£30,001** to £99,999 (for secondary schools)	Headteacher and Deputy Headteacher.**Two signatures required.**	As above however minimum three quotes must be written**. Notification to LGB – if greater than £25K (primary): if greater than £30K (secondary**.)	Monthly
	Over **£75,000** (for primary schools) and over £100,000 (for secondary schools)	Headteacher and Deputy Headteacher **with notification to the Chair of LGB**	**In line with threshold under public contracts regulations**	Monthly
Payment by cheque or BACs	Up to £100,000	**Two authorisations** required from the Headteacher **and** Deputy Headteacher or senior **AHT**	**Individual payments to any supplier needs to be signed by two individuals in the delegated authority column**. Cheques or payment notifications must be accompanied by authorised supporting documentation	As necessary
	Above £100,000	**As above; Accounting Officer to be notified if in excess of £125,000**	Cheques or payment notification must be accompanied by authorised supporting documentation **with notification to Chair of LGB**	As necessary
Charge / Credit Card	Limited to £10,000	Headteacher, business manager and finance consultant	Must be kept in the safe when not in use. All transactions must be supported by a receipt. Orders should be placed only by card holder. Reconciliation should be checked by someone other than the person who places the orders.	Monthly
Standing orders and direct debits	As per limits for cheque or BACs payments	As per limits for cheque or BACs payments	As per limits for cheque or BACs payments	As necessary
Liabilities and Write-Offs	1% of total annual income or £45,000 (whichever is smaller) per single transaction. Cumulatively, 2.5% of total annual income (subject to a maximum of £250,000) in any one financial year per category of transaction where notified by the Trust Board.	Headteacher/Accounting Officer	Anything above these limits must be approved by Secretary of State through the DFE	Annual

Role	Value	Delegated Authority	Method	Review Period
	Otherwise cumulatively, 5% of total annual income in any one financial year per category of transaction.			
Purchase or sale of any freehold property	Any	WES/DFE approval required	Local Governing Committee to seek approval of Trust Board	Annual

Wages and Salaries

Role	Value	Delegated Authority	Method	Review Period
Appointment of Staff	Up to senior leadership team	Headteacher		Annual
	Deputy Headteacher	Local Governing Committee		Annual
	Headteacher	Trust Board on the recommendation of the Local Governing Committee following recommendation of the Headteacher Appointments Committee		Annual
Payroll Processing		School business manager and Headteacher	School business manager to check monthly payroll and make any necessary changes or adjustments. Monthly payroll and any changes must be authorised and signed off on by the Headteacher. Payroll reports and payments made will be checked and agreed by the finance consultant on a monthly basis.	Monthly
Contracts of employment		School business manager or delegated administration assistant	All employee contracts need to be kept up to-date. Any contract changes need to be authorised by the appropriate authority level as per (Appointment of staff) authority and filed in the staff members file. These contracts will be periodically checked by the responsible officer and the auditors.	As required
Staff Severance payments	Limited to £50,000	Local Governing Committee and Accounting Officer	Anything above £50,000 must be approved by the DFE	As required

Compensation payments for loss or injury (e.g personal injuries, traffic accidents or damage to property)	Limited to £50,000	Local Governing Committee and Accounting Officer	Anything above £50,000 must be approved by the DFE	As required
Ex gratia payments including payments to meet hardship caused by official failure or delay and to avoid legal action due to official inadequacy	Any	DFE	Local Governing Committee to seek approval of Trust Board	Annual

Assets

Role	Value	Delegated Authority	Method	Review Period
Fixed asset register	£5,000	Business manager or on-site ICT staff member	All assets to the value of £5,000 either individually or as a group will need to be recorded in the asset register.	Monthly and annually

Other

Role	Value	Delegated Authority	Method	Review Period
Small gifts (e.g chocolates, flowers, vouchers, etc)	Up to £50 per person	Headteacher and Accounting Officer		As required
Borrowing	Any	Trust Board on the recommendation of the Local Governing Committee	Prior approval must be sought from the DFE for any borrowing from any source (unless the monies borrowed are from a scheme introduced by the Secretary of State)	As required
Leasing	Any	Trust Board only	Prior approval for any finance lease, leasehold or tenancy agreement or granting a leasehold (including a tenancy agreement) must be sought from the DFE	As required

APPENDIX 2

GOVERNANCE DECISION PLANNER

This decision planner is designed to work in conjunction with the formal Scheme of Delegation adopted by the Trust. It provides a quick reference guide to how some of the important decisions within the Trust are to be made. Any discrepancies between this document and the Scheme of Delegation shall be construed in favour of the Scheme of Delegation, which will take precedence.

Key to Table:

The governance and management layers within the Trust are identified as follows:

1	Members	**MEMBERS**	
2	Trust Board of Directors	**TRUST**	Where the Trust Board is compelled to delegate to the Trust Audit Committee, TAC is shown. Where the Trust Board must seek the approval of the Bishop and the Members to implement the relevant responsibility, MA is shown.
3	Local Governing Committee	**LGC**	
4	[Head Teacher] [Principal]	**HEAD**	
5	[Chief Executive Officer/Accounting Officer]	**CEO**	
6	Heads and Chairs' Advisory Forum	**HCAF**	

R The primary body responsible for the task who will, where appropriate, recommended it to others and ensure the implementation of it.
C The primary body must consult with this body before completing the task.
I The primary body must inform this body once the task has been completed.
A This body is responsible for approving the action.

	Task	TRUST	LGC	HEAD	CEO	HCAF
1.	**Governance**					
1.1	Approve Trust Articles of Association	R **MA** A	I			C
1.1.	Approve Trust Board Terms of Reference	A	I			C
1.2.	Approve Trust Scheme of Delegation	A	I			C
1.3.	Approve new converter or sponsored academies joining MAT	A **TAC** A	I			C
1.4.	Establish Trust Committees	A	I			I
1.5.	Approve Trust Committee Terms of Reference	A	I			I
1.6.	Approve Local Governing Committee (LGC) Terms of Reference	A	C			
1.7.	Establish LGC working groups	I	A			
1.8.	Appoint (annually) Chair, Vice-Chair and Governance Professional of Trust Board	A	I			C
1.9.	Appoint Chair of LGC	A	C	C		
1.10.	Remove Chair of LGC	A	C	C		
1.11.	Appoint (and remove) Vice Chair of LGC	C	A	C		
1.12.	Appoint (and remove) LGC members	C	A	C		
1.13.	Appoint (and remove) Chair(s) of Trust Committees/Working Groups	A	I			I
1.14.	Appoint (and remove) Trust Committee/Working Group members	A	I			I
1.15.	Appoint Board Advisors	A	I		C	I
1.16.	Appoint (and remove) Clerk to Trust Board	A	I			I

	Task	TRUST	LGC	HEAD	CEO	HCAF
1.17.	Appoint (and remove) Clerk to LGC	I	A			
1.18.	Organise calendar of Trust Board and LGC meetings	A	C			C
1.19.	Approve Directors' Expenses Policy	A **TAC** C	I			I
1.20.	Register of Business Interests	A	I			
1.21.	Academy times, terms and holidays	I	A	C	C	C
1.22.	Change of Academy Age Range	A	C	I	I	C
1.23.	Expansion of Academy PAN	A	C	I	I	C
1.24.	Extension of Academy provision (EYFS)	A	C	I	I	C
1.25.	Attending trust inspections	C	A	I	I	
2	**Trust & School Performance, Curriculum and Teaching**					
2.1.	Trust & Academy Financial Regulations	A **TAC** C	I	I	I	I
2.2.	Trust & Academy Financial Procedures	A **TAC** C	I	I	I	I
2.3.	Appoint Trust auditors	A **TAC** C	I			I
2.4.	Trust 3-year Budget Plan	A	I		C	C
2.5.	Trust 1 year Budget	A	I		C	C
2.6.	Trust Management Accounts	A **TAC** C	I		C	I

	Task	TRUST	LGC	HEAD	CEO	HCAF
2.7.	Trust Annual Accounts	A **TAC** C	I		C	I
2.8.	Directors Report	A	I			I
2.9.	Trust Academies Accounts Return to DfE	A **TAC** C	I			
2.10.	Ensuring compliance with equalities legislation	I	A			
2.11.	Response to Auditor's Management Letter	A **TAC** C	I		I	
2.12.	Academy 3 year Budget Plan	A	A	C	C	
2.13.	Academy 1 year Budget	A	A	C	C	
2.14.	Academy Accounts Return to DFE	A	I		C	C
3	**Staff Policies and Pay**					
3.1.	Trust Strategic Plan	A	C	C	C	C
3.2.	Academic Performance Targets	A	A or C	C	C	C
3.3.	Academy Performance Review *e.g. Academy Action Plan*	I	A	C	C	C
3.4.	Academy 3 year plan	A	C		C	C
3.5.	Academy 1 Year Plan	A	C		C	C
4	**Staff Management**					
4.1.	Staff complement, structure and grades	A (senior)	A (junior)	C	C	
4.2.	CEO/Exec Headteacher appointment **/ Pay award**	A	C			C

	Task	TRUST	LGC	HEAD	CEO	HCAF
4.3.	Trust leadership structure	A	C		C	C
4.4.	Headteacher appointment	A	C		C	
4.5.	Senior leadership appointments to reserved posts	C	A	C	C	
4.6.	Teaching and support staff appointments		A	C		
4.7.	Suspension of CEO/Exec Headteacher	A	I			I
4.8.	Return of CEO/Exec Headteacher after suspension	A	I			I
4.9.	Dismissal of CEO/Exec Headteacher	A	I			I
4.10.	Suspension of Headteacher	A	C		C	I
4.11.	Return of Headteacher after suspension	A	C		C	I
4.12.	Dismissal of Headteacher	A	C		C	I
4.13.	Suspension of teaching and support staff	I	A	C	C	
4.14.	Return of teaching and support staff after suspension	I	A	C		
4.15	Dismissal of teaching and support staff	I	A	C	C	
4.16.	Redundancy of staff	A (senior)	A (junior)	C	C	C
4.17.	Restructuring of staff	A	A	C	C	C
5.	**Premises and Assets**					
5.1.	Asset Management Policy	C	A			
5.2.	Health & Safety Policy	C	A			
5.3.	Commissioning of repairs or works up to £25,000	C	A			
5.4.	Commissioning of repairs or works from £25,000 to £49,999	A	C			

	Task	TRUST	LGC	HEAD	CEO	HCAF
5.5.	Commissioning of repairs of works over £50,000	A	C			
6	**Policies and Procedures**					
	Curriculum					
6.1.	SEND Policy	I	A			
6.2.	SEND Plan & Quality of Provision	I	A			
6.3.	Teaching & Learning Policy	I	A			
6.4.	Curriculum Policy	I	A			
6.5.	Careers Programme Information	I	A			
6.6.	RSE and Health education Policy	I	A			
6.7	EYFS Delivery	I	A			
	Personnel					
7.1.	Pay & Remuneration Policy (including executive pay)	C	A			C
7.2.	Job Role Salary & Grading Policy	C	A			C
7.3.	Changes to Employee Terms & Conditions or Collective Agreements	A	C			C
7.4.	Adoption of Transferring Policies and Collective Agreements	A	C			C
7.5.	Teachers Annual Pay Award	I	A	C	C	
7.6.	Support Staff Annual Pay Award	I	A	C	C	
7.7.	Individual Performance Pay Awards	I	A	C	C	
7.8.	Performance Management & Appraisal Review Policy	A	C			
7.9.	Disciplinary Policy	A	C			

	Task	TRUST	LGC	HEAD	CEO	HCAF
7.10.	Grievance Policy	A	C			
7.11.	Capability Policy	A	C			
7.12.	Whistle-blowing Policy	A	C			
7.13.	Re-structuring & Redundancy Policy	A	C			
7.14.	Employee Health & Safety Policy	C	A			
7.15.	GDPR Policies	A	C			
7.16.	Freedom of Information Policies	A	C			
7.17.	Staff Code of Conduct	I	A			
	Child Welfare and Wellbeing					
8.1.	Child Welfare & Safeguarding Policy	I	A			
8.2.	Maintaining the Single Central Record	I	A			
8.3	Safer Recruitment Policy	I	A			
8.4	Carrying out DBS checks	I	A			
8.5.	Attendance Policy & Plan (including attendance registers)	I	A			
8.6.	Pupil behaviour & Suspension Policy	I	A			
8.7.	Short-term Suspension	I	C	A		
8.8.	Return after short-term Suspension	I	A	C		
8.9.	Permanent Exclusions	I	C	A		
8.10.	Appeals against Permanent Exclusion	I	A	C		
8.11.	Academy Trips Policy	I	A			

	Task	TRUST	LGC	HEAD	CEO	HCAF
8.12.	Extended services on-site	I	A			
8.13.	Pupil Premium / PE and Sport premium	I	A			
	Admissions					
9.1.	Admissions Policy	I	A			
9.2.	Allocation of places against Admissions Policy	I	A			
9.3.	Admissions Appeals	I	A			
	Other Policies					
10.1.	Complaints Policy	I	A			
10.2.	Complaints Appeals	I	A			
10.3	Estate and School Premises	I	A			
10.4.	Academy prospectus	I	A			
10.5.	Academy website	C	A			
10.6	Academy logo & branding	C	A			
10.7.	Academy uniform	I	A			

APPENDIX 3

RISK MANAGEMENT POLICY AND FORM OF RISK REPORTS

Principles

The Directors have overall responsibility and ultimate decision making authority for all the work of the Trust, including the establishing and maintaining of the Schools (which includes taking existing schools into the Trust). The Directors have the power to direct change where required.

The Directors have delegated authority for the running of each of its Schools to a Local Governing Committee, who in turn fulfils a governance and oversight role in the conduct of the School, further delegating authority to the Headteacher and senior leadership team who are responsible for the internal organisation, management and control of the School on a day to day basis. The responsibilities of the Local Governing Committee are set out in the "Scheme of Delegation".

Risk management must prioritise and protect:

- The safeguarding of high quality and effective education of the young people in the Schools;
- The contribution made by staff to the success of the Trust and the Schools;
- The reputation and ethos of the Trust and the Schools and the principles upon which the Trust was founded;
- The common good in terms of the interests of the families in the communities served by the Schools and the pupils of the future; and
- The Scheme of Delegation and the balance struck between central management and local responsibility.

The responsibility of each Local Governing Committee

It is the responsibility of each Local Governing Committee (the Governors) to implement, monitor and verify such policies and procedures to facilitate an annual statement of compliance on those risks identified by the Board. The Governors should take such steps needed to meet their legal obligations including the requirements of the Department for Education (or any successor body) as they relate to the operation of the Schools. The Governors should provide resources to mitigate identified risks and declare any non-compliance to the Directors. The Governors should commission on a regular basis external verification of internal systems so as to ensure the systems fitness for purpose and compliance to current standards.

The responsibilities of the Directors

It is the responsibility of the Directors to identify those risks which arise from academy status and membership of a multi-academy trust and develop policies and procedures which mitigate these risks (taking account of the principles identified above).To mitigate financial risk the Directors will require all Schools to use approved banking arrangements, audit arrangements, financial management systems, and premises insurance and building surveyors. Rigorous safeguarding policies are also a requirement for all Schools.

Beyond these areas the Directors should identify risks common to all Schools, set policy frameworks but seek not to impose specific control mechanisms for these risks as responsibility lies with the individual Local Governing Committees. The Directors should receive compliance reports from the Local Governing Committees (and declarations of non-compliance) and develop systems to support (having regard to the principles of subsidiarity and solidarity) individual Schools to mitigate risk to the Directors and the Trust generally.

Operation of the Risk Management Policy

To assist the Trust Board in fulfilling its function, the Directors may establish a “risk management committee” made up of appointed Directors, representatives of the Local Governing Committees and the Leadership Group, and others as may be required. The terms of reference should identify that a minimum of two Directors should serve on this committee, with one being present for the committee to be quorate. The risk management committee may be a function of the Audit Committee or work alongside it.

It is the duty of this committee to review the termly schedule of self-assessments made by individual Schools’ Local Governing Committees, consider how to support Schools to mitigate identified risks and report to the Trust Board each term on the risks identified.

The Nature of the Risks

- **The safeguarding of those involved in the enterprise**

  The Directors and Local Governing Committees will be required to have safeguarding (including safer recruitment and e-safety) policies which comply with the requirements of the appropriate Safeguarding Board.

- **The employment of those involved in the enterprise**

  The Directors and individual Schools should have a suite of legally compliant and common personnel policies, supported by advice and insurance.

- **The stewardship of the premises and site and the health, safety and welfare of those who use the site**

  The Directors reserve the right to direct individual Schools with regard to the insurances of Trust property (buildings, land and assets) and to approve and be kept informed of planned capital works. The School should develop comprehensive health, safety and welfare policies to include systems to monitor compliance with regulation and good practice and to externally assess these at a regular period.

- **The vision and values of the Trust and the academic standards attained**

  The Directors and the Governors should seek at all times to preserve and fulfil the vision and values of the Trust, honouring the principles upon which the Trust was founded. The Governors should report to the Directors on any OFSTED or other inspections and reports. Equally the Directors should be informed of trends and actual academic outcomes and other key indicators identified by OFSTED (or any successor body) in order that the Directors may broker support and advice from within (or beyond) the Trust to minimise the possibility of the Secretary of State using his or her reserve powers in relation to one of the Schools for which the Trust is responsible.

- **The financial integrity of individual academies**

  The Directors reserve the right to direct the Schools to bank with a named bank and to direct Schools to use the services of agreed auditors. The Trust Board reserves the right to have annual agreed budget plans, termly budget summaries and annual outturn statements reported to it. Schools will not be permitted to operate deficit budgets without specific approval from the Trust Board. The Governors will agree such policies as required to comply with DfE requirements on the operation of academies, including in relation to the procurement of goods and services. The Governors will appoint a

suitably experienced “responsible officer” who will oversee the financial integrity of the School with a particular reference to levels of delegation and the avoidance of over-reliance upon key individuals.

- **The capacity of the Trust Board and the Local Governing Committees to discharge their duties**

  The Trust Board and individual Local Governing Committees will be expected to make an annual self-assessment of the skills and experience they require and their capacity to fulfil those requirements. Plans to mitigate deficiencies should be passed to the relevant Local Governing Committee and the Trust Board. All Directors and Governors are required to hold an enhanced Criminal Records Bureau certificate and to make a declaration of interests at the beginning of each meeting. The Company will operate a Conflicts of Interest policy. The Company will ensure that good quality legal advice is available to the Trust Board, the Schools and those responsible for running the Schools on a day to day basis.

Risk Register Template

Risk Register - Strategic and Reputational Risks

Category	Sub category	Specific	Likelihood of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response (transfer, tolerate, treat, or terminate)	Control procedures and target date	Person(s) responsible for action	Date of next review
1 Strategic risk	**Charitable objects risk**	Charity is not operating within its objects						
		Charity receives unfavourable Ofsted report						
	Charitable status risk	Risk that charity could lose its charitable status						
	Long term demand risk	Insufficient demand for charity's services leaves it unsustainable						
	Competition risk	Presence of other organisations with similar objects and little scope for differentiation						
		Other organisations competing for the same sources of income						
	Stakeholder risk	Beneficiaries/other stakeholders don't consider that charity provides a valuable/high quality service						
	Alliance / partnership risk	Appropriateness of alliance						
		Integrity of partner risk						
	Investment powers risk	Risk of Trustees not acting in accordance with their investment powers						
	Insurance risk	Risk of financial loss/inability to replace items if charity does not have adequate insurance cover						
	Macro economic risk	Risk of the impact an uncontrollable event will have on the charity e.g. recession, war, oil crisis						
	Natural disaster risk	Risk of the impact an uncontrollable event will have on the charity e.g. fire, flood						
	Technology risk	Information security risk						
		Virus risk/corruption of data risk						
		IT systems out of date / no longer supported						

Risk Register - Strategic and Reputational Risks Cont'd

Category	Sub category	Specific	Likelihood of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response (transfer, tolerate, treat, or terminate)	Control procedures and target date	Person(s) responsible for action	Date of next review
2 Public profile risk	**Charitable objects risk**	Charity not seen by public to be meeting its objects						
		Objects of the charity are controversial or may attract a high level of public interest						
	Trustee profile risk	Trustees have a high public profile and may cause the charity to attract publicity						
		Trustees are seen by the public to be paid a high amount for expenses						
		Trustees are not considered to be arms length from charity						
	Expenditure risk	Management and administration costs are perceived by the public to be high						
		Senior management of the charity are seen by the public to be paid high salaries						
		Reserves level risk - Charity seen to be holding reserves and not spending enough on its charitable objects						
	Quality of service/ product risk	Charity provides a poor quality service to its beneficiaries/ customers						
	Fraud risk	Fraud discovered at the Charity attracts bad publicity						
	Failure to comply with legislation risk	Failure to comply with Health and Safety legislation results in an employee/volunteer/beneficiary of the Charity being injured at work, attracting bad publicity						
		Failure to comply with employment law.						
	Litigation risk	Charity is involved in litigation						

Risk Register - Strategic and Reputational Risks Cont'd

Category	Sub category	Specific	Likelihood of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response (transfer, tolerate, treat, or terminate)	Control procedures and target date	Person(s) responsible for action	Date of next review
3 Governing body organisation risk	**Delegation risk**	Committees not established with delegated authority, eg finance, personnel etc.						
		Committee terms of reference not consistent / adequate etc.						
		Committee terms of reference not sufficiently flexible						
	Principal/FD absence risk	Trustees do not ensure rigorous monitoring is undertaken in the absence of the Principal and/or Finance Manager						

Risk Register - Operational Risks

Category	Sub category	Specific	Likelihood of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response (transfer, tolerate, treat, or terminate)	Control procedures and target date	Person(s) responsible for action	Date of next review
1 Management information risk	**Quality risk**	Risk that information produced for trustees and senior management is not accurate or not in a format suitable for monitoring the performance of the charity						
	Timeliness risk	Risk that management information is not available quickly after the period to which it relates						
	Review risk	Risk that management information is not subject to review						
		Risk that action is not taken after the review of management information						
	Quantity risk	Risk that too little management information is produced to facilitate informed decision making						

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Risk Register - Operational Risks Cont'd

Category	Sub category	Specific	Likelihood of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response (transfer, tolerate, treat, or terminate)	Control procedures and target date	Person(s) responsible for action	Date of next review
2 Human resources risk	**Trustee risk**	Entrepreneurial risk - risk that trustees are too						
		Trustees become too involved with management of the charity and are not independent from management						
		Trustees do not act solely in the interests of the charity but for their business/other interests etc.						
		Integrity risk						
		Entrepreneurial risk - risk that						
		Low morale risk						
	Staff risk	Retention risk						
		Recruitment risk						
		Recruitment risk (recruiting someone unsuitable to work with						
		Appraisal /assessment risk						
		Training risk						
		Technical capability risk						

Risk Register - Operational Risks Cont'd

Category	Sub category	Specific	Likelihood of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response (transfer, tolerate, treat, or terminate)	Control procedures and target date	Person(s) responsible for action	Date of next review
	Volunteer risk	Excessive reliance on volunteers						
		Lack of control over volunteers						
		Training risk						
		Risk that volunteers are not of appropriate quality/vetted/subject to police checks						
	H & S risk	Staff fatality/injury						
		Fatality/injury to pupil/third party						
		Other third party risk						
3 Income risk	**Donor risk**	Charity heavily reliant on one donor						
		Donor has a strong influence/power over charities activities						
	Grants receivable risk	Grants receivable not used for the purposes for which they were given						
		Grant receivable reporting requirements are not adhered to						
4 Supplier risk	**Supplier selection risk**	Supplier financial viability						
		Supplier inappropriate						
		Supplier connected with either trustees or staff						
		Delivery risk						
		Quality risk						
	Key supplier dependency risk	Risk that supplies not available						
		Risk of dependency on few suppliers						
	Value for money risk	Purchase price risk						
		Efficiency risk						

Risk Register - Compliance Risks

Category	Sub category	Specific	Likelihood of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response (transfer, tolerate, treat, or terminate)	Control procedures and target date	Person(s) responsible for action	Date of next review
1 Employee legislation risk	**Employment laws risk**	Risk that legislative requirements are not known or complied with						
		Data Protection risk						
	Pension risk	Risk that legislative requirements are not known or complied with						
	Health & safety risk	Risk that legislative requirements are not known or complied with						
2 Environmental legislation	**UK Legislation**	Risk that legislative requirements are not known or complied with						
	EU Legislation	Risk that legislative requirements are not known or complied with						
3 Financial reporting risk	**Statutory accounts risk**	Risk that legislative requirements are not known or complied with						
	Accounting standards risk	Risk that legislative requirements are not known or complied with						
4 Charities legislation risk		Risk that legislative requirements are not known or complied with						
5 Tax legislation risk	**VAT/PAYE/NI risk**	Risk that legislative requirements are not known or complied with						
6 Data Protection Act risk		Risk that legislative requirements are not known or complied with						

Risk Register - Compliance Risks Cont'd

Category	Sub category	Specific	Likelihood of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response (transfer, tolerate, treat, or terminate)	Control procedures and target date	Person(s) responsible for action	Date of next review
7 Welfare compliance risk	**Disability risk**	Risk that legislative requirements are not known or complied with						
	Child Protection Act risk	Risk that legislative requirements are not known or complied with						
8 Sector compliance risk	**National curriculum compliance**	Risk that legislative requirements are not known or complied with						
9 Local Authority and Central Government risk	**Grant criteria risk**	Grant terms and conditions are not complied with						

Risk Register - Financial Risks

Category	Sub category	Specific	Likelihood of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response (transfer, tolerate, treat, or terminate)	Control procedures and target date	Person(s) responsible for action	Date of next review
1 Overall financial control risk	**Budget risk**	Risk that budget cannot be prepared in accordance with DfES timetable						
		Risk that budget will be in deficit						
		Risk that actual performance is not measured against budget on a regular basis						
	Reconciliation risk	Risk that bank reconciliations / other key reconciliations are not completed and reviewed						
	Consolidation risk	Risk that results of subsidiaries/associates are not consolidated with results of parent charity						
2 Financial systems risk	**Systems suitability risk**	Risk that financial system is not suitable for charity's needs						
	Maintenance risk	Risk that financial system will not be maintained by provider in long term						
	Disaster risk	Risk that financial information cannot be recovered in the event of a disaster (eg fire, theft, vandalism)						
	Access risk	Risk of unauthorised access to financial systems						

Risk Register - Financial Risks Cont'd

Category	Sub category	Specific	Likelihood of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response (transfer, tolerate, treat, or terminate)	Control procedures and target date	Person(s) responsible for action	Date of next review
3 Income risk	**Completeness risk**	Invoices not raised for all transactions						
		Donations in kind or intangibles are not recorded or recognised in the financial statements						
	Restricted income risk	Income is not identified as restricted on receipt						
		Restricted income is used for purposes other than restriction						
	Sponsorship funding risk	Sponsorship targets not met						
	Cut off risk	Risk that income is accounted for in the wrong accounting period						
	Fraud risk	Risk that donations are misappropriated						
4 Expenditure risk	**Authorisation risk**	Risk that expenditure is not authorised						
	Cut off risk	Risk that expenditure is accounted for in the wrong accounting period						
	Fraud Risk	False invoice/payment risk						

Risk Register - Financial Risks Cont'd

Category	Sub category	Specific						
5 Treasury risk	**Cash flow risk**	Risk that cash flow requirements are not forecast						
		Risk that cash is all tied up in investments and insufficient is readily available to meet short term cash flow needs						
6 Fixed asset risk	**Capital construction risk**	Risk that assets built by contractors do not meet specifications, or actual cost exceeds budget						
	Asset recognition risk	Risk that assets are not capitalised						
		Risk that depreciation rate is not appropriate						
	Fraud risk	Risk that assets are misappropriated						
7 Investment risk	**Return risk**	Risk that the return on investments is not being maximised						
		Risk that trustees are not acting in accordance with their investment policy/powers (eg investing in high risk investments which are not in best interests of the charity)						
8 Stock risk	**Fraud risk**	Risk that stock is misappropriated						

Risk Register - Financial Risks Cont'd

Category	Sub category	Specific	Likelihood of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response (transfer, tolerate, treat, or terminate)	Control procedures and target date	Person(s) responsible for action	Date of next review
9 Debtors risk	**Recoverability risk**	Risk that debts are not recovered						
	Completeness risk	Risk that debtors record is not complete						
	Cut off risk	Risk that debtors are accounted for in the wrong accounting period						
	Cash flow risk	Risk that profile of aged debtors deteriorates which impacts on cash flow position						
10 Taxation risk	**Non-charitable trading risk**	Risk that charity is liable to tax on non charitable trading activities						
	Change in legislation risk	Risk that charity is not aware of changes in legislation						
11 Provisions and contingent liability risk	**Recognition risk**	Risk that charity is not recognising provisions or commitments in accordance with FRS 12						
	Contractual commitments risk	Risk that charity has entered into future commitments without having the future funding available to meet them						
12 Related party risk	**Identification risk**	Risk that related party transactions/ transactions with connected persons are not identified						
		Risk that connected charities are not identified						
	Disclosure risk	Risk that related party transactions are not correctly or fully disclosed in the financial statements						

Risk Register - Financial Risks Cont'd

Category	Sub category	Specific	Likelihood of occurring (5=high, 1=low)	Impact if occurs (5=high, 1=low)	Response (transfer, tolerate, treat, or terminate)	Control procedures and target date	Person(s) responsible for action	Date of next review
13 Funds risk	**Level of funds**	Risk that fund levels are too high/low						
14 Pension risk	**Funding risk**	Risk that scheme is in significant deficit	-					
	Contribution risk	Risk that employers' contribution rate increases	-					
		Risk that charity is not making the correct contributions	-					

APPENDIX 4

TERMS OF REFERENCE FOR THE FINANCE, AUDIT AND RISK COMMITTEE

FINANCE

1. To ensure that the Trust Board is kept informed of all major financial issues concerning the Trust and its Academies, the overall Trust budget and those of the individual Academies, the management of funds against the budget, the benchmarking of financial performance and the heads of expenditure, the way funds are utilised (including value for money) and the way monies are secured.

2. To receive proposals from the Local Governing Committees for budget recommendations, and to recommend the annual budget for the Trust and the Academies to the Trust Board for approval.

3. To receive reports from the Headteachers regarding the Trust's/Academies' finances. This will include reports on the monitoring of income against expenditure and proposals to revise forecasts for the year. The committee will work with the Trust and the Headteachers to make any recommendations to the Trust Board.

4. To monitor the production, timeliness and accuracy of key financial statements in response to both statutory and local requirements.

5. To support (recommending and advising) the Trust Board in developing and then implementing a reserves policy and to consider the impact of strain in individual Academy budgets.

6. To support (recommending and advising) the Trust Board in developing and then implementing the Financial Regulations Manual and associated procurement policy.

7. To review tenders for major contracts as specified in the Financial Regulations Manual. To approve or reject tender proposals or, where required, make recommendations to the Trust Board.

8. To recommend any changes in the Financial Regulations Manual, where significant, to the Trust Board. To review the operations of the Trust and the Academies in relation to the procedures shown in the Financial Regulations Manual. To work with the Headteachers to resolve breaches and to improve procedures as appropriate.

9. To support the Audit Committee in monitoring key financial and accounting systems and reviewing any audits of these or the general finances of the Trust and make recommendations to the Trust Board and/or the Local Governing Committees as appropriate.

AUDIT

1. Advise and report to the Directors in relation any organisational risks which might impede the development and implementation of a long term strategy for the success of the Trust. The Directors shall consider any such advice given by the Audit Committee.

2. Support the Directors in developing an organisational structure which reflects the Trust's values and enables the management systems, structures and processes to work effectively in line with legal requirements and to ensure sound financial management.

3. Support the Directors in the formulation of financial and risk management policies for the Trust and the Academies for achieving the aims and objectives set out in the Trust's Development Plan or long term strategic vision.

4. Advise the Directors on the adequacy and effectiveness of the Trust's systems of internal control and its arrangements for risk management, control and governance processes and securing economy, efficiency and effectiveness (value for money).

5. Regularly review the statement on internal control and make appropriate recommendation to the Directors and when appropriate communicate messages and advice to the Local Governing Committee, liaising as necessary with any responsible officer appointed by the Local Governing Committee to be responsible for financial oversight and risk management of the Academy's activities.

6. Support (and challenge when necessary) the Directors and in particular the Chief Executive Officer/Accounting Officer who from time to time assumes the role of "accounting officer" to ensure he or she satisfies his or her duty as accounting officer to:

- Ensuring value for money;
- Ensuring regularity and propriety;
- Ensuring prudent and economical administration;
- Avoiding waste and extravagance;
- Ensuring the efficient and effective use of resources;
- Keeping proper accounts;

7. Establish and implement a system of financial and risk reporting by the Academies to the Directors and to oversee that reporting to ensure that such a system complies with the Trust's legal obligations.

8. Review any financial and risk report submitted by the Academies and advising the Directors on any issues arising from it as well as making recommendations for future reports to sustain the integrity of the financial and risk management systems.

9. Advise on the formulation and implementation of a policy for the approval and signing of contracts, ensuring all contracts to be entered into by the Academy are appropriate, have been authorised (or are within delegated authority) and do not expose the Academy to undue risk.

10. Advise the Directors on the appointment, reappointment, dismissal and remuneration of auditors (both external auditors and internal audit).

11. Monitor the effectiveness of auditors, including the use of auditor performance indicators.

12. Ensure effective coordination between auditors ensuring that a consistent method of audit is adopted across all Academies.

13. Ensure that additional services undertaken by auditors are compatible with the audit independence and objectivity.

14. Agree the work programme of internal audit including the checking of financial controls, systems, transactions and risks.

15. Consider the reports of the auditors and, when appropriate, advise the Directors and the Academies of material control issues.

16. Monitor the implementation of agreed audit recommendations.

17. Advise on policies for the securing of the funds and assets of the Trust including by the prevention of loss through fraud and irregularity.

18. Ensure that all allegations of fraud and irregularity are appropriately investigated and control weaknesses addressed, working with the Directors and the Headteachers of the Academies, as appropriate.

19. Recommend the annual financial statements to the Directors for approval.

APPENDIX 5

CONFLICT OF INTEREST POLICY

Why we have a Policy

Directors of a charity have a legal obligation to act in the best interests of the charity. For the purposes of charity law, the Directors are those people who are responsible for the general control and management of the administration of the charity. The Academy Trust is an "exempt" charity, the Principal Regulator being the Secretary of State for Education. The Articles of Association explain what the Directors must do to avoid situations where there may be a potential conflict of interest.

Conflicts of interests may arise where an individual's personal or family interests and/or loyalties conflict with those of the Trust. Such conflicts may create problems; they can:

- inhibit free discussion;
- result in decisions or actions that are not in the interests of the Trust; and
- risk the impression that the Trust has acted improperly.

The aim of this policy is to protect both the organisation and the individuals involved from any impropriety and/or any appearance of impropriety. This Policy operates without prejudice to any of the provisions in the Trust's Articles of Association relating to conflicts of interest.

The Declaration of Interests

Directors, Governors of the Local Governing Committees and all staff must declare their interests, and any gifts or hospitality received in connection with their role in the Trust. A declaration of interests form is provided for this purpose, listing the types of interest you should declare. All interests, including gifts of a value over £50, must be notified to the Trust Chair and a Register of Interests will be maintained by the Trust.

To be effective, the declaration of interests needs to be updated at least annually and also when any changes occur.

If you are not sure what to declare, or whether/when your declaration needs to be updated, please err on the side of caution. If you would like to discuss this issue, please contact the Trust Chair for confidential guidance.

Data Protection

The information provided will be processed in accordance with data protection principles as set out in the Data Protection Act 2018. Data will be processed only to ensure that Directors, Governors and all staff act in the best interests of the Trust. The information provided will not be used for any other purpose.

What to do if you face a Conflict of Interest

If you have a direct or indirect interest in:

a) a proposed transaction with the Trust; or

b) any transaction or arrangement entered into by the Trust which has not previously been disclosed;

you must disclose the nature and extent of that interest, whether or not you receive any actual benefit as a consequence of the interest. You may have an indirect interest in a matter if a family member or friend has an interest in the matter.

As good practice, every Director and Governor should declare any private interest which he or she has in an item to be discussed at the beginning of every meeting, and certainly before any discussion of the item itself. You should not be involved in decisions in which it is possible that a conflict will arise. You should declare your interest at the earliest opportunity and withdraw from any subsequent discussion.

If you fail to declare an interest that is known to the Clerk and/or the Trust Chair or the Chair of the Local Governing Committee, the Clerk or Chair will declare that interest.

Decisions taken where a Director, Governor or Staff Member has an Interest

In the event of the Trust Board having to decide upon a question in which a Director, Governor or member of staff has an interest because of a duty or loyalty (however indirect) that they owe to another organisation, they will do so by vote, with a simple majority required. The conflicted individual may be present when the matter is discussed but must not take part in the discussion or vote on any matter relating to the discussion and a quorum must otherwise be present for the discussion and decision.

An individual will generally not have a conflict of interest or loyalty simply by virtue of the fact that he or she has been appointed or nominated to the Trust Board or to the Local Governing Committee by a third party and the Trust has dealings with that third party, but if any undue influence is exerted by that third party or the individual has an interest in the matter for a reason other than mere appointment or nomination, then the circumstances will need to be reconsidered.

All decisions made where there has been a declared conflict of interest will be recorded by the Clerk and reported in the minutes of the meeting. The report will record:

- the nature and extent of the conflict;
- an outline of the discussion;
- the actions taken to manage the conflict.

Where a Director benefits from the decision, this will be reported in the Annual Report and Accounts in accordance with the current Charities SORP making reference also to any potential conflict situation recognised in this Conflicts of Interest policy. All payments or benefits in kind to Directors will be reported in the Trust's Accounts and Annual Report, with amounts for each Director listed for the year in question.

Where a member of the Trust's staff are connected to a party involved in the supply of a service or product to the Trust, this information will also be fully disclosed in the Annual Report and Accounts again making reference also to any potential conflict situation recognised in this Conflicts of Interest policy. The Trust formally acknowledges the DFE’s guidance on “related party transactions”.

Independent external moderation will be used where conflicts cannot be resolved through the usual procedures.

Managing Contracts

If you have a conflict of interest, you must not be involved in managing or monitoring a contract or transaction in which you have an interest. Monitoring arrangements for such contracts will include provisions for an independent challenge of bills and invoices, and termination of the contract if the relationship is unsatisfactory.

Notified Conflicts of Interest

Without prejudice to any of the obligations on individuals as expressed in this Policy, the Directors have identified the following matter where relevant individuals will have an interest in the matter and such interest has not been expressly authorised in the Articles of Association but is considered to be a matter which is in the best interest of the Trust and is authorised provided the principles of this policy are observed (particularly in relation to discussions, decisions and management of the matter where there is a genuine conflict):

- The appointment or nomination of individuals by the Local Governing Committee to serve on the Trust Board.

APPENDIX 6

TERMS OF REFERENCE FOR THE HEADS & CHAIRS' ADVISORY FORUM

All Saints' Trust ("the Trust")

TERMS OF REFERENCE FOR THE HEADS & CHAIRS' ADVISORY FORUM ("the Heads & Chairs' Forum")

PURPOSE

The Heads & Chairs' Advisory Forum has been set up to provide a focus for the setting of policy and to develop the strategic vision of the Trust. The Heads & Chairs Advisory Forum will both support and challenge the Trust Board and will facilitate communication between the Trust Board and the Local Governing Committees as well as provide an opportunity for the Academies to explore and develop areas of collaboration and shared working.

MEMBERSHIP

Whilst the membership of the Heads & Chairs' Advisory Forum is clearly the Head Teachers of the Academies and the Chairs of the Local Governing Committees, the Forum may be organised on a grouped basis if this will aid collaboration and ensure the Forum has meaningful impact, e.g. on a Deanery basis, within a locality or focussed on primary or secondary provision.

Responsibility / Delegated Authority	**Assessment**
Ethos and vision	
Working in partnership with the Trust Board, develop a clear educational vision, ethos and direction for the Trust, which promotes learning and the moral, social and cultural development of pupils and assist with the communication of this vision to the Academies and the wider community.	
Ensure the Trust Board formulates policies and practices which support the Trust's overall vision and aims as well as recognise the uniqueness of each Academy and the contribution each makes to the collective.	
Strategic Leadership	

Responsibility / Delegated Authority	Assessment
The Heads and Chairs' Advisory Forum shall meet at least once a term and shall support the development of a strategic plan for the Trust, providing leadership vision and challenge to the Trust Board.	
Provide a perspective on the wider education community and the challenges facing state funded schools.	
Assist with the creation of a public face and external identity for the Trust, facilitating discussions with those who might be considered strategic partners of the Trust.	
Advise the Trust Board in relation to the development and implementation of a long term strategy for the success of the Trust and its Academies, identifying any threats and weaknesses as well as opportunities for growth and improvement.	
Where appropriate, undertake research on issues which might affect the Trust, ensuring best practice.	
Assist with the development of an action plan for each Academy, which identifies appropriate priorities and targets for improvement in the context of overall resource planning and the management and administration of each Academy and which supports the overall vision and aims of the Trust.	
Oversee the relationship between the Trust Board and the Local Governing Committees of the Academies, ensuring that strategic control by the Trust Board is proportionate and that any intervention by the Trust Board is undertaken respectfully.	
Ensure the needs of each Academy are communicated to and understood by the Trust Board.	
Seek to identify areas where greater collaboration between the Academies can support the Trust's business strategy.	
Advise on the impact of any proposed change to admissions in respect of any Academy.	
Curriculum and Standards	
Advise the Trust Board and the Local Governing Committees on the development of a curriculum which meets each Academy's specific needs and has regard to: • the national curriculum • the obligation to provide religious education, sex education and physical education • special educational needs	

Responsibility / Delegated Authority	Assessment
• national testing.	
Advise the Trust Board and the Academies on the targets for relevant Key Stages and supports the leadership team in each Academy on action to be taken to maximise attainment and pupil progress and whilst doing so advise on the transition by pupils from one Key Stage to the next, whether that be to another Academy within the Trust or to another school.	
Facilitate school to school support.	
Provide a forum for discussion on the merits of any change to the curriculum and the impact of developments regionally and nationally.	
Resources	
Identify efficiencies through collaborative working.	
Provide support to each Academy's senior leadership team and any resource and recruitment committees.	
Support the Trust Board in the development of suitable HR policies and practices noting the need to achieve consistency across all Academies.	
Facilitate discussion with staff representative bodies, including the unions.	

APPENDIX 7

TERMS OF REFERENCE FOR THE [TRANSITION] [INTERVENTION] BOARD

All Saints' Trust (the "Academy")

PURPOSE

The Intervention Board's primary role is to support the rapid turnaround of the Academy. The Intervention Board has been established by the Trust Board and may have been appointed before the School joined the Trust in order to support the conversion of the School. The Intervention Board shall meet at least twice a term, more if necessary.

The Intervention Board will ensure that the Strategic Plan for the Academy is being implemented and will advise on the development and review of the Plan, focussing on 4 key areas of action; leadership & governance, teaching & learning, facilities & resources and finance.

The Intervention Board will report to the Trust Board on progress, recommending further action as necessary.

MEMBERSHIP

Members of the Intervention Board have been drawn from the local community and have been appointed by the Trust Board, who will ensure the members have both the capacity and skills to work intensively within the Academy, providing support and challenge to the Academy's staff and building on existing links with the community. Board members must be able to demonstrate an understanding of the ethos and values of the Trust and a commitment to fulfilling the Trust's mission and objectives for the Academy, drawing on specialist skills where required. Whilst there is no limit on the numbers expected to serve on the Board, in most cases it is not anticipated that there will be more than 3, one of whom will be the [Accounting Officer].

REVIEW

Operating with an Intervention Board is not intended to be a long term arrangement and a target date has been identified for the review of the arrangement. Any initial period will not be greater than 12 months.

Responsibility / Delegated Authority	Assessment
Ethos and vision	
Support the actions of the Trust Board in developing and sustaining a clear educational vision, ethos and direction for the Trust and the Academy, which promotes learning and the moral, social and cultural development of pupils.	
Assist with the communication of the Trust's vision within the Academy's community, reinforcing the Academy's identity as a school within the family of schools run by the Trust.	
Establish systems and procedures in the Academy which recognise and prioritise collaborative working within the Trust where possible.	
Support the Trust Board in the formulation of policies and practices which reinforce the Trust's overall vision and aims as well as recognise the uniqueness of the Academy and the contribution it makes to the Trust and to the community.	
Compliance and Leadership	
Take the lead in the development of a strategic plan for the Academy which is consistent with the Trust's overall strategic objectives and identifies appropriate priorities for the Academy, targets for improvement and specific actions to be taken.	
Advise and report to the Trust Board on the implementation of the strategic plan, identifying any financial, educational and organisational threats and weaknesses as well as opportunities for growth and improvement.	
Support the Trust Board, as well as the leadership team within the Academy, ensuring that there is sufficient challenge and feedback so that continuous improvements can be made and preparing the leadership team for the transition to full delegated responsibility.	
Have regard to the public sector equality duty in the performance of any duty.	
Act in accordance with the terms of the Trust's Master and Supplemental Funding Agreements, the Trust's Articles of Association and the current DFE Academies Trust Handbook in the performance of any duty.	
Ensure that at all times the Academy is meeting any legal requirements and duties.	
Finance and Risk Management	
Ensure that at all times any funds delegated to the Academy or otherwise held on behalf of the Academy are safeguarded, having regard to the duty of the Trustees as trustees of charitable assets and as recipients of public money.	

Responsibility / Delegated Authority	Assessment
Monitor, review and control the budget, expenditure and income of the Academy, acknowledging any amounts to be set aside for central costs and reserves, contributing to any discussions initiated by the Trust Board in relation to the budget of the Academy and the appropriate use of all funds available to the Academy.	
Support and introduce the systems of financial and risk reporting in respect of the Academy, reporting as required (including to any internal audit committee or to the external auditors) highlighting any specific risks which might jeopardise the fulfilment of the strategic plan for the Academy.	
Implement any Trust policy for the approval and signing of contracts, ensuring all contracts to be entered into by the Academy are appropriate, have been authorised (or are within delegated authority) and do not expose either the Trust or the Academy to undue risk.	
Curriculum and Standards	
Advise the Trust Board on the development of a curriculum which meets the Academy's specific needs and has regard to: • any nationally recognised curriculum priorities and initiatives • the obligation to provide religious education, sex education and physical education • special educational needs • national testing and attainment targets, and • any teaching objectives and priorities adopted by the Trust Board for all Academies.	
Advise and report to the Trust Board on the targets for relevant Key Stages in the Academy, supporting the leadership team in the Academy on action to be taken to maximise attainment and pupil progress and advising on the transition by pupils from one key stage to the next supporting the development of a personalised learning plan for each pupil.	
Carry out regular reviews of the standards of teaching and learning in the Academy and agree with the leadership team specific actions to be taken to address areas of weakness, facilitating the sharing of best practice and the development of a training programme for staff which draws on the strengths of the Academy and secures additional resources which meet needs.	
Pupil Behaviour and Attendance	
Formulate and implement a pupil behaviour policy in accordance with guidance produced by the Department for Education and as advised by the Trust Board.	

Responsibility / Delegated Authority	Assessment
Staff Recruitment	
In conjunction with the Trust Board (but having regard to the advice of the Academy's leadership team), develop a staffing structure for the Academy, identifying the number of staff required to be employed at the Academy, the levels of the posts and the role responsibilities of all staff employed and supporting, where appropriate, the sharing of resources between the Academies.	
Ensure the implementation of the HR policies adopted by the Trust Board.	
Having regard to any advice of the Trust Board and the Leadership Group, appoint all staff to work in the Academy, establishing an appointments committee in respect of the appointment of a Headteacher and such other key leadership appointments as advised by the Trust Board.	
Staff Appraisal and Performance Management	
Evaluate the standards of teaching and learning in the Academy and ensure that proper standards of professional performance are established and maintained.	
Implement any pay policy and performance management policy for all teaching and non-teaching staff employed at the Academy put in place by the Trust Board, ensuring all affected staff of the Academy are kept informed and consulted if necessary.	
Implement any written policy for the appraisal of all teaching and non-teaching staff who work in the Academy put in place by the Trust Board, having regard to the objectives of the Academy's strategic plan and ensuring all staff of the Academy are kept informed and consulted if necessary.	
Carry out the performance management and appraisal of the Headteacher, any deputies and other key leadership appointments in the Academy, supporting the Academy's leadership team in the performance management of all other staff, advising the Trust Board of any areas of weakness or where additional support and/or training is required.	
Advise the Trust Board on an appropriate programme for the training and professional development of all staff in the Academy, supporting and working with any Trust programme for the development of Headteachers and other key leadership appointments.	
Implement any written policy for staff disciplinary and grievance procedures put in place by the Trust Board and where appropriate advise on and support the Academy's leadership team on the implementation of the same.	
Undertake any disciplinary or grievance procedure for the Headteacher and other members of the Academy's leadership team, reporting to the Trust Board.	

Responsibility / Delegated Authority	Assessment
Facilitate discussion with staff representative bodies, including the unions, at both Trust Board level and within the Academy.	
Premises And Resources	
Formulate, implement and keep under review a policy for health and safety at the Academy, having regard to any advice issued by the Trust Board and/or the Leadership Group from time to time.	
Provide such advice and information as may be required to enable the Trust Board to take out and review the level of insurance cover for the Academy and at the request of the Trust Board undertake appropriate and regular risk assessments.	
Advise and report to the Trust Board on any estate management strategy for the premises and facilities used by the Academy, identifying any planned maintenance and any need for substantial works to meet the strategic aims of the Academy, including considering the availability of funding or the need to secure funding.	
No significant capital works will be undertaken or commissioned by the Intervention Board without the express written consent of the Trust Board.	
Ensure any works to the premises are carried out by appropriately qualified workers, notifying the Trust's insurers as appropriate.	
Ensure any use of premises or facilities for community or income generating purposes are carried out in compliance with any policy issued by the Trust Board in relation to such matters (including any prepared on the advice of the Trust's accountants) and keeping a separate account of any income received so that this can be identified separately in the Academy's accounts.	
Delegation	
The Intervention Board may delegate any powers and responsibilities to the Headteacher of the Academy, subject to any requirements of the Trust Board. The Intervention Board will ensure the gradual transfer of responsibility to the Headteacher, the leadership team and the Local Advisory Body when established is done sensitively to help successfully deliver the Academy's long term strategic plan.	

APPENDIX 8

Building a stronger community together, united by our love of God

All Saints' Trust
Reserves & Treasury Policy

Wisdom & Knowledge – Hope & Aspiration – Solidarity – Dignity & Respect – Rights & Responsibility – A positive, Open & Honest Culture

Reserves Policy

Rationale

As a trust of Catholic schools, we are committed to working together in a trusting and collaborative manner, with integrity and transparency. We will model the leadership in the trust and in our schools on the example of our Teacher, Jesus Christ, "who came into the world to give witness to the truth, to save and not to judge, to serve and not to be served." (*Gaudium et Spes,* 3).

Directors must ensure that the funds received by the trust are used for the purposes intended. They must also set a balanced budget. The Education and Skills Funding Agency (DFE), the regulator, expects academy trusts to maintain appropriate reserves.

The purpose of the reserves policy for the trust, is to ensure the stability of the trust and its schools in the light of changing economic conditions, educational priorities and student needs. The aim is to protect its operations and have the ability to adjust quickly to financial requirements, such as large unplanned expenditure, cyclical maintenance and working capital requirements.

The trust holds reserves in order to provide sufficient working capital to cover delays between spending and receipt of grant income, to provide a cushion to deal with

unexpected emergencies such as urgent maintenance, pressing school improvement priorities and to build up funding for strategic growth & development.

Trust Funding

The majority of the trust's income comes from public sources; that is from the taxpayer. Funding does not 'belong' to a school or even to the trust. It belongs to the pupils that the trust educates. Directors have an obligation to ensure that **every pupil in every trust school has access to the best education, including high quality learning environments**. This is in line with the trust's commitment to the Common Good.
The trust is responsible for all its resources, which are at risk from funding levels due to changing macro- economic circumstances.

Trust expenditure

The main areas of expenditure are staff salaries, the acquisition and maintenance of tangible fixed assets (mainly buildings) and other operating expenditure.

Staff salaries are relatively stable within a year and from year to year. However, there is some risk from nationally negotiated pay settlements during the year. Teaching and support staff are critical to the continuing delivery of high quality education to students. It is therefore imperative that a minimum reserve is maintained to ensure that there is no interruption in their payment due to any short term liquidity constraints arising from other issues. The trustees consider that a minimum 1.75 months' of staff costs reserve, is sufficient without being overly prudent.

With respect to fixed assets, it should be noted that the value in the financial statements does not reflect actual original cost or replacement cost. This is because the buildings are owned by the RC Diocese of Westminster and occupied under licence by the trust. However, they are maintained by the trust.

Level of reserves – whole trust

New building and condition improvement works run the risk of cost over runs against those budgeted, through either changes in scope or inflation. In existing buildings, there is the risk of unexpected major structural issues arising, such as RAAC, or other concerns such as the discovery of previously "hidden" asbestos requiring immediate, and therefore unfunded attention. On an operating level, there is a risk of unplanned emergency maintenance, for instance to boilers or electrical infrastructure, as well as inflation.
Other operating expenditure is relatively secondary and does not required separate consideration with respect to reserves.
Consequently, school-held reserves that exceed the level set by the Trust (please see below) will be held centrally and allocated to school or trust-wide development priorities, unless the school has identified priorities and the trust has approved these. The level of reserve will be recalculated each year to match grant funding.

Level of reserves - held locally

Income reserves will be held centrally. However, trustees consider that individual schools should hold a locally held income reserve equivalent to 10% x their general annual grant. The income reserve will be as per the audited accounts. In the event that a school's year end audited income reserve is less than 10% x GAG, it will not be topped up

from central reserves. Where a school has a deficit income reserve, it will follow a 3-year recovery plan to eliminate the deficit.

Target level of reserves

In setting a target level of reserves, it is important to balance the interests of current and future students. Too prudent a reserve will prejudice the interest of current students to the advantage of future students and vice versa.

There are two components to the target level of reserves.

Firstly, they should cover future expected capital expenditure that will not be funded from other sources.

Secondly, reserves are required against future adverse uncertainties. Given that the financial consequence of future adverse events that are unknown or uncertain cannot be quantified or accurately estimated, the appropriate level of this component of reserves is very much a matter of judgement.

Having considered the risks outlined above and the imperative of being able to pay staff salaries and associated costs on time, this component of reserves should be equal to 1.75 months' staff costs.

Reserves will naturally fluctuate in the light of changing circumstances, and it is therefore necessary to set a maximum and minimum level within which reserves may vary. The trustees consider that the minimum level of reserves should be future expected unfunded improvement capital expenditure plus one month's staff costs.

The trustees consider that the maximum level of reserves should be future expected unfunded improvement capital expenditure plus 2.5 months' staff costs.

Individual school reserves

The proposed use of reserves for school projects should be identified in the school development plan and in the approved 3-year budget. The trust reserves the right to direct a school to use reserves for identified condition improvements.

Where a donor wishes to donate substantial monies, i.e. in excess of £5000 to a specific school, that school will keep those monies locally to use as agreed with the donor. They will not form part of the central reserve.

Treatment of in-year surplus / deficit

Where an individual school has an in-year revenue surplus or deficit, the following applies:

Surplus

An in year surplus that exceeds the level set by the Trust will be transferred to central reserves. The school will have the opportunity during the budget setting process to set out the planned use of such reserves

Planned in year deficit

Planned budgeted deficits in individual schools must be approved by the trust board. This will be where the school is facing challenging circumstances e.g. declining roll, urgent building need etc. In such situations, there will be a 3-year recovery plan which leads the school to a balanced budget.

Use of Central Reserves

Central reserves will not be used for central operating costs. The centre will have a balanced 3-year budget based on the central services charge. Central trust reserves will be used for the following purposes:

- Supporting a school through a planned budgeted deficit while a recovery plan is being actioned.
- Improving the school estate, over and above the school condition allocation (when applicable).
- Improving the ICT infrastructure across the school estate
- School identified projects that cannot be funded from school held reserves

There will be a transparent process for the use of trust central reserves. School leaders will be involved in the identification of priorities.

Capital funding

CIF and devolved formula capital will be held locally and school condition allocation (SCA) funding will be held centrally.

Pension reserve

The total reserves at the end of each financial period includes restricted funds and any pension deficit. When accounting for the Local Government Pension Scheme (LGPS), the trust will recognise a significant pension fund deficit. This deficit is included within restricted funds. This does not lead to an immediate liability for this amount. Similarly, if there were a pension surplus included in the restricted fund, this would not create an immediately realisable asset that could be released and expended in respect of the educational priorities of the trust.

A deficit or surplus position of the pension scheme would generally result in a cash flow effect for the trust in the form of an increase or decrease in employers' pension contributions over a period of years. The trust takes this fact into account when reviewing business plans and budgets, ascertaining how the pension costs might affect budgets in the future. Accordingly, increased pension contributions, in respect of any deficit, should generally be met from the trust's budgeted annual income.

Therefore, there is no requirement for a specific pension reserve additional to that calculated by the actuary.

Schools joining the Trust

Any surplus balance brought into the trust on school conversion, will remain with the enlisting school and will be deployed as follows in order of priority:

- To address urgent compliance and health and safety issues at the time of conversion, as well as other pressing requirements determined by due diligence e.g. school improvement. Compliance and health and safety issues will normally be determined by a condition survey commissioned on joining the trust.
- Any remaining balance brought forward will be added to reserves (noting any specific project or programme for which the reserves have been designated).
- Where there is a deficit transfer to the trust on conversion, the joining school will be the subject of a specific recovery plan agreed with the board and the DFE prior to entry.

Right of appeal

In accordance with the Academy Trust Handbook, the trust acknowledges an individual academy's right to appeal against a decision made by the board to access its strategic reserves. If a constituent school's Head Teacher feels that the academy has been unfairly treated, they should first appeal in writing to the trust Chief Executive Officer ("CEO"). The CEO will consider the appeal and notify the Headteacher of the school of his/her decision within 10 working days of receipt of the appeal.

This policy will be reviewed annually by the Trust Board.

Treasury Policy

Investment of cash balances

Cash balances arising primarily from reserves may be invested to generate additional income for the trust as a whole. However, when investments are made the following principles will be strictly adhered to:

AST treasury policy

- Cash may only be deposited in a bank with a credit rating of A- or better; alternatively, it may be deposited in the Epworth cash fund.
- The trust board shall ensure that all trust funds are invested in the name of All Saints' Trust.

- The trust board shall ensure that all investments which are the property of, or in the name of the trust, are held by a custodian.

Epworth cash fund

- HSBC and Epworth IM Ltd are the two trustees of the fund.
- HSBC hold the title to the investments and so are custodians of the fund's assets.
- The Epworth cash fund holds primarily overnight, notice and fixed term deposits. Epworth diversify risk by using banks with a credit rating of A- or higher as defined by the major ratings agencies.
- Funds held in the Epworth cash fund would be invested in the designated name of All Saints' Trust.
- Schools within the trust may hold sub-accounts so that they can decide on the value of their investment.
- Funds would be returned via the AST account. This is normally within two working days but may take up to seven working days.
- Epworth are not covered by the Financial Services Compensation Scheme; AST only has 85k protection under this scheme currently.
- Epworth cash fund is overseen by the Charities Commission
- Epworth as fund manager is subject to the rules and regulations of the Financial Conduct Authority.
- Epworth is wholly owned by the Central Finance Board of the Methodist Church.

Epworth's scheme particulars provide that the Fund will not invest more than 20% of its assets with any single bank or banking group with a credit rating of AAA. Epworth set lower limits for lesser credit rated banks. The Epworth Board has approved the following credit limits for the fund:

Average credit score	Max % of fund per single bank	Max over 95 days
AAA	20%	15%
AA+	19%	14%
AA	18%	13%
AA-	17%	12%
A+	16%	11%
A	15%	10%
A-	10%	5%
BBB+	Nil	Nil

In addition, no bank will be approved as a counter-party of the fund unless it is in the top 75 of global banks by total assets (per Banker Magazine) and will be removed from the approved list if it falls outside of the top 125 banks.

This policy will be reviewed annually by the Trust Board.