

# SCHEME OF DELEGATION

## Contents

<b>Introduction</b> .....	1
<b>1. Overarching strategy</b> .....	4
<b>2. Governance</b> .....	7
<b>3. Education and standards</b> .....	12
<b>4. Finance and resources</b> .....	16
<b>Financial strategy and budgets</b> .....	16
<b>Purchasing and procurement</b> .....	21
<b>Banking and cash management</b> .....	25
<b>Staffing related</b> .....	26
<b>Transaction processing</b> .....	27
<b>Income generation and external funding</b> .....	28
<b>Fixed assets</b> .....	29
<b>5. Risk and audit</b> .....	34
<b>6. Remuneration and HR</b> .....	43

## Introduction

- (i) The University of Brighton Academies Trust is a multi academy Trust; it is a single legal entity, a charitable company, with a Board of Trustees that is responsible and accountable for the performance of all the academies within the Trust. As the accountable body, the Board of Trustees is the key decision maker. It may delegate its operational responsibilities to executive leaders, and governance responsibilities to its committees or individuals; however, the Board of Trustees as a corporate entity remains accountable and responsible for all decisions made and executive leaders operate within the autonomy, powers and functions delegated to them by the Board<sup>1</sup>. The Board is ultimately responsible for ensuring effective financial management arrangements.
- (ii) The purpose of this document is to set out the responsibilities delegated by the Board to its executive leaders and committees. It has been designed to comply with the requirements of the Trust's Articles of Association and Funding Agreements, the Education and Skills Funding Agency's Academies Financial Handbook, Charity Law and the Companies Act 2006.
- (iii) It is assumed that all committees and individuals will implement agreed Trust strategies, policies and procedures in accordance with the relevant policy document. Relevant parties have the opportunity to contribute to the development of policies and strategies. The body responsible for the approval of a strategy / policy / procedure will oversee its implementation, drawing on monitoring information as appropriate.

<sup>1</sup> Taken from the Department for Education's Governance Handbook and Competency Framework

- (iv) Throughout, the responsible committee aligns with the relevant section of the Scheme of Delegation (eg the Education and Standards Committee is the committee responsible for the responsibilities in the 'Committees and Panels' column in section 3) unless otherwise stated.
- (v) Activities undertaken in nurseries, extended schools, Robsack Wood Teaching School Alliance and Sussex Teacher Training Partnership (SCITT) must be undertaken in accordance with the principles of this Scheme of Delegation.
- (vi) In the absence of a Committee, the responsibilities delegated to it will be undertaken by Board of Trustees.
- (vii) In the absence of a Local Board, the responsibilities delegated to it will be undertaken by either the Trust's Governance & Admissions team, an Executive Team member or the Board of Trustees.
- (viii) In the absence of a named Executive Team member role (apart from the Chief Executive) the responsibilities will be undertaken by another member of the Executive Team. In the absence of the Chief Executive, any named responsibilities will be undertaken by the Chair of Trustees.
- (ix) Urgent matters may be considered / approved by the Chair of the Board of Trustees or Chair of the relevant committee and reported to the next meeting the Board or committee.
- (x) This scheme of delegation will be reviewed annually.
- (xi) **Status and review**

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**Key:**

- E&SC Education and Standards Committee
  - F&RC Finance and Resources Committee
  - R&AC Risk and Audit Committee
  - R&HRC Remuneration and HR Committee
  - CEO Chief Executive
  - DoFO Executive Director of Finance and Operations
  - DoS Executive Director of Strategy
  - DoSI Executive Director of School Improvement
  - EFMD Estates and Facilities Management Director
  - HoF Head of Finance
  - HoP Head of People
  - ICTD ICT Director
  - FBPL Finance Business Partner Lead
  - FM Finance Manager
  - IA Internal Auditors
- Professional services teams:

EFM: Estates and Facilities Management team  
Fin: Finance team  
Gov: Governance and admissions team  
ICT: ICT and Management Information team  
M&C: Marketing and Communications team  
Peo: People team  
SI: School Improvement team

## 1. Overarching strategy

Function	Members	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services
Trust values, vision, mission and overall strategic direction		Consider and approve		Advise Board regarding the implementation in academies	Develop and propose	Contribute to development	Contribute to development
Contextualises the Trust values and vision in academy				Consider and approve		Develop and propose	
Trust aims/strategic plan		Consider and approve Strategic Plan and Annual Targets  Monitor Strategic Plan and Annual Targets	Monitor assigned Strategic Plan priority area and targets	Report key issues and risks to Board or Executive Team	Develop and propose Strategic Plan and annual targets  Monitor Strategic Plan and Annual Targets  Report key issues and risks to Board or relevant Committee	Contribute to development of Strategic Plan	Contribute to development of Strategic Plan
Improvement plans and targets and Trust data					Approve Academy and Professional Team targets and annual improvement plans  Monitor improvement plans and targets and associated Trust data  Report key issues and risks to Board or relevant Committee	Develop and propose an annual Academy Improvement Plan and targets which align with Strategic Plan	Develop and propose an annual Professional Team improvement plan and targets which align with Strategic Plan  ICT: Develop data dashboard and co-ordinate provision of regular Trust data to Exec team  Produce regular analyses of benchmarking data
Trust expansion	Consider and approve	Consider and propose			Develop and propose		
Name of Trust	Consider and approve	Consider and propose			Develop and propose		

Function	Members	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services
Academy names		Consider and approve			Recommend	Develop and propose	
Term dates					Consider and approve variations from local authority norm, ensuring consistency across the Trust	Develop and propose variations from the local authority norm	Contribute to development
Academy community engagement strategy, including parental engagement		Oversee		Consider and approve  Monitor strategy and advise Board regarding its implementation  Monitor parental engagement/ surveys (eg ParentView) and report key risks to Board & Executive Team		Develop and propose	Gov: Monitor development of strategies and report key risks to Exec Team
Marketing and Communication strategies and plans					Consider and approve Trust M&C strategies and plans	Liaise with M&C team regarding academy marketing plans and initiatives	M&C: Develop and propose Trust M&C strategies and plans  M&C: Contribute to the development of academy marketing plans and initiatives

Function	Members	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services
Equality		Consider and approve Equality Objectives every four years	RHR: Monitor Gender Pay Gap data		Develop and propose Equality Objectives  Approve Gender Pay Gap data and commentary prior to publication	Contribute to development of Equality Objectives	Peo: Contribute to development of Equality Objectives  Peo: Complete statutory equality duty reporting, including annual information on how the Trust's Equality Objectives are met  Peo & ICT: Prepare Gender Pay Gap data and commentary  Peo: Publish Gender Pay Gap Data

## 2. Governance

Function	Members	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services
Review and amend Articles of Association	Consider and approve	Consider and propose			Develop and propose		
Members and Trustees	Note appointments and resignations of Members (appointed by sponsor)	Note appointments and resignations of Members and Trustees (appointed by sponsor)  Appoint co-opted Trustees  Appoint Chairs of Committees					Gov: Update Companies House, Edubase/DfE and Trust website  Gov: Arrange DBS checks  Gov: Complete Companies House Annual Return by notified deadline
Local Board members		Appoint Chairs  Appoint and remove members  Note parent / staff election results  Note resignations		Propose Chair  Nominate members  Arrange election of parent and staff members			Gov: Update DfE Get Information about Schools
Key governance appointments		Appoint Accounting Officer (ex-officio CEO)  Appoint Company Secretary  Appoint Chief Financial Officer			Recommend Company Secretary  Recommend Chief Financial Officer  Appoint Clerk to Trustees		Gov: Update DfE Get Information about Schools  Gov: Appoint Local Board Clerks

Function	Members	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services
Governance structure	Oversee	Consider and approve	Establish working groups as required to undertake responsibilities or special projects		Develop and propose		Gov: Publish on Trust website, including: <ul style="list-style-type: none"> <li>• Structure and remit</li> <li>• Names of chairs</li> <li>• Appointment details</li> <li>• Meeting attendance</li> <li>• Previous membership</li> </ul>
Terms of reference, constitution and membership of Board's Committees		Consider and approve					Gov: Develop and propose
Scheme of Delegation	Oversee	Consider and approve overarching scheme and review annually  Oversee	R&A: Consider and approve finance responsibilities  R&A: Oversee		Develop and propose	Contribute to development	Gov: Contribute to development  Gov: Monitor and report key risks to Executive Team
Code of Conduct for Trustees and Local Board members		Consider and approve  Act in accordance	Act in accordance	Act in accordance			Gov: Develop and propose
Compliance with: <ul style="list-style-type: none"> <li>• Funding Agreements</li> <li>• Company and Charity Law (including serious incident reporting)</li> <li>• Academies Financial Handbook</li> </ul>	Act in accordance	Responsible for	Act in accordance	Act in accordance	Advise  Act in accordance	Act in accordance	All: Act in accordance



Function	Members	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services
Governance Self Evaluation		Undertake annual assessment of the Board's skills, effectiveness, leadership and impact, including review of Governance Competency Framework and Governance Self Evaluation		Undertake Local Board Self Evaluation			
Governance training and development for Members, Trustees and Local Board members		Participate in regular training and development	Participate in regular training and development	Participate in regular training and development			Gov: Arrange induction  Gov: Develop and implement an annual training & development programme
Policies		Consider and approve statutory and Trust policies  Oversee implementation of policies	Consider and approve statutory and Trust policies  Oversee implementation of policies	Receive academy specific policies ensuring that stakeholder views are incorporated as necessary	Consider and approve Trust operational policies	Develop, propose and approve academy specific policies  Maintain an academy policy schedule, ensuring regular review, development and updates in line with current guidance	All: Develop and propose statutory and Trust policies  All: Develop and propose Trust operational policies  Gov: Maintain Trust policy schedule, ensuring regular review, development and updates in line with current guidance  Gov: Inform each academy annually of the Trust policies in approval; and as and when each Trust policy is approved / revised

Function	Members	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services
Complaints		Oversee  Consider and approve Complaints Policy		Participate in informal resolution of complaints or at Stage 2 of the Formal Procedure Stage  Convene Complaints Panels as required	Monitor	Participate in informal resolution of complaints or at Stage 2 of the Formal Procedure Stage	Gov: Develop and propose Complaints Policy / procedures  Gov: Monitor complaints in academies and report key risks to Executive Team
Whistleblowing		Approve Trust Whistleblowing Policy  Appoint a Whistleblowing Link trustee and named member of staff for whistleblowing concerns					Peo and Gov: Develop and propose Trust Whistleblowing Policy and publish on website

Function	Members	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services
Admissions		<p>Oversee</p> <p>Consider and approve Admissions Policy, including oversubscription criteria for each academy and annual admissions arrangements</p>		<p>Approve in-year admissions</p> <p>Approve annual admissions</p> <p>Consider and approve parental requests for out of normal year group admissions</p> <p>Propose any changes to the academy's oversubscription criteria</p>		<p>Contribute to admissions appeals</p> <p>Consider parental requests for out of normal year group admissions and present case to Admission Sub-Committee</p>	<p>Gov: Develop and propose Admissions Policy and annual admissions arrangements</p> <p>Gov: Organise statutory consultations on admissions arrangements</p> <p>Gov Publish annual admissions arrangements &amp; advise LA</p> <p>Gov: Engage Independent Appeals Service provider</p> <p>Gov: Support admissions appeals</p>

### 3. Education and standards

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Challenge Partner
School Improvement Strategy	Consider and approve	Consider and recommend  Monitor		Develop and propose	Contribute to development		Contribute to development
Quality of teaching and learning / education		Review the monitoring of the quality of teaching & learning and education		Agree Trust framework for the quality assurance of standards of teaching and learning  Vulnerable academies: develop approach and monitor implementation of teaching and learning framework	Monitor the quality of teaching and learning		Quality assure the monitoring of the quality of teaching and learning  Report key risks to the Executive Team  Review progress towards delivering the SI Action Plan
School Improvement Status reports		Monitor and report key risks to Board		Monitor			Develop and review/update
Academy Self-evaluation documents <sup>2</sup>			Receive  Support implementation	Agree templates  Oversee  Monitor and report key risks to E&SC	Develop and recommend  Implement		Consider and approve  Monitor and report key risks to Executive Team

<sup>2</sup> See Strategy section for Academy Improvement Plans and Targets

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Challenge Partner
Curriculum <sup>3</sup>			Provide feedback from parents and community stakeholders to inform curriculum	Good & better academies: Monitor  Vulnerable academies: Contribute to development of curriculum model; monitor	Good & better academies: Determine and implement curriculum  Vulnerable academies: Contribute to and implement agreed curriculum model		Monitor curriculum and report key risks to the Executive Team  Vulnerable academies: Contribute to development of curriculum model; Monitor and report key risks to the Executive Team
Special Educational Needs		Consider and approve Trust policy	Provide feedback from parents and community stakeholders to inform SEN provision  Consider and approve the academy annual SEN Information report and Accessibility Plan  Participate in EHCP consultations	Ensure compliance with SEND Code of Practice and Disability Discrimination Act in academies	Implement requirements of DfE SEND Code of Practice, Disability Discrimination Act and Trust policy <sup>4</sup>  Develop, propose and publish the annual SEN Information report  Develop, propose and publish Accessibility Plan	Gov: Develop and propose Trust SEN Policy and templates for SEN Information Report & Accessibility Plan  EFM: Contribute to the development of academy Accessibility Plans	Monitor provision and report key risks to Executive Team

<sup>3</sup> The curriculum of each academy should ensure that statutory / funding agreement requirements are met and take into account national priorities, including English, maths & science; Prevent; Sex & Relationships Education; religious education & collective worship

<sup>4</sup> Including: appointing a teacher with QTS as SENCO; liaising with the local authority regarding pupils with SEN; making provision for pupils with SEN

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Challenge Partner
Safeguarding and child protection (including Prevent)	<p>Appoint the following link role:</p> <ul style="list-style-type: none"> <li>Safeguarding</li> </ul> <p>Consider annual safeguarding reports</p>	<p>Consider and approve Trust policy template</p> <p>Monitor overall provision</p> <p>Safeguarding Link: Receive local board and safeguarding peer reports</p>	<p>Appoint the following link roles:</p> <ul style="list-style-type: none"> <li>Safeguarding</li> <li>Special educational needs</li> <li>Looked after children</li> </ul> <p>Undertake regular reviews of the academy's safeguarding arrangements and Single Central Register</p> <p>Prepare annual safeguarding report</p> <p>Monitor Safeguarding and Child Protection procedures</p>	Monitor Safeguarding and Child Protection procedures	<p>Implement requirements of DfE Keeping Children Safe in Education Guidance<sup>5</sup></p> <p>Develop, propose and publish Academy Safeguarding and Child Protection Policy, using Trust template</p> <p>Maintain academy Single Central Register</p> <p>Participate in Safeguarding Peer Reviews</p>	<p>Gov: Develop and propose Trust policy and local board templates</p> <p>Peo: Maintain Trust Single Central Register</p> <p>Gov: Provide information regarding Trustees for inclusion on academy Single Central Registers</p> <p>SI: Implement a programme of Safeguarding Peer Reviews</p> <p>SI: Provide regular monitoring information re child protection cases / referrals</p> <p>SI: Monitor provision &amp; compliance and report key risks to the Executive Team</p> <p>EFM: Highlight potential site security / safeguarding risks</p>	<p>Monitor provision and report key risks to Executive Team</p> <p>Monitor progress against Safeguarding Review recommendations</p>

<sup>5</sup> including: appointing a member of staff as Designated Safeguarding Lead; appointing a Designated Teacher for Looked After Children; completing regular safeguarding audits

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Challenge Partner
Behaviour and attendance, including exclusions		<p>Consider and approve Trust Attendance and Exclusions policies</p> <p>Monitor overarching exclusion and attendance data</p>	<p>Provide feedback from parents and community stakeholder to inform the academy's behaviour policy and strategies to maximise pupil attendance</p> <p>Monitor academy behaviour, exclusion and attendance data</p> <p>Convene Exclusions Panels in accordance with Trust Exclusions Policy</p>	Monitor behaviour and attendance	Develop, approve and monitor impact of the academy's Behaviour Policy	<p>Gov: Develop and propose Trust Attendance and Exclusions policies</p> <p>Gov: Engage Independent Appeals Service provider</p> <p>SI: Implement a programme of Attendance and Behaviour Reviews</p> <p>SI: Monitor provision and report key risks to the Executive Team</p>	Monitor behaviour and attendance and report key risks to the Executive Team
<p>Other pupil matters, including:</p> <ul style="list-style-type: none"> <li>• Pupil Premium strategy</li> <li>• PE and Sport Premium strategy</li> <li>• Home School Agreements, where used</li> <li>• Provider access</li> </ul>			<p>Provide feedback from parents and community stakeholders to inform annual strategies and Home School Agreement</p>	Agree templates	<p>Monitor impact of funding and prepare and publish strategies</p> <p>Prepare and publish Home School Agreement, if used</p>		Review annual strategies and funding impact reports for their academy

4. Finance and resources

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Budget holders (eg Principals and Heads of Service)	Professional Services	Academy / Central Office staff
<b>Financial strategy and budgets</b>							
Financial strategy, including Medium Term Financial Plan	Consider and approve	Consider and recommend  Monitor		Develop and propose  Monitor	Contribute to development	Fin: Contribute to development  Fin: Monitor and report key risks to the Executive Team	
School Resource Management Self Assessment Toolkit	Receive and consider			Approve toolkit prior to submission	Contribute to development	Fin: Prepare toolkit  Fin: Submit toolkit to ESFA by specified deadline (normally 14/11)	Contribute to development



Function	Trustees	Committees and Panels	Local Boards	Executive Team	Budget holders (eg Principals and Heads of Service)	Professional Services	Academy / Central Office staff
Finance systems and operational processes (Standard Financial Procedures) <sup>6</sup>				<p>Consider and approve the implementation of a finance system for the Trust</p> <p>Approve the Trust's Standard Financial Procedures</p> <p>Monitor</p>		<p>Fin: Propose finance system</p> <p>Fin: Develop Standard Financial Procedures</p> <p>Fin: Provide training and advice to support the implementation of the finance system and Standard Financial Procedures</p> <p>Fin: Maintain a list of central staff and their approved levels of access to finance system and payroll records</p> <p>Fin: Monitor and report key risks to the Executive Team</p>	Implement finance system and Standard Financial Procedures

<sup>6</sup> All are responsible for ensuring the Trust's financial operational processes are fully and correctly implemented, ensuring adequate operational controls are in place and the principles of internal control are maintained. Full, accurate and up to date records should be maintained in order to provide financial and statistical information and so that figures can be reconciled with the Trust's bank account and records. Standard Financial Procedures are developed to ensure adequate operational controls are in place

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Budget holders (eg Principals and Heads of Service)	Professional Services	Academy / Central Office staff
Annual budgets including 3 year budget forecasts	<p>Consider and approve the annual budgets including 3 year budget forecasts</p> <p>Consider and approve budget forecast return outturn</p>	<p>Consider and recommend the annual budgets including 3 year budget forecasts</p> <p>Consider and recommend budget forecast return outturn</p> <p>Monitor and report key risks to the Board</p>		<p>Agree key financial performance measures to inform budget setting</p> <p>Scrutinise the annual budgets (including 3 year budget forecasts) prior to approval</p> <p>Scrutinise budget forecast return outturn prior to approval</p>	<p>Prepare annual budget including 3 year budget forecast, in liaison with central finance team</p> <p>Implement and monitor approved budget</p>	<p>Fin: Propose key financial performance measures to inform budget setting</p> <p>Fin: Contribute to and support development of annual budgets including 3 year budget forecasts</p> <p>Fin: Submit 3 year budget forecast return to ESFA by deadline (normally late July)</p> <p>Fin: Prepare budget forecast return outturn</p> <p>Fin: Submit budget forecast return outturn to ESFA by deadline (normally mid May)</p> <p>Fin: Monitor and report key risks to the Executive Team</p>	<p>Contribute to the development of annual budgets</p> <p>Upload budgets into Sage (following approval)</p>

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Budget holders (eg Principals and Heads of Service)	Professional Services	Academy / Central Office staff
Financial monitoring of income, expenditure, cash flow and balance sheets	<p>Receive and consider financial monitoring information six times a year (including twice yearly budget reforecasts)</p> <p>Chair: Receive financial monitoring information monthly</p>	<p>Receive and consider financial monitoring information six times a year (including twice yearly budget reforecasts)</p> <p>Monitor and report key risks to the Board</p>		Monitor budgets	Monitor budget	<p>Fin: Contribute to and support development of monthly budget monitoring reports including the reconciliation of staff costs and income against budgets</p> <p>Fin: Contribute to and support the development of budget reforecasting twice a year</p> <p>Fin: Undertake monthly reconciliation of financial monitoring information with bank accounts</p> <p>Fin: Monitor and report key risks to the Executive Team</p>	<p>Prepare monthly budget monitoring reports including the reconciliation of staff costs and income against budgets</p> <p>Academy staff: Ensure that all required reports are sent to the central finance team within the required timescales</p>

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Budget holders (eg Principals and Heads of Service)	Professional Services	Academy / Central Office staff
Budget virements		Approve £50,001 and above <sup>7</sup>  Note all other budget virements		DoFO: Approve up to £30,000  DoFO & CEO: Approve between £30,000-£100,000  DoFO & CEO: Recommend £100,000 and above  DoFO: Approve adjustments to budgets to reflect new funding and changes in responsibility	Propose up to £15,000	Fin: Upload amended budgets into Sage (following approval)  Fin: Report all virements to F&RC	
Historic reserves		Consider and approve use of historic reserves		Scrutinise proposals for use of historic reserves and recommend approval	Propose use of historic reserves for non-recurrent projects		
General and restricted reserves		Consider and approve use of general and restricted reserves		Propose use of general and restricted reserves for (i) school improvement, (ii) ICT, (iii) Estate, (iv) unexpected costs  Scrutinise proposals for use of general and restricted reserves (made by Professional Services) and recommend approval		All: Propose use of general and restricted reserves for (i) school improvement, (ii) ICT, (iii) Estate, (iv) unexpected costs	

<sup>7</sup> Approval must be given prior to making changes or placing orders

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Budget holders (eg Principals and Heads of Service)	Professional Services	Academy / Central Office staff
<b>Purchasing and procurement</b>							
Procurement				<p>Consider and approve Procurement Procedures</p> <p>Monitor and ensure spending decisions represent Value for Money</p> <p>Consider and approve cross Trust procurement</p>		<p>Fin: Develop and propose Procurement Procedures</p> <p>Fin: Identify, recommend and maximise opportunities for cross Trust procurement</p> <p>Fin: Advise on implementation of Procurement Procedures</p> <p>Fin: Receipt and custody of tenders</p>	

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Budget holders (eg Principals and Heads of Service)	Professional Services	Academy / Central Office staff
Placing and receiving orders for goods and services <sup>8 9 10 1112 13 14</sup>		Approve orders over £100,000		DoFO: Approve proposals for further delegation of budgets by budget holders  DoFO: Approve orders up to £50,000  CEO: Approve orders up to £100,000	Approve orders up to £15,000  Propose further delegation of budgets within their academy team <sup>15</sup>		Academy & Central Staff: Action purchase orders following approval

<sup>8</sup> All are responsible for ensuring that the arrangements for the approval, placing and receiving of orders are in accordance with the Trust's financial regulations and procurement procedures. Central Trust staff should maintain records of staff approved to place and receive orders.

<sup>9</sup> There should be appropriate division of duties between staff who place & receive orders and approve invoices for payment. No one person shall be the signatory for all of the following stages: (i) approving the order, (ii) receiving the goods, (iii) approving payment

<sup>10</sup> Orders should **not** be placed until after a purchase order has been raised

<sup>11</sup> All procurement amounts in this scheme are net of VAT

<sup>12</sup> Three quotes are required (and should be attached) for orders between £2,000 and £25,000 (unless suppliers are on the preferred supplier list, in which case one quote is required for orders up to £5,000 and three quotes are required for orders between £5,000 and £25,000; or unless the purchase is being made through an approved third party framework); exceptions will be agreed where an agreed contract exists with a preferred supplier or there is only one supplier who meets the Trust's specification. Under these circumstances the judgement will be made by the HoF

<sup>14</sup> For orders over £25,000 or for novel & contentious orders, a scoping document is required which proposes how the good and services are best procured. Where a tender exercise is agreed, the Procurement Officer is responsible for the receipt and custody of all tenders.

<sup>15</sup> All budget holders must appoint a nominee who can approve budget matters in their absence; all spend must be agreed by the budget holder or their nominee

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Budget holders (eg Principals and Heads of Service)	Professional Services	Academy / Central Office staff
Authorising invoices for payment (where there is a variation between the purchase order, good received note and invoice) <sup>16 17 18 19 20 21 22 23 24</sup>	Approve where EU procurement applies	Approve over £100,000		DoFO: Approve up to £50,000  DoFO: Recommend to CEO approval between £50,001 to £100,000  CEO: Approve up to £100,000  CEO or DoFO: Recommend to F&RC approval over £100,000	Approve up to £15,000 <sup>25</sup>  Recommend approval between £15,000 to £25,000		

<sup>16</sup> All are responsible for ensuring that the arrangements for approving payment are in accordance with the Trust's financial regulations and procurement procedures; payments must be supported by an invoice or proper account which is duly certified before payment. Central Trust staff should maintain records of staff able to approve payments.

<sup>17</sup> Where the invoice aligns with the purchase order and the goods received note, invoices will be authorised by the Finance team (unless they are novel & contentious or over £100,000)

<sup>18</sup> There should be appropriate division of duties between staff who place & receive orders and approve invoices for payment. No one person shall be the signatory for all of the following stages: (i) approving the order, (ii) receiving the goods, (iii) approving payment

<sup>19</sup> EU procurement regulations apply to values over £189,330

<sup>20</sup> All invoice amounts in this scheme are net of VAT

<sup>21</sup> For emergency purchases, approval from the F&RC Chair plus CEO by email or, in CEO absence, approval from the Chair plus two FR&C members by email will constitute approval

<sup>22</sup> Three quotes are required (and should be attached) for orders between £2,000 and £25,000 (unless suppliers are on the preferred supplier list, in which case one quote is required for orders up to £5,000 and three quotes are required for orders between £5,000 and £25,000; or unless the purchase is being made through an approved third party framework); exceptions will be agreed where an agreed contract exists with a preferred supplier or there is only one supplier who meets the Trust's specification. Under these circumstances the judgement will be made by the HoF

<sup>23</sup> For orders over £25,000 or for novel & contentious orders, a scoping document is required which proposes how the good and services are best procured. Where a tender exercise is agreed, the Procurement Officer is responsible for the receipt and custody of all tenders.

<sup>25</sup> All budget holders must appoint a nominee who can approve budget matters in their absence; all spend must be agreed by the budget holder or their nominee

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Budget holders (eg Principals and Heads of Service)	Professional Services	Academy / Central Office staff
Contracts and agreements <sup>26 27 28 29 30 31 32 33 34</sup>	Approve where EU procurement applies	Approve contracts over £100,000		DoFO: Approve contracts up to £50,000  DoFO: Recommend to CEO approval of contracts between £50,001 to £100,000  CEO: Approve contracts up to £100,000  CEO or DoFO: Recommend-to F&RC contracts over £100,000	Propose entering into a contract or agreement	Fin: Maintains a register of all contracts, amounts paid and certificates of completion  HoF: Approve contracts up to £15,000	Academy and Central staff: Sign certificates where contracts require that interim and final payments are made on such certificates
Approving payments <sup>35</sup>				CEO/ DoFO / DoS: Authorised to approve payments in accordance with bank mandate		FM, FBPL: Authorised to approve payments in accordance with bank mandate	

<sup>26</sup> All contracts are between the Trust (as the legal entity) and the contractor, even where the goods/services provided through the contract relate to an individual academy

<sup>27</sup> All are responsible for ensuring that all contracts and agreements conform with the Trust's financial regulations

<sup>28</sup> EU procurement regulations apply to contract values over £189,330

<sup>29</sup> In emergency circumstances, approval from the F&RC Chair plus CEO by email or, in CEO absence, approval from the Chair plus two FR&C members by email will constitute approval

<sup>30</sup> All contract amounts in this scheme are net of VAT and refer to the value over the lifetime of the contract

<sup>31</sup> For orders over £25,000 or for novel & contentious orders, a scoping document is required which proposes how the good and services are best procured. Where a tender exercise is agreed, the Procurement Officer is responsible for the receipt and custody of all tenders.

<sup>32</sup> Three quotes are required (and should be attached) for orders between £2,000 and £25,000 (unless suppliers are on the preferred supplier list, in which case one quote is required for orders up to £5,000 and three quotes are required for orders between £5,000 and £25,000; or unless the purchase is being made through an approved third party framework); exceptions will be agreed where an agreed contract exists with a preferred supplier or there is only one supplier who meets the Trust's specification. Under these circumstances the judgement will be made by the HoF

<sup>35</sup> The value of payments to be approved is in accordance with the Trust's bank mandate



Function	Trustees	Committees and Panels	Local Boards	Executive Team	Budget holders (eg Principals and Heads of Service)	Professional Services	Academy / Central Office staff
<b>Banking and cash management</b>							
Banking		Appoint Trust's bankers and other professional advisers		DoFO:-Recommend Trust's bankers and other professional advisers to F&RC  DoFO: Liaise with Trust's bankers  DoFO: Implement banking arrangements (eg opening / closing accounts)		Fin: Ensure regular reconciliation of bank accounts  Fin: Monitor and report key risks to the Executive Team	
Treasury management and investments	Approve novel, contentious or repercussive investments, prior to ESFA authorisation <sup>36</sup>	Consider and approve Treasury Management and Investment policies  Monitor Trust investments		DoFO: Identify and propose investment opportunities  Approve investments in accordance with Investment Policy		Fin: Develop and propose Treasury Management and Investment Policies  Fin: Monitor and report key risks to the Executive Team and F&RC	
Petty cash administration <sup>37</sup>				DoFO: Agree petty cash float limit and approve floats		FM: Approve transactions more than £25	Administer up to £25 per transaction  Withdraw cash from bank subject to approval from two bank signatories  Complete end of year certificate

<sup>36</sup> The Education and Skills Funding Agency must authorise all novel and contentious investments

<sup>37</sup> Transactions must be accompanied by a full receipt/invoice from the claimant, signed by the budget holder or nominee

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Academy / Central Office staff
<b>Staffing related</b>							
Staff restructures (requiring consultation), severance and special payments <sup>38</sup>		Approve payments over £30,000  Note and monitor all special payments		Approve staff restructure proposals and business cases  Approve payments (contractual and non-contractual) up to £30,000  Propose payments (contractual and non-contractual) over £30,000  Monitor all staff special payments	Develop and propose academy staff restructure proposals, including business case, in conjunction with Peo team  Manage academy staff restructure and consultation process	All: Develop and propose Trust staff restructure proposals, including business case  All: Manage Trust staff restructure and consultation process  Peo and Fin: Review and advise re staff restructure / severance / settlement proposals, including costings  Peo: Provide advice on restructure and consultation process  Peo: Report all special payments to F&RC and Exec Team	
Staff benefits, parties, gifts <sup>39</sup>				DoFO (with HoF): Review, advise and report to HMRC where applicable  CEO (with DoFO) Approve £501 and over	Approve up to £500 (with HoF)	HoF: Approve up to £500	

<sup>38</sup> Non-statutory / non-contractual payments of £50,000 or more and all ex-gratia payments must be referred to the Education and Skills Funding Agency for approval

<sup>39</sup> All to be reviewed by DoFO in order to ensure equality across the Trust and correct tax treatment

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Academy / Central Office staff
<b>Transaction processing</b>							
Write off bad debts <sup>40</sup>		Approve over £2,000, up to limits requiring ESFA approval				HoF: Approve up to £2,000	
Borrowing (in exceptional circumstances only) <sup>41</sup>	Consider and approve prior to ESFA authorisation	Consider and recommend borrowing		Develop and propose borrowing requirements			
Novel, contentious and repercussive transactions <sup>42</sup>		Note all transactions		DoFO: Report all transactions to the F&RC  DoFO: Approve once authorised by ESFA			
Raising invoices to collect income						Fin: Raise invoices	Raise invoices
School Fund Accounts	To be developed						

<sup>40</sup> The Education and Skills Funding Agency must approve the write off of bad debts which are over 1% of total income or £45,000 (whichever is the smaller); or 2.5% of total income for all transactions (Trust level limits); or, if haven't submitted timely accounts for the last two years, 5% of total income for all transactions (Trust level limits)

<sup>41</sup> The Education and Skills Funding Agency must authorise all borrowing (including finance leases and overdraft facilities)

<sup>42</sup> The Education and Skills Funding Agency must authorise all novel and contentious transactions

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Academy / Central Office staff
<b>Income generation and external funding</b>							
Income generation activities, including fundraising		Consider and approve Trust income-related policies (eg Lettings Policy and Fees)	Provide feedback from parents and community stakeholders on income generation opportunities  Identify, promote and assist fundraising activities in academies	Consider and approve Trust income generation activities	Consider and approve academy income generation activities, ensuring that they align, where relevant, with the Trust income-related policies (eg Lettings Policy and Fees)	Fin: Develop and propose Trust income-related policies (eg Lettings Policy and Fees)  Fin: Monitor Trust income-related policies and report key risks to the Executive Team	
Charging and remissions		Consider and approve Trust Charging and Remissions Policy				Fin: Develop and propose Trust Charging and Remissions Policy  Fin: Monitors Trust Charging and Remissions Policy, and report key risks to the Executive Team	
Bidding for external funds		Approve over £100,000		Approve up to £100,000  Review and recommend to F&RC over £100,000	Review and recommend up to £100,000 <sup>43</sup>	Review and recommend up to £100,000	

<sup>43</sup> Bids involving a significant teaching and learning element should be made in conjunction with the Dir SI

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Academy / Central Office staff
<b>Fixed assets</b>							
Estates and ICT strategies	Consider and approve Trust Estates and ICT strategies	Consider and recommend Trust Estates and ICT strategies  Monitor Trust Estates and ICT strategies		Propose Trust Estates and ICT strategies  Consider and approve the introduction of major new Estates or ICT systems	Contribute to development of Trust Estates and ICT strategies	EFM & ICT: Develop Trust Estates and ICT strategies  EFM & ICT: Develop and recommend the introduction of major new Estates or ICT systems	
Capital and building condition (including School Condition Allocation and Devolved Capital Funding)		Consider and approve allocation of capital funding (SCA) according to need/condition  Oversee and monitor major capital expenditure/projects (SCA)		Recommend proposed allocation of capital funding (SCA) according to need/condition  Monitor capital expenditure/projects (SCA)  Oversee and monitor, through quarterly reports, building condition across the Trust	Contribute to development of proposals for allocation of capital funding (SCA)  EFM & ICT: Contribute to the development of Estates and ICT plans for each academy and associated expenditure	EFM: Develop proposals for allocation of capital funding (SCA)  EFM: Deliver capital projects  EFM: Undertake annual condition survey in each academy and monitor building condition  EFM & ICT: Contribute to the development of Estates and ICT plans for each academy and associated expenditure	

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Academy / Central Office staff
Purchase of fixed assets (single item capitalisation limit £5,000) <sup>44 45 46 47 48</sup>		Approve over £100,000		DoFO: Approve up to £50,000  DoFO: Recommend to CEO approval between £50,001 to £100,000  CEO: Approve up to £100,000  DoFO or CEO: Recommend to F&RC over £100,000			

<sup>44</sup> The Education and Skills Funding Agency must authorise the purchase of freehold land and buildings

<sup>45</sup> Purchase amounts in this scheme are net of VAT

<sup>46</sup> Three quotes are required (and should be attached) for orders between £2,000 and £25,000 (unless suppliers are on the preferred supplier list, in which case one quote is required for orders up to £5,000 and three quotes are required for orders between £5,000 and £25,000; or unless the purchase is being made through an approved third party framework); exceptions will be agreed where an agreed contract exists with a preferred supplier or there is only one supplier who meets the Trust's specification. Under these circumstances the judgement will be made by the HoF

<sup>47</sup> For orders over £25,000 or for novel & contentious orders, a scoping document is required which proposes how the good and services are best procured. Where a tender exercise is agreed, the Procurement Officer is responsible for the receipt and custody of all tenders.

<sup>48</sup> For emergency purchases, approval from the F&RC Chair plus CEO by email or, in CEO absence, approval from the Chair plus two FR&C members by email will constitute approval

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Academy / Central Office staff
Maintaining records of assets, including buildings, furniture, equipment, stocks, stores and cash <sup>49</sup> <small>50 51 52</small>				Provide EFM & ICT team with any information required to maintain Trust asset register	Provide EFM & ICT team with any information required to maintain Trust asset register  Establish and maintain an academy inventory checked at least once per year  Ensure regular stock checks are undertaken	EFM & ICT: Establish and maintain asset register for the Trust for items over the capitalisation limit  EFM & ICT: Establish and maintain a central Trust inventory checked at least once per year  EFM & ICT: Ensure regular stock checks are undertaken  EFM: Submit annual land and buildings collection tool to ESFA by deadline (normally late October)	Ensure that proper security is maintained at all times for all buildings, furniture, equipment, stock, stores and cash
Disposal of assets <sup>53 54</sup>		Approve over £100,000 net book value		DoFO & CEO: Approve up to £100,000 net book value  DoFO & CEO: Recommend to F&RC over £100,000 net book value			

<sup>49</sup> All are responsible for ensuring that the arrangements for the security of assets are in accordance with the Trust's financial regulations

<sup>50</sup> Central Trust staff shall ensure that any Trust assets or equipment allocated or loaned to a member of staff, who is to leave the Trust's employment, is collected; records shall be maintained of all property removed from Trust premises

<sup>51</sup> The asset register should include all items costing in excess of the capitalisation limit of £5,000

<sup>52</sup> The inventory should include all items of equipment, furniture and stores with values over £1000 and attractive items (eg mobile phones, tablets, laptops)

<sup>53</sup> The Education and Skills Funding Agency must authorise the sale of freehold land and buildings

<sup>54</sup> Unusable or obsolete equipment must be disposed of in accordance with the Trust's financial regulations

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Academy / Central Office staff
Leasing assets <sup>55 56 57 58</sup>	Approve where EU procurement regulations apply	Approve over £100,000		DoFO: Approve-up to £50,000  DoFO: Recommend to CEO approval between £50,001 to £100,000  CEO: Approve up to £100,000  CEO or DoFO: Recommend to F&RC over £100,000		HoF: Approve-up to £15,000	
Granting leasehold or tenancy agreements <sup>59</sup>	Consider and approve prior to ESFA approval			Develop and propose		Gov & EFM: Provide advice regarding proposals	

<sup>55</sup> The Education and Skills Funding Agency must approve all leases of more than seven years

<sup>56</sup> EU procurement regulations apply to values over £189,330

<sup>57</sup> For orders over £25,000 or for novel & contentious orders, a scoping document is required which proposes how the good and services are best procured. Where a tender exercise is agreed, the Procurement Officer is responsible for the receipt and custody of all tenders.

<sup>58</sup> Three quotes are required (and should be attached) for orders between £2,000 and £25,000 (unless suppliers are on the preferred supplier list, in which case one quote is required for orders up to £5,000 and three quotes are required for orders between £5,000 and £25,000; or unless the purchase is being made through an approved third party framework); exceptions will be agreed where an agreed contract exists with a preferred supplier or there is only one supplier who meets the Trust's specification. Under these circumstances the judgement will be made by the HoF

<sup>59</sup> The Education and Skills Funding Agency must approve all leases of more than three years



Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Academy / Central Office staff
Data protection, security and information		Consider and approve Trust Data Protection Policy		<p>Ensure publication of Trust information in accordance with statutory guidance</p> <p>Consider and approve the Trust FoI Publication Scheme</p>	<p>Ensure the safe storage of data in the academy</p> <p>Ensure publication of academy information in accordance with statutory guidance</p> <p>Respond to FoI requests in accordance with statutory guidance</p>	<p>Gov: Develop and propose Data Protection Policy<sup>60</sup></p> <p>Gov: Complete ICO registrations</p> <p>Gov: Develop and maintain a Record of Processing Activities for the Trust</p> <p>Gov: Publish all Privacy Notices</p> <p>Gov: Audit data protection procedures and report key risks to the Executive Team</p> <p>Gov: Audit Trust and academy websites</p> <p>ICT: Develop and implement ICT systems, ensuring data security</p> <p>Gov: Prepare and publish Trust Freedom of Information Publication Scheme</p> <p>All: Respond to FoI requests in accordance with statutory guidance</p>	<p>Report all data breaches to DPO</p> <p>Assist with the preparation of subject access requests</p> <p>Contribute as required to the Trust's Record of Processing Activities</p>

5. Risk and audit

Function	Members	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Academy / Central Office staff
Statutory accounts and annual report from Trustees on Trust performance	Receive	Consider and approve (signed by Chair or Trustee and Accounting Officer)  Confirm whether Trust is a going concern (Financial Sustainability)	Review and recommend		Prepare annual report  Consider and propose statutory accounts and annual report		Fin: Prepare statutory accounts  Fin: Submit audited financial statements to ESFA by 31/12  Fin: Submit annual accounts to ESFA by deadline (normally mid January)  Fin: Submit statutory accounts and annual report to Companies House by 31/5  Fin: Publish statutory accounts and annual report, including information about higher paid staff, on Trust website by 31/1	Ensure that all records and documents are available for audit by internal and external auditors

<sup>60</sup> Policy should ensure compliance with the requirements of the Data Protection Act including the requirement to inform individuals as to how data will be used; and safe storage of data

Function	Members	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Academy / Central Office staff
Financial regulations			Consider and approve Financial Regulations				<p>Fin: Develop and recommend financial regulations</p> <p>Fin: Provide information and training on financial regulations</p> <p>Fin: Monitor and report key risks to the Executive Team</p>	
Appointment and dismissal of External Auditors	Appoint and dismiss auditors	Inform the ESFA of the removal of auditors	<p>Assess effectiveness and resources of external auditor and consider and recommend reappointment, dismissal or retendering to Members</p> <p>Review external auditor's plan each year; agree programme of work and commission reports</p> <p>Monitor and review</p>				<p>Fin: Undertake procurement</p> <p>Fin: Advise RAC on the effectiveness and resources of external auditor</p> <p>Fin: Prepare letter of engagement</p> <p>Fin: Request external auditor's plan and propose programme of work</p>	

Function	Members	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Academy / Central Office staff
Internal control arrangements (internal audit, covering both financial and non-financial controls)			<p>Consider and approve the Trust's internal audit arrangements</p> <p>Agree programme of work and commission reports</p> <p>Receive, consider, monitor and, approve actions in response to internal audit reports</p> <p>Approve the annual internal audit summary report prior to submission to ESFA</p> <p>Monitor and review</p> <p>Report key risks to the Board</p>		<p>DoS: Liaise with internal auditors to propose the Trust's internal audit arrangements and programme of work</p> <p>Consider and recommend management action in response to internal audit reports</p>	<p>Undertake management actions in response to reports</p>	<p>IA: Undertake internal audits in accordance with agreed plan</p> <p>IA: Prepare an annual summary report for submission to ESFA (by 31/12)</p> <p>All: Undertake management actions in response to reports</p>	

Function	Members	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Academy / Central Office staff
Reports from External Auditors and other bodies, including the ESFA Accounting Officer		Receive and consider the annual letter from the ESFA Accounting Officer  Receive external auditor's management letter and the Trust's recommended actions in response	Receive, consider, monitor and, where relevant, approve actions in response to reports and external auditor's management letter  Report key risks to the Board		Consider and recommend management action in response to reports	Undertake management actions in response to reports	All: Propose management action in response to reports  All: Undertake management actions in response to reports	
Related Party Transactions <sup>61</sup> and Register of interests	Complete annual declaration of Interests	Complete annual declaration of Interests	Approve Trust Related Party and Interests Protocol  Note and monitor all Related Party Transactions  Complete annual declaration of Interests	Complete annual declaration of Interests	Complete annual declaration of Interests	Complete annual declaration of Interests	Fin & Gov: Develop and propose Trust Related Party and Interests Protocol Gov: Maintain (updated monthly) and publish Trust register of interests  Gov: Maintain and publish local board registers of interests  Fin: Check new suppliers against register of interest Fin: Gain proof that any related	(Budget holders / staff responsible for recruitment decisions): Complete annual declaration of Interests

<sup>61</sup> All related party transactions must be reported to the ESFA; those in excess of £20,000 must be submitted prior to the transaction taking place; ESFA's approval must be sought for novel, contentious or repercussive transactions

Function	Members	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Academy / Central Office staff
							party transactions are at cost and submit for approval to ESFA All: Complete annual declaration of Interests	
Risk Policy			Consider and approve		DoS: Develop and propose policy			
Risk registers		Contribute to Trust Risk Register	Monitor Trust risk register  Oversee key risks in academy and professional service team risk registers		DoS: Develop and update Trust risk register regularly throughout the year  DoS: Provide advice to academies and professional service teams on development of risk registers  Bring major risks to the attention of the R&AC	Establish Risk Management Group in academy  Develop and update academy risk register regularly throughout a year  Submit academy risk register to Executive Team annually  Bring major risks to the attention of the Executive Team	Develop and update professional service team risk register regularly throughout a year  Submit professional service team risk register to Executive Team annually  Bring major risks to the attention of the Executive Team	

Function	Members	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Academy / Central Office staff
Insurance			Approve overarching portfolio of insurance		Approve staff absence insurance provider	Approve insurance cover for academy minibuses, and works of art and inform central Finance team	Fin: Arrange Risk Protection Arrangement cover for Trust  Fin: Review and recommend staff absence insurance provider  Fin: Review and recommend other insurance cover providers  Fin: Maintain register of all insurances	Academy staff: Review and recommend insurance cover for academy minibuses, and works of art
Fraud			Consider and approve Fraud Policy and procedure  Commission fraud investigations		DoFO / DoS: Implement fraud response plan  Contribute to fraud investigation as required	Contribute to fraud investigation as required	Fin: Develop and propose fraud policy and procedures  All: Contribute to fraud investigation as required	
Crisis Management Plan (CMP)					Approve Trust CMP	Develop academy CMP and review biennially  Risk Management Group: Approve CMP  Ensure academy CMP is disseminated amongst all staf	EFM: Develop templates and provides advice  EFM: Develop Trust CMP and reviews biennially  EFM: Ensure Trust CMP is disseminated amongst all staff	Implement responsibilities indicated in CMP

Function	Members	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Academy / Central Office staff
Lockdown Procedures						Develop academy lockdown procedures  Risk Management Group: Approve academy lockdown procedures	EFM & Gov: Develop templates and provide advice	



<p>Health and Safety</p>		<p>Ultimate responsibility for the H&amp;S in the Trust</p> <p>Oversee and receive a summary H&amp;S report at least 3 times a year via R&amp;AC reports</p>	<p>Consider and approve Trust H&amp;S Policy</p> <p>Monitor H&amp;S across the Trust, receiving a H&amp;S report at each meeting, and report key risks to the Board</p>		<p>Consider and approve all H&amp;S operational annexes</p> <p>Appoint a Trust H&amp;S Representative to cover H&amp;S in Trust central offices</p> <p>Monitor H&amp;S across the Trust, receiving a quarterly H&amp;S report, and report key risks to R&amp;AC</p>	<p>Establish academy H&amp;S Management Group</p> <p>Appoint an academy H&amp;S Representative</p> <p>Undertake an annual H&amp;S review (including statutory testing) for the academy and implement actions</p>	<p>EFM: Develop and propose the Trust H&amp;S Policy and operational annexes</p> <p>EFM: Monitor implementation of H&amp;S procedures in central Trust offices</p> <p>EFM: Contribute to and support the development of annual academy H&amp;S reviews (including statutory testing)</p> <p>EFM: Monitor actions from annual academy H&amp;S reviews and report key risks to the Executive Team quarterly</p> <p>EFM: Undertake an annual site security review in each academy and implement actions</p> <p>EFM: Commission Fire Risk Assessments and Asbestos testing in all Trust premises in accordance</p>	
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<b>Function</b>	<b>Members</b>	<b>Trustees</b>	<b>Committees and Panels</b>	<b>Local Boards</b>	<b>Executive Team</b>	<b>Principals</b>	<b>Professional Services</b>	<b>Academy / Central Office staff</b>
							with statutory requirements	

6. Remuneration and HR

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Challenge Partner
HR and Recruitment Strategies and plans	Consider and approve strategy	Consider and recommend strategy  Monitor strategy and key data		Develop and propose strategy  Monitor key data monthly	Contribute to development of strategy	Peo: Contribute to development of strategies and plans  Peo: Monitor strategies and plans and report key risks to the Executive Team	
HR Policies and Operational Procedures	Convene Grievance, Disciplinary and Capability Panels / Appeal Panels as required by the associated HR policies	Consider and approve Trust HR policies	Convene Grievance, Disciplinary and Capability Panels / Appeal Panels as required by the associated HR policies	Consider and approve Trust HR Operational Procedures  Implement HR policies and procedures  Convene Grievance, Disciplinary and Capability Panels / Appeal Panels as required by the associated HR policies	Implement HR policies and procedures  Convene Grievance, Disciplinary and Capability Panels / Appeal Panels as required by the associated HR policies	Peo: Develop and propose Trust HR Policies and operational procedures, ensuring compliance with statutory requirements and the Equalities Act  Peo: Monitor implementation of HR Policies and Operational Procedures, and report key risks to the Executive Team	

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Challenge Partner
Performance management	Chair: Agree annual personal goals of CEO	Consider and approve Trust Professional Review Scheme  Monitor impact of Professional Review Scheme		Conduct staff professional reviews in accordance with the Professional Review Scheme  CEO: Agree annual personal goals of Ex Dirs  DoFO / DoSI / DoS: Agree annual personal goals of Principals and Heads of Professional Service	Conduct staff professional reviews in accordance with the Professional Review Scheme  Agree annual personal goals of academy leadership staff, teachers and academy support staff <sup>62</sup>	Peo: Develop and propose the Professional Review Scheme  Peo: Monitor impact of Professional Review Scheme and report key risks to Exec Team and RHR  Conduct staff professional reviews in accordance with the Professional Review Scheme  Agree annual personal goals of Professional service team staff <sup>63</sup>	Contribute to the evaluation of teaching staff professional development in each academy  Moderate a sample of teacher professional reviews
Staff structures: Leadership staff (Executive Team, Principals, Vice Principals and Assistant Principals)	Appoint Chief Executive  Determine the overarching Executive Team structure  Approve appointment of Executive Team	Approve appointment of Principals	Contribute to appointment of Principals	Recommend appointments of Executive Team (excluding CEO) and Principals  Appoint Heads of Professional Service  Approve leadership staff structure in each academy and professional team	Contribute to the development of leadership staff structure in academy  Appoint Vice Principals and Assistant Principals		

<sup>62</sup> The development of annual personal goals of teachers and support staff may be delegated to other managers within the academy

<sup>63</sup> The development of annual personal goals of staff may be delegated to other managers within the team

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Challenge Partner
Staff structures: Teaching and support staff				Consider and approve significant changes to teaching and support staff structures in academies and professional teams	Determine teaching and support staff requirements in the academy  Propose significant changes to teaching and support staff structures in the academy	Determine staffing requirements in professional team  Propose significant changes to staff structure in professional team  Fin and Peo: Scrutinise and recommend proposed staff structures in academies and professional team	Contribute to the evaluation of teaching staff structures in each academy
Staff pay: Leadership staff (Executive Team, Principals, Vice Principals and Assistant Principals)	Determine pay ranges for Executive Team, using a robust evidence based approach  Chair: Consider and approve additional payments (temporary) <sup>64</sup> to Executive Team	Consider and approve the Trust Leadership Pay Policy <sup>65</sup>  Monitor impact of Leadership Pay Policy		Consider and approve additional payments (temporary) <sup>66</sup> to Principals, Vice Principals, Assistant Principals and Heads of Professional Service	Propose additional payments (temporary) to Vice Principals and Assistant Principals	Peo: Develop and propose the Trust Leadership Pay Policy  Peo: Monitor impact of Leadership Pay Policy and report key risks to Exec Team and RHR	

<sup>64</sup> These include honoraria, one off payments, discretionary payments, accelerated increments etc

<sup>65</sup> The Leadership Pay Policy also sets out how the pay of senior staff (Principals, Vice Principals and Assistant Principals) is determined

<sup>66</sup> These include honoraria, one off payments, discretionary payments, accelerated increments etc

<p>Staff pay: Teaching and support staff</p>		<p>Consider and approve Teacher Pay and Support Staff Pay policies</p> <p>Monitor impact of Pay Policies</p>		<p>Consider and approve additional payments (temporary)<sup>67</sup>, TLRs, Acting Up allowances and recruitment &amp; retention allowances for teachers and support staff</p> <p>Consider and approve support staff regrading</p>	<p>Propose additional payments (temporary), TLRs, Acting Up allowances and recruitment &amp; retention allowances for teachers and support staff</p> <p>Propose support staff regrading in academy</p>	<p>Peo: Develop and propose Teacher Pay and Support Staff Pay Policies</p> <p>Peo: Monitor impact of Teacher Pay and Support Staff Pay Policy and report key risks to Exec Team and RHR</p> <p>Fin &amp; Peo: Scrutinise and recommend additional payments (temporary), TLRs, Acting Up allowances and recruitment &amp; retention allowances for teachers and support staff</p> <p>Fin and Peo: Scrutinise and recommend proposed support staff regrading</p> <p>All: Propose additional payments (temporary) and recruitment &amp; retention allowances for professional team members</p> <p>All: Propose support staff regrading of</p>	<p>Contribute to the evaluation of teaching staff structures in each academy</p>
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Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Challenge Partner
						professional team members	
Replacement, amended or additional posts				<p>Approve amended posts with variation over £10,000</p> <p>Approve additional fixed term and permanent posts</p> <p>Approve extensions to fixed term posts</p>	<p>Approve like for like replacement or amended posts with variation up to £10,000</p> <p>Propose amended posts with variation over £10,000</p> <p>Propose additional fixed term and permanent posts</p> <p>Propose extensions to fixed term posts</p>	<p>All: Approve like for like replacement or amended posts with variation up to £10,000</p> <p>All: Propose amended posts with variation over £10,000</p> <p>All: Propose additional fixed term and permanent posts</p> <p>All: Propose extensions to fixed term contracts</p> <p>Peo and Fin: scrutinise and recommend replacement, amended or additional posts</p>	

<sup>67</sup> These include temporary payments, honoraria, one off payments, discretionary payments, accelerated increments etc

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Challenge Partner
Professional development				<p>Develop and implement the cross Trust professional development programme for teachers and support staff</p> <p>Consider and approve proposals for additional INSET days</p> <p>Approve training agreements<sup>68</sup> for central staff</p>	<p>Develop and implement a professional development programme for academy staff</p> <p>Approve training agreements for academy staff</p>	<p>All: Assist with implementation of professional development programmes</p> <p>All: Support the development of and reviews training agreements for academy and central staff</p>	Contribute to professional development in each academy

<sup>68</sup> Training agreements are agreements to contribute to the costs of relevant professional development and accredited courses, where there is an expectation that the recipient reimburses these costs should they leave the Trust's employment with a specified period



Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Challenge Partner
Apprenticeships				<p>Consider and approve requests to undertake an apprenticeship funded by the Trust's apprenticeship levy</p> <p>Approve the Trust's apprenticeship plan</p> <p>Monitor apprenticeship levy expenditure and apprenticeship registrations</p> <p>Approve the annual apprenticeship report prior to submission to the DfE</p>	<p>Propose requests for staff to undertake an apprenticeship funded by the Trust's apprenticeship levy</p>	<p>All: Propose requests for staff to undertake an apprenticeship funded by the Trust's apprenticeship levy</p> <p>Peo: Develop and propose the Trust's apprenticeship plan, including prioritisation of apprenticeship funding</p> <p>Peo: report on the use of apprenticeship levy funding and apprenticeship registrations</p> <p>Peo: Prepare the annual apprenticeship report prior to submission to the DfE (by 30/9)</p>	
Staff and union consultation		<p>Monitor arrangements for consultation with unions</p>		<p>Consider and approve Trade Union Recognition Agreement</p> <p>DoS: Lead Trust JCC meeting</p>		<p>Peo: Develop and propose Trade Union Recognition Agreement</p> <p>Peo: Report and publish Trade Union Facilities Time</p>	

Function	Trustees	Committees and Panels	Local Boards	Executive Team	Principals	Professional Services	Challenge Partner
Payroll – administration and authorisations				<p>DoFO: Approve travel and expenses claims for Principals</p> <p>DoFO / DoS / DoSI: Approve overtime / additional hours for central Trust staff</p>	<p>Approve overtime / additional hours, travel and expenses claims for academy staff (apart from Principal)</p> <p>Adhere to payroll schedule</p>	<p>Peo: Review and approve payroll payment file<sup>69</sup></p> <p>Peo: Input approved contractual changes into payroll system</p> <p>Peo: Approve travel and expenses claims for central Trust staff</p>	

<sup>69</sup> Any contractual changes and additional payments must have followed the relevant approval process before being processed in the payroll