SHIRELAND
COLLEGIATE ACADEMY TRUST

Shireland Collegiate Academy Trust

Governance Structure and Scheme of Delegation

2026-2027

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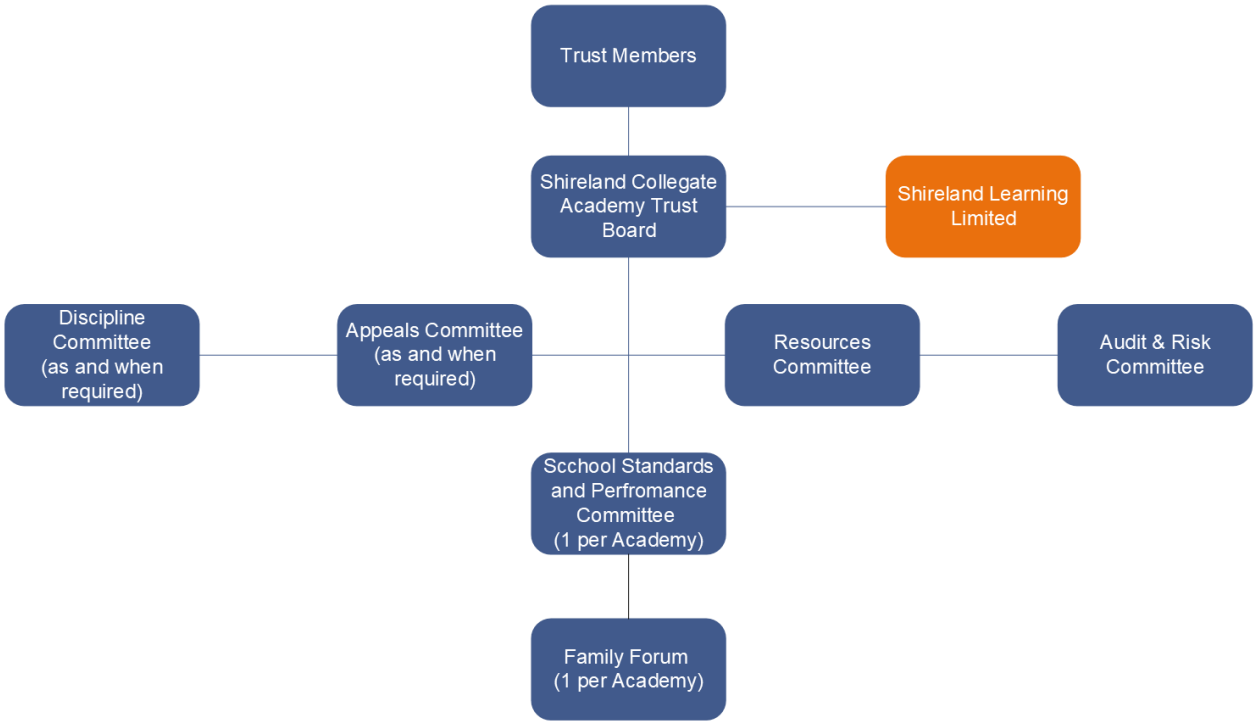
Introduction

The Board of Trustees of Shireland Collegiate Academy Trust (S-CAT) under its Articles of Association is required to approve a governance structure for the Trust on an annual basis.

The governance structure must be:

- compliant with DfE requirements, company, and charity law
- scalable and so adaptable to growth or change in S-CAT
- capable of being serviced by the Trustees of S-CAT and its committees.
- The governance structure for S-CAT is illustrated below:



Rationale

We have established a governance structure that ensures compliance with the Trust Articles of Association, Funding Agreements, the Academy Trust Handbook, and the Governance Handbook requirements. To competently discharge these duties, the Trust Board has decided to create a number of committees which will have delegated responsibilities to act on behalf of the Trust Board. These committees will report directly to the Trust Board and are:

- Resources
- Audit and Risk
- Discipline (Exclusions)
- Appeals

In addition to these committees, each Academy will have a Standards and Performance Committee (SPC), which acts as the governing body. The work of this committee will be further enhanced by the support of a Family Forum. The Family Forum will operate to ensure that all parties interested in the working of the Academy can have a voice. It will have a reporting line into the SPC.

Conflicts of interests

Any Director or Governor who has a business relationship, directly or indirectly with S-CAT or it's Academies must have previously completed any interests for the academic year in question.

All Members, Directors and Governors must declare any business relationships directly or indirectly with S-CAT and/or it's staff on appointment. Declarations must be updated upon any change in circumstance. Currently, declarations are made through the S-CAT Pecuniary Interest form.

Delegated powers

Subject to the Articles of Association, S-CAT can delegate to any committee, any Trustee, any person holding an executive office, or to the Chief Executive Officer (CEO) such as their powers or functions as they consider desirable to be exercised by them. In doing this, the CEO has the power to determine if the scheme of delegation (Appendix A) applies and to withdraw all or an element depending on the Academy's status and current performance.

Powers and responsibilities delegated to the CEO

The CEO shall be responsible for the internal organisation, management and control of the Academy Trust, the implementation of all policies approved by the Board, and the direction of teaching of the curriculum. In addition, the CEO will be the nominated Accounting Officer for the Trust and shall be responsible for the operation of financial processes, ensuring that adequate operational controls are in place and are maintained. The CEO will ensure that full and accurate financial records are kept, including those of appointed auditors . In addition, they will regularly monitor income and expenditure reports and highlight potential problems to the Resources Committee. Overall, the CEO, as Accounting Officer, will ensure that the Trust fulfils the requirements of the Academies' Trust Handbook and the Funding Agreements.

For these purposes the Trustees shall delegate those powers and functions required by the CEO.

Handling of Urgent Decisions at Trust Board level

Handling of urgent decisions falling within the remit of the Trust Board (e.g powers of the Chairperson to act on behalf of the Trust Board):

- The Trust Board approved, at its meeting on the 4th of September 2007, the proposal to delegate powers to the Chairperson in conjunction with the CEO to agree executive decisions in emergency situations by telephone or email and to act on behalf of the full Trust Board. All such decisions are to be reported to the next meeting of the Trust Board.

Handling of urgent decisions for Committees of the Trust

The Chairperson of each committee has the power to act in emergencies and make decisions on behalf of the committee. All such decisions are to be reported to the next meeting of the relevant committee.

- In such circumstances the Chairperson will always act in conjunction with the CEO or Principal.
- All such actions must be confined to the remit of the committee as defined in that committee's terms of reference.

Scheme of Delegation

The Scheme of Delegation (Appendix A) detailed in this document defines the powers and functions that are reserved for the Trust Board and its sub-committees. The Trust Board at its first meeting of the year, will agree and approve the Scheme of Delegation. Any delegated decision must be reported to the next full Trustees' meeting, but a decision taken under delegated powers is binding and immediately effective.

Powers of Members

The Members of the Trust are the subscribers to the Memorandum of Association (where they are founding members).

In addition, every Trust has Members that are appointed individually. These Members retain the following powers:

- Amend the Articles of Association subject to any restrictions created by the Funding Agreement or charity law.
- By special resolution, appoint new Members or remove existing Members other than, where there is one, the foundation/sponsor body and any Members it has appointed.
- Appoint Trustees as set out in the Trust's Articles of Association and under the Companies Act 2006 has the power to remove Trustees.
- By special resolution, issue direction to the Trustees to take a specific action.
- Appoint the Trust's external auditors and receive (but do not sign) the audited annual report and accounts (subject to the Companies Act).
- Have the power to change the company's name and, ultimately, wind it up.

Relationship between Shireland Collegiate Academy Trust and its Committees

The Academy Trust Board will delegate powers to its committees as stated below.

- The Resources Committee will be responsible for all finance
- The Audit & Risk Committee will be responsible for reviewing and addressing the risks to internal control, informing the statement of internal control, and agreeing a programme of internal audit work to provide assurance to the external audit.
- The Discipline Committee will deal with all student behaviour issues.
- The Appeals Committee will deal with any appeals from staff/students or the public.
- The SPC will be responsible for the monitoring of the operational day to day performance of the Academy. The SPC will have the responsibility to ensure that the direction set by the Academy Trust is implemented and relevant monitoring and reporting systems are in place to ensure adherence.

Please note, it is the Principal of each Academy who is responsible for the implementation of the Trust's vision, aims, objectives and targets in each Academy.

- It is not proposed that any committee will have any standing sub-committees. However, it may be necessary from time to time by agreement with the Chairperson to establish a single purpose working party of the committee to deal with an issue that cannot be dealt with adequately by the committee in one of its scheduled meetings. Any such working party will be disbanded as soon as its work is complete.
- Meetings for the other committees will be scheduled as the need arises.

Constitution

- The directors will be known as Trustees. Members of committees who are not Trustees will be known as Governors.
- The Trust Board membership will comprise of up to nine Trustees.
- Up to seven Trustees will be appointed by the Members.
- The CEO will be appointed under Article 57, as a Trustee by Members by ordinary resolution.
- One further position may be appointed by the Trust Board as a co-opted Trustee .The Trustees must not co-opt an employee of the Academy Trust as a co-opted Trustee.
- The number of Trustees who are employees of the Academy Trust must not exceed one third of the total number of Trustees including the Chief Executive Officer to the extent, he or she is a Trustee.
- The CEO can attend all meetings of any committee established by the Trust but in some instances, this may only be in an advisory capacity. When an issue is being discussed which directly affects the CEO, they must, as with any other Trustee in a similar position, declare an interest and physically withdraw from the meeting for the duration of that discussion.
- The legal minimum quorum for committee meetings is three voting Trustees or Governors who are members of that applicable committee.
- For meetings of the Trust, the quorum is as determined by the Articles of Association.
- Associate Governors may be appointed to a committee by the Trust Board and may be given voting rights. However, the majority of the membership of any committee must be Trustees, except in the case of SPCs and Family Forums.
- Except for the SPCs and Family Forums, no vote on any matter shall be taken at a meeting of a committee of the Trust, unless the majority of members of the committee present are Trustees.
- The appointed Governance Professional of the Committee will undertake the minute taking of the Trust Board and its committees
- The minutes shall be included as an agenda item for consideration at the next meeting of the full board where appropriate
- The Chair and Vice Chair will be appointed by the relevant committee at its first meeting in the new academic year,
- The Chair of the SPC is annually appointed by the Principal of the Academy. The Vice Chair is annually agreed by the Committee.
- All decisions made by committees with delegated powers must be reported to the next full meeting of the Trust Board. If the minutes are not finalised a brief statement of the conclusions reached should be given.
- The Terms of Reference for each committee will be presented to the Trust Board for approval at its first meeting in the new academic year.
- Each committee must have a Chair and must have a minimum of 3 committee members to be quorate.
- The Chair of each SPC, is responsible for providing Trust Governance team with a Chairs Statement of Direction.
- All Chairs Statement of Directions from the SPC's will be referred to the Executive Leadership Team who will report to the Trust Board as necessary.
- All Trustees and Governors are expected to attend training regularly and review their individual training needs. Training will be arranged by the Trust. Trustees and Governors are asked to participate in directed and self-directed learning.
- The term of office for any Trustee or Governor **shall be 4 years**, this time limit shall not apply to the CEO or Principal. Subject to remaining eligible to be a particular type of Trustee or Governor, any Trustee or Governor may be re-appointed or re-elected.

Trust Board Terms of Reference

The membership and proceedings of the Trust Board are somewhat defined in the Articles of Association and via the requirement of the regulatory body. To this extent the powers retained by the Board are as follows to:

Governance:

- Ensure compliance with the Trust's duties under Company Law and Charity Law and agreements made with the DfE, such as the Funding Agreements, Governance Guide and the Academy Trust Handbook (G.1.1)
- Determine the educational character and mission of the Academy Trust (G.1.2)
- Set the strategic direction of the Trust for a five-year period (G.1.3)
- Set key strategic objectives for the Trust and review performance against them
- (G.1.4)
- Approve the Trust's governance arrangements and scheme of delegation (G.1.5)
- Determine the establishment, constitution, membership, proceedings, delegated powers and functions of the committees and their annual review and revision (G.1.7)
- Appoint Trustees in accordance with a the Articles of Association and with conjunction of a skills matrix (G.1.8)
- Removal of Academy's Standard and Performance Committee (G.1.11)
- Appoint & remove the Company Secretary and Governance Professional to the Board of Directors (G.1.12)
- Approval of the appointment/removal of persons to Trust Committees (G.1.13)
- Approve the acquisition of legal entities (other schools/academies) (G.1.14)
- Enter, or withdraw from a formal partnership (G.1.15)
- Annually agree the links for Safeguarding, SEND, Wellbeing and Teaching & Learning (G1.16)
- Approve the Academy Trust's policies not otherwise delegated to committees (G.2.1)
- Receive reports from SLL and to make recommendation to the Board of SLL (G.3.1)
- Maintain overall responsibility for Risk Management and maintaining the Risk Management Plan (G.4.2)
- Review the Risk Management Plan, at least annually and act on any recommendations from the Audit and Risk Committee (G.4.3)

Finance:

- Approve annual budgets for the Trust and its Academies (F.1.2, G.3.2, HR.1.2)
- Ensure the solvency of the charitable trust, safeguarding its assets and delivering its charitable outcomes whilst ensuring the continued charitable status of the company(F.1.7)
- Approve the Trust's year end accounts (F.1.8)
- Report to all statutory bodies (DFE, Companies House, Charity Commission) in relation to annual accounts and budgets to ensure compliance (F.3.1)
- Authorise the opening/closing of a bank account (F.5.1)
- To agree contractual spend over £100,000 (A.3)

HR:

- To approve the pension statement for support staff and any discretions which that may apply (HR.5.1)
- Appointment or dismissal of the CEO and Chief Financial Officer (HR.6.4)

Education and Curriculum:

- Approve the education brief and method of delivery for each Academy (E&C.1.6)
- Approval and monitoring of Academy targets around student welfare including exclusions (E&C 1.7)

Health and Safety:

- Provision of Health and Safety policy and Management plan (H&S1.2)

Professional development, Performance Management and Pay

- To approve the pay structure for the Trust (HR.4.1)
- To approve and monitor the professional development framework for the Trust (HR7.1)
- To approve the performance management structure for senior Leaders across the Trust (HR.7.2)
- To approve the performance management objectives of the CEO and agree pay increases (with advice from a CEO review group) (HR7.3)
- To note the performance management for Senior Leaders (ELT and Principals) across the Trust and associated pay increments
- To note and monitor the annual honorarium payments and the respective end of honorarium impact (HR.4.2)

Committees of the Academy Trust

Governance Professional

For the Trust Board and all sub-committees (excluding SPC's) the Governance Professional is the Assistant Company Secretary, but other individuals may be appointed to undertake these functions as necessary.

The Governance Professional will circulate an agenda and papers for each meeting at least a week before all scheduled meetings.

Recording and reporting the proceedings of subcommittee meetings

The Governance Professional will record attendance at meetings, issues discussed and recommendations for decisions. The written record will be completed by the Governance Professional in sufficient time for it to be included in the agenda and papers for the next Trust Board meeting. This is to meet the statutory requirement to provide information to the whole Trust Board and to seek ratification of decisions and recommendations.

The Chair of every subcommittee will be responsible for sending a Chairs Statement of Direction after every meeting to the Central Governance Team.

Frequency of meetings

The Trust Board and all sub-committees will meet as often as is necessary to fulfil its responsibilities and at least 3 times an academic year (unless otherwise stated).

Review date

All Board and sub-committee meeting arrangements and terms of reference will be reviewed annually by the Trust Board.

Audit & Risk Committee

Purpose

The Audit and Risk Committee is responsible for:

- Directing the Trust's programme of internal scrutiny.
- Ensuring risks are being addressed appropriately through internal scrutiny.
- Reporting to the Trust Board on the adequacy of the Trust's internal controls framework for non-financial areas and ensure action is taken on any reports.
- Approving the external audit programme for the Trust.
- Recommending the appointment/resignation of the auditors for the Trust on an annual basis to the Members.

Membership

The Audit and Risk Committee should comprise of at least 3 Trustees and at least one member of the Committee with some recent and relevant financial experience.

No employee of the Academy Trust may be a member of the Audit and Risk Committee.

The Chairperson of the Trust Board and the CEO are not members of the Audit and Risk Committee.

Attendance at Audit and Risk Committee meetings

Any Trustee may attend a meeting of the Audit and Risk Committee.

The CEO in his role as Accounting Officer would normally attend all meetings.

The Audit and Risk Committee may invite attendance at meetings from persons who are not members such as, Chief Finance Officer , HR Director, Auditors and Board Chair to assist or advise when appropriate.

Quorum

The quorum is 3 members of the Audit and Risk Committee.

Voting at Audit and Risk Committee meetings

Only members of the Audit and Risk Committee may vote at meetings.

The Chair will have a casting vote.

Appointment of Chair and Vice Chair

The Chair and Vice Chair of the Audit and Risk Committee will be elected by the committee on an annual basis at the first meeting of the academic year.

In the absence of the Chair and Vice Chair, the Audit and Risk Committee will elect a temporary replacement from among the members of the committee present at the meeting

The External and Internal Auditors may request a meeting of the Audit and Risk Committee, at any time.

Authority

The Audit and Risk Committee is authorised to:

- obtain appropriate external legal and other professional advice in order to fulfil its responsibility to the Trust Board

- investigate on behalf on the Trust Board anything that threatens or adversely affects the accomplishment of the charity's aims and objectives, its assets, the reliability of all records and information, and its compliance with all relevant laws, regulations, policies and its governing instruments
- obtain, at the company's expense, outside legal or other professional advice on any matter within its terms of reference
- call any employee to be questioned at a meeting of the committee as and when required
- publish in the company's annual report details of any issues that cannot be resolved between the committee and the Trust Board

Audit & Risk Committee Terms of Reference

Governance:

- Recommend to the Members the appointment/removal of the external auditors (G.1.6)
- To review and approve the Trusts procedures for detecting fraud, bribery, and corruption (G.2.3)
- Overview risk to ensure that risk is rated, and progress is reported at each meeting to ensure that risks are being appropriately managed and addressed (G.4.1)

Finance:

- Approve the external audit process (F.2.1)
- Receive and respond to the internal and external management reports (F.2.2)
- Recommend to the Members the appointment of the Auditors and if necessary, re-appoint, remove, and determine remuneration for the Trust (F.2.3)
- Receive and approve the annual internal audit plan to ensure regular audits are carried out in respect of financial, legal, risk, health and safety, investments, insurance, and the asset register via a self-evaluation process and in year receive the internal audit report and action on the findings, ensuring the work complements the external audit process (F.2.5)
- Direct the Trust's internal scrutiny via the approval of an annual programme of work (F.2.6)
- Ensure processes are in place and secure for compliance and fraud (F.2.7)
- To approve policies as delegated down by the Trust Board and provide guidance for Academies (F.2.8)
- Receive and keep under review internal compliance information to ensure that the financial regulations, scheme of delegation and internal control framework are being complied with and action taken on any reports (F.2.9)
- Review and approve the statements to be included in the annual report concerning internal controls, risk management and accounting policies (F.2.10)
- Review the Annual Report of the Directors and Financial Statements for the year-end in accordance with the Companies Act (2006) and make recommendations to the Trust Board. (F.2.11)
- Ensure that the ESFA are informed of any financial issues and/or irregularities (F.3.2)
- Report to the Trust Board on the adequacy of the Trust's internal controls framework for non-financial areas and ensure action is taken on any reports (F.3.7)
- Keep under review and report on a regular basis to the Trustees on the adequacy and effectiveness of the company's internal financial controls, internal control, and risk management systems (F.3.8)

HR:

- Ensure processes are in place and secure for whistleblowing (HR.1.5)

Resources Committee

Purpose

The Resources Committee will be responsible for the oversight of the financial management of the Trust to include:

- Assisting the decision-making process of the Trustees, by enabling more detailed consideration to be given to the Trust's finances and resources.
- Ensuring the annual accounts are produced in accordance with the requirements of the Companies Act 2006, Charity Commission requirements and the DfE guidance issued to Academies.
- Reporting directly to the Trust Board on the overall finances of the Trust and a summary position of each Academy within the Trust via the Chairs Statement of Direction.
- Compliance with financial regulations and standing orders of the Trust.

Membership

The membership of the Resources Committee will be agreed on an annual basis.

The membership shall be a minimum of 7 up to a maximum of 9 named Trustees and Governors.

- CEO
- Chair of the Trust Board
- A minimum of 2 Trustees nominated by the Trust Board
- Governors (up to a maximum of 5)

Attendance at Resources Committee meetings.

The Resources Committee may invite attendance at meetings from persons who are not Trustees to assist or advise on a particular matter or range of issues, including parents and members of Academy staff.

The Chief Finance Officer or their representative will attend all Resources Committee meetings as an adviser.

Quorum

The quorum is 3 who are members of the Resources Committee.

Voting at committee meetings

Only members of the Resources Committee may vote at meetings.

The Chairperson of the Resources Committee will have a casting vote.

Appointment of Chair and Vice Chair

The Chair and Vice Chair will be elected by the committee on an annual basis at the first meeting of the academic year.

No Trustee who is employed by Shireland Collegiate Academy Trust will act as Chair or Vice Chair of the Resources Committee.

In the absence of the Chair and Vice Chair the Committee will elect a temporary replacement from among the Trustees present at the meeting.

Resources Committee Terms of Reference

<u>Finance:</u>

- Review the annual budget, as notified by the ESFA and in year any accounting officer updates (F.1.1)
- Recommend the initial budget for the Trust (F.1.2)
- Approve the annual staffing establishment for the Trust and it's establishments (F.1.3)
- Approve or recommend to the Trustees appropriate action on changes to the budget of the Trust and the budgets of each Academy within the Trust during the financial year (F.1.4)
- To approve and use key financial performance indicators and measure performance against these regularly (F.1.6)
- To report to regulatory bodies in agreed format as required (over and above the annual accounts) (F.3.1)
- To receive and approve the Trust's and each Academy's management accounts and budget monitoring reports (F.3.3)
- To approve the financial targets each year and monitor in year (F.3.4)
- To receive details of the Trust's and each Academy's management accounts monthly (F.3.5)
- Reporting of the year end position for each Academy (before preparation of the statutory accounts) (F.3.6)
- To approve the financial regulations for the Trust in accordance with the Academy Trust Handbook (F.4.1)
- Approve medium-term financial projections (3-5 years) in accordance with the requirements of the Trust's financial regulations (F.4.2)
- Setting of the best value statement for the Trust and its Academies (F.4.3)
- To approve all statutory finance policies as delegated down by the Trust Board and provide guidance for Academies (F.4.5, G.2.2)
- To approve the cash flow management, treasury, and investments (F.5.3)
- To ensure that the insurance cover held by the Trust provides adequate protection against risks (F.7.1)
- To review and decide on tenders over the value of £50,000 and up £100,000 in conjunction with a finance representative (A.2)
- To agree contractual spend over £50,000 and up to £100,000 (A.3)
- To authorise the write-off of debts in accordance with the scheme of delegated authority (A.6)
- To approve the disposal of surplus equipment in accordance with the Trust's regulations over £5,000 and up to £45,000. In the case of items of value in excess of £45,000 purchased using capital grant, secure prior permission from the ESFA (A.8)
- To monitor the spend of the School Condition Allocation across the Trust based on the strategy

Health and Safety:

- Providing a clear strategy for use of Trust property and assets to ensure they are adequately maintained and used effectively and efficiently (strategic setting) (H&S.1.1)

Discipline Committee

Each Academy can hold its own Discipline Committee but must report on any decisions made to the Trust Board.

Purpose

To comply with the Funding Agreements between the Secretary of State and the Academy Trust which requires the Trust to have regard to the Secretary of State's Guidance regarding exclusions.

Membership

The membership of the committee will be agreed on an annual basis or as needed but must comply with the requirements of a committee to be quorate.

The membership shall be any Trustee or Governor (who are not employed by the Trust)subject to the Articles of Association

No committee member may participate in the meeting, or be counted in the quorum, if they have a connection with or knowledge of the issue that might affect their impartiality. Participation in the meeting is permitted to any committee member who is needed to advise the committee on the circumstances of the case under consideration, for example the Principal, but such a person may not vote on a decision.

The Chair has a casting vote.

Attendance at Committee meetings.

A Trustee may attend meetings of any Academy committee.

Quorum

The quorum is 3 members of the committee subject to the Articles of Association.

Voting at Committee meetings

Only members of the committee may vote at meetings.

The Chair will have the casting vote.

Appointment of Chair

The Chair of the Committee will be elected as and when these meetings are convened.

Governance Professional

The Governance Professional of the Discipline Committee will be appointed to this position by the Trust. The Company Secretary will not undertake this role.

In the absence of the Governance Professional, the Trust will appoint a replacement Governance Professional for the meeting.

The Governance Professional will circulate an agenda and papers in accordance with the requirements of the Secretary of State's guidance.

Frequency of meetings and programme of work

The committee will meet as often as is necessary to fulfil its responsibilities.

Discipline Committee Terms of Reference

- To review certain exclusions as defined in the Secretary of State's guidance
- To consider representations about an exclusion made by the parents of an excluded child

- To consider the appropriateness of any permanent exclusion, or any exclusion where one or more fixed period of exclusions totals more than 15 school days in one term.
- To consider representations from all parties in deciding whether or not to uphold or reinstate a fixed term or permanent exclusion.
- To apply any other obligations contained in the Secretary of State's guidance.

Appeals Committee

Purpose

To hear appeals on behalf of the Academy Trust (where other mechanisms are not in place), make appropriate recommendations on such matters to the Trust Board and implement guidance on the conduct of appeals issued by the Secretary of State as it applies to Academies.

Membership

The membership of the committee will be constituted as needed but must comply with the requirements of a committee to be quorate. Therefore, minimum membership must be 3 independent Trustees or Governors who have not previously been involved in the issue under consideration. At least one of these members will not be involved in the management or running of the relevant Academy.

The membership shall be any Trustee or Governor subject to the Articles of Association.

No committee member may participate in any appeal process or be counted in the quorum if they are an employee of the Academy or have had any prior involvement or association with the circumstances leading to the appeal.

The Chair has a casting vote. The Chair may not be an employee of the Academy.

Attendance at Committee meetings

A Trustee may attend meetings of any Academy committees.

Quorum

The quorum is three committee members subject to the Articles of Association.

Voting at Committee meetings

Only members of the committee may vote at meetings.

The Chair will have the casting vote.

No decisions on any matter shall be made unless the majority of members of the committee present are Trustees.

Appointment of Chair

The Chair of the committee will be elected as and when these meetings are convened.

In the absence of the Chair the committee will elect a temporary replacement from among the committee members present at the meeting.

Governance Professional

The Governance Professional of the committee will be appointed to this position. The Company Secretary will not undertake this role.

In the absence of the Governance Professional, the committee will appoint a replacement Governance Professional for the meeting.

The Governance Professional will circulate an agenda and papers in accordance with any statutory requirements.

Recording and reporting the proceedings of committee meetings

All decisions will be reported to the Trust Board at its next meeting and along with the minutes of the meeting.

The Governance Professional will be responsible for ensuring all action points and decisions requiring Trust Board approval are summarised and given Trust Board's Governance Professional within 7 working days of the meeting.

Frequency of meetings and programme of work

The committee will meet as often as is necessary to fulfil its responsibilities..

Appeals Committee Terms of Reference

- To hear any appeal arising from the implementation of any Academy Trust policy
- To hear any appeal arising from the exclusion of a student
- To hear staff dismissal appeals
- To hear staff disciplinary appeals
- To hear appeals on pay grading and or pay awards
- To hear staff appeals on redundancy
- To hear staff appeals on grievance
- To hear complaints
- To hear any confidential reporting disclosure
- To hear any other appeal referred by the Academy Trust.

Standards and Performance Committee

Purpose

The SPC will be responsible for monitoring and reviewing the operational day to day running of the Academy.

The SPC has the delegated power to approve the recommendations of the CEO and/or the Principal in respect of the operational day to day running of the Academy to include:

- The implementation of policies approved by the Trust Board according to the agreed policy schedule
- Implementing decisions of the Trust Board and the CEO
- The reviewing and monitoring of standards & performance across the Academy, to include,
    - The Academy's Raising Attainment Plan (RAP)
    - Student progress and performance (of all including Pupil Premium, SEND etc.)
    - Safeguarding and Child Protection requirements
    - Enrichment for families and students
    - Health & safety
    - The site
    - Financial position of the Academy
    - Overview of the staffing establishment
    - Overview of the Academy's compliance with statutory requirements (compliance tracker)
- Please note, for a University Technical College (UTC) establishment, the SPC will also be responsible for monitoring and reviewing compliance with the UTC Charter.

Membership

The membership of SPCs will be agreed on an annual basis.

UTC SPC Membership:

- 1x Trustee or Governor of the Academy appointed by the Principal as Chairperson
- 5 x University Sponsor/Employer Sponsor Governors
- 1x Staff Governor
- 2x Parent Governors or 3x Parent Governors if the Chair is not a Trustee

A total of **9 Governors**

SPC Membership (excluding a UTC establishment):

- 1x Trustee or Governor of the Academy appointed by the Principal as Chairperson
- 1x Principal of the Academy
- 2x Family Governors
- 1x Staff Governor
- 3x Community Governors
- 1x Co-opted Governor or 2x Co-opted Governors if the Chairperson is not a Trustee

A total of **9 Governors**

If deemed beneficial by the CEO, then the Principal can appoint an additional Co-opted Governor to their SPC, which would increase the total number of members to 10.

Attendance at Committee meetings

The CEO or his representative is not a SPC member but will act in an advisory capacity, as necessary.

In addition to the appointed Governors, any Trustee may attend meetings of any of the Academy Trust's committees.

The SPC may invite attendance at meetings from persons who are not Trustees or members to assist or advise on a particular matter or range of issues, including parents and members of Academy staff.

Quorum

The quorum is 3 members of the SPC.

Voting at meetings

Only members of the SPC may vote at its meetings and the Chair will have a casting vote.

Appointment of Chair and Vice Chair

The Chair will be appointed by the Principal.

No Trustee or Governor who is employed by the Academy Trust will act as Chair or Vice Chair of the SPC.

In the absence of the Chair and Vice Chair, the committee will elect a temporary replacement from among the Trustees and Governors present at the meeting.

Governance Professional

The Governance Professional will be specifically appointed to serve the SPC. The Company Secretary will not normally undertake this role.

In the absence of the Governance Professional, the Principal will appoint a replacement for the meeting.

The Governance Professional will circulate an agenda and papers at least a week prior to the scheduled SPC meeting.

Frequency of meetings and program of work

The SPC will meet as often as is necessary to fulfil its responsibilities and at least once each term.

Standards and Performance Committee Terms of Reference

Governance:

- Annually agree the links for safeguarding, SEND, Wellbeing and Teaching & Learning (G.1.16)
- Annually appoint the Vice Chair for the Standards and Performance Committee (G.1.19)
- To implement single equality duty (G.2.4)
- Oversight of work to enrich the lives of students and families (,G.2.5)
- To agree any other local policies determined by the Principal but not required at Trust level (G.2.6)
- Ensure all relevant statutory policies are adhered to within Academies (G.2.8 ,F.4.6)
- Receive feedback from Family Forum (G.5.1)

Finance:

- Monitor the annual budget to ensure that the Academy keep within the limits agreed by the Trust Board (F.1.5)

Education and Curriculum:

- To review and monitor standards & performance across the Academy, to include, learner's performance & attainment, staffing establishment, effective use of the estates, safety and welfare of both learners and staff to include safeguarding, SEND, sickness levels, health and safety (E&C.1.1)
- Monitor the application of the Raising Attainment Plan (RAP) throughout the year (E&C.1.2)
- Oversight of work to enrich the lives of students and families (E&C1.3)
- Review and monitor School Improvement Partner (SIP) report (E&C.1.4)
- Annually agree, designated officer for Safeguarding and SEND (E&C.1.5)

The Family Forum

The Family Forum aims to enable families and the local community to influence the quality of provision of education for their children and for their community.

It will support the SPC by building relationships with families and the local community.

Purpose

- To enable families to influence the quality of education for their children and for their community
- To help the Academy to understand parents' perspectives on issues which affect them
- To advise on the organisation and evaluation of activities for parents such as options choice and consultation events

Membership

- The membership of the Family Forum will be determined on an annual basis by the Trust Board
- The Principal of the Academy is a member of the Family Forum
- The membership shall be the parents or guardians of registered pupils of the Academy or a feeder organisation and appointed representatives from local community/business groups.
- The Family Forum will not discriminate on grounds of race, faith, gender, sexual orientation, disability or age in its membership, election of officers, conduct of its business or in any other way

Quorum and Voting

There will be no quorum and no requirement for voting.

Appointment of Chair and Vice Chair

There is not a requirement to appoint a Chair or Vice Chair

Recording and communicating the activities of the Family Forum

The Office Manager of each Academy will manage the communication with families, raise issues and feed-back any views, advice, and opinions. A written summary will be forwarded to the Governance Professional of the SPC in sufficient time for it to be included in the agenda and papers for their next meeting.

Frequency of meetings

Once per term preceding the SPC.

Terms of Reference of the Family Forum

The Family Forum will actively promote a working partnership between parents/carers and the Academy. The Family Forum will report to the Standards and Performance Committee on their discussions

The Family Forum is a consultative forum, a 'sounding board' of opinion, and a source of help and advice.

Appendix A – Scheme of Delegation

- **Figure 1 – Overall Scheme of Delegation for Finance**
- **Figure 2 – Overall Scheme of Delegation for Governance**
- **Figure 3a –Overall Scheme of Delegation for Human Resources**
- **Figure 4 – Overall Scheme of Delegation for Education and Curriculum**
- **Figure 5 – Overall Scheme of Delegation for Health and Safety**

Note 1: Where Academies have a structure of an Executive Principal and Associate Principal, the Executive Principal will assume the delegated authorities of the 'Principal' below. Any further delegations between the Executive and Associate Principal will be agreed locally and documented.

Note 2: When a Senior Leader (ELT or Principal) resigns an interim scheme of delegation (CDA document) will be agreed with the Leader, CFO and CEO within 1 week of handing in their resignation and signed off by the Chair of the Resources Committee. The CDA document can also be used in other circumstances where required.

Figure 1 – Overall Scheme of Delegation for Finance

Key:

✓	**Action taker –** action taker for the function
A	**Advisor -** Feeds information or/and provides support/advice to those accountable for the function
SA	**Secondary Advisor -** Feeds information or/and provides support/advice to the direct advisor
R	**Ratified-** Feeds information and formally agree action taken
< >	Direction of advice and support

Reference	Function	Members (MAT)	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	CFO (MAT)	Principal (Academy)
STATUTORY WORK									
F.1.1	Review the annual budget, as notified by the ESFA and in year any accounting officer updates			✓					
F.1.2	Approval of the annual budgets of the Trust and its Academies		✓	**< A**					
F.1.3	Approval of the annual staffing establishment of the Trust and and it's establishments			✓					
F.1.4	Approve or recommend to the Trustees appropriate action on changes to the budget of the Trust and the budgets of each Academy within the Trust during the financial year			✓					
F.1.5	Monitor annual budgets to ensure no overspending and to keep within the limits agreed by the Trust Board					✓			
F.1.6	Approve and use key financial performance indicators and measure			✓					

Reference	Function	Members (MAT)	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	CFO (MAT)	Principal (Academy)
	performance against these regularly								
F.1.7	Ensure the solvency of the charitable trust, safeguarding its assets and delivering its charitable outcomes whilst ensuring the continued charitable status of the company		✓						
F.1.8	Approve the Trust's year end accounts		✓	**< A**					
COMPLIANCE									
F.2.1	Approve the external audit process and make recommendations to the Trust Board and Members on the appointment/removal of external auditors				✓				
F.2.2	Receive and respond to the internal and external management report				✓				
F.2.3	Appoint the Auditors and if necessary, re-appoint, remove, and determine remuneration for the Trust	✓			**< A**				
F.2.4	Appoint a Responsible Officer (RO)				✓				

Reference	Function	Members (MAT)	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	CFO (MAT)	Principal (Academy)
F.2.5	Receive and approve the annual internal audit plan to ensure regular audits are carried out in respect of financial, legal, risk, health and safety, investments, insurance, and the asset register via a self-evaluation process and in year receive the internal audit report and action on the findings, ensuring the work complements the external audit process				✓				
F.2.6	Direct the Trust's internal scrutiny via the approval of annual programme work				✓				
F.2.7	Ensure processes are in place and secure for compliance and fraud				✓				
F.2.8	Approve the policies for fraud.				✓				
F.2.9	Receive and keep under review internal compliance information to ensure that the financial regulations, scheme of delegation and internal control framework are being complied with and action taken on any reports				✓				

Reference	Function	Members (MAT)	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	CFO (MAT)	Principal (Academy)
F.2.10	Review and approve the statements to be included in the annual report concerning internal controls, risk management and accounting policies				✓				
F.2.11	Review the Annual Report of the Directors and Financial Statements for the year-end in accordance with the Companies Act (2006) and make recommendations to the Trust Board.				✓				
REPORTING									
F.3.1	Report to all Statutory bodies - DfE/Company house /Charity commission in relation to annual accounts and budgets to ensure compliance		✓ For annual accounts and annual budget	✓ Except for annual accounts and budget				**< A**	
F.3.2	Ensure that the ESFA are informed of any financial issues and/or irregularities				✓				
F.3.3	Receive and approve the Trust's and each Academy's			✓					

Reference	Function	Members (MAT)	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	CFO (MAT)	Principal (Academy)
	management accounts and budget monitoring reports								
F.3.4	Approve the financial targets each year and monitor in year			✓					
F.3.5	Receive details of the Trust and each Academy's management accounts monthly			✓					
F.3.6	Reporting of the year end position for each Academy (before preparation of the statutory accounts)			✓					
F.3.7	Report to the Trust Board on the adequacy of the Trust's internal controls framework for non-financial areas and ensure action is taken on any reports				✓				
F.3.8	Keep under review and report on a regular basis to the Trustees on the adequacy and effectiveness of the company's internal financial controls, internal controls, and risk management systems				✓				

Reference	Function	Members (MAT)	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	CFO (MAT)	Principal (Academy)
FINANCIAL CONTROL									
F.4.1	Approve the financial regulations for the Trust in accordance with the Academy Trust Handbook			✓					
F.4.2	Approve the medium-term financial projections (3-5 years) in accordance with the requirements of the Trust's financial regulations			✓					
F.4.3	Setting of the best value statement for the Trust and its Academies			✓					
F.4.4	Agree prices for lettings for the Trust and its establishments			✓					
F.4.5	Review and approve all statutory finance policies and provide guidance for Academies			✓					
F.4.6	Ensure all statutory finance policies are adhered to within Academies					✓			**< A**
F.4.7	Maintenance of day-to-day finances								✓

Reference	Function	Members (MAT)	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	CFO (MAT)	Principal (Academy)
BANKING & CASH MANAGEMENT									
F.5.1	Authorise the opening/closing of a bank account		✓						
F.5.2	Approve bank mandates including signatories							✓	
F.5.3	Approve the cash flow management, treasury, and investments			✓					
F.5.4	Manage the cash of the Trust							✓	
F.5.5	Manage investment of surplus cash							✓	
F.5.6	Authorise movements of funds between investment accounts							✓	
FIXED ASSETS									
F.6.1	Maintenance of the asset register							✓	
F.6.2	Maintenance of the inventory for all items over the value of £500								✓
F.6.3	Security of assets for Trust						✓		

Reference	Function	Members (MAT)	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	CFO (MAT)	Principal (Academy)
F.6.4	Security of assets for Academy								✓
F.6.5	Loan of assets within Trust sites							✓	
INSURANCES									
F.7.1	Ensure that the insurance cover held by the Trust provides adequate protection against risks			✓					

Figure 2 – Overall Scheme of Delegation for Governance

Key:

✓	**Action taker –** action taker for the function
A	**Advisor -** Feeds information or/and provides support/advice to those accountable for the function
SA	**Secondary Advisor -** Feeds information or/and provides support/advice to the direct advisor
R	**Ratified-** Feeds information and formally agree action taken
< >	Direction of advice and support

Reference	Function	Members (MAT)	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	CFO (MAT)	Principal (Academy)
STATUTORY WORK									
G.1.1	Ensuring compliance with the Trust's duties under Company Law and Charity Law and agreements made with the DfE, such as Funding Agreements, Governance Handbook and the Academy Trust Handbook	✓	✓						

Reference	Function	Members (MAT)	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	CFO (MAT)	Principal (Academy)
G.1.2	Determine the educational, character and the mission of the Academy Trust		✓						
G.1.3	Set the strategic direction of the Trust for a five-year period		✓						
G.1.4	Set key strategic objectives for the Trust and review performance against them		✓						
G.1.5	Approve the Trust's governance arrangements and scheme of delegation		✓						
G.1.6	Appointment/removal of the external auditors	✓			**< A**				
G.1.7	Determine the establishment, constitution, membership, proceedings, delegated powers and functions of the committees and their annual review and revision		✓						
G.1.8	Appoint Trustees in accordance with a	✓	✓						

Reference	Function	Members (MAT)	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	CFO (MAT)	Principal (Academy)
	the Articles of Association and with conjunction of a skills matrix	In accordance with the Articles of Association	In accordance with the Articles of Association						
G.1.9	Removal of Directors	✓							
G.1.10	Appoint the Chair for the Standards & Performance Committee		R				A >		✓
G.1.11	Removal of Academy's Standard and Performance Committee		✓						
G.1.12	Appoint & remove the Company Secretary and Governance Professional to the Board of Directors		✓						
G.1.13	Approval of the appointment/ removal of persons to Trust Committees		✓						
G.1.14	Approve the acquisition of legal entities (other schools/academies)		✓						

Reference	Function	Members (MAT)	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	CFO (MAT)	Principal (Academy)
G.1.15	Enter, or withdraw from a formal partnership		✓				**< A**		
G.1.16	Annually agree the link for safeguarding, SEND, Wellbeing and Teaching & Learning		✓ Trustee Link Roles			✓ Governor Link Roles			
G.1.17	Appointment of Governors to Standards and Performance Committee								✓
G.1.18	Appoint & remove Governance Professional to the Academy's Standard and Performance Committee								✓
G.1.19	Annually Agree the Vice Chair for the Standards and Performance Committee					✓			
POLICIES									
G.2.1	Approval of statutory Academy Trust policies not delegated down to other committees		✓						
G.2.2	Approve all statutory finance policies to			✓					

Reference	Function	Members (MAT)	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	CFO (MAT)	Principal (Academy)
	include the lettings policy delegated down by the Trust Board and provide guidance for Academies								
G.2.3	Review and approve the Trusts procedures for detecting fraud, bribery, and corruption				✓				
G.2.4	Implement single equality duty					✓			
G.2.5	Oversight of work to enrich the lives of students and families					✓			
G.2.6	Agree any other local policy determined by the Principal but not required at Trust level					✓			
G.2.7	Ensure all relevant statutory policies are adhered to within Academies					✓			
SHIRELAND LEARNING LIMITED									
G.3.1	Receive reports from SLL and to make recommendation to the Board of SLL		✓						
G.3.2	Ratify and approve the annual budget for		✓						

Reference	Function	Members (MAT)	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	CFO (MAT)	Principal (Academy)
	SLL, based on the recommendation of SLL Board								
PLANNING									
G.4.1	Overview risk to ensure that risk is rated, and progress is reported at each meeting to ensure that risks are being appropriately managed and addressed				✓				
G.4.2	Maintain overall responsibility for Risk Management and maintaining the Risk Management Plan		✓						
G.4.3	Review Risk Management Plan at least annually and act on any recommendations from Audit & Risk Committee		✓		**< A**				
REPORTING									
G.5.1	Receive feedback from Family Forum					✓			

Chairs Action

Chairperson of the Trust Board has delegated powers to deal with issues that are classified as urgent and need a decision before the next scheduled Trust Board meeting

Figure 3 – Overall Scheme of Delegation for Human Resources

Key:

✓	**Action taker –** action taker for the function
A	**Advisor -** Feeds information or/and provides support/advice to those accountable for the function
SA	**Secondary Advisor -** Feeds information or/and provides support/advice to the direct advisor
R	**Ratified-** Feeds information and formally agree action taken
< >	Direction of advice and support

Reference	Function	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	CEO (Accounting Officer), (MAT)	HR Director (MAT)	Principal (Academy)
STAFF STRUCTURE							
HR.1.1	Authorisation to appoint/dismiss senior staff (See Appendix B)	✓			✓		✓
HR.1.2	Approval of annual staffing budgets	✓	**< A**				
HR.1.3	Authorise increase to Academy/Organisational headcount (establishment) outside of the staffing budget				✓		

Reference	Function	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	CEO (Accounting Officer), (MAT)	HR Director (MAT)	Principal (Academy)
HR.1.4	Authorised to Increase Academy/Organisational Headcount (Establishment) within the existing staffing budget						✓
HR.1.5	Ensure processes are in place and secure for whistleblowing			✓			
GRADES OF POSTS (TEACHING AND SUPPORT STAFF)							
HR.2.1	Authorised to agree/vary employment Terms & Conditions					✓	
HR.2.2	Authorised to evaluate jobs and grades					✓	
HR.2.3	Sign off job descriptions					✓	
RECRUITMENT							
HR.3.1	Signing of employment contracts				✓	✓	
HR.3.2	Agree the recruitment process					✓	
PAY							
HR.4.1	To approve the pay structure for the Trust	✓			**< SA**		

Reference	Function	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	CEO (Accounting Officer), (MAT)	HR Director (MAT)	Principal (Academy)
HR.4.2	To note and monitor the annual honorarium payments and the respective end of honorarium impact (See Appendix B for Approval of Honorarium payments)	✓					
HR.4.4	Value of other discretionary allowances				✓		
PENSIONS STATEMENT AND DISCRETIONS							
HR.5.1	Approve the pension statement for support staff and any discretions which that may apply	✓				**< A**	
OPERATION OF POLICEIS							
HR.6.1	Approval of formal restructure plans				✓		
HR.6.2	Approval of severance or redundancy agreements				✓		
HR.6.3	Authority to issue warnings or other disciplinary measures including dismissal				✓		✓

Reference	Function	Trust Board (MAT)	Resources (MAT)	Audit & Risk (MAT)	CEO (Accounting Officer), (MAT)	HR Director (MAT)	Principal (Academy)
HR.6.4	Appointment or dismissal of the CEO, Principals or Chief Financial Officer	✓					
PROFESSIONAL DEVELOPMENT AND PERFORMANCE MANAGEMENT							
HR.7.1	To approve and monitor the professional development framework for the trust	✓					
HR.7.2	To approve the performance management structure for senior Leaders across the Trust	✓					
HR.7.3	To approve the performance management objectives of the CEO and agree pay increases (with advice from a CEO review group)	✓					
HR.7.4	To **approve** the performance management for Senior Leaders (ELT and Principals) across the Trust and associated pay increments				✓		

Figure 4 – Overall Scheme of Delegation for Education and Curriculum

Key:

✓	**Action taker –** action taker for the function
A	**Advisor -** feeds information and/or provides support/advice to those accountable for the function
SA	**Secondary Advisor -** feeds information or/and provides support/advice to the direct advisor
R	**Ratified-** Feeds information and formally agree action taken
< >	Direction of advice and support

Reference	Function	Trust Board (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	Principal (Academy)
E&C.1.1	Review and monitor standards & performance across the Academy, to include, learner's performance & attainment, staffing establishment, effective use of estates, safety and welfare of learners & staff to include safeguarding, health & safety, SEND, sickness levels and health & safety.		✓		**< A**

Reference	Function	Trust Board (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	Principal (Academy)
E&C.1.2	Monitor the Raising Attainment Plan (RAP) throughout the year		✓		
E&C.1.3	Oversight of work to enrich the lives of students and families		✓		
E&C.1.4	Review and monitor School Improvement Partner (SIP) report		✓		
E&C.1.5	Annually agree the designated officer for safeguarding, SEND		✓		
E&C.1.6	Approve the education brief and method of delivery for each Academy	✓			
E&C.1.7	Approval and monitoring of Academy targets around student welfare including exclusions	✓			✓
E&C.1.8	Determine the length/organisation of Academy Day			✓	
E&C.1.9	Setting of term dates			✓	
E&C.1.10	Review all external and internal data sources to enhance progress				✓
E&C.1.11	Review and monitor information held on the Trust website meets all statutory requirements			✓	

Reference	Function	Trust Board (MAT)	SPC (Academy)	CEO (Accounting Officer), (MAT)	Principal (Academy)
E&C.1.12	Review and monitor information held on the Academy website meets all statutory requirements				✓
E&C.1.13	To have a regular reporting mechanism to parents in line with statutory requirements				✓
E&C.1.14	Monitor the safety and welfare of staff and students				✓
E&C.1.15	Ensure compliance with all relevant safeguarding policies and procedures				✓
E&C.1.16	Ensure the quality of teaching and delivery				✓
E&C.1.17	Ensure a process is in place to meet the legal requirements of students with special needs				✓
E&C.1.18	Ensure records are maintained to demonstrate educational outcomes for required grant funding - pupil premium, PE grants etc				✓
E&C.1.19	Setting admissions policies and criteria			✓	

Figure 5 – Overall Scheme of Delegation for Health and Safety

Key:

✓	**Action taker –** action taker for the function
A	**Advisor -** Feeds information or/and provides support/advice to those accountable for the function
SA	**Secondary Advisor -** Feeds information or/and provides support/advice to the direct advisor
R	**Ratified-** Feeds information and formally agree action taken
< >	Direction of advice and support

Reference	Functions	Members (MAT)	Trust Board (MAT)	Resources Committee (MAT)	CEO (Accounting Officer), (MAT)	SPC (Academy)	Principal (Academy)
H&S.1.1	Providing a clear strategy for use of Trust property and assets to ensure they are adequately maintained and used effectively and efficiently (strategic setting)			✓	**< A**		
H&S.1.2	Provision of Health and Safety Policy and Management Plan		✓				
H&S.1.3	Health and safety RIDDOR reporting						✓

Reference	Functions	Members (MAT)	Trust Board (MAT)	Resources Committee (MAT)	CEO (Accounting Officer), (MAT)	SPC (Academy)	Principal (Academy)
H&S.1.4	Ensuring the adequacy of health and safety practice throughout the Academy						✓
H&S.1.5	Provision of an emergency planning template and a process to adopt				✓		✓
H&S.1.6	Health and safety accident reporting						✓
H&S.1.7	Provision of statutory training						✓
H&S.1.8	Academy health and safety arrangements including use of risk assessments						✓
H&S.1.9	Completion of an annual fire risk assessment						✓
H&S.1.10	Completion of asbestos risk assessment every 3 years						✓
H&S.1.11	General monitoring and action plans in relation to safety of sites including the condition of the building(s)						✓

Appendix B – Interview panel, Authorisation to appoint/dismiss senior staff and Approval of Honorarium Payments

Interview Panels:

Appointment of Staff- Interview Panel	
Support Staff	To be determined by the HR Director
Teaching staff	Principal of the Academy, and other senior member of staff
Senior Management Team	Principal of the Academy, HR Director, CEO or his/her representative
Principal	1 Trustee, HR Director, CEO or his/her representative
Executive Leadership Team	2 Trustees, HR Director, CEO or his/her representative

Authorisation to appoint/dismiss senior staff:

Appointment/Dismissal of Staff	
Trust Board	Able to appoint/dismiss CEO & CFO
CEO	Able to appoint/dismiss: • Members of the Executive Leadership Team • Principal at each Academy • Vice Principal (VP) at each Academy • Assistant Principals (AP) at each Academy **(Must be signatory)**
Principal	Able to appoint/dismiss: • below VP & AP **(Must be signatory)**

Approval of Honorarium Payments

Approval of Honorarium Payments	
CEO	Able to approve up to £7,500
Principal	Able to approve up to £3,000

Appendix C – Levels of Authority, Tendering & Pay Authorisation

BUYING:

TENDERING LIMITS (All Limits are exclusive of VAT)			
Reference	**Limit**		**Notes**
A.1	**Up to £10,000**	Quotes sourced and order placed	ALL ORDERS **OVER £5,000** WILL NEED TO BE AUTHORISED BY THE PRINICIPAL OF EACH ACADEMY OR THE CFO FOR THE CORE **In certain instances where the Budget Holder cannot seek other competitive quotes, a Sole Supplier Declaration form can be completed if the reasons are compatible with those stated on the declaration form. This process must be used as an exception.**
	over £10,000 up to £50,000	3 written quotes and order placed	
	Over £50,000 up to PCR 215 limit	4 quotes invited by written tender; order placed	
	Over PCR 2015 limit (£213,447)	From approved framework compliant with PCR 215 requirements	

REVIEWING AND DECIDING OF TENDERS

Reference	Delegated Duty	Value	Delegated Authority	Comments
A.2	**Reviewing and deciding of tenders**	Over £5,000 and up to £100,000	• Chairperson of Resources Committee • Finance Representative	Request to tender form is to be completed and approved by the Financial Director and CEO for tenders amounting to over the value of £50,000
		Over £100,000	• Chairperson of Trust Board • CEO • CFO	

ENTERING INTO A CONTRACT (UP TO 5 YEARS)

Reference	Delegated Duty	Value	Delegated Authority	Comments
A.3	**Signatory for entering into contracts up to a maximum term of 5 years (This is the lifetime value of the contract)**	Signatory up to £25,000	Principal	Up to £25,000, providing contract valuation is within approved annual budget
		Over £25,000 and up to £100,000	CFO and/or CEO	Contracts between £50,000 and £100,000 must initially be agreed by the Resources Committee
		Signatory for contracts over £100,000	CEO and/or Chair of Trust Board	Must initially be agreed by the Trust Board

PLACING ORDERS FOR GOODS AND SERVICES

Reference	Delegated Duty	Value	Delegated Authority	Comments
A.4	**Placing orders for goods and services**	Up to £25,000	Principal	Can delegate down to budget holders up to £5,000 if within budget limits
		Over £25,000 and up to £50,000	CFO	
		Over 50,000 and £100,000	Resource Committee	
		Over £100,000	Trust Board	

BUDGET VARIATIONS, DEBTS, SPECIAL PAYMENTS AND DISPOSING OF ASSETS

Reference	Delegated Duty	Value	Delegated Authority	Comments
A.5	**Budget Variation Limits**	Up to £10,000 excluding reserves	Principal	Can only move from one budget heading to another budget heading within agreed budget
		Over £10,000 and up to £50,000	CFO	
		Over £50,000 and up to £100,000	Resources Committee	
		Over £100,000	Trust Board	
A.6	**Write-off bad debts and entering not, guarantees, letters of comfort or indemnities**	Up to £5,000	CFO	
		Over £5,000 and up to the Board Limit of £45,000	Resources Committee	
		Over £45,000, seek ESFA approval	Trust Board	ESFA consent required if exceeds: • £45,000 or 1% of total annual income (whichever is smaller) per single transaction • Cumulatively, 5% of total annual income (AFH 2020, 5.19)
A.7	**Special, severance or ex gratia payments**	Reports to Resources up to the value of £50,000	CEO & CFO	Ex Gratia transactions must always be referred to the ESFA for prior approval. (AFH 2020, 5.17)
		Up to £50,000	Resources Committee	Ex Gratia transactions must always be referred to the ESFA for prior approval. (AFH 2020, 5.17)
		Over £50,000 seeks ESFA approval	Trust Board	Ex Gratia transactions must always be referred to the ESFA for prior approval. (AFH 2020, 5.17)
A.8	**Disposal of Assets**	Up to £5,000	CFO	
		From £5,000 and up to £45,000	Resources Committee	
		Over £45,000	Trust Board	Need to obtain ESFA approval for disposal of: • Freehold on land/buildings • Heritage assets (AFH 2023, 5.26)

PAYMENT AUTHORISATION

Reference	Payment Authorisation	Individual	Notes
A.9	Signatories for the Trust	A **minimum of two** individuals from the following list must be signatories: • Chairperson of the Trust Board, CEO, CFO, HR Director	• CEO **must** be signatory for individual payments over £100,000. • CFO **must** be a signatory for an individual payment over £50,000. • Cheques will be limited to the value of up to £1,000
A.10	Signatories for Academies	A **minimum of two** individuals from the following list must be signatories: • CEO, Principal, Vice-Principal, CFO • Other nominated senior leaders that were not involved in the processing of orders and invoices	
A.11	BACS runs for the Trust and Academies with centralised finance services	For up to **£100,000** • CFO, For over **£100,000** • CEO	• Individual payments over £50,000 **must be on a separate payment run and authorised by CFO.**
A.12	BACS runs for Secondary Academies **(up to the value of £250,000)**	**Over £100,000** • Principal (or Vice Principal) and a Trust Finance Officer for the approval process **<u>Individual Payment to a supplier</u>** **Over £50,000 and up to £100,000** • CFO **Over £100,00** • CEO	• An individual payment to a supplier over £50,000 and up to £100,000 must be authorised **by the CFO on a separate payment run as the main signatory plus the Principal** • An individual payment to a supplier over £100,000 must be authorised by the **CEO on a separate payment run as the main signatory plus the Principal**

A.13	Direct Debits for the Trust and Academies with centralised finance services	For over £50,000 • CFO, For over **£100,000** CEO	• Any amount exceeding £4,000 monthly or a total of over £50,000 annually requires CFO approval. • For amounts above £100,000 annually or £8,000 monthly, CEO approval is necessary.
A.14	Direct Debits for Secondary Academies	**Below £50,000 or £4,000 monthly** • Principal and another member of SLT. For over **£50,000** • CFO, For over **£100,000** • CEO	• Approvals for annual sums below £50,000 can be made by Principals. Monthly direct debits under £4,000 are also within their authority. • Any amount exceeding £4,000 monthly or a total of over £50,000 annually requires CFO approval • For amounts above £100,000 annually or £8,000 monthly, CEO approval is necessary.
A.15	Creating suppliers on accounting system	Central finance team only - Finance Assistant to be authorised by Trust Finance Officer	