



## The SWAN Trust Scheme of Delegation

The Trust's vision statement is the cornerstone of our ethos and culture:

**OUR VISION:**

We all agree we are passionate about providing the best possible education, with the highest ambitions for all children. We believe that every child has the potential to succeed, and we are relentless in our pursuit of academic excellence. We also believe that it is important for children to feel happy, safe, supported, and loved, and we are committed to providing a positive and inclusive learning environment within the 21st Century.

The Trusts know that its people are its greatest asset and, as such, aims to provide as many opportunities as possible where our people can grow and develop. The Trust knows that outstanding leadership is key and will enhance educational opportunities bringing about improvements in the quality of learning for all our children. We believe in school to school support and purposeful, research based collaboration.

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## 1. Introduction

A multi academy Trust's (MAT) Board of Trustees is accountable in law for all major decisions about their schools. However, this does not mean that the Board is required to carry out all the Trust's governance functions and many can and should be delegated, including to the CEO, the Board's committees, and to academy Local Governing Committees (LGCs). It is vital that the decision to delegate a function is made by the full Board of Trustees and is recorded. Without such delegation, the individual, committee or LGC has no power to act.

The Trust is constituted under its Articles of Association. This sets out the purpose of the Trust (the "Objects"), the powers of the Trust, and how these are to be exercised.

New Trust's Objects are: -

- a. advancing for the public benefit education in the United Kingdom, in particular but without prejudice to the generality of the foregoing, by
  - (i) establishing, maintaining, carrying on, managing and developing a school offering a broad and balanced curriculum;
  - (ii) providing adult training to develop the capacity and skills of parents-to-be and parents with children under five in such a way that they are better able to identify and help meet the needs of children;
- b. promoting in Woking and the surrounding area ("**the area of benefit**") the physical, intellectual and social development of children under five especially those who are socially and economically disadvantaged;
- c. providing recreational and leisure time facilities in the interests of social welfare for the inhabitants of the area of benefit especially those who have need of such facilities by reason of their youth, age, infirmity or disablement, poverty or social and economic circumstances.

### **Scheme of Delegation**

This scheme of delegation is the key document defining the lines of responsibility and accountability in a Trust. It ensures that the Members, Trustees, Board Committees, Local Governing Committees (LGC) and Executive Leadership are all clear about their roles and responsibilities. This Scheme of Delegation is separate from the Scheme of Delegation of financial powers set out in the Finance Policy.

The scheme is reviewed annually, with changes made as the context changes, if necessary. It is important to ensure that all involved in governance are made aware of any changes and what these mean in practice. The Scheme of Delegation is also published on the Trust's website.

### **Conflicts of Interest**

All Trustees and Governors on LGCs sign a register of interests at the start of each academic year. This is recorded and published on the Trust's website. Trustees and Governors are responsible for notifying the Trust of any change in their interests during the academic year. In addition, attendees at every meeting also register any interests in any items on the agenda if there may be a conflict of interest.

The register and procedure adopted by NEW TRUST is based upon:

- Companies Act 2006
- Guidance from the Charity Commission which explains statutory requirements and good practice regarding conflicts of interest for charity Trustees
- The Academy Trust Handbook
- The Governance Handbook
- The academies' Funding Agreements and Articles of Association.

### Code of Conduct & Upholding Standards in Public Life

Trustees and Local Governors also pledge to abide by the Trust's Governance Code of Conduct and uphold the HMG seven principles of Standards in Public Life, known as the Nolan Principles. Acceptance of the Nolan Principles by Trustees and Governors is recorded in TB and LGC meetings held at the start of each academic year.

## 2. Governance of the New Trust

The diagram below illustrates the various layers of governance for New Trust. In subsequent sections of this document the purpose of each layer is explained further.

### Trust Governance Structure



### 3 Board of Members

The Members act as the custodians of the Trust and are responsible for holding the Board of Trustees to account for the effective governance of the Trust. Whilst they have a minimal role in the running of the Trust, they have a number of key functions shown below. In the event of the liquidation of the Trust, the Members are individually liable for the sum of £10 - that is the “guarantee” implied by the term “company limited by guarantee”.

**Composition:** Five members, with a minimum of three. No employee of the Trust may be a member.

**Quorum:** Three members.

**Meetings:** The members must hold one Annual General Meeting within each twelve month period. There will be at least two further members meetings each academic year. At least once per year members will attend a Trustees meeting as observers.

**Inputs:** Trustees minutes are available from full Board and committee meetings, CEO’s Report, Annual Accounts and Trustees Report, any applications to join the Board of Trustees.

**Outputs:** Members minutes are available to all those in governance.

The powers and duties of the Members in broad terms are:

1. To maintain the membership and to appoint new and replacement Members
2. To appoint and remove Trustees
3. To approve any proposed changes to the Articles of Association
4. To receive the annual accounts of the Trust
5. To appoint and remove auditors
6. To hold Trustees to account for upholding the objects of the Trust, and through the strategic plan for delivering the mission and vision of the Trust.

## 4. Trustees

The Trustees are legally responsible and accountable for all statutory functions and for the performance of all schools within the Trust. They are both company directors and charity Trustees. They exercise general control and management of the administration of the Trust, and in accordance with the provisions set out in the Memorandum and Articles of Association and its Funding Agreement, are legally responsible and accountable for all statutory functions, and for the performance of all academies within the Trust. Fundamentally Trustees must carry out the three core governance functions:

1. Ensure clarity of vision, ethos and strategic direction
2. Hold the executive to account for the educational performance of the Trust's schools and their children, and the performance management of staff
3. Oversee the financial performance of the Trust and make sure its money is well spent

The Trust Board has the right to review and adapt its governance structure at any time which includes removing delegation.

The Trust's Scheme of Delegation, including terms of reference, is reviewed annually in the Autumn Term to evaluate how effective it has been and what improvements can be made to ensure governance is efficient and effective.

Trustees are the non-executive directors of the Trust and are in certain respects the equivalent of Governors in a local authority-maintained school. As company directors their duties are, in broad terms, to:

- Act within their powers.
- Alongside the executive team, to set the strategy, ethos, culture, and vision of the Trust.
- Promote the success of the three charitable objects of the Trust.
- Exercise independent judgment.
- Exercise reasonable care, skill, and diligence.
- Avoid conflicts of interest.
- Not to accept benefits from third parties; and
- Declare any interest in proposed transactions or arrangements.
- Ensure compliance with statutory and regulatory requirements, including Safeguarding and Health and Safety regulations
- Ensure that Trust strategy is responsive to the views of parents, carers and the communities served by the schools within the Trust
- Hold the CEO to account for the overall performance of the Trust.

**Membership:** There will be no less than five Trustees and there is no maximum. Up to twelve Trustees may be appointed by members, however the core number will be nine. The Chief Executive Officer (CEO) will be a Trustee. Trustee appointments are described in the further detail in the Articles of Association. Appointments are evaluated against specific skill requirements identified as required by the Trust Board's

annual skills audit. No Trustee shall also be directly employed by the Trust (other than the CEO). They should not be Chairs or Vice Chairs of the LGCs.

**Chair:** The Chair is elected by the Trust Board annually in September.

**Quorum:** Is two thirds of rounded up.

**Meetings:** At least six each year, convened on seven clear days' notice except in an emergency as determined by the Chair. Where possible, Trust Board meetings will happen in the last two weeks of each half term. LGC meetings will precede each Trust Board meeting by two weeks. Trust Committee meetings will happen in the second half of each term, one to two weeks before the full Trust Board meeting,

**Minutes:** A formal record of all meetings is produced by the clerk to the Trust Board. There are not published but are available to members of the public upon request. Meetings are closed.

**Inputs available:** LGC minutes & reports, CEO's Report, Trust committee minutes, Management Accounts, Budget plans, school HT & SIP Reports, any other reports from the Executive Team as required.

**Outputs available:** Annual Trustees Report, Board minutes circulated to all in governance, brief feedback report to LGCs after each meeting, Risk Register, approved policies, agreed budget.

### **Areas of responsibility**

The key areas of responsibility and powers that are retained by the Trust Board fall under six headings;

**Strategy, Quality of Education including School Improvement, Financial Management, Risk Management, Safeguarding and Governance.**

### **Strategy**

- Ensuring the clarity of vision, ethos and strategic direction
- Establish and oversee adoption of the Trust's vision, values and mission statement
- Determine the Trust's strategy, including key priorities and key performance indicators (KPIs)
- Agree and adopt the strategic plan for the Trust and schools against the vision and Trust's priorities
- Ensure the Trust's vision, values and mission statement are consistently applied across the Trust
- Agree reporting arrangements for progress against the strategic plan and KPIs
- Decide upon major strategic and legal changes to the Trust's structure and lands
- Appoint and remove CEO and CFO
- Approve appointment and removal of heads of our schools
- Approve role descriptions for CEO, Trustees, and Chairs of Trust Board and LGCs
- Set policies and procedures for pay and performance management
- Determine any staff redundancies.

### Quality of Education, including School Improvement

- Hold the CEO to account for the overall performance of the whole Trust and each school
- Review overall progress against the strategic plan and KPIs, towards achieving the vision
- Manage performance and appraisal of CEO. Evaluate children achievement, staff performance and professional development through benchmarking across the Trust and with local and national data.

### Financial Management

- Overseeing the financial performance of the Trust and making sure it is money well spent.
- Approve the overall budget for the Trust and its devolution to each school
- Approve the percentage of funds held by the Trust for central services
- Approve the annual report and accounts of the Trust.
- Undertake procurement requiring the 'Find a tender' process

### Risk Management

- Evaluate and take action on key risks identified in the Trust's risk register
- Ensure compliance with statutory and regulatory functions
- Approve all policies that the Trust is required to maintain by statute and regulation.
- Approve admissions code and ratify admission arrangements for each school
- Establish arrangements and panel members for independent appeals, for example admissions, exclusions, and staff disciplinary.

### Safeguarding

- Hold the CEO to account
- Safeguard, compliance and promote the welfare of children
- Have regard to any statutory guidance on safeguarding issued by the Secretary of State
- Ensure the suitability of staff, supply staff, volunteers, contractors and proprietors.

### Governance

- Ensuring governance at all layers of the Trust is effective and fit for purpose
- Act on recommendations to ensure the governance structure of the Trust, its Scheme of Delegation, and associated terms of reference, are fit for purpose
- Recommend appointment of members and Trustees to the members
- Agree membership of Trust Board committees
- Appoint Chair and Vice Chair of the Trust Board.
- Ensure a consistent approach to Governor CPD
- Ratify the appointment of Chairs of LGCs
- Approve all policies that the Trust by law is required to maintain. All central policies to originate from the Executive Team
- Determine each year the Scheme of Delegation and Terms of Reference
- To oversee our people and recruitment and retention
- Determine admission authority arrangements for each school

## 5 Trust Board Committees

Trustees have established three committees to carry out many of their governance functions. This includes making decisions, although any such decisions made will be deemed to be decisions of the Trust Board. The membership and responsibilities of Board committees are set out below.

### 5.1 Terms of Reference for the Achievement Committee

The committee's specific function is to support the Trust Board, CEO and executive team in their responsibilities for the key areas shown below, across the Trust in the context of the Trust's strategy.

It will liaise and consult with the Trust Board and its committees, and LGCs where appropriate.

The key areas of responsibility delegated by the Trust Board to this committee are: -

- Curriculum standards
- Educational outcomes
- School improvement
- Management of governance
- Pupil wellbeing
- Staff wellbeing
- Senior leadership staffing structures
- Admissions arrangements and code
- Equality and inclusion
- Safeguarding

#### Membership and Meetings

- **Membership** of the committee will be determined by the Trust Board.
- **Chair:** is elected from amongst the Trustees serving on the committee annually in the Autumn Term
- **Quorum:** is two thirds of rounded up members of the committee.
- **Meetings:** The committee will meet, at a minimum, four times a year: twice in the Autumn Term and then once each subsequent term.
- **Inputs:** Agreed KPIs on current attainment vs year end targets, the percentage of teaching that is good or better, absence and persistent absence, exclusions and suspensions, pupil numbers, staff retention, survey results, notifiable events and compliance checks (e.g. Health & Safety).
- **Output:** Minutes circulated to all Trustees, approved policies, Chair reports to full Board meetings, Chair notifies the Board of any 'by exception' issues.

The full list of the delegated responsibilities of the Achievement Committee can be found in **Appendix 3**.



## 5.2 Terms of Reference for the Finance, Audit & Risk Committee

The committee's specific function is to support the Trust Board, CEO and executive team in their responsibilities for the key areas of responsibility shown below, across the Trust in the context of the Trust's strategy.

It will liaise and consult with the Trust Board and its committees, and LGCs where appropriate.

The key areas of responsibility delegated by the Trust Board to this committee are: -

- Budget planning and financial management
- Auditing and Benchmarking
- Risk Management
- Premises and Assets management
- Communications with stakeholders
- Community involvement (Articles of Association Object #2)
- CEO Performance Management & Pay
- Pupil Premium and Sports Premium

### Membership and Meetings

- **Membership** of the committee will be determined by the Trust Board.
- **Chair:** The Chair is elected from amongst the Trustees serving on the committee annually in the Autumn Term.
- **Quorum:** is two thirds of rounded up of the committee.
- **Meetings:** The committee will meet, at a minimum, four times a year: twice in the Autumn Term and then once each subsequent term.
- **Input:** Management Accounts with commentary from the CFO, Audit Reports, premises information from local Boards.
- **Output:** Minutes circulated to all in governance, Financial Regulation Policy, Risk Register, Chairs reports to full Board meetings, Chair notifies the Board of any 'by exception' issues.

The full list of the delegated responsibilities of the Finance, Audit & Risk Committee can be found in **Appendix 4**.

Pay decisions are made reference to in the pay policy

## 6. Appeals and Exclusion Panels

An Appeals Panel is an ad-hoc group that is formed when a group of Trustees and or Governors that is called upon to hear appeals. Members of this committee should not have been involved in the initial decisions in relation to the appeal.

Notice of the appeal from the appellant, outlining as fully as possible the grounds on which the appeal is being made, should be sent in writing to the Clerk of the LGC or Trust Board.

Meetings are convened by the Clerk to the Trust Board or to the school, where New Trust policies require an appeal to be heard.

Membership, size and Chairing of the panel is determined by law and guidance applying to the relevant matter to be considered. The Appeals Panel reserves the right to include an independent expert from outside of the Trust Board if it deems this necessary, with the Trust Board's approval.

This committee is convened to cover issues such as:

- Pay Appeals
- Permanent Exclusions
- Staff Behaviour including dismissal
- Complaints (Stage 3)

\*Admissions is dealt with in accordance with the Admissions committee terms of reference.

#### **Delegated Responsibilities:**

The Panel will ensure successful outcomes for New Trust by taking the following actions:

- Following the relevant laws, guidance & procedures that apply
- Ensuring that the process is objective and impartial
- Considering all the relevant documents and facts
- Seeking expert advice where necessary
- Ensuring that, if a member of staff is involved, the member of staff is aware that they may be accompanied at the appeal hearing by a recognised association/union representative or workplace colleague
- Giving the person appealing the fullest opportunity to state the grounds for their appeal and to question any evidence presented during the appeal
- Returning a verdict that upholds or overturns the original decision
- Ensuring that the steps taken in reaching a decision are clear and transparent
- Keeping meticulous records of the proceedings
- Reporting back to the Trust Board or LGC on the outcome.

## **7. Chair's Emergency Powers**

The Chair, or in the absence of the Chair the Vice-Chair, may take such action as they may reasonably think fit to protect the interests of the Trust, any school within the Trust, any child or employee of the Trust or any other member of the school community.

Such actions should only be taken in circumstances where in the opinion of the Chair it would not be reasonably possible to convene a meeting of the Trust Board or a relevant committee or LGC in the time necessary to protect such interests.

The Chair (or Vice Chair in their absence) of Trustees should inform the Chair of members as soon as possible after action has been taken.

## 8. Terms of Reference for Local Governing Committees

The Trust Board values subsidiarity and therefore LGCs play a vital role in making sure that decisions are taken at a level closest to those affected by those decisions. It utilises the skills and experience of Local Governors and leaders to ensure that every child receives the very best education. The LGC is a committee of the Trust Board with delegated responsibility for strategically assessing the continual improvement of the school's educational outcomes.

The role of the LGC is to act as the leadership's support and challenge. The LGC will keep local oversight of educational outcomes, health and safety, local policy implementation and safeguarding. Budget setting and overall financial management remains the overall responsibility of the Trust Board. However, the LGC will in using the three 'Es' Economy Efficiency and Effectiveness to look at finances and their impact on achievement and improvement.

All LGCs have common terms of reference to allow consistency of function, delegation and reporting.

The purpose of the LGC is to:

- Build an understanding of how the academy is led and managed
- Monitor whether the academy is working within agreed policies, plans, and targets set by the Trust Board
- Engage with stakeholders and being a point of consultation and representation
- Meeting the statutory and regulatory requirements for the academy.
- Meet and report regularly and in a timely manner to the Trust Board, particularly when exceptional situations, or significant risks and issues are identified.

### Members and Meetings

- **Composition:** minimum of 6 Governors (1 Head as ex-officio, 1 elected staff Governor, 2 elected parent Governors and at least 2 Board appointed Governors)
- **Quorum:** is two thirds of rounded up of local Governors
- **Meetings:** half-termly. Additional meetings may be called as and when required by the Chair with appropriate notice. Governors will determine their own schedule of meetings, ensuring this aligns with the reporting needs of the Trust.
- **Chair & Vice Chair:** to be elected annually by Governors from the LGC and ratified by the Trust Board
- **Link Governor Roles Required:**
  - Child Protection and Safeguarding local Governor, including anti bullying and Looked After Children
  - SEND local Governor Pupil premium local Governor
  - Health and safety local Governor
  - Admissions local Governor to join the SWAN Committee (please bear in mind paperwork can be last minute due to when we receive it)

- Other Link roles identified by the school, or roles above split to meet the context of the school
- **Inputs:** HT Report, SDP, Trust challenge day reports, external reports, local Governors reports from visits and training
- **Outputs:** Minutes available to Trustees, brief update to Trustees after each meeting on local priorities and issues.

The responsibilities of the LGCs are the NGAs 4S's of local governance; **Strategy, Standards, Safeguarding & Stakeholders.**

### Strategy

- Work with the Headteacher and senior leadership team to ensure alignment of the school to the Trust's vision, values and strategic direction and to set the vision and strategic direction for the school
- To monitor and hold senior leaders to account for local risk management by maintaining and regularly reviewing a local Risk Register
- Escalate to the Trust Board any necessary information or concerns regarding the local school's finances, and its impact on achievement and improvement.
- Review, monitor and approve academy specific policies and procedures delegated to the academy by the Trust Board
- Regularly review the performance of the LGC and its Governors to ensure its continued effectiveness
- Ensure publication on school websites of all required details
- Agree arrangements for Governors to visit school for monitoring.

### Standards

- To monitor the implementation of Trust's strategic plan actions and KPI performance in each academy
- To agree the academy's own Development Plan and to monitor its implementation
- To monitor the academy's performance and thereby hold senior leaders in each school to account for educational outcomes
- Monitor all aspects of the curriculum and curriculum delivery within the school
- Monitor all aspects of SEND and the provision for vulnerable groups
- Ensure that ring-fenced funds, including Pupil Premium and sports grants, are used for the purposes intended and that they provide good value for money
- Appoint a named SEND Governor. This Governor will meet regularly with academy leads for SEND and make reports to the full LGC
- Monitor all aspects of readiness for external inspection
- Monitor the provision of a daily act of collective worship and teaching of religious education in line with relevant statutory requirements
- Ensure the academy has a process to manage continuous professional development of leaders, teachers, support staff & Governors.

## Safeguarding

- To monitor the school's performance and thereby hold senior leaders in each school to account, in such areas as pupil and staff wellbeing, equality and inclusion, safeguarding and Health & Safety
- Ensure that safeguarding procedures including safer recruitment and the prevent strategy meet all legal requirements and are consistent with current legislation and DfE/legal advice
- Appoint a named Safeguarding & Child Protection Governor, and a Governor for Looked After Children. These Governors will meet regularly with academy leads for their areas and make reports to the full LGC
- Monitor pupils' attendance, behaviour, and any exclusions.

## Stakeholders

- To arrange election of parent and staff Governors of the LGC in accordance with the Articles of Association and as set out in this Scheme of Delegation.
- Appoint a Premises/Health & Safety Link Governor, who will undertake bi-annual H&S Audits with the academy lead and receive Health & Safety and Premises updates. This Governor will make reports to the full LGC and forward their findings to the FA&R Committee.
- Monitor parental complaints
- Engage with school community and stakeholders to understand local issues and priorities
- CEO conduct the Head's performance review with input for nominated LGC member
- Review and agree teachers performance related pay progression at the Pay Committee
- Make a brief report to the Trust Board after every meeting on key priorities and issues for the academy.

## 9. Chairs Panel

The Chairs Panel is a termly meeting between the Chair of the Trust Board and the Chairs of LGCs. The CEO also attends where possible. The Chair of Trustees, CEO and Chairs of LGCs attend to discuss priorities and issues for their schools, as well as the development of governance and the Trust.

### Purpose

The Panel will ensure successful outcomes for Trust by taking the following actions:

- Creating communication pathways and sharing information between Governors and Trustees.
- Creating an effective team of Chairs to promote good governance and share best practice
- Helping to foster a consistent approach to achieving the vision, values and strategic direction for the Trust
- Providing support, skills transfer and mentoring opportunities for newly appointed Chairs
- Acting as a mechanism for progress reporting on key focus areas and KPIs,
- Discussing emerging trends and out of line exceptions, as well as risks and issues, threats and opportunities that may need further consideration
- Discussing successes so that good news is also shared with all.
- Providing a summary of the meeting so that key items can be brought to the attention of other Governors and Trustees

## 10. Portfolio Groups

Portfolio Groups create a second communications pathway. They are networking groups of Governors and Trustees with a specific focus on cross Trust area such as:

- Achievement and curriculum
- Safeguarding and wellbeing
- Premises and resources
- People and communities

They are also a mechanism for the Trust Board to request specific tasks or actions to be carried out, for example to investigate a specific activity across the Trust and report back to the Trust Board and LGCs for further action to be taken.

### **Purpose**

The Portfolio Groups will ensure successful outcomes for the Trust by taking the following actions:

- Create communication pathways and share information across Governors and Trustees about the portfolio's specific area.
- Create an effective team to promote good communication and share best practice
- Help foster a consistent approach to achieving the vision, values and strategic direction for the Trust on the portfolio group's area of responsibility
- Provide support, skills transfer and mentoring opportunities for newly appointed members
- Discuss emerging trends and out of line exceptions, as well as risks and issues, threats and opportunities
- Discuss successes so that good news is also shared with all
- Provide a summary of the meeting so that key items can be brought to the attention of other Local Governors on School LGCs and Trustees of the Trust Board.

## 11. Chief Executive Officer (CEO)

The CEO has the delegated responsibility for the operation of the Trust, including the performance of the Trust's academies.

The CEO is the Accounting Officer so has overall responsibility for the operation of the Trust's financial responsibilities and must ensure that the organisation is run with financial effectiveness and stability; avoiding waste and securing value for money.

The CEO leads the executive management team of the Trust. The CEO will delegate executive management functions to the executive management team and is accountable to the Trust Board for the performance of the executive management team.

Areas of responsibilities of the executive management team:

- CEO & HT - Operational management of schools and progress towards the Trust's objectives
- CEO & HT - Ofsted readiness

- CEO & HT - Engagement with stakeholders
- CEO & HT – Determine, agree and oversee Trust & Academy staffing structure
- CEO - Performance management of school HT, which the CEO undertakes along with local Chairs
- CEO - Disciplinary procedures of school head
- CEO - Develop Trust wide procurement strategies and efficiency savings programme
- Provide strategic and operational leadership of the Trust
- Work with the members & Trustees to establish the vision and strategic direction of the Trust
- Be accountable to the Trust for achievement and finance within the Trust, holding the schools to account for these areas
- Manage the Trust to achieve its goals and build the Trust’s reputation within the wider community.
- Constantly encourage an ethos of high expectations and achievement for every child/young person within the Trust and a culture of personal responsibility and professional self-review and development in all Trust employees
- Deliver the requirements of the Accounting Officer as set out by the Education and Skills Funding Agency and within the Academy Trust Handbook
- Reporting termly to the Trust Board against the key performance indicators
- Oversee the central business team to ensure all central Trust policies are compliant and up to date
- Work alongside the central business team to ensure that delivery of day-to-day operation of the Trust is efficient and appropriate
- Line manages the Director of Education, Academy Heads and CFO

## 12. Director of Education

- To assist the CEO in the above points
- Designing/refining/cohering the Trust’s curriculum intent in every primary curriculum subject;
- Ensuring a highly effective and evidence informed pedagogy in every classroom;
- Ensuring regular and evidence informed continuous professional development exists for colleagues across the Trust;
- Involving and engaging colleagues from across the Trust to continuously raise achievement;
- Working alongside the CEO and Executive Team to identify areas within the Trust’s academies where improvements are needed;
- Developing effective communication channels, relationships and confidence amongst staff and leaders within each of the Trust’s schools;

## 13. Chief Financial Officer

- Provide financial, personnel and administrative leadership of the Trust regarding business operations
- Secure financial probity and value for money including compliance with the Academy Trust Handbook

- Prepare, maintain, and ensure compliance with the Trust's Financial Policy to include the communication of monthly management accounts to the Chair of Trustees and analysis with the finance Trustee
- Prepare the budget for the Trust, including allocation of funds for centrally maintained services, determining envelope of funding allocated to individual academies
- Report termly to Trust Board at business focussed Board Meetings
- Alongside School Finance Partner support the HT from each academy, undertake a monthly review of the school management accounts
- Alongside School Finance Partner support the HT from each school and CEO, set the annual budget for each academy for approval by the Trust Board
- Work with the CEO, Director of Education, Heads and Trustees to establish the operational direction of the Trust
- Ensure all New Trust Financial & HR Central Policies are compliant and up to date (see Appendix 2 for a list)
- Support the Heads in all aspects of financial matters
- Ensure academy HR is well managed in line with agreed processes, with the support of the Trust's outsourced HR partner



## Appendix 1 - Scheme of Delegation Decision Matrix

<b>A</b>	Accountable for and <b>makes final decision</b>
<b>R</b>	Responsible, carries out the process or task and <b>makes a recommendation</b>
<b>C</b>	<b>Consult</b> before a decision or action is taken
<b>I</b>	<b>Informed</b> that a decision or action has been taken

Major decisions by layer of governance	Member	Trust Board	Ach Cmte	FA&R Cmte	Appeal Cmte	CEO	CFO	Local Boards	HT
<b>Strategic Governance</b>									
1. Review & Amend Articles of Association	A	R				C		I	I
2. Set the strategy & vision, KPIs & milestones		A				R		R Responsible for strategic direction of own school & ensuring in line with Trust strategy and vision	R Responsible for strategic direction of own school & ensuring in line with Trust strategy and vision
3. Growing the Trust and entering new Funding Agreements or legal arrangements		A				R		C	C
4. Agree the Trust board structure (page3)		A/R				C		I	I
5. Trust Improvement Plan		A/R				A/R		I	C
6. Emergency closure of school, including Covid		I				C/A		I	A/R
<b>Governance</b>									
7. Appoint & Remove Members	A/R	I				I		I	I
8. Appoint & Remove Trustees	A	R				C		I	I
9. Appoint Chair of Trustees		A/R				C		I	I
10. Appoint/Remove Trust Cmte Chairs		A/R				C		I	I
11. Appoint/Remove Local Governors (other than those elected)								A	R
12. Appoint/ Remove Local Chairs		A/R				C		R	R
13. Publish Register of Business Interests		A/R						A	I

Major decisions by layer of governance	Member	Trust Board	Ach Cmte	FA&R Cmte	Appeal Cmte	CEO	CFO	Local Boards	HT
14. Review and amend Governance Structure, Scheme of Delegation & Terms of Reference		A/R				C		I	I
15. Annual self-review of Trust Board Performance	I	A/R				C		I	I
16. Annual self-review of LGC performance		I				I		A/R	C
17. Succession planning		A/R				C		R	C
18. Trustee Annual Schedule of Business for Trust Board		A/R				C		I	I
19. Trustee Annual Schedule of Business for LGC (to meet requirement of Trustees Annual Schedule)		A/R For creating				C		A/R For following	R
<b>School Improvement</b>									
20. Approve targets for educational achievement and quality of teaching & learning in the Trust		A				R		I	I
21. Monitor targets for educational achievement and quality of teaching & learning in the Trust		I	A			R			
22. Approve targets for educational achievement and quality of teaching & learning in the school						A		R	R
						CEO would work with the schools to establish reasonable targets for the schools.		LGC would work with the SLT to agree a set of targets to discuss with CEO.	Headteacher would work with the SLT to agree a set of targets to discuss with CEO.
23. Monitor targets for educational achievement and quality of teaching & learning in the school						A		A	R
						Close scrutiny of termly performance targets and data with relevant HT and SLT. Collating a report to present to the Trust		LGC data monitoring of all groups of children, using the HT report	Close scrutiny of termly performance targets and data with relevant HT and SLT. Collating a report to present to the LGC
24. Significant change to curriculum		I	A			R		R	R
			Trust is accountable for the school curriculum and for the			CEO to scrutinise the rationale with		LGC propose significant change to CEO. Anything that challenges the	HT propose significant change to CEO and LGC. Anything that

Major decisions by layer of governance	Member	Trust Board	Ach Cmte	FA&R Cmte	Appeal Cmte	CEO	CFO	Local Boards	HT
			rationale of changes			HTs/LGC proposal CEO decides on the recommendation to the Trust		vision of the Trust or varies from considered best practice/stand and practise	challenges the vision of the Trust or varies from considered best practice/stand and practise
25. Minor Change to curriculum		I	I			C		A/R	R
26. Plan, implement & review the curriculum		I	I			C		A/R	R
27. Significant Change to school day		A				R		R	R
	No action	Trust is accountable for the school day and for the rationale of changes				CEO to scrutinises the rational with HTs/LGCs proposal, CEO decides on the recommendation to the Trust		LGC propose significant change to CEO. Anything that challenges the vision of the Trust or varies from considered best practice/stand and practise	HT propose significant change to CEO and LGC. Anything that challenges the vision of the Trust or varies from considered best practice/stand and practise
28. Minor Change to school day		I				A		R	R
29. Term dates		A				R		C	C
30. INSET dates						A		I	R
31. New Trusts- Website, prospectus, uniform, marketing and PR		A				R		I	I
32. Schools Website, prospectus, uniform, marketing and PR						A		R	R
<b>Admissions</b>									
33. Set and approve policy		A				R		C	C
34. Capping of PAN for a year group (temporary)		I				A/R		R	R
35. Decisions on PAN, age range, etc			A			R		R	R
36. Requests to go above PAN			A			C			R
37. Appeals			A			R		C	R
38. Review policy – effectiveness and up to date (statutory, regulatory, etc)			A			R		C	C
39. Suspensions		I				I			A/R

Major decisions by layer of governance	Member	Trust Board	Ach Cmte	FA&R Cmte	Appeal Cmte	CEO	CFO	Local Boards	HT
40. Consider suspended pupil's reinstatement or review meeting					A/R				R
41. Permanent exclusions		I				I		I	A/R
42. Permanent exclusion review meeting		I			A/R			I	R
<b>Staffing, Pay and performance</b>									
43. Set and approve policies		A		R		R		I	C
44. Set and approve pay scales				A		R		I	I
45. Pay Appeals		A			R				
46. Review policy- effectiveness and up to date		A		I		R		I	C
47. Monitor compliance with the Equality Policy				A		R			R
48. Agreement of job descriptions & terms of employment including appropriate grading for school based staff						A			R
49. Authorised to agree/vary employment Terms and Conditions for staff		A				R			C
50. Appointment of CEO		A/R				I		C/I	C/I
51. Appointment of Headteachers		A				R		R	I
		Trust board approve appointment of head teacher, representation on interview panel				Creation and oversight of the process, part of the recruitment panel		Participate in the recruitment process, with representation on the panel	
52. Appointment of Deputy/Assistant Headteachers		I				C		A	R
						CEO to be consulted and involved as in interview panel		Representation of Creation and oversight of the process, part of the recruitment panel	Lead - Creation and oversight of the process, part of the recruitment panel
53. Appointment of CFO and senior central team roles		A	R Dependent on where the role sits	R Dependent on where the role sits		R		I	I

Major decisions by layer of governance	Member	Trust Board	Ach Cmte	FA&R Cmte	Appeal Cmte	CEO	CFO	Local Boards	HT
54. Appointment of other staff									A/R
55. Teaching staff performance management and objective setting									A/R
56. Headteacher performance management and objective setting						A/R		C	
			Receive recommendation and approve pay aligned to the pay policy			Lead HT performance management or capability process in accordance with pay/performance management policy		Participation in the performance Management process with representation on the panel Chair of LGC to be included in the capability process of HT	
57. CEO performance management and objective setting		A/R For agreeing the panel							
58. Approval of any severance, settlements or redundancy agreements		A				R			C
59. Approval of leadership restructure plans		A				R		C	R
		Agree structure of the Trust and the leadership structure in each school and recruitment				CEO to consider possible structures and agree a recommendation of structure to the board.		LGC kept up to date with plans and rationale	HT responsible for proposed structure to LGC and CEO
60. Issue warnings or other disciplinary measures to school staff						I			A/R
61. Issue warnings or other disciplinary measures to Executive and Central Team		A				A/R			
62. Issue warnings or other disciplinary measures to the CEO		Chair							
63. Suspension of school staff									A/R
64. Reinstatement of school staff									A/R
65. Dismissal of school staff					A				R
66. Dismissal, suspension, reinstatement of CEO		R			A				

Major decisions by layer of governance	Member	Trust Board	Ach Cmte	FA&R Cmte	Appeal Cmte	CEO	CFO	Local Boards	HT
		(chair)							
67. Dismissal, suspension, reinstatement of Officers and Executive Team					A	R			
68. Disciplinary Appeals					A	R			R
69. Succession planning after resignations of office/support staff						C		C	A/R
70. Succession planning after resignations of teachers and TAs						C		C	A/R
71. Succession planning after resignations of Leadership roles		I				C		C	A/R
72. Succession planning after resignations of central team		I				A/R		I	I
73. Determining Salary for HT prior to advert		A				R		C	x
74. Determining Salary for leadership roles prior to advert						A			R
75. Determining Salary for teaching roles prior to advert						A			R
76. Determining Salary for support roles prior to advert						A			R
77. Determining Salary for Central team						A/R			
78. Redetermining Salary for HT and Deputy HTs		A				R		C	C
79. Advertising of office/support positions						A		I	R
80. Advertising of teachers and TAs						A		I	R
81. Advertising of Leadership roles		I				A		I	R
82. Advertising of central team						A/R		I	I
83. Interviewing for central team						A/R		I	I
84. Interviewing and appointing for office/support positions						I			A/R
85. Interviewing and appointing of teacher and TAs						I		A - teacher	R - Teacher A - TA
86. Interviewing and appointment of Leadership (excluding HTs and DHs, see points above)						C		A	R

Major decisions by layer of governance	Member	Trust Board	Ach Cmte	FA&R Cmte	Appeal Cmte	CEO	CFO	Local Boards	HT
87. Staff well being		A				R		C	R
Finance									
88. Set Trust and school budgets including central contributions		A		R		R	C	I	R
89. Set financial policy & financial scheme of delegation				A		R	R		
90. Monitor trust budget				A		R	R		
91. Monitor school budget within delegations				A		R	R		R
92. Notify TB of out of line / overspend etc				A		R		I	R
								This is shared termly ad this will hready have been reported to Trustess	HT reviews monthly spend with SBM and provides annotation for overspend
93. Identify school cap-ex priorities and expenditures within delegations				A		R		A	R
				Accountable for sign off, this is about the project and the expenditure not the quotes or company		Responsible for proposing to Trustees		LGC Accountable or being consulted with, LGC members have a valuable overview of the building , for maintenance within delegation of budget and selecting the tender, then along with HT making proposal to Trustees	HT and SBM use the maintenance plan to create priorities and proposes to LGCs, HTs responsible for this being in the budget
94. Agree priorities for capital expenditure within delegations				A		R	C	R	R
95. Agree priorities for capital expenditure outside delegations		A		R		R	R		
96. Review Financial Regulations policy- effectiveness, adequacy, compliance and up to date				A		R			

Major decisions by layer of governance	Member	Trust Board	Ach Cmte	FA&R Cmte	Appeal Cmte	CEO	CFO	Local Boards	HT
97. Approve and monitor Charging & Remission Policy				A		R			
98. Complete annual report, annual accounts & reports to funding and regulatory bodies		A		R		R	R		
99. Approve annual report, annual accounts & reports to funding and regulatory bodies	R	A		R		R	R		
100. PAYE & VAT Returns				A		R	R		
101. Appoint internal auditors and agree scheme of work, and response to audit report				A		R	R		
102. Appointment of external auditors	A	R		R		R	R		
103. Response to external audit		A		R					
104. Review of Lettings Policy and charges				A R		R		C	R
105. Investigate issues of financial irregularity		A				R	R		R
106. Receive & review Management Accounts		A		R		R	R	C	R
							With CEO	Seen termly	With SBM
<b>Premises</b>									
107. Set, approve and review key policies				A		R			
108. Identify Trust / LGC Link Governor				A				R	
109. Establish a premises maintenance/development plan for each school				R		R		A	R
110. Oversee / monitor usage, condition etc of premises						C		R	A/R
111. Ensure premises meet statutory requirements (H&S, lettings etc)		A				R		R	A/R
112. Set a Critical Incident Plan and Business Recovery Plan (emergency plan)		A				R		A	R
113. Manage risks				A		R		R	R
<b>Safeguarding</b>									
114. Set, approve and review policies			A			R			
115. Identify Trust / School Link Governor			A					R	



Major decisions by layer of governance	Member	Trust Board	Ach Cmte	FA&R Cmte	Appeal Cmte	CEO	CFO	Local Boards	HT
116. Ensure training for all			A			R		A	R
117. Review effectiveness cross Trust			A			R			
118. Review effectiveness within School						R		A	R
119. Review notifiable events, identify potential risks, trends etc			A			R		R	R
<b>Health &amp; Safety</b>									
120. Set, approve and review policies				A		R			
121. Identify Trust / School Link Governor				A				R	
122. Ensure training for all				A		R		R	R
123. Review effectiveness cross Trust				A		R			
124. Review effectiveness within academy						R		A	R
125. Review notifiable events, identify potential risks, trends etc				A		R		R	R
<b>Risk Management</b>									
126. Maintain and review Trust Risk Register		A		R		R			
127. Maintain and review school's Risk Register								A	R
128. Ensure appropriate insurance arrangement are in place		A				A	R		

## Appendix 2 – Delegated Responsibilities of the Achievement Committee

The Achievement Committee will ensure successful outcomes for NEW TRUST by considering, monitoring and reviewing the following:

### Curriculum Achievement

- The broad educational needs of the children attending the Trust's schools.
- The curriculum principles which apply to all schools in the Trust.
- How curriculum principles are being implemented by schools in the Trust and their impact on all children.
- Curriculum and quality of education issues for all schools in the Trust.
- Enrichment throughout the Trust.
- Issues arising from other curriculum areas such as personal, social, health and economic education.

### Educational Outcomes

- Children's achievement and Achievement throughout the Trust against KPIs, with focus on exceptions and outliers, and also with focus on specific groups such as SEND, disadvantaged, looked after children, attendance and pupils with English as an additional language.
- The quality of teaching and learning throughout the Trust, including performance and future performance trends and risks in relation to each school.
- The Trust's overall educational performance by benchmarking across the Trust, and with local and national data
- Teaching capacity throughout the Trust including the impact of continuing professional development on children's achievement and standards.
- Current and emerging patterns, trends and risks relating to children's achievement throughout the Trust.
- How collaboration between schools in the Trust and more widely is raising children's achievement and wider outcomes
- Compliance with safeguarding regulation, and consistency of application across the Trust.

### Governance

- Publication of all required details on the Trust's website about governance arrangements
- A consistent approach to Trustee and Governor recruitment, appointment, onBoarding, and professional development to ensure Governor and Trustee effectiveness
- Regular self-review of Trustees and Governors to ensure good practice and to identify areas for improvement
- Publication of an annual timetable of meetings and schedule for effective business
- All Trust policies within the remit of this committee are current, fit for purpose and applied effectively
- A consistent approach to the management of all Trust policies to ensure policy and practice is current, effective, and meets statutory and regulatory requirements
- The governance structure of the Trust, its scheme of delegation, and associated terms of reference are relevant and fit for purpose
- Successful outcomes from the new Governor or Trustee Appointment and Induction Policy.

## **Wider outcomes**

- The Trust-wide approach to ensuring all children are given the knowledge, skills and attributes needed to manage their lives now and in the future.
- The Trust-wide approach to improving children's health, wellbeing and physical literacy.
- The Trust-wide approach to building the cultural capital of children.
- The Trust-wide approach to promoting British values and providing children with a global outlook.
- Review admissions arrangements and the code regularly to ensure they are fit for purpose, meet regulatory requirements, and are consistently applied across the Trust
- Issues related to children's behaviour such as levels of exclusions across the Trust.
- Current and emerging patterns, trends and risks relating to attendance and behaviour for all schools in the Trust.
- Current and emerging patterns, trends and risks relating to childrens wellbeing for all academies in the Trust.
- Staff work-life balance, working conditions and wellbeing, including monitoring staff absence rates
- Current and emerging patterns, trends and risks relating to staff wellbeing for all school in the Trust.
- Engage with children, parents and the wider community in promoting and improving educational performance
- Management of risks that are within the remit of the committee.

The committee will report back to each meeting of the Trust Board, alerting it to potential problems and significant exceptions to the progress or status of any of the above areas.

## Appendix 3 – Delegated Responsibilities of the Finance, Audit & Risk Committee

The Finance, Audit & Risk Committee will ensure successful outcomes for NEW TRUST by considering, monitoring and reviewing the following:

### **Budget Planning and financial management**

- Review an annual budget, ensuring resources are allocated in line with the Trust's strategic priorities and curriculum plans
- Present the annual balanced budget to the Trust Board for approval
- Review and approve a realistic three-year financial plan, taking into account the Trust's vision, known risks and opportunities
- Receive the Trust's management accounts in order to monitor the Trust's cash position and income and expenditure against the approved budget
- Review pupil number estimates (that underpin revenue projections) annually
- provide oversight of the pay committee to ensure pay and performance is effective, equitable, transparent, justifiable and meets statutory requirements
- Ensure that sufficient funds are allocated for staff pay increments
- Review and approve any adjustments to the Trust's approved budget (subject to the scheme of delegation)
- Approve expenditure and virements of sums over the amount delegated to the Trust's senior executive leader
- Undertake detailed scrutiny and recommend approval of the school resource management self-assessment checklist annually
- Ensure that the Trust's financial procedures are complied with
- Monitor spending of pupil premium, PE and sport premium (and other relevant premiums); ensure that funding is spent effectively and is having the intended impact on children's outcomes
- Ensure compliance with health and safety regulation, and consistency of application across the Trust
- Ensure that the Trust follows basic procurement rules and achieves best value for money when acquiring goods and services
- Control the Trust's financial sustainability
- Review and assess the risks arising from the Trust's operations

### **Auditing and benchmarking**

- Oversee and approve the Trust's programme of internal scrutiny, audit arrangements and programme of controls
- Evaluate the adequacy of the Trust's internal control framework, including financial and non-financial controls and management of risks and report this to the Trust Board
- Assess whether procedures are designed effectively and efficiently, and check whether agreed procedures have been followed
- Receive the external auditors' annual plan, annual report, and accounts and recommend appropriate actions to the Trust Board in response to the findings
- To review the Trust's insurance cover in compliance with its legal obligations.

- Review the auditor's findings and actions taken by the Trust's leaders in response to those findings
- Ensure timely production and review of the annual report and accounts
- Review findings from other assurance activities by third parties including ESFA financial management and governance reviews, funding audits and investigations
- Assess the effectiveness and resources of the external auditor and make recommendations to Trustees and members on the reappointment or dismissal or retendering of the external auditor, and their remuneration.
- Review the ratings and responses on the risk register to inform contingency and business continuity planning and the programme of work, ensuring risks and control measures are adequately identified and modified as appropriate
- Review and act upon any issues identified by benchmarking against similar Trusts, internal or external scrutiny
- Provide reports for each full Trust Board meeting, highlighting emerging risks or significant anomalies at the earliest opportunity
- Support development and review of the Trust's risk management policy, setting out the framework the Trust has adopted for risk management.
- Ensure that risks are being addressed appropriately through internal scrutiny.

#### **Premises and Asset Management**

- Receive regular reports from LGCs to ensure adequate maintenance and improvement of the condition of the Trust's properties and land, and if agreed upon, include within the Trust's strategic development plan and budget forecast.
- Receive regular reports from LGCs to assure that all schools' portfolio of property and land is fit for purpose, safe and secure, and meets the Trust's statutory and regulatory obligations for the safety and security of all pupils, staff, visitors and contractors.
- Oversee the management of health and safety across the Trust. Acting upon any exceptional situations received from LGCs, and include them in the risk register where required for further action and monitoring
- Oversee creation and management of a strategic asset management plan and register, for the efficient use of school's assets, including acquisition, maintenance and disposal.

#### **Community Use and communications**

- Ensure Trustees and LGC Governors have a good understanding of their stakeholder groups, and their needs and wants, using this context to enable fair representation of all communities to the Trust and the Trust's strategic development plan.
- Ensure schools and LGC Governors engage regularly with stakeholders and act as a point of consultation and representation for their own schools
- Ensure the Trust's provision of facilities for recreation or other leisure time occupation is made known and are used to improve the condition of local residents.
- Determine guidelines for charging and remissions for all chargeable activities undertaken in schools, including nursery provision, and review regularly the charges levied from parents and carers.
- Make and act on recommendations from LGCs, including Trust-wide initiatives into the Trust's strategic development plan that will improve outcomes for the Trust's community
- Monitor the Trust's Charging and Remissions Policy to ensure it is properly and consistently implemented across the Trust.

The committee will report back to each meeting of the Trust Board, alerting them to potential problems and significant exceptions to the progress or status of any of the above areas.