

Northern Leaders Trust – Scheme of Delegation

Category	Trust Board / Committee	CEO (or delegated to Executive Principal)	COO (or delegated to Central Services Directors)	Local Governing Body	Principal and Operations Manager
Strategic Direction	<p>Set the vision and ethos for the Trust.</p> <p>Approve and monitor the Trust targets for improvement and the strategic improvement plan.</p> <p>Set the strategy for growth and direction for the Trust.</p>	<p>Using the Educational Development Strategy to evaluate strengths and areas for improvement across the schools they lead.</p> <p>Using the Educational Development Strategy to agree a phase improvement plan with key area identified for improvement across all academies.</p> <p>Approve Academy SEFs and Academy Development Plans.</p> <p>Approve improvement plans for HR, Estates and IT.</p>	<p>Monitor improvement plans for HR, Estates and IT.</p> <p>Evaluate the impact of central services annually, identifying strengths and areas for improvement.</p>	<p>Support the vision, ethos, and culture of their academy.</p> <p>Ratify the SEF and ADP prior to approval.</p> <p>Monitor progress of the Academy Development Plan.</p>	<p>Develop the ethos and culture of the academy and communicate this to all stakeholders.</p> <p>Identify the academy strengths and areas for improvement.</p> <p>In conjunction with the Executive Principal develop the SEF and ADP.</p> <p>In conjunction with the Executive Principal monitor progress of the ADP.</p>
Financial Management	<p>Develop Trust financial procedures to ensure compliance with the requirements of the Trust's Delegated Financial Powers and Duties, the Trust's Finance policies, Financial Scheme of Delegation and the ESFA's Academy Handbook</p> <p>Approve academy budgets, three-year forecasts and statutory accounts.</p> <p>Review management accounts termly and support the Central Services Executive with managing financial risks and opportunities.</p>	<p>Review any budgets where deficits are predicted or become a risk throughout the year.</p> <p>Endorse any use of Academy reserves to the Trust Board.</p> <p>Ensure budgets have been appropriately delegated by Principals to support high quality teaching and learning provision and compliance.</p> <p>Ensure academy reserves are in place or being worked towards, to cover future capital spend and/or risks.</p> <p>Ensure any voluntary funds raised by academies comply</p>	<p>Develop the Trusts financial controls, policies and procedures to ensure the safeguarding of funds and assets in compliance with relevant guidance and advice.</p> <p>Monitor academy financial compliance.</p> <p>Provide management accounts, draft and final budgets and other financial information in an accurate and timely way.</p> <p>Recommend the Trust's annual budget, three-year forecast and statutory</p>	<p>Review the impact of pupil premium funding.²</p>	<p>Manage annual budgets efficiently including the use of PP funding.</p> <p>Compliance with Trust financial policies.</p> <p>Ensure safeguarding of assets in line with Federation policies.</p>

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	<p>Agree the contribution % from academies to the Trust Central Services.</p> <p>Appoint external and internal auditors.</p> <p>CEO, Executive Principal and Principals pay award.</p> <p>Benchmarking and Trust wide value for money.</p>	<p>with the Trust's charitable objectives.</p>	<p>accounts to the Trust Board for approval.</p>		
Curriculum and Standards	<p>Appoint members of the Standards Sub Committee.</p>	<p>Approve Trust curricula, exam boards and staffing.</p> <p>Monitor pupil / student progress.</p> <p>Monitor personal development.</p> <p>Commission reviews to check the quality of education as and when appropriate</p> <p>Ensure the quality of professional learning in each academy is having a positive impact.</p>		<p>Scrutinise and challenge the academy's progress in ensuring high quality curriculum and standards.</p> <p>Scrutinise and challenge the academy's approach to student personal development. ⁴</p> <p>Approve the Pupil Premium Strategy and review its impact. ²</p>	<p>Deliver a fully compliant curriculum with high quality intent, implementation and impact in order to achieve high standards.</p> <p>Ensure high quality professional learning where teachers will become experts in every classroom.</p> <p>Ensure outstanding personal development for students.</p>
		<p>Monitor teacher workload across all academies and ensure this is appropriate.</p> <p>Approve term dates, school day and directed time calculation.</p> <p>Deploy subject Director's support and challenge intent, implementation and impact.</p>			

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		<p>Review the quality of education by subject, using observation, discussions with leaders and assessment data.</p> <p>Set annual assessment schedule for each year group.</p>			
<p>Student welfare inc. behaviour and attendance</p>	<p>Ratify relevant policies related to student welfare.</p> <p>Monitor exclusions data.</p> <p>Monitor attendance data</p> <p>Monitor overall student welfare via feedback from Trust staff, Governors and Trustees.</p>	<p>Approve the academy student welfare and safeguarding compliance audit each September.</p> <p>Approve the Academy behaviour, attendance and exclusion policies annually.</p> <p>Commission external safeguarding audit.</p> <p>Monitor KPIs for attendance and exclusions half termly. Follow up concerns with Principals.</p> <p>Ensure that behaviour and attendance and other related policies are reviewed thoroughly each year to ensure compliance with statutory guidance.</p> <p>Approve and PEX decisions before the Principal's actions.</p>		<p>Review and ratify the Academy behaviour, attendance and exclusion policies annually.³</p> <p>Review any other policies that the Academy presents to support student welfare, for example anti-bullying policy³</p> <p>Establish a Governor Discipline Committee to review suspensions and permanent exclusions in line with the current DfE guidance on suspensions and permanent exclusions. A Governor Discipline Committee must consist of three sponsor Governors, with the majority (two) drawn from the specific Academy Governing Body Participate in Behaviour Panels to meet with students at risk of suspension or permanent exclusion as appropriate.³</p> <p>Observe the behaviour and attitude of students when visiting academies,</p>	<p>Ensure effective day to day implementation of the behaviour policy.</p> <p>Ensure that behaviour is rated as at least Good.</p> <p>Ensure the academy meets its targets on attendance and persistence absence.</p> <p>Reduce the number of suspensions and permanent exclusions, with a particular focus on vulnerable students.</p>

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				<p>reporting back to the Principal as appropriate.³</p> <p>Gather feedback from students regarding welfare and behaviour.³</p>	
Safeguarding	<p>Appoint a Safeguarding Trustee</p> <p>Ratify Trust Safeguarding policies.</p> <p>Receive reports by exception of serious safeguarding concerns.</p>	<p>Develop and implement effective safeguarding policies across the Trust.</p> <p>Appoint a Trust safeguarding lead to oversee the DSL network group and support DSLs/Principals with any serious safeguarding situations.</p> <p>Ensure academies are compliant with all safeguarding policies and Keeping Children Safe in Education requirements.</p> <p>Commission annual Safeguarding audit.</p> <p>Conduct compliance Safeguarding Reviews of academies on a half termly basis.</p> <p>Ensure termly checks of the SCR once conducted by Trust Safeguarding Lead.</p>	<p>Develop and implement effective Safer Recruitment processes.</p>	<p>Appoint a Safeguarding Link Governor, with appropriate training and support to carry out visits to the Academy, check safeguarding (including the Single Central Record) and feedback to the Governing Body.⁵</p> <p>Review safeguarding information each term.⁵</p>	<p>Appoint a designated safeguarding lead.</p> <p>Ensure the academy is compliant with all safeguarding policies and Keeping Children Safe in Education requirements.</p> <p>Promote a strong safeguarding culture.</p> <p>Report 'serious' safeguarding incidents to the Executive Principal.</p> <p>Ensure all relevant staff are trained in Safer Recruitment and Designated Safeguarding Lead (DSL) / Deputy DSL roles as required.</p>
Risk Management	<p>Ensure the Trust has a comprehensive risk management strategy in place to effectively identify, assess and manage risks at all levels of the Trust.</p> <p>Review all risks on an annual basis (at the Autumn Term Board).</p>	<p>Identify, assess and manage education and safeguarding risks across their respective areas.</p> <p>Challenge and scrutinise mitigation actions to reduce academy risks, as appropriate.</p>	<p>Oversee compilation of the Trusts Consolidated Risk Register and provide a termly update to the Audit and Risk Committee.</p> <p>Central Services Directors to identify, assess and manage risk across their</p>	<p>Academy Governing Body to have oversight of the academy's top risks as reported in the Governing Body meetings.</p> <p>Challenge and scrutinise mitigation actions to reduce academy risks, as appropriate.</p>	<p>Maintain an academy Risk Register, which is to be reviewed and updated in line with Risk Calendar.</p> <p>Ensure that appropriate action and follow-up is taken to mitigate risks identified in a timely manner.</p>

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	FGP to review the Trusts 'red risks' on a termly basis.		<p>respective areas and maintain Risk Registers.</p> <p>Director of Risk and Compliance to ensure the Trust has appropriate Business Continuity policies and procedures in place to deal with emergencies and serious business disruptions.</p>		Ensure the Academy Business Continuity Plan is regularly reviewed and an Incident Management Team has been nominated to stand-up in the event of an emergency or serious business disruption.
Data Protection	The Trust as the data 'controller' is responsible for ensuring the Trust and its academies comply with its data protection obligations outlined in the UK GSPR and DPA.	<p>Appoint a Data Protection Officer (DPO) to ensure the Trust fulfils its Data Protection obligations.</p> <p>Ensure academies are compliant with all data protection policies in their capacity as data 'Processors' of personal data.</p>	<p>Put in place appropriate technical and organisational measures to meet the Trust's data protection obligations.</p> <p>Data Protection updates to be provided to the Trust.</p>	Acknowledge and understand key data protection concerns which have potential to impact the academy.	Ensure their Academies, as data 'processors' of personal data, comply with data protection policies and instruction from the Trust.
Health and Safety	<p>Approve the main policies to be operated across the Trust with regards to health and safety.</p> <p>Review a high-level Health and Safety report termly covering any trends in strengths and areas for improvement.</p>	Ensure that Principals allocate sufficient time and resources to manage health and safety.	<p>Develop and propose all policies, practice and procedures to be operated across the Trust with regards to Health and Safety.</p> <p>Ensure the Trust is compliant with relevant health and safety law, regulations and statutory guidance.</p> <p>Appoint an external adviser for health and safety to complete annual health and safety and fire audits.</p> <p>Develop an annual action plan for improvement.</p>	Acknowledge and understand key health and safety concerns as identified by the Central Services and Education Executives.	<p>Ensure appointment of appropriated persons to manage all areas of health and safety.</p> <p>Ensure that Principals maintain their buildings in a safe condition and that all statutory obligations for maintenance and inspection are met within the appropriate timeframes.</p> <p>Ensure compliance with all health and safety policies, practice and procedures as determined by the Trust Board and the CEO.</p> <p>Ensure the academy is compliant with statutory guidance and regulations</p>

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			<p>Ensure academies are compliant with all health and safety policies, practice and procedures as determined by the Trust Board.</p>		<p>regarding medical needs and educational visits.</p> <p>Engender a culture that promotes robust health and safety throughout the Academy.</p> <p>Report any serious health and safety incidents to the Central Services CEO.</p>
<p>Human Resources</p>	<p>Establish a FGP Committee to undertake salary reviews annually in-line with guidance in the Academy Trust Handbook and taking account of the need for recruitment and retention, level of challenge and affordability.</p> <p>Ratify the main policies to be operated across the Trust with regards to the management of staff (including pay policy and the performance management policies).</p>	<p>Ensure Trust HR policies are adhered to by all staff.</p> <p>Ensure Safer Recruitment is rigorous and Single Central Records are accurate and compliant.</p> <p>Chair staff disciplinaries or appeal hearings where appropriate, including grievances.</p> <p>Carry out HR investigations cases where required.</p> <p>Approve any significant costs in relation to the appointment or resignation of a member of staff, including in relation to ill health retirement or the settlement of any claims or grievances in accordance with the Delegated Financial Powers and Duties.</p>	<p>Monitor and support all significant HR cases including tribunals and LADO referrals.</p> <p>Appoint and manage a Human Resources Team.</p> <p>Carry out HR investigation cases where required.</p> <p>Create a Trust talent management strategy from recruitment to professional learning and career paths.</p> <p>Create and implement a performance management strategy across the whole Trust for all staff.</p> <p>Create and implement a strategy for monitoring and making recommendations for continuously improving staff satisfaction and well being.</p>	<p>Review termly a high level summary of staff leavers and joiners.</p>	<p>Ensure that Safer Recruitment processes are followed for the recruitment of staff.</p> <p>Inform the Executive Principal of LADO referrals and outcomes, suspensions.</p> <p>Ensure that robust and transparent performance management is in place, with clear targets set and monitored.</p> <p>Implement and comply with all policies dealing with staff issued by the Trust Board.</p> <p>Recommend the progression of staff between pay grades ensuring any progression is objectively based on successful performance management outcomes.</p> <p>Approve any initial disciplinary action, suspension, or the commencement of a</p>

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			Ensure the adoption of any standard contracts or terms and conditions for the employment of staff issued by the Trust Board.		<p>capability review in respect of staff other than the principal.</p> <p>Ensure high quality professional development of staff including engagement with any training and support available from or procured by the Executive Team.</p> <p>Manage any claims and disputes with staff members having regard to any advice and recommendations given by the CEO and the Trust's HR department.</p>
Admissions and Leavers	<p>Delegate responsibility (subject to agreement of changes by the CEO) to the individual academies to review, amend and determine their admission policies annually.</p> <p>Review the admission policies regularly.</p> <p>Ensure each academy has an admission policy that is consistent across the Trust or is compliant with the Admissions Code.</p>	<p>Ensure academies comply with statutory guidance on admissions.</p> <p>Approve admissions arrangements annually.</p>	<p>Review the admissions policies annually (or sooner if DfE requires it) making such recommendations of change to the Academy Governing Body or Trust Body.</p> <p>Support academies in managing admissions appeals and ensure they are compliant with statutory requirements when carry out appeals including in-year admissions.</p>	<p>Ratify annually the academy's admissions arrangements.</p> <p>Monitor Trust KPIs and academy analysis for leavers and joiners.</p> <p>Monitor attendance data. ³</p> <p>Review student mobility information to ensure that incorrect or illegal off rolling is not taking place. ³</p>	<p>Ensure the academy's admissions arrangements are compliant with statutory guidance.</p> <p>Ensure the academy admission arrangements are updates annually and published on the website.</p> <p>Participate in admissions appeals hearings.</p>
Complaints	Ratify the complaints policy annually.	Ensure all complaints are dealt with in line with the academy complaints procedure.	Ensure the complaints policy covers statutory requirements and is reviewed and updated annually.	Attend stage 3 complaints panels when required.	Ensure any complaints received are dealt with in line with the complaint's procedure.

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		<p>Respond to or delegate appropriately any stage 2 complaints.</p> <p>Participate in Stage 3 hearings.</p> <p>Analysis of academy complaints data.</p>	<p>Manage and coordinate the complaints procedure at stages 2 and 3.</p>		<p>Maintain a confidential folder of complaints resolved and unresolved.</p> <p>Provide information on complaints to the Local Governing Body and Executive Team.</p>
IT	<p>Approve IT, Security and Data policies annually.</p>	<p>Engage in the IT user group to feedback any concerns and be made aware of any emerging concerns from the central team.</p> <p>Agree IT lifecycle strategy for academies.</p>	<p>Ensure ISD policies are adhered to in each academy.</p> <p>Ensure an effective IT service delivery with positive levels of staff satisfaction.</p> <p>Ensure any actions for improvement of information and cyber security are dealt with in each academy.</p> <p>Ensure effective and secure core technology infrastructure and services.</p> <p>Implement and manage IT security as outlined in the agreed IT security policy.</p> <p>Implement the Trust data management strategy</p> <p>Procure IT equipment and systems, ensuring strategic alignment and value for money.</p>		<p>Ensure good maintenance of IT systems and equipment appropriately and have an accurate asset register, recording acquisition and disposal and loss of assets appropriately.</p> <p>Manage finances appropriately to ensure lifecycle strategy is appropriate and enhances the quality of education.</p> <p>Ensure academy is operating in accordance with ISD policies.</p>

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			<p>Effective management of strategic technology, security and data partners.</p> <p>Manage policies setting out approach to lifecycle management of all ISD services across the Trust.</p> <p>Put in place appropriate technical measures to ensure the Trust complies with the UK GDPR.</p>		
Estates	<p>Approve capital spending across the Trust annually ensure Value for Money, in line with financial Scheme of Delegation.</p> <p>Approve the overall asset management strategy for the premises owned or managed by the Trust.</p> <p>Determine any disposals or acquisitions of land to be used by the Trust.</p>	<p>Ratify the capital spending plans to be implemented by the estates team.</p> <p>Ensure Principals secure a high level of estates maintenance to avoid high costs of unnecessary repair and replacement.</p> <p>Approve any business case for refurbishment or additional buildings or estate development, in line with financial Scheme of Delegation.</p>	<p>Implement an overall asset management strategy for the premises owned or managed by the Trust.</p> <p>Oversee the management and maintenance of the premises owned or managed by the Trust giving due consideration of the estate management strategies of each academy.</p> <p>Make applications for grants and other capital funding to improve the estate of the Trust.</p>	<p>Acknowledge and understand the implementation and impact of any capital investment</p>	<p>Manage the academy environment whilst having due regard to the safety of the users of the buildings and the facilities.</p> <p>Develop a long-term estates management strategy to ensure the suitability of building and facilities in light of long-term curriculum needs.</p> <p>Manage the upkeep, maintenance and care of the buildings and facilities used by the academy.</p> <p>Attract and manage short term lettings and day to day use of the school buildings and playing fields under such lets.</p>
Equality	<p>Ratify the Equality policy and the Trust Equality Duty.</p> <p>Report annually on the Trusts gender pay gap.</p>	<p>Ensure academy Equality Duty Plans are appropriate and effective.</p> <p>Monitor differences in outcomes by demographic, agree actions to be taken</p>	<p>Analyse any centrally managed data by demographics.</p> <p>Identify equality gaps.</p>	<p>Acknowledge and understand the Academy demographics and any underperformance of different groups nationally.</p>	<p>Implement an Equality Duty plan, based on evidence from the Academy outcomes, observation or student and staff voice, that actions are communicated and discussed and there is</p>

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		and monitor impact to share good practice and make difference across the group.	Ensure the Trust meets all its equality duties. Establish an inclusive environment for all staff.	Review all KPI data with regard to equality (attendance, exclusions, leavers and achievement) Challenge the Academy in any areas of concern. Appoint a SEND Governor with appropriate training and support to carry out visits to the Academy, and feedback to the Local Governing Body. ¹	regular monitoring of improvements. Ensure all data analysis included demographic analysis, taking into account pupil premium, SEND, gender and ethnicity. Implement plans to address any gaps between demographic groups.
Community and Stakeholders	Implement a strategic approach to safeguard the NLT reputation and brand. Ensure effective stakeholder engagement.	Ensure the NLT brand and reputation is promoted and protected. Ensure all academies maintain positive relationships with their communities and stakeholders.	Ensure the NLT brand and reputation is promoted and protected. Advise on the bigger political landscapes and support where PR resources are required. Maintain effective relationships with all contractors.	Encourage parent feedback through engagement in an appropriate way. Challenge the Academy leadership on how they will engage and work with the communities they serve.	Ensure all stakeholders, including the local community, are given opportunities to contribute to the continuing success of the Academy. Ensure the Academy understands the community they are working alongside and the particular demographics and context what will affect all stakeholders in the academy. Ensure that parent / carer views are captured through surveys.
Appoint or Dismiss	Members (members) Trustees (members or trustees) Chair of Trust Chairs of sub-committees (including LGB and EIB)	Director of Estates, HR and IT. Director of DEEP Experience, DEEP Support and DEEP Learning. Directors of subjects. Associate Principals.	Central Services staff		Assistant Principal Heads of department/subject TLR post holders Teachers Associate staff

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	CEO, COO, Executive Principal and Principals	Vice Principals. Approval off all new and existing teaching and associate staff posts through the use of the Vacancy Authorisation Process.			
Performance Management	CEO	COO Executive Assistant Executive Principal Principals Associate Principals Director of DEEP Experience, DEEP Support and DEEP Learning.	Directors of HR, Governance, IT and estates. Central team		All School staff
Governance	Role descriptors for trustees and LGB Articles of Association (members) Terms of reference for board and sub committees Establish and review the scheme of delegation Trustee and sub committee skills audit Approve annual schedule of business for Board and Committees	Elect LGB staff members Produce annual schedule of business for Board and Committees	LGB minutes submitted to standards committee Publish Trustee / Governance information on Trust and Academy websites Register and publish business interests of members, trustees and LGB members	Elect LGB members and Vice Chair.	

Constitution of interview panels

Role	Interview panel to include
CEO	Trustees to determine
COO, Executive Principal	Trustees and CEO
Directors of Estates, HR, Governance and IT	CEO, COO
Directors of Learning, Support and Experience	CEO, COO, EP
Subject Director	CEO, EP
Principal	Trustee, CEO, EP
Associate Principal	CEO, COO, EP
Vice Principal	CEO, EP, Principal
Assistant Principal	EP, Principal
Head of Department/subject or TLR holder	Principal, Subject Director consulted
Teacher	HOD, Subject Director
Central Services	COO, Relevant Director (HR, Estates, IT)
Associate staff	Principal to determine

ANNEX B: Delegated Financial Powers and Duties

No	Delegated Task	Trust Board / Committee	CEO and Executive Principal	COO and Central Services Directors	Principal and Operations Manager
1.	Asset Safeguarding				
1.1	Security of academy assets, including buildings, furniture, equipment, stock, stores and any cash or cash equivalents, i.e. payment vouchers held.			COO to ensure that there is appropriate insurance in place.	Principal responsible for arranging the security of physical academy assets and any cash or cash equivalents held. Note: Principals should aim not to hold more than £1,000 (cash or cash equivalents). Head of Finance to be informed is a requirement to hold.
1.2	Annual verification of the academy asset inventory to verify the location and condition of each item of equipment.			COO / Head of Finance to ensure financial records reflect any losses or disposals following the annual verification of central / academy assets respectively	Principal to direct academy staff to physically check assets and update records on an ongoing basis.
1.3	Write-off of lost equipment against original cost (non-heritage assets).	Trust Board to approve write-off above £50,000.		COO to approve write-off of lost equipment up to £50,000.	Principal to seek approval for the write-off of lost equipment.
1.4	Disposal of unusable or obsolete equipment included in the inventory and ensuring that the best value is obtained on disposal (if Net Book Value is Nil).	Finance and General Purposes Committee to approve disposal of individual assets above £5,000.		COO to approve disposals of individual assets up to £5,000. Head of Finance to report the cumulative value of write offs in the year to the Trust, as part of the year end accounts.	Principal approves, in writing, any disposal of an asset that costs less than £1,000 when acquired and to inform Central Finance via the Operations Manager. Note: any item, whether obsolete or serviceable, which is given away must be signed for by the recipient to confirm if any payment has been made for the item.
1.5	Maintaining a record of all property borrowed / loaned by staff, students or third parties, i.e. letting agents, consultants			Head of Finance to approve the record of loan / issue and return of equipment in academies.	Principal and Operations Manager to ensure there is a system in place to record the loan / issue and return of equipment to staff students

				Head of Finance to consolidate the records annually.	and third parties as applicable.
1.6	Maintaining a fixed capital asset register.			Head of Finance to maintain the accounting record of all Trust assets	
2.	Financial Planning, Budgeting, Monitoring and Reporting				
2.1	Setting budget objectives and reserves levels.	Trust to approve the overarching Trust budget. Trust to set parameters for reserves as part of approving the reserves policy. Finance and General Purposes Committee to recommend budget objectives and reserves levels.	COO to set the Trust budget in consultation with the CEO prior to Trust approval. CEO and COO to review and consider any academy plans to use reserves. Executive Principal to set budget objectives or delegate it to other senior members of staff if the Principal is in their notice period.	COO to set the Trust budget in consultation with the CEO prior to Trust approval. COO to ensure the proposed reserve levels complies with the Trust policy. CEO and COO to review and consider any academy plans to use reserves. COO to ensure the Executive Principal leads on setting budgets where Principals have resigned during the academic year. COO to submit consolidated budget return to the ESFA by the required deadline.	Academies must prepare a business case to submit to the Trust if they propose an in-year deficit. The business case should include a recovery plan Note: Principals will not be allowed to make financial decisions during their notice period.
2.2	Approving use of brought forward reserves.	Trust to approve any use of reserves in excess of £50,000 per academy.	COO to scrutinise all proposals and make a recommendation to the CEO who in turn decides whether to allow use of reserves up to £50,000 per academy. Executive Principal to review proposals and endorse them for CEO approval	COO to scrutinise all proposals and make a recommendation to the CEO who in turn decides whether to allow use of reserves up to £50,000 per academy.	Principals must submit a written proposal with justification for using their reserves to the Executive Principal and COO
2.3	Producing a 3-year forecast that covers high level objectives and plans and	Trust to approve academy 3-year plans.	CEO to scrutinise the 3 year plans prior to submission to the Finance and General Purposes Committee.	COO to scrutinise 3 year plans prior to submission to the CEO and Finance and	Principal to work with Operations Manager and Head of Finance to produce initial 3-year forecast in line

	allows for known and likely changes	Finance and General Purposes Committee to recommend 3-year plans to Trust.	Executive Principal to endorse 3-year forecasts prior to COO scrutiny.	General Purposes Committee Head of Finance to cost plans and assist with information to propose savings where necessary to make the forecast balance.	with Central Finance deadlines and propose changes to Executive Principal.
2.4	Maintaining a premises and asset management plan and ensuring that financial plans allow for funds to be accrued to meet longer term costs,	Finance and General Purposes Committee to set policies for reserves that should be held to meet long term premises costs.		Director of Estates to report to Executive Team and Finance and General Purposes Committee on the condition of academy premises, together with a long-term plan to invest in the academy premises.	Principal and Operations Manager to ensure premises and asset management plan should be reflected in the 3-year forecast. Note. Health and Safety issues raised relating to premises will need immediate actions and risk management.
2.5	Approving transfers between budget headings, i.e. virements / spending categories / budget lines.		Executive Principal to endorse any changes that have an impact on staffing structures. CEO to approve any changes that have an impact on staffing structures.	COO to review changes to ensure there is no impact on the overall budgeted outturn and ring-fenced spending.	Principal to approve transfers between budgets (virements) provided that the changes do not impact on the overall budgeted outturn or future years' budgets.
2.6	Approving expenditure not provided for in the annual budget that would otherwise put the academy into in year deficit unless budgeted.	Trust to approve any request for an adverse variance to budget in excess of £50,000. Finance and General Purposes Committee to recommend any request for an adverse variance to budget in excess of £50,000	The CEO to approve amounts up to £50,000 following consultation with the COO. Executive Principal to review academy business cases prior to forwarding them to CEO and COO, if endorsed.	COO to scrutinise academy business cases prior to CEO review.	Principal to request additional in year spend via a written business case, which sets out the advantages and benefits of such spend. Head of Finance to assist and advise as required.
3.	Value for money, awarding contracts, placing orders				
3.1	Appointing preferred suppliers			Head of Finance to conduct due diligence and review prices and terms proposed by any supplier seeking 'preferred supplier' status.	Operations Manager to ensure a 'Conflict of Interest Declaration' has been completed by anyone involved in the tendering or allocation of the contract, i.e.

				<p>Finance to conduct finance checks and onboard onto the finance system.</p> <p>COO to approve final decision on any proposal to appoint a preferred supplier where the contract value is over the Public Contracts Regulations (PCR) 2015 thresholds.</p> <p>Head of Finance to review credit checks on preferred supplier list.</p>	<p>members of staff and suppliers.</p> <p>Note: New Supplier Request form has a box which needs to be ticked to confirm the above.</p>
3.2	Use of Preferred Supplier List Framework (PSL Framework) for the supply of agency workers and the introduction of permanent and fixed term staff.			<p>Head of Finance to review academy requests for a new agency supplier to be onboarded.</p> <p>Finance Team to ensure Principal and Operations Manager are informed of the full list of approved agencies.1</p>	<p>Principal and Operations Manager to ensure framework procedures are followed and services are drawn down from the PSL framework before engaging non PSL agencies.</p> <p>Note: Principal / Operations Manager to be responsible for setting any agreements and / or rates when engaging a non PSL agency. Consideration to go outside of PSL framework might be for very hard to fill vacancies or particularly niche posts where a particular skillset is required.</p>
3.3	Selecting a supplier for goods and services below £3,000			<p>Head of Finance to approve or reject any new suppliers which are not currently on the finance system.</p> <p>COO to approve any payments in advance.</p>	<p>Principals to approve orders and ensure that Preferred Suppliers are used where available.</p> <p>Note: Preferred Suppliers must be used where available unless the academy can demonstrate that another supplier provides better value for money.</p>

3.4	Selecting supplier for goods and services between £3,000 and £10,000			<p>Head of Finance to approve or reject any new suppliers which are not currently on the finance system.</p> <p>COO to approve any payments in advance following consultation with the Head of Finance.</p>	<p>Operations Manager / Business Services Staff or individual budget holder to obtain 3 written quotes.</p> <p>Principal to authorise any proposed purchase where the lowest cost offer is not accepted.</p>
3.5	Selecting a supplier for goods and services between £10,000 and £39,999		CEO to authorise orders over £10,000.	<p>Head of Finance to approve or reject any new suppliers which are not currently on the system.</p> <p>Head of Finance to check that three written quotes were obtained, and that Preferred Suppliers were included and make a recommendation of award.</p> <p>COO to review recommendations prior to submission to the CEO.</p>	<p>Operations Manager / Business Services Staff or individual budget holder to obtain 3 written quotes.</p> <p>Principal to authorise any proposed purchase where the lowest cost offer is not accepted.</p> <p>If required, the Finance Team can assist in running formal tenders.</p> <p>Business case approval may be required for all spend not identified within the existing budget.</p>
3.6	Selecting a supplier for goods and services in excess of £40,000 but below the PCR procurement threshold	<p>Approval of contracts / purchases in excess of £40,000.</p> <p>This can be delegated to the Finance and General Purposes Committee.</p>	<p>Executive Principal to review business case, and if endorsed pass to CEO and COO for scrutiny.</p> <p>CEO with the COO to scrutinise business cases.</p>	<p>Head of Finance and COO to scrutinise the business case, and if recommended for approval, determine the most appropriate procurement route.</p> <p>Head of Finance / COO to approve / reject any suppliers not currently on the finance system.</p>	<p>Principal and Operations Manager prepare a business case for proposed spend.</p> <p>If approved, formal tender process with assistance from Finance Team.</p>
3.7	Selecting a supplier for goods and services in excess of the PCR procurement threshold (over £213,477 including VAT)	<p>Approval of contracts / purchases in excess of the PCR procurement threshold.</p> <p>This can be delegated to the Finance and General Purposes Committee.</p>	<p>Executive Principal to review business case, and if endorsed pass to CEO and COO for scrutiny.</p> <p>CEO with the COO to scrutinise business cases.</p>	<p>Head of Finance and COO to scrutinise the business case, and if recommended for approval, determine the most appropriate procurement route.</p>	<p>Principal and Operations Manager prepare a business case for proposed spend.</p> <p>If approved, formal compliant tender process will be</p>

				Head of Finance / COO to approve / reject any suppliers not currently on the finance system.	managed by the Finance Team.
3.8	Selecting a supplier for goods and services in excess of the PCR procurement threshold (over £663,540 including VAT) 'Light touch regime' purchases	Approval of contracts / purchases in excess of the PCR procurement threshold. This can be delegated to the Finance and General Purposes Committee.	Executive Principal to review business case, and if endorsed pass to CEO and COO for scrutiny. CEO with the COO to scrutinise business cases.	Head of Finance and COO to scrutinise the business case, and if recommended for approval, determine the most appropriate procurement route. Head of Finance / COO to approve / reject any suppliers not currently on the finance system.	Principal and Operations Manager prepare a business case for proposed spend. If approved, formal compliant tender process will be managed by the Finance Team.
3.9	Selecting a supplier for urgent site maintenance / repair works between £3,000 and £5,000 Note: 'urgent' site maintenance / repair is deemed to be an eventuality which might restrict the school from providing full operational services			Director of Estates to sense check proposal and endorse. Director of Estates to ensure that Preferred Suppliers are used where available. Head of Finance to approve or reject any new suppliers which are not currently on the finance system.	Principal to ensure that the Operations manager has carried out sufficient checks to gain assurance over the use of the supplier for each order. Note: factors to be considered include urgency of need, ramifications if works are not undertaken (for instance, health and safety issues) in a timely manner and of course, value for money (VFM)
3.10	Waiving pricing / quote process for procurements between £3,000 and £40,000 where only one supplier is considered suitable.		Executive Principal to endorse Principal's proposal for waiver. CEO to approve waiver.	COO to recommend approval of waiver after reviewing reasons given by the academy. Waiver to be confirmed by email.	Academy must submit statement signed by Principal explaining why only one supplier is considered suitable. Principal to approve following CEO endorsement. Waiver has to be confirmed by email and copy attached to PO / contract.
3.11	Purchase of alcohol or 'non-alcohol' or 'low alcohol' branded drinks			Alcohol, non-alcohol, or low alcohol drinks must not be purchased.	Alcohol, non-alcohol, or low alcohol drinks must not be purchased.

3.12	All purchases of goods and services up to £10,000			Head of Finance to approve any invoices which do not have a Purchase Order.	Principal or delegated budget holder to approve requisitions prior to the order being placed. Principal and Operations Manager to ensure that an appropriate member of staff has completed a 'Goods Receipt'
3.13	Purchases over £10,000		CEO to approve requisition prior to the order being placed CEO and COO to approve any invoices which do not have a Purchase Order	COO to approve requisition prior to the order being placed. CEO and COO to approve any invoices which do not have a Purchase Order	Principal to approve requisitions prior to the order being placed. Principal and Operations Manager to ensure that an appropriate member of staff has completed a 'Goods Receipt'
3.14	Approving the use of external consultants		The CEO in consultation with the relevant Director / Principal to approve the appointment of external consultants.		

4.	Income including disposals of land and granting leases				
4.1	Approving a lettings policy and setting rates to be charges	Finance and General Purposes Committee to approve the Trust Lettings Policy		Director of Estates to provide advice to academy staff if unsure that legal obligations are being met by hirers	Principals have authority to set charges and allow discounts on rates for staff members and charities after consultation with the Director of Estates
4.2	Writing off debts for income not received.	Finance and General Purposes Committee to review all write offs over £5,000 Trust Board to review all write offs over £20,000	Executive Principal to endorse academy write offs over £1,000	COO to review and approve all write-offs up to £5,000 Head of Finance to prepare a report on any recommendation to write off a debt including actions already taken to recover the debt.	Principal / Operations Manager to prepare proposal for any write off of debt.
4.3	Authorising other income generating activities such as after school clubs and sports clubs granting a licence to use the premises out of hours.		Executive Principal to endorse proposals for other income generating activities	Head of finance to assess the proposals and determine if income generating activity should be competitively tendered to comply with PCR 2015. COO to approve proposals for new income streams	Principal and Operations Manager to prepare plans and proposals for other income generating activities. Finance Team to support. To be submitted to the Head of Finance.
4.4	Disposals of land (including change of use) and granting of long leases or licences for exclusive use of areas of the academy site.	Trust Board to ratify the disposal of land and granting of long leases or licences on academy sites. Finance and General Purposes Committee to consider proposals and agree the application of any capital receipts to building projects	CEO and COO to approve any proposal for the disposal of land. Executive Principal to review and endorse / reject proposals prepared by the Principal.	Director of Estates assists Principal with appointing specialists to advise on value of disposals and feasibility of options; produce report for Principal on the options. Director of Estates to make the case to the ESFA for approval of the disposal once ratified by the Trust Board. Disposal of 'playing fields' by Secretary of State will be picked up specifically in this process. Director of Estates to liaise with ESFA on the granting	Principal to work with the Director of Estates for any proposals for the disposal of land, or the granting of licences and leases.

				of leases and licences for the use of academy premises / site.	
5.	Insurance				
5.1	Reviewing insurance cover to ensure it is adequate and takes into consideration emergent risks and historic claims			COO to review the contract and benchmark against the ESFA's RPA. Finance Team to review cover levels and negotiate insurance cover as required.	Operations Manager to provide information required to arrange cover to the Finance Team, as required.
6.	Investments and Borrowing				
6.1	Setting aside funds not required in the short term.	Trust Board to decide the investment policy and specifies what type of investment may be made		COO prepares proposals for investment to present to the Trust Board for approval.	
6.2	Borrowing funds	Trust Board to approve any proposal to borrow funds.	CEO to approve any proposal before consideration by Board.	COO to prepare any proposal for borrowing and apply for ESFA approval where necessary	
6.3	Entering into operating leases	Finance and General Purposes Committee to approval all operating leases above £40,000		COO and Head of Finance to approve operating leases Operating leases above £40,000 to be submitted to the Finance and General Purposes Committee	Academies may only enter into operating leases that do not exceed five years.
6.4	Entering into finance leases	Finance and General Purposes Committee to approve all finance leases above £40,000 Trust Board to ratify all finance leases over £40,000 Note: in accordance with the ESFA's Academies Trust Handbook		COO to approve finance leases. Finance leases over £40,000 to be submitted to the Finance and General Purposes Committee	
7.	Payments				
7.1	Authorising bank payments – general levels			COO, Head of Finance and Director of Governance (Company Secretary) to as	

				signatories on the bank mandate	
7.2	Authorising payments to suppliers, students and staff.			<p>Finance Team prepares the proposed BACS payments, ensuring that all invoices have been approved and there is appropriate supporting documentation.</p> <p>Head of Finance reviews all BACS runs prior to presenting to the COO for approval.</p> <p>All BACS payments require dual authorisation</p>	
7.3	Approving applications for Business / Purchase Cards		CEO to be made aware of increased limits on purchase cards by the COO	<p>COO to approval all applications for credit cards, and any application to increase the card limit.</p> <p>Note: unless there are exceptional circumstances academies will only be issued one purchasing card.</p>	Principal to request additional purchase cards from the COO.
7.4	Authorising use of academy purchase card.			Head of Finance to review the expenditure for each academy on a monthly basis and report on any usual transactions.	<p>Operations Manager authorises use of the card, which should be kept securely at all times.</p> <p>Operations Manager must sign the purchase card statement with supporting documentation attached.</p> <p>Purchase orders are required for all expenditure on purchase cards.</p> <p>Note: academy purchase cards must not be used to purchase items for personal use. Where this does happen in error it must be reported to the Head of Finance immediately.</p>

7.5	Setting up direct debits			Head of Finance to review all direct debit requests prior to approval. Direct debits must be approved by the COO and Head of Finance	Operations Manager to submit all direct debit forms to the Finance Team for signature
7.6	Authorising re-imbusement of personal expenses	Board to ratify Trust expenses policy CEO expenses to be approved by the Chair of the Trust	CEO to authorise COO and Executive Principal expenses claims. CEO to approve Trust Leads and Directors expense claims.	Head of Finance to check that academy expense claims comply with policy before processing payment. COO to approve Central Services Staff team expenses	Principal to authorise all expenses claims within their academy. Operations Manager to check that the expense claims comply with policy before processing the order. Note: staff should not make purchases and then seek to recover the cost via expense claims
8.	Salaries, Pensions and Bonuses				
8.1	Approving terms and conditions of employment including salary scales, benefits and allowances	Trust Board approve conditions of employment. Performance Pay Committee (sub-committee of Finance and General Purposes Committee)	CEO to approve changes to conditions of employment before approval by the Trust Board. Executive Principal to recommend changes to conditions of employment for Vice Principals and above.	Director of HR to advise on setting of conditions of employment and take legal advice to ensure compliance.	Principal decides on application of conditions of employment in individual cases within their academy where the Trust pay policy allows discretion. Principals to report on pay decisions to the Executive Principal and COO
8.2	Approving variations and changes to salary, allowances and working hours for individuals.		CEO to approve / reject all VAFs.	Director of HR and Head of Finance to review payroll changes for each month to ensure significant variations have been duly authorised. Director of Curriculum / COO / Director of HR to review VAF's and make recommendations to the CEO. COO to complete VAFs for Central Services Team members and submit these	Operations Manager to complete a Vacancy Authorisation Form (VAF) and submit this to the Director of Curriculum / COO to be reviewed once approved by the Principal. Operations Manager to ensure a letter informing the employee of the change in salary is provided to the individual and filed in the staff file by the Business Services staff.

				to the Director of HR / Director of Curriculum for review.	
8.3	Approving temporary variations to salary payable		<p>COO to approve temporary variations to individuals salaries such as overtime payments or unpaid leave for the COO, Executive Principal, Trust Leads and Directors and Executive Principal.</p> <p>Associate Principal to approve temporary variations to individuals salaries such as overtime payments or unpaid leave for Trust Directors of Subject</p> <p>Authorisation must be in writing and must contain sufficient detail to make it clear why any additional cost was incurred.</p>	<p>Director of HR and Head of Finance to review payroll changes for each month to ensure significant variations have been duly authorised.</p> <p>COO to approve temporary variations to individuals salaries such as overtime payments or unpaid leave for Central Services Team staff.</p> <p>Authorisation must be in writing and must contain sufficient detail to make it clear why any additional cost was incurred.</p>	<p>Principal to approve temporary variations to individuals salaries such as overtime payments or unpaid leave.</p> <p>Authorisation must be in writing and must contain sufficient detail to make it clear why any additional cost was incurred.</p>
8.4	Approving calculation of pay and deductions prior to payment		<p>CEO to approve payroll in the COO's absence</p> <p>CEO approves all changes to COO / Executive Principal / Trust Leads / Executive Assistant / Trust Directors of Subject pay</p>	<p>Head of Finance to review the draft payroll and highlight significant variations to the Operations Manager.</p> <p>Variations report to be submitted to the COO / Director of HR prior to authorisation</p> <p>COO to approve the monthly payroll for the payroll provider</p> <p>COO approves all changes to the Central Services Team staff pay.</p>	<p>Operations Manager to review monthly payroll for accuracy.</p>
8.5	Approving salaries awarded to individual staff	Salary and bonus of Principals and their equivalents in seniority are determined by	Executive Principal to review Principals salaries and	Head of Finance and COO to review overall salary	Principal to review staff salaries (other than their own) and recommend changes to

		the Performance Pay Committee	<p>recommend changes to the CEO.</p> <p>CEO to endorse Executive Principal's recommendation for approval by the Performance Pay Committee.</p> <p>Note: it is important that material changes in pay and honoraria are in line with the Trust's pay policy to avoid possibility of equal pay claims as the Trust is a single employer.</p>	<p>structure as part of the budget approval process.</p> <p>Note: it is important that material changes in pay and honoraria are in line with the Trust's pay policy to avoid possibility of equal pay claims as the Trust is a single employer.</p>	<p>individual staff members pay, within budget and in accordance with the Trust Pay Policy, to the Performance Pay Committee.</p> <p>Note: it is important that material changes in pay and honoraria are in line with the Trust's pay policy to avoid possibility of equal pay claims as the Trust is a single employer.</p>
8.6	Approving bonuses and honorariums (including retention payments, golden hellos, etc)	<p>Trust Board to ratify the Trust Pay Policy and Performance Management Policy.</p> <p>Finance and General Purposes Committee to approve changes to the Trust Pay Policy and Performance Management Policy.</p>	<p>CEO to authorise all staff bonuses.</p> <p>Note: it is important that material changes in pay and honoraria are in line with the Trust's pay policy to avoid possibility of equal pay claims as the Trust is a single employer.</p>	<p>Director of HR to advise Executive Principal and Principals on recruitment and retention incentives for teaching staff.</p> <p>COO to scrutinise business cases for payment of bonuses / honoraria, and submit to the CEO for consideration</p> <p>Note: it is important that material changes in pay and honoraria are in line with the Trust's pay policy to avoid possibility of equal pay claims as the Trust is a single employer.</p>	<p>Principals to approve DEEPS allowances in line with the Trust Pay Policy.</p> <p>Principals and Operations Managers to submit business cases for the payment of bonuses / honoraria, etc to the COO for review.</p> <p>Note: it is important that material changes in pay and honoraria are in line with the Trust's pay policy to avoid possibility of equal pay claims as the Trust is a single employer.</p>
8.7	Appointing to staff vacancies		<p>CEO to approve / reject all VAFs.</p>	<p>Director of Curriculum / COO / Director of HR to review VAF's and make recommendations to the CEO.</p> <p>COO to complete VAFs for Central Services Team</p>	<p>Operations Manager to complete a Vacancy Authorisation Form (VAF) and submit this to the Director of Curriculum / COO to be reviewed once approved by the Principal.</p>

				members and submit these to the Director of HR / Director of Curriculum for review.	Principal to decide on staff appointments for all posts in line with the approved staffing structure and as long as the appointment does not cause an outturn deficit.
8.8	Approving an external consultant for Central Services		The CEO in consultation with the relevant Director to approve the appointment of external consultants for Central Services		
8.9	Authorising contractual severance payments to individuals, including redundancy or PILON		CEO to sign off contractual payments before notice is given	Director of HR to recommend contractual payments to COO for review. COO to review contractual payments	
8.10	Authorising non-contractual payments to individuals	Finance and General Purposes Committee to ratify non-contractual payments to individuals before notice is given Note: adherence to the ESFA's Academy Trust Handbook is required.	CEO to review and recommend non-contractual payments to the Finance and General Purposes Committee Note: adherence to the ESFA's Academy Trust Handbook is required.	Director of HR and COO to prepare a business case for the payment of non-contractual payments to individuals for consideration by the CEO. Note: adherence to the ESFA's Academy Trust Handbook is required.	
9.	Taxation				
9.1	Complying with VAT regulations	Trust to ensure Central Services Team complies with HMRC regulations		Head of Finance to prepare guidance for academies on charging VAT on income and recovering input tax. Head of Finance to submit VAT returns on a monthly basis.	
9.2	Complying with PAYE regulations	Trust to ensure Central Services Team complies with HMRC regulations		Director of HR and COO to check that any payments to consultants and self-employed persons are tax compliant. Head of Finance to ensure that appropriate consideration has been	Operations Manager to check the status of all consultants and off payroll working arrangements (IR35)

				given to the IR35 status of all consultants and off payroll working arrangements.	
9.3	Ensuring that senior employee's payroll arrangements fully meet HMRC's tax requirements and comply with the Academy Trust Handbook requirements	Trust to ensure Central Services Team complies with HMRC regulations		COO to check all senior staff tax arrangements. Head of Finance to ensure that appropriate consideration has been given to the IR35 status of all consultants and off payroll working arrangements.	

¹Link Governor for Quality of Education

²Link Governor for Leadership and Management

³Link Governor for Behaviour and Attitudes

⁴Link Governor for Personal Development

⁵Link Governor for Safeguarding

⁶Link Governor for 6th Form