

Actions Delegated to the Management Team Director

Ref	Action/ Responsibility
1 <u>Principal Duties</u>	<ul style="list-style-type: none"> • Operational leadership of the trust. • Main professional adviser to the Board and its committees. • Effectively manage staff and budgets under his/her control
2 <u>Financial Duties and Powers</u> - as the Trust's accounting officer.	<ul style="list-style-type: none"> • Regularity - dealing with all items of income and expenditure in accordance with legislation, the terms of the Trust's funding agreement and the Academies Financial Handbook, compliance with internal trust procedures, and ensuring public money is spent for the purposes intended by Parliament.
To exercise personal responsibility for:	<ul style="list-style-type: none"> • Propriety – ensuring that expenditure and receipts are dealt with in accordance with Parliament's intentions and the principles of Parliamentary control. This covers standards of conduct, behaviour and corporate governance.
	<ul style="list-style-type: none"> • Value for money – striving to achieve the best possible educational and wider societal outcomes through the economic, efficient, and effective use of all the resources in the trust's charge, the avoidance of waste and extravagance, and prudent and economical administration.
<u>2a-2f) in conjunction with the Finance Director:</u>	<ul style="list-style-type: none"> • Exercising responsibility for ensuring all financial systems, procedures, and controls- and a financial scheme of delegation- are in place and all relevant staff are trained in their requirement and operation- and that regular and are frequent monitoring and reviews are carried out.
2a) to be responsible for:	<ul style="list-style-type: none"> • Advising on, securing expert guidance on, the development of all trust-wide policies and procedures relating to financial matters- to include charging and remissions policy, directors and governors expenses policy, register of interests, and a gifts and hospitality policy. Ensuring all these trust-wide policies, procedures, and plans, once approved by the Board, are implemented, kept under review and their impact is monitored, and evaluated.

2b) financial planning	<ul style="list-style-type: none"> • Preparing financial plans so as to secure the academy trust's short-term and long-term financial health. • Keeping proper financial records and accounts. • Developing a clear plan, for Board approval, for use of any GAG surplus demonstrating how it will be used to benefit pupils. • Developing proposals, as appropriate, for Board approval for pooling GAG funding giving due regard to the funding needs and allocations of each individual academy: establishing an appeals mechanism for individual academies to lodge an appeal if dissatisfied with the pooling arrangements. • Developing an investment policy and strategy, and developing proposals for organisational change (i.e. changes in the number of academies, to age ranges, to the size of academies, to the location of academies etc) and proposals for bids for external funding for Board approval.
2c) internal controls	<ul style="list-style-type: none"> • Establishing sound internal control and risk management processes. • Ensuring that all the trust's property is under the control of the trust, and that measures are in place to prevent losses or misuse, including the maintenance of adequate fixed asset registers. • Producing, annually, an accounting officer's statement on regularity, propriety and compliance for inclusion in the academy trust's annual report, for Board approval. • Taking steps to prevent fraud. Advising the Board and LGBs how to prevent fraud. Reporting fraud above £5,000 to the EFA.
2d) financial monitoring and management	<ul style="list-style-type: none"> • Ensuring senior leaders and managers monitor the trust's current and forecast financial position. • Keeping proper financial records and accounts. • Ensuring that bank accounts, financial systems and financial records are operated by more than one person. • Preparing accruals accounts, giving a true and fair view of the trust's incoming resources and

	<p>application of resources during the year, and the state of affairs at the year-end, in accordance with existing accounting standards.</p> <ul style="list-style-type: none"> • Ensuring that the trust’s internal control framework has regard to: <ul style="list-style-type: none"> ○ co-ordinating the planning and budgeting processes; ○ applying discipline in financial management, including managing banking, debt and cash flow, with appropriate segregation of duties; ○ preparation of timely monthly management accounts, including income and expenditure reports on an accruals basis, cash flow forecasts and balance sheets as appropriate; ○ ensuring that delegated financial authorities are respected; ○ selection, planning and oversight of any capital projects; ○ the propriety and regularity of financial transactions; ○ the management and oversight of assets; ○ the risk of fraud and theft; and ○ ensuring efficiency and value for money in the organisation’s activities. • Developing for the Board’s approval a set of accounting policies. • Maintaining proper accounts. • Preparing annual financial statements (accounts). • Monitoring the trust’s current and forecast financial position. • Providing the Board with financial reports at least termly and advising on how to take appropriate action to maintain a balanced budget • Taking action to manage cash appropriately, avoiding going overdrawn, and abiding by the trust’s contractual obligations. Reconciling bank and control accounts regularly.
2e) proper and regular use of funds	<ul style="list-style-type: none"> • Ensuring and being able to show that public funds have been used as intended by Parliament. • Advising the Board if from time to time the trust may find it needs to perform transactions which are outside the usual planned range of activities- on how best, in line with DfE/EFA

	<p>requirements and good financial management, to manage or resolve:</p> <ul style="list-style-type: none"> ○ write-offs of unrecoverable debts or overpayments; ○ recognising losses of stocks or other assets; ○ taking on liabilities by issuing specific guarantees, or providing a letter of comfort; or providing indemnities; ○ special payments (transactions outside the usual planned range); and ○ gifts or hospitality received or given. <ul style="list-style-type: none"> • Establishing and operating procedures to ensure that: <ul style="list-style-type: none"> ○ spending has been for the purpose intended; ○ no director, governor, employee or related party gains from their position by receiving payment under terms that are preferential to those that would be offered to an individual with no connection to the trust. In exceptional cases, where there is a clear and significant advantage to the trust, a trustee may be paid for acting as a trustee subject to prior Charity Commission approval; ○ all directors/ governors have completed the register of business interests kept by the trust and there are measures in place to manage any conflicts of interest; ○ there are no payment(s) to any director unless such payment(s) is/are permitted by the Articles and (where applicable) comply with the terms of any relevant agreement entered into with the Secretary of State. The latter includes situations where payments are made to other business entities who employ the director, are owned by the director, or in which the director holds a controlling interest; ○ there is probity in the use of public funds; ○ a competitive tendering policy is in place and applied; and ○ there is no disposal of publicly funded assets (subject to the thresholds set out in the academies financial handbook) • Producing and submitting to the Board and EFA annually a statement on value for money. • Seeking prior, written permission from the EFA and if required approval from HM Treasury, for
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	<p>any situations where a transaction is irregular, improper or does not provide value for money.</p> <ul style="list-style-type: none"> • Ensuring full cost fees and charges are set for trust services. • Ensuring compliance with any restrictions on the trust's power to borrow as set out in the FA- and, if required, advising the Board on seeking the Secretary of State's approval for both short-term borrowing (including overdraft facilities) and medium/longer term loans (including finance leases), where such borrowing is to be repaid from grant monies or secured on assets funded by grant monies, and regardless of the interest rate chargeable.
2f) audit requirements	<ul style="list-style-type: none"> • Advising the Board on appointing a registered statutory auditor and on the production of audited accounts. • Keeping full and accurate accounting records. • Providing external auditors and EFA with access to all books, records, information, explanations, assets and premises and implementing all improvement actions recommended by external auditors and approved by the Board of Directors. • Providing the key raw data for the EFA funding audit which drives the calculation of recurrent funding grants to EFA and ensuring it is accurate, complete and supported by evidence. • Making available all required financial information and financial procedures to the DfE and EFA as required and in the appropriate timeframe.
<u>3 Human Resources</u>	<ul style="list-style-type: none"> • Ensuring the trust complies with all legislation relating to the employment of staff. • Advising on, securing expert guidance on, the development of all trust-wide and framework policies and procedures relating to the recruitment, remuneration, employment, development, and conduct of staff - to include recruitment and appointment procedures, a central record of recruitment and vetting checks, freedom of information policy, complaints, equality information and objectives, staff discipline, conduct and grievance procedures, staff redundancy and severance policy, procedures, and terms, and procedures for dealing with allegations of abuse against staff. Ensuring all these trust-wide policies, procedures, and plans, once approved by the Board, are implemented, kept under review and their impact is monitored, and evaluated.

	<ul style="list-style-type: none"> • Ensuring a scheme of delegated responsibilities relating to employment and staffing matters is in place. • Ensuring that senior employees' payroll arrangements fully meet their tax obligations and comply with HM Treasury's guidance on this matter. • Advising the Board on and securing and implementing effective arrangements for supporting, challenging and performance managing Principals
<p><u>4 Buildings and Sites</u></p>	<ul style="list-style-type: none"> • Keeping a general view of the condition of the trust's academy buildings and sites, developing a plan for the maintenance and improvement of buildings and sites for approval by the Board and ensuring allocated funding for maintenance, improvement and expansion of buildings is spent in accordance with the trust's policy. • Controlling the use of the trust's premises in line with the policies of the trust and scheme of delegation. • Advising on, securing expert guidance on, the development of all trust-wide standard and framework policies and procedures relating to buildings and sites to include- accessibility plans, health and safety policies and procedures, premise management and asset management procedures. Ensuring all trust-wide standard and framework policies, procedures, and plans, once approved by the Board, are implemented, kept under review and their impact is monitored, and evaluated. • Advising the Board on the purchase or disposal of any free hold property, granting or take up of any leasehold or tenancy of land or buildings; implementing the Board's decisions. • Ensuring that a scheme of delegated responsibilities relating to the management, use, maintenance, and security of buildings and sites is in place.
<p><u>5 Procurement of Goods and Services</u></p>	<ul style="list-style-type: none"> • Advising the Board on the development of a procurement policy and a competitive tendering policy and procedures.

	<ul style="list-style-type: none"> • Ensuring the trust’s policy and procedures and scheme of delegation for the procurement of goods, works, and services, and for any fees and expenses for the provision of services, where applicable, once approved by the Board, are implemented. • Ensuring that any contracts for services provided by the sponsor, or bodies related to the sponsor through shared ownership or governance, are properly procured and present value for money. • Ensuring that sponsor fees and consultancy rates included within contracts are reasonable, represent value for money and are good use of public funds. Make clear to the sponsor, or bodies related to the sponsor, during the procurement process that their services must be provided with no element of profit.
<u>6 External Funding</u>	<ul style="list-style-type: none"> • Advising the Board on, and making, applications for external funding for projects. Preparing plans for approval by the Board.
<u>7 Health and Safety and ICT/Data Protection and Security</u>	<ul style="list-style-type: none"> • Ensuring health and safety, security, child protection, and safeguarding matters are conducted in accordance with statutory obligations and the trust’s policies and scheme of delegation. • Advising on, securing expert guidance on, the development of all trust-wide standard and framework policies and procedures relating to health and safety. Ensuring all trust-wide policies, procedures, and plans, once approved by the Board, are implemented, kept under review and their impact is monitored, and evaluated. • Ensuring a scheme of delegated responsibilities relating to health and safety matters is in place.

<p>8 Educational Achievement-in conjunction with academy principals and commissioned education specialists that support academies.</p>	<ul style="list-style-type: none"> • Developing individual academy educational targets and KPIs. Agreeing targets and KPIs for each academy with LGBs and Principals, and targets and KPIs for central teams. Monitoring and evaluating each academy, and the central team in line with targets and KPIs. • Monitoring and reporting on the development and impact on pupils'/students' attainment of bespoke academy policies, procedures, and plans, approved by LGBs, relating to the education of pupils/students including: <ul style="list-style-type: none"> ○ leadership and management ○ teaching and learning ○ curriculum policies and plans ○ extracurricular activities ○ the resources required to deliver the curriculum and extracurricular activities. ○ attendance, behaviour, classroom management, pupil welfare, and reward policies. ○ sex education ○ special educational needs ○ home school agreement ○ early years foundation stage policy and plans ○ arrangements for considering the views of parents. ○ registering pupil admissions, ○ registering pupils' attendance ○ the quality/ fitness for purpose of learning environments ○ publishing school information • Ensuring all trust-wide policies, procedures, and plans, e.g. child protection, safeguarding policy and procedures are implemented, kept under review and their impact monitored, and evaluated by LGBs. • Establishing arrangements for securing and evaluating school improvement services and support. • Developing, for the Board's approval, keeping under review and reporting on the trust's admissions policy and oversubscription criteria.
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<p>9 Audit and Risk- in conjunction with the finance manger and academy school principals</p>	<ul style="list-style-type: none"> • Developing, for the Board’s approval, and implement and keep under review once approved, a business continuity plan. • Advising the Board on the assessment of risks, and the likelihood and materiality of each risk arising from its operations (e.g. financial loss). Maintaining a register of these risks showing how they are being managed or mitigated, reviewing risks regularly, and reporting on risks to the Board at each meeting. • Advising the Board on the appropriate level of insurance cover, for Board approval. • Notifying the Secretary of State, via the EFA, of any instances of fraud or theft where the value exceeds any sum notified by the EFA or appears to be systematic. • Ensuring that appropriate procedures, approved by the Board, are in place for whistleblowing and making sure that all staff are aware to whom they can report their concerns and the way in which such concerns will be treated. • Advising the Board on the use, purposes and risk profile, of permitting staff to make payments by various electronic means, including credit cards- and ensuring that the trust’s use of credit cards does not conflict with any restrictions on borrowing set out in their funding agreement. • Servicing the Audit and Risk Committee, and LGBs, as required. • Advising the Audit and Risk Committee, for recommendation to the Board for approval, on the options for reviewing the risks to internal financial control and a programme of work that will address these risks. Options to include an internal audit service, a supplementary programme of work by the trust’s external auditor, the work of a ‘responsible officer’ who will be a non-employed director carrying out the work free of charge, and peer review. • Advising the Board in writing if, at any time, in his or her opinion, any action or policy under consideration by them is incompatible with the terms of the Handbook or FA. • Advising the Board in writing if the Board appears to be failing to act where required to do so by
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	<p>the terms and conditions of the Handbook or Funding Agreement.</p> <ul style="list-style-type: none"> • Where the Board is minded to proceed consider the reasons the Board gives for its decision and if deemed necessary advising the EFA's accounting officer in writing.
<p><u>10 Governance</u></p>	<ul style="list-style-type: none"> • Be the main professional adviser to the Board and its committees on all constitutional matters and arrangements, including the administration of all meetings of the Board, its committees, and LGBs and ensure compliance with the requirements for publishing agendas, minutes and related documents Make arrangements for the recruitment of Sponsor Governors. • Advising on, securing expert guidance on, and once approved by the Board, ensure the implementation, monitoring, and review of a full scheme of delegated responsibilities and authorities. • Advising on the development of a range of operational KPIs and targets for the trust and its academies including educational targets/ KPIs as above. Once approved by the board put in place arrangements for monitoring progress and reporting to the Board termly on achievement and outcomes.