

SCHOOLSWORKS ACADEMY TRUST

Scheme of Delegation

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Scheme of Delegation

Schoolsworks Academy Trust

Summary

Schoolsworks Academy Trust ('The Trust') is the legal entity responsible for the governance of all the academy schools within the Trust. The Trust shall have regard to any guidance as to the governance of academies that the Secretary of State may publish to the extent permitted by the governing documents.

The object of the Trust is to advance for the public benefit education in the United Kingdom, by establishing, maintaining, managing and developing academy schools which provide high quality education to students from all backgrounds by offering a broad curriculum and fostering collaboration across the Trust's family of schools, other local schools and the wider community.

The Trust operates with the following culture, principles and objectives:

- A deep resolve to foster personal achievement, accomplishment and ambition in all its students
- A determination to make long-term contributions to its local communities and to wider society
- A commitment wherever appropriate to treat all academy schools within the Trust as a partnership of equals

The Trust has an unswerving commitment to the following values, motivations, qualities and styles:

- Achievement, accountability, aspiration, challenge, collaboration, confidentiality, creativity, curiosity, enjoyment, equality, excellence, fairness, healthy relationships, honesty, high expectations, innovation, integrity, leadership, openness, passion, positivity, respect, selflessness and teamwork
- Ensuring high levels of accountability and empowerment for the Chief Executive Officer (CEO) and Trust Executives
- Ensuring a culture of responsibility and accountability throughout the Trust

Vision Statement of the Trust:

The mission of the Trust is to:

- Establish and support academy schools that provide high-quality, inclusive and community-relevant education for all pupils
- Enable excellent school leaders to recruit, mentor, coach and develop high-performing teaching teams
- Achieve good outcomes for pupils to flourish within happy, positive, secure and purposeful school settings where expectations are high, attainment and progress are secured, and relationships are healthy
- Cultivate creativity within children to maximise children's full potential
- Secure a culture of high expectations and rigour which maximises the learning time of all pupils

We share core values:

- Maximising potential of all
- Sustaining positive relationships
- Cultivating curiosity
- Developing the whole person
- Being child / young person centred

We have some non-negotiables which means we are:

- Relentless in assessing our performance and seeking improvement in all areas
- Unashamed of taking tough decisions and the difficult paths where necessary
- An employer who values the contributions of its employees, empowers them to contribute and offers a rewarding working environment at the leading edge of professional development
- Demanding of our employees to join in the mission for excellence and provide exceptional personal and academic development for students
- Committed to treating our pupils with the same rigorous expectation and the same values for producing high quality work that we have for ourselves

We expect the support of our pupils:

- To live up to the trust we place in them and to understand that we are here to help them

- To support one other on our challenging but rewarding journeys of personal development and achievement

We expect the support of parents and carers:

- To help ensure that pupils play their part and meet the expectations we place on them
- To play an active partnership role in the education and development of their children

We seek the support of our community:

- To contribute to the life of the school
- To let us know when and how we can contribute to local society

We recognise that financial constraints mean we cannot do all we might like, so:

- We seek best value for money in all things, including providing the best learning environment possible
- We look to our suppliers to help in this
- Where compromises are needed we will make them in favour of enhancing or protecting the collective outcomes

Company Members of the Schoolsworks Academy Trust

Role of the Company Members

The key roles of the Company Members of the Trust are determined by the Trust's Articles of Association and include the following:

- The appointment of up to 4 (four) Directors (Article 50)
- The removal of any of the Directors
- Amendments to the Articles of Association when and if required
- Changes to the name of the Trust

While in strict company law terms, the role of the Company Members are limited, through these specific roles (and in particular with regard to the powers to appoint and remove Directors), the Company Members are seen as the guardians of the vision and mission of the Trust: if they are concerned about the direction of the Trust, then they have the ability to exercise their powers to remove members of the Board of Directors. They will meet at least once a year, usually in January, to receive the Annual Report and audited accounts from the Directors and to appoint the auditors.

The Names and Roles of individual Company Members

The Trust has five (5) members in accordance with the best practice encouraged by the Education and Skills Funding Agency's (ESFA's) *Academies Financial Handbook 2017*. The current Company Members are as follows:

- *David Chaffe* – experienced charity trustee and former Secretary of Peaceworks Trust, a charity involved in establishing The Trust in 2012
- *Linda Dale* – retired headteacher and Director of The Trust
- *Nicholas Henton* – former Chair of The Trust but now with no executive role in the Trust
- *Jonathan Funnell* – former Chair of The Trust but now with no executive role in the Trust
- *Elizabeth Smart* – former Director of the Trust and senior lecturer at the University of Chichester, now with no executive role in the Trust

Board of Directors

The Board of Directors (hereinafter, 'the Board') is responsible for the effective operation of the Trust and each academy school and for the purposes of the DfE's *Governance Handbook 2017* forms the Governing Body of all the Trust's academy schools. It provides on-going challenge and support to the Trust's professional executive team and to local school leaders. The Board Directors meet at least six times per year plus any extraordinary meetings.

The Board fulfils the following key roles either directly or through a delegation of its powers to the key professional officers of the Trust, i.e. the CEO and Director of Teaching and Learning (DTL):

- Ensures safety, health and compliance across all Trust academy schools and activities
- Is accountable to the Department of Education (DfE) for compliance with the terms of the Funding Agreements and the Academies Financial Handbook
- Is responsible for the Trust's performance, including financial performance
- Ensures clarity of vision, ethos and strategic direction and that the guiding principles, culture and objectives are applied consistently
- Holds the Trust Executives and Headteachers to account for the educational performance of the academy schools and their pupils, and the performance management of staff
- Oversees the financial performance of the Trust and makes sure that its money is well spent

The operation of the Board is set out in the Trust's Articles of Association as adopted by the Company Members by special written resolution on 19th September 2017. The constitution of the Board is outlined in Article 46 and comprises no less than 3 Directors as follows:

- CEO of the Trust at the time (currently Chris Seaton)
- DTL of the Trust at the time (currently Cathy Williams)
- Up to 1 Principal Director drawn from the Headteachers and Heads of School of the Trust's academy schools (currently Nick White)
- Up to 3 Academy Directors drawn from members of the School Community Councils (SCCs) (currently Linda Dale)
- Up to 4 Member Directors appointed by the Company Members (currently Paul Jones)
- At least 2 Parent Directors (currently both vacant)

The Board may also co-opt directors under Article 58 (currently Stuart Collins, Adam Hackett,

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Norman Rose and Sue Hawthorn). It is usual that the Chief Financial Officer (CFO) will be present at Board meetings and that the meeting will be clerked by the Company Secretary (currently the CEO's Personal Assistant.)

All members of the Board including co-opted and independent members will be subject to a DBS check before attending their first meeting of the Trust.

Key responsibilities:

- To set and maintain the strategic direction of the Trust
- To ensure the quality of the educational provision at each academy school
- To establish and oversee the strategic direction of each academy school and challenge and monitor its performance
- To employ staff
- To co-operate with other staff and institutions
- To ensure compliance with the Funding Agreements and all relevant legislation, including (but not limited to) that relating to the health and safety of its employees, students and visitors
- To challenge and monitor the financial governance and strategy of the Trust through the delegation of powers to its Finance Committee and Audit Committee (see The Trust's Scheme of Financial Delegation below)
- To ensure regular effective communication with SCCs via the Chairman of the Board and the CEO
- To approve the admissions policies of individual academy schools
- To consider proposals for growth of the Trust or change of strategic direction

Financial responsibilities:

Regarding Annual Budget setting the Board will

- Receive information from EFSA via the Trust's professional officers
- Determine with the Trust's professional officers the appropriate Central Services budget and best way to fund this from Trust's overall budget and set the strategy for achieving economies of scale through central ordering and procurement where possible
- Receive and comment on the Trust budget as drafted by the CFO
- Approve the final Trust budget after any amendments, ensuring that the budget complies with any national requirements, regulations or guidance and ensuring best

value for money

- Approve the manner of management of the Trust's budget information from Central Services to the academy schools, including each confirming each academy school's final budget share
- Receive reports from the Trust's professional officers on the effectiveness of annual budget setting, its strengths and areas for improvement, in good time to revise arrangements for the next Trust budget cycle as necessary
- Establish a strategy for financial benchmarking at Trust level and also at school level
- Establish a strategy for managing capital improvement funds, including any criteria for disbursing funds centrally as the Trust grows and supporting academy schools in developing Capital Improvement Funding bids
- Ensure a robust response to the recommendations of any internal or internal audit of the Trust's financial management

Regarding in-year Budget management the Board will

- Receive quarterly management account reports from the Trust's professional officers on overall Trust budget progress
- Receives quarterly reports from each academy school, including reports of the impact of any interventions that the Trust's officers have sought to make

Policy Development

The Board will

- Establish a policy structure which will enable the Trust and its academy schools to operate at a highly effective level as well as being compliant with all legislative and regulatory requirements
- Determine, develop and keep up to date a suite of appropriate policies for the Trust and its academy schools which reflects legislation in force at the time
- Determine appropriate model policies for academy schools to customise where local policies are needed
- Establish a programme of regular and review against, an agreed timetable, of those policies held centrally, required at school level, and advised at school level

Aspects of these responsibilities may be delegated to the CEO or individual SCCs, with the day-to-day running of each academy delegated to the respective and Headteachers. For example, the Board will:

- Be informed by the CEO on the appointment of Headteachers to individual academy schools, which are subject to the Board's approval
- Ensure clarity of roles for SCCs and (via the CEO, Trust Executives and Chairs of SCCs) that there is effective governance and monitoring at individual academy school level
- Ensure the CEO has provided training for Directors and for SCCs and their Chairs to fulfil

their delegated duties as set out in this document

- Via the Chairman of the Board, to undertake performance management of the CEO
- Ensure clarity of roles and accountability between the Board, the CEO, Trust Executives, Headteachers, Chairs of SCCs and SCCs
- Approve the Trust pay and performance policy and devolve operational aspects to the CEO.
- Ensure all finances and senior pay awards are effectively managed by the CEO and Finance Director through the Finance and Audit Committees

Evidence of the effectiveness of the Board will be provided by:

- Achievement and attainment at each academy school
- Rapid and demonstrable progress for pupils
- Reduction in the gap between performance of different groups of pupils and the national average
- Rigorous, data-oriented assessment of teaching quality and pupil progress
- Approving the targets set for each academy school
- High standards of behaviour, good attendance and a safe environment in each academy school
- Universally high expectations of staff as well as of pupils
- Positive parent / carer feedback
- Achieve satisfactory external and internal audits
- Positive outcomes from Ofsted and Trust Inspections
- School Community Councils acting as a driving force for improvement regularly checking their own effectiveness
- Effective use of staff satisfaction feedback
- Evidence of decisive action taken to address financial and leadership challenges at individual academy level

Standing Committees of the Board:

Finance Committee (meets as required but usually at least once per term)

The purpose of the committee is to exercise the powers and duties of the Board in respect of the financial administration of the Trust, except for those items specifically reserved for the Board and those delegated to the Chief Executive Officer, the CFO and other staff. Specifically its purpose is:

- To set the annual budget of the Trust and of its academy schools as directed by the Board and in consultation with SCCs.
- To provide the Board with a strategic overview of the Trust's budget and the budgets of

each of its academy schools

- To ensure that appropriate financial management and practice is being followed in each academy school
- To monitor and review expenditure on a regular basis and ensure compliance with the overall financial plan for the Trust and its academy schools, and with the Funding Agreements, the Academies Financial Handbook and the financial regulations of the EFSA, drawing any matters of concern to the attention of the Board

Audit Committee (meets as required but usually at least once per term)

This committee assists the Board in exercising its fiduciary duties and provides it with an overview of the Trust's financial audit and ensures proper checks and balances are in place. Specifically, its purpose is to ensure:

- The integrity of the financial statements of the Trust
- The effectiveness of internal controls over financial reporting
- The independent registered public accounting firm's qualifications and independence
- The performance of the Trust's internal audit function and any independent registered public accounting firms which support it
- The Trust's compliance with legal and regulatory requirements and
- The performance of the Company's compliance function

Remuneration Committee (meets annually and as required)

The purpose of the committee is to review proposed salary awards and pay scales used by the Trust; to conduct detailed analysis of proposed senior staff (i.e. CEO, DTL, DDTL, CFO, Headteachers, Deputy Headteachers) pay awards; to scrutinise performance management records.

Chief Executive Officer and Director of Teaching and Learning

The CEO and DTL are appointed by the Board of to fulfil the following delegated objectives.

Objectives:

- Ensuring high educational standards across all the Trust's academy schools
- Safety, health and compliance
- Setting and communicating strategy for the Trust
- Ensuring the Board of Directors is appropriately informed through agreed mechanisms
- Ensuring that the guiding principles, culture and objectives of the Trust are faithfully upheld, revisited and reinforced

Key responsibilities:

Effective management of budgets

The CEO will be the Accounting Officer and, as such, will be accountable to the Trust and to the EFSA and Parliament for budgetary planning and delivery and will ensure effective use of resources to achieve value for money through centralisation and where appropriate across the Trust. The CEO will be assisted by the CFO and DTL in this. The CEO and CFO will report regularly to the Finance and Audit Committees as well as the main Trust Board.

Performance and Standards

The CEO and DTL will be accountable to the Board for:

- Providing effective performance management and line management of the Trust's, Executives, Headteachers and other Trust Central Services staff
- Standards in every academy school
- Ensuring robust quality assurance processes are in place at each academy school and that SCCs carry out their duties effectively.
- Defining expectations and operating rigorous data-based progress assessment
- Ensuring tactical capacity for support is in place either using shared or central resources
- Ensuring robust management reporting is in place at each academy school
- Preparing and presenting reports to the Board of Directors

Staff / Personnel

The CEO shares with the DTL the responsibility for the appointment of Headteachers on behalf of the Board and will normally do this with the involvement of other Directors and members of SCCs. The CEO also has the right of veto to any appointment. The CEO and DTL

provide regular updates on performance targets for all Headteachers. The CEO and DTL are both accountable to the Board for:

- Ensuring appropriate numbers, qualification and skills of staff in each academy
- Ensuring appropriate professional development and talent management is in place
- Ensuring that pay is appropriately linked to performance
- Intervening at individual academy level where necessary
- Managing appointment processes and procedures, including safeguarding
- Managing Trust Executives and senior central team staff as direct reports

Additional Financial responsibilities along with the CFO

Regarding Annual Budget setting the CEO, working with the CFO will:

- Keep in close contact with EFSA and DfE to seek to anticipate policy changes as much as possible
- Maintain communication with the Headteachers, School Business Managers (SBMs) and SCC Chairs or Finance Portfolio holders to alert them to the progress being made with annual budget setting
- Present to the Board an outline budget of the Trust, including proposals for funding Central Services ensuring compliance with national requirements
- Following budget approval by the Board, communicate clearly information to academy schools so that they can adjust their own school budget proposals accordingly
- Report to the Board on the effectiveness of the budget setting progress and any proposals for improving it
- Establish policies to ensure best value for money and effective procurement
- Establish a framework for financial benchmarking at both Trust and school levels
- Ensure a plan for the management of Capital Improvement Funding at Trust level and also in terms of providing support for academy schools in developing capital improvement bids based on their premised improvement plan
- Ensure detailed responses to the points made in any audit of the Trust's financial management in the form of a financial improvement plan based on the recommendations for Board approval

Regarding in-year Budget management the Trust's officers will:

- Receive quarterly reports from each academy school showing budget monitoring and raising any in-year issue arising which needs to be resolved
- Ensure that budgets continue to be compliant, especially if there has been any procurement which would be conducted in accordance with the Trust's policy for procurement and project management
- Intervene where necessary if a school budget is not being managed well
- Prepare quarterly reports to the Board

Policy Development responsibilities, along with other Trust officers

- Produce a structure for policies as outlined above for Board approval and for communication to academy schools within the Trust so that the range of policies may be made accessible to each academy school and the category of policy they fall into is clear
- Produce for Board approval draft policies to be used consistently across the Trust
- Produce for Board approval templates for those policies to be customized by academy schools against the templates/models provided by the Trust
- Draw up a list of policies that academy schools are responsible for producing and gaining SCC approval
- Establish a review strategy so that the Board can be assured that all required policies exist, are compliant and up to date

Headteachers and Heads of School

Headteachers

Headteachers are accountable for a number of academy schools as determined by the CEO and DTL. They are responsible for the leadership and management of their schools as agreed with the CEO and for all aspects of performance.

They will ensure their academies meet School Improvement Plan targets and contribute effectively to achieving Trust priorities set by the Board. If required they will assume the role of Headteacher in any academy schools where a leadership vacancy occurs.

Headteachers are line-managed by either the DTL or DDTL.

Heads of School

Heads of School are accountable to the DTL and DDTL for the day-to-day management of their schools in an effective and compliant manner.

Finance

In academy schools where there is a Head of School, all major and strategic financial decisions are to be made in agreement with the relevant Trust Executive who is line-managing that Head of school.

Headteachers and Heads of School (subject to the paragraph above) have the following financial responsibilities:

- To present an initial balanced budget to the CFO after consultation with the SCC which is compliant and meets the Trust requirements, including in relation to procurement
- To work with the SCC's Finance Portfolio Holder at least termly to ensure that the Portfolio holder is aware of any variation from the planned budget and the steps being taken to address it
- To present to SCC meeting on budget progress and monitoring
- To develop, with the SCC's Health and Safety and Premises Portfolio, a Premises Development Plan which will support the preparation of bids for Capital Improvement Funds
- To work with the SCC's Finance Portfolio Holder and the CFO to ensure a robust response to the recommendations of any audit of financial management

Policy Development

In academy schools where there is a Head of School, all major and strategic policy decisions are to be made in agreement with the relevant Trust Executive who is line-managing that Head of school.

Headteachers and Heads of School (subject to the paragraph above) have the following policy development responsibilities:

- To ensure that the list of policies required by the Trust exist and are accessible locally, are compliant and up to date
- To ensure that the SCC has a programme of policy approval which is fit for purpose and that the SCC is clear that the school policy list is complete and compliant
- To establish a programme of review of the impact of policies that have a direct influence on the academy school, regarding the standards of pupil achievement (e.g. assessment and marking), the maintenance of a safe and secure learning environment (e.g. premises plan) and other priorities

School Community Councils

The School Community Councils (SCCs) are advisory councils that report to the Board via the appropriate portfolio holder. It is the role of the SCC to support and strengthen their Headteacher's leadership through robust challenge; to work via the Chair to hold the Headteacher accountable for the performance of pupils and staff. School Community Councils meet on a termly basis at least three times per year.

The objectives of SCCs are to be accountable to the CEO and Board for:

- Ensuring high standards of teaching and learning
- Ensuring pupil happiness, welfare and safety
- Ensuring efficient, appropriate and compliant use of local finances
- Ensuring school premises are safe and secure and a good learning environment
- Supporting Headteachers as required, for example, in recruitment or performance management
- Ensuring effective engagement within the academy school's local community

The composition of SCCs is determined by the Board of Directors, subject to the Articles of Association. The Chair of the Board of Directors, the CEO, the DTL and the CFO or other Trust executives may attend any SCC meeting.

The Chair of the SCC will be appointed by a resolution of the Board of Directors who will take into account any representations made by the SCC prior to appointment. Each SCC will include parent, community and staff representatives and anyone else co-opted as deemed appropriate by the Board of Directors in consultation with the SCC Chair.

Members of any SCC may be invited to attend meetings or sit on an exclusion panel in another of the Trust's academy schools where their particular skills or experience may be of use. Similarly they may be invited to join review or appeals panels relating to personnel and disciplinary matters including the conduct of staff in any of the Trust's academy schools.

Key responsibilities and commitments of all SCC members:

- To ensure that there is local adaptation and adoption of Trust policies and functions as directed by the CEO on behalf of the Board of Directors
- To work with the Trust Executives as local intelligence in supporting educational performance and pupil progress
- To support the Headteacher in ensuring compliance
- To be aware of the academy school's performance and challenges through regular visits and good management reporting

- To understand the academy school's strengths and development needs and to agree strategic planning priorities with the Headteacher subject to approval by the CEO, DTL and Board of Directors
- To listen to and ensure effective relationships with pupils, parents and other local schools
- To support the Headteacher to set and uphold high standards of behaviour and conduct for pupils and staff alike
- To reflect and respond to the needs and opportunities within the community
- To contribute to the academy school's development and improvement, and to subscribe to the ethos, aims and objectives of the Trust
- To support the academy school's SLT, staff, pupils and parents through a professional approach to governance in order to help create positive educational change for children
- To subscribe to the creation of an inclusive, safe and supportive educational environment within the academy school
- To develop an understanding of the school improvement process and the role of the SCC in it
- To attend at least one meeting per term, each meeting lasting for up to two hours and taking place in the early evening
- To come well-prepared to meetings having read the meeting papers beforehand and identified any clarification to be sought or questions to be asked; questions can always be emailed to the Headteacher beforehand
- To commit to visiting the academy school for a minimum of one half day per term to take part in a monitoring or other visits in collaboration with a senior member of staff and drafting a brief (one side of A4) visit report afterwards
- To commit to undertake at least one governance training session per year, as agreed with the Chair of the SCC

In addition and wherever it possible it is desirable that that SCC members are:

- Willing to participate in recruitment interviews as required for members of staff at any level of seniority within the academy school
- Willing to support school activities such as Open Days or evenings, performances by children, fundraising events etc.
- Willing to attend special school assemblies on request such as Carol Service, etc.
- Willing to represent the academy school in local activities or those taking place further afield, e.g. visit other Trust academy schools in order to increase the SCC's collective

knowledge and understanding of how other schools address issues pertinent to their academy school's development

The SCCs will work with their Headteacher and with the professional Trust team to ensure:

- Staffing capacity and professional development is appropriate
- Quality assurance is effective and appropriate targets are in place
- Pupil progress meets agreed expectations between the Trust and the academy school, for different groups and in general
- Pupil premium expenditure has an effective impact on reducing gaps between groups and the average
- Pupil applications, admissions, attendance and exclusions information is regularly reviewed
- Every academy school is 'adding value' to each student they educate, and ensure no pupils are left behind
- Staff absence, recruitment and retention is regularly reviewed

The effectiveness of the work of SCCs will be evidenced by:

- Challenging debate at meetings on performance data and school improvement (i.e. in records and reports of meetings) that demonstrate both support and challenge to the Headteacher
- Good parental feedback (through questionnaires and records of other consultation events)
- Good feedback on the impact of the academy in the community (range of evidence sources)
- Demonstrable checks on their own effectiveness using a Trust-wide effectiveness self-audit tool for SCCs

Financial Responsibilities of the SCC

- To provide challenge and support to the academy school throughout the budget preparation process, including when the proposed annual budget is presented to the SCC
- To monitor budget expenditure throughout the year to ensure that any variation from planned expenditure is accounted for and properly managed
- To receive budget-monitoring reports at each meeting and challenge any significant variation from planned expenditure or income
- To ensure that any major expenditure is subject, where appropriate, has regard to Best Value and other Trust guidance on procurement
- To oversee the suitability of arrangements at school level for Safeguarding and for

Health and Safety.

Responsibilities of the SCC regarding Policy Development

- To ensure that a programme of policy development and review is fit for purpose and ensures that the academy school is meeting all compliances
- To implement the programme of receiving policies from the Trust and approving policies is clear and to ensure that it remains fit for purpose at the start of each academic year
- To have a system of reviewing the impact of policies on rising standards and improving the quality of education provided can be judged

Terms of Reference:

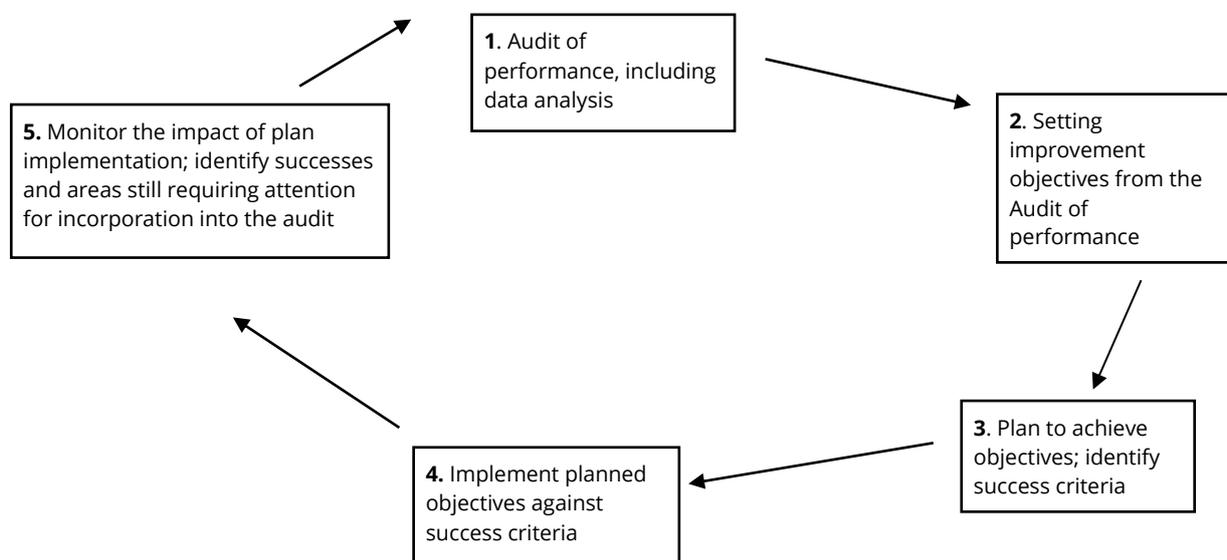
Each SCC exists on behalf of the Board to help ensure the effectiveness of the academy school at a local level. The SCC builds on local expertise, which the Board values as a contribution to ensuring effective local school performance and management. There is to be a minimum of 1 SCC meeting per term, with the Chair reporting to the Trust Executives or CEO within 2 weeks of each meeting. In addition to the generic role of a member of the SCC member outlined above, the specific core functions of the SCC have been consolidated into 6 portfolios with each being assigned to one member of each SCC. Note that it is for the Chair of the SCC in dialogue with the SCC members and the Headteacher to determine how these portfolios are carried out, including sharing them, 'buddying' two portfolio holder or any other strategy that is deemed effective.

The core functions are as follows with the individual portfolio given in brackets:

- 1. Teaching, Learning and Performance Portfolio** (to raise standards of teaching and learning). The portfolio holder working closely in conjunction with the Headteacher will:
 - Have a clear understanding of historical and in-year data and nationally published performance data such as RAISEonline, and the Inspection Dashboard.
 - Discuss in half-termly meetings with nominated data and assessment manager from the school, following the scheduled data capture points:
 - Overall standards of attainment
 - Standards of identified groups e.g. CLA, PP, SEND
 - Whether the academy school is on track to meet its targets
 - Take part in some WILOs (*Weeks In The Life Of*), School Reviews to triangulate other information and other visits linked to the School Improvement Plan and write brief visit reports for the SCC

- Set the focus with the Headteacher for SCC Open Days
- Invite appropriate staff to make presentations to SCC meetings
- Ensure the funding of pupil premium children is used effectively to raise standards by monitoring their progress of these and other vulnerable groups.
- Work alongside Senior Leadership Team of the academy school and professional Trust team to produce effective School Improvement Plans based on a cycle of needs analysis, planning and review (see School Improvement Cycle below)
- Use this information to ensure that the SEF fully and accurately reflects the current strengths and areas of developments in the schools

School Improvement Cycle



2. Safeguarding and Child Protection Portfolio (to ensure pupil happiness, welfare and safety). The portfolio holder working closely in conjunction with the Headteacher will:

- Meet with different groups of pupils in different contexts to ascertain levels of well-being, e.g. lunch times, school council, peer mediation, playground duty.
- Triangulate the quality and effectiveness of pupil voice strategies in the academy school
- Monitor the accident book and meet with appropriate welfare person
- Review the academy school's overarching safeguarding and child protection procedures policies, documentation, training records, self-evaluation and potential action plans and to ensure they meet all statutory requirements.
- Ensure all training records for child protection, PREVENT, safer recruiting are up to date
- Check the racial abuse returns

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- Be aware of children in vulnerable groups
- Ensure that a safeguarding report on all the above points is included in the Chair's termly report to the Trust Executives

3. Finance and Audit Portfolio (the efficient, appropriate and compliant use of local finances). The portfolio holder working closely in conjunction with the Headteacher will:

- Attend half-termly meetings with Finance Team to review and discuss monthly reports in order to
 - understand the current financial profile and challenges of the school
 - become aware of any variation from the school's planned expenditure and the reasons for such variation
 - understand the processes of Best Value, financial benchmarking, and gaining value for money within the framework of the Trust policies and financial and procurement practices
 - check that the school has responded appropriately to any audit recommendations
 - be able to effectively report to SCC on main headlines
- Work alongside the Finance Team and CFO to draft an initial budget, taking into consideration the priorities of the School Improvement Plan and support the Headteacher in the presentation of this budget to SCC

4. H&S and Premises Portfolio (to ensure school premises are safe and secure and a good learning environment). The portfolio holder working closely in conjunction with the Headteacher will:

- To work with the Premises Officer and Headteacher/Head of School to draw up a Premises Development Plan including a suggested and budgeted rolling programme for essential maintenance, redecoration and capital development
- Undertake a termly walk around the entire academy school premises with Premises Officer to gain familiarity with the layout and the short term and long term challenges of the site and report back to SCC meetings
- Maintain an overview of premises costs in discussion with Finance Team
- Check and monitor security and safety compliance including water testing, fire drills and other responsibilities
- Maintain a simple site and premises development plan

5. Senior Leadership Team Liaison and School Support Portfolio (to support the academy school's management team). The portfolio holder working closely in conjunction with the Headteacher will:

- Support with job interviews as required
- Receive school level complaints
- Ensure SCC local policies are reviewed and their impact is monitored as necessary in consultation with senior leadership team
- Support the senior leadership team with local issues such as parking / school attendance
- Monitor school attendance
- Review staff wellbeing (e.g. work/life balance, job satisfaction, views of workplace) and discuss with Headteacher

6. Community Engagement and Fundraising Portfolio (to ensure effective engagement within the school community). The portfolio holder working closely in conjunction with the Headteacher will:

- Attend school events, i.e. new parents meetings, Christmas productions, liaise with Parent Teacher Associations (PTA) and attend PTA events
- Develop links with local businesses and community organisations
- Work to promote the school through press and PR
- Review school website and social media for effectiveness and compliance

Constitution:

The constitution of each School Community Council will comprise the following:

Headteacher (to work without Portfolio)

1 Staff Member (maximum) (to work without Portfolio)

1 Parent Member (minimum)

1 local Community Member (minimum)

To be a minimum of 6 and maximum of 9 members on each SCC

Each SCC member should demonstrate experience in one of the following, and each SCC should have a balance of expertise across these areas: education, finance, buildings, health and safety, community engagement and HR.

Terms of Office:

- The Headteacher will remain on the SCC whilst in post at the school
- Community and Parent members – each term to consist of 3 years
- Staff member – each term to consist of 2 years
- The maximum term of office of each Council member is 3 terms of office; therefore a maximum of 9 years for Community and Parent members, and 6 years for Staff members
- Each member of an SCC will be subject to a DBS check before taking their seat on the

Council.

Minutes and Clerking:

Whilst there is no legal requirement for formal Minutes to be taken of SCC meetings, there are still administration duties to be fulfilled, such as note taking, record keeping, agenda setting, notification of SCC meetings and other events. Administration duties may be fulfilled local level by the SCC staff member, who not carry a portfolio, or by a shared administration person working across the Trust or a number of schools.

The Trust will provide a simple grid template to capture in note-form the main items of discussion in the SCC meetings. These notes, and the portfolio-holder notes will be shared with the appropriate portfolio-holders on the Board. These will record any pertinent discussions, outcomes and decisions made, actions to be made by whom, and deadlines for completion.

Date Adopted:		Review Date:	
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Appendix 1: Scheme of Financial Delegation

SCHOOLSWORKS ACADEMY TRUST

FINANCIAL FRAMEWORK (including Scheme of Financial Delegation)

Introduction

Schoolsworks Academy Trust (hereinafter, 'the Trust') has agreed this Financial Framework document to enable the Trust's Board of Directors (hereinafter, 'the Board') to ensure that it can fulfil its responsibilities to the Education and Skills Funding Agency (EFSA) whilst enabling the Trust's academy schools' Headteachers (whether executive, substantive or operational), its key staff and advisory bodies to remain locally accountable for their school budgets and financial processes.

The Board are legally responsible for the proper stewardship of the public funds allocated to its schools and for ensuring economy, efficiency and effectiveness in their use. The Trust must adhere to the conditions contained with the EFSA funding agreements. These include compliance with the current Academies Financial Handbook (hereinafter, 'the Handbook') and periodic Accounts Directions. The Handbook includes the following specific requirements for the Board:

- To designate its Chief Executive Officer as the Trust's Accounting Officer, who is personally responsible to Parliament for the resources under his control;
- To maintain proper accounting records and accounts;
- To ensure there is appropriate oversight of financial transactions;
- To ensure that the Trust's relationships with connected parties are even handed, by having in place measures to manage conflicts of interest and publish on the Register of Interests on the Trust's website and on the websites of each of its academy schools;
- To notify the EFSA of instances of fraud or theft where the value exceeds £5,000;
- To ensure regularity, propriety and value for money in relation to the management of public funds;
- To approve a balanced budget for the whole Trust, for submission to the EFSA;
- To agree procedures for agreeing and notifying the EFSA of significant changes to the budget;
- To obtain EFSA approval before borrowing or entering into finance leases;
- To have sound internal control and risk management processes in place;
- To ensure that the Trust's current and forecast financial position is appropriately monitored;
- To ensure that any decisions to give or accept gifts have regard to propriety and regularity;
- To seek EFSA approval before writing off significant debts and losses, entering into guarantees & indemnities or lease agreements;
- To consider before agreeing staff severance or compensation payments whether the payment is in the Trust's interest, whether the payment is justified and whether it provides value for money based on careful appraisal of the facts and legal advice. EFSA

Scheme of Delegation

Board approved : 06.02.18

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approval is required for the non-contractual or non-statutory element of staff severance or compensation payment of £50,000 or more;

- To seek EFSA approval for any ex gratia payment;
- To be able to show that public funds have been used as intended by Parliament;
- To ensure there are adequate internal and external audit arrangements in place.

These Regulations will apply to all academy schools within the Trust to which the Board delegates financial responsibilities. In exceptional circumstances the Board may decide not to delegate responsibility to an academy school, thereby retaining control within the Board and its officers and executives.

Failure to observe this Financial Framework is considered a serious matter and might involve disciplinary procedures being taken against the individual concerned. In exceptional circumstances it may be possible to waive a Regulation, but only with the explicit approval of the Chief Executive Officer.

In the unlikely event that the EFSA issues a "Financial Notice to Improve" this Scheme of Delegation will need to be superseded by a more stringent version, with significantly restricted delegated authorities.

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Summary of Financial Authorisation Levels

Delegation assumes the same authorisation for all roles across all business units. Where there is a deputy for a role, then the deputy takes on the same level of authorisation for the role in which they deputise (i.e. a DHT has the same delegated financial powers as a HT)

Delegated Duty	Value	Delegated Authority	Method
Ordering Goods and Services within business units (raising requisitions, placing contracts and authorising non-ordered purchase invoices)	Up to £500	FO / B / SBM	Purchases within approved budget, approved Surplus Balance Expenditure and in line with Procurement Policy
	Up to £1,000	ESBM	
	Up to £2,000	HT	
	Up to £10,000	Two signatures; HT plus DTL / CFO / CEO	Requires a minimum of 3 quotes for orders over £5k and a Best value statement over £10k
	£10,001 to £75,000	Any two signatures of; HT / DTL / CFO / CEO	
	£75,001 to £150,000	Any three signatures of; HT / DTL / CFO / CEO	
	Over £150,000	Any three signatures of; HT / DTL / CFO / CEO plus Finance Committee	
Ordering Trust-wide (all Schoolsworks business units or schools) Goods and Services	Up to £30,000	Any one of; CFO /CEO / DTL	Orders over £10,000 require a minimum of 3 quotes and a Best value statement
	£30,001 to £75,000	Any two of; CFO / DTL / CEO	Orders over £10,000 require a minimum of 3 quotes and a Best value statement
	Over £75,000	Any two of; CFO / DTL / CEO plus Finance Committee	Formal tendering process
Finance Lease Agreements	Any	Finance Committee subject to EFSA approval required for all finance leases, granting of land and buildings tenancy agreements to another party and taking up tenancy or L&B leasehold from another party over 7 years	

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Operating Lease Agreements	As per ordering goods and services		
Bank transfers between business units	No limit set	Any two of; CFO / DTL / CEO / ESBM	
Signatories for cheques, payment authorisations, BACS and bank transfers within business units (this applies to all bank accounts including School Fund accounts)	For Petty cash only;		
	Up to £50 per claim	B / FO / SBM	
	Up to £150	ESBM	
	£151 to £500	HT / CFO / DTL / CEO	
	Cash withdrawal for Petty cash tin top up	Any two signatories as per bank mandate	
	Up to £2000	Any one of; HT / CFO / DTL / CEO (and AHT if required)	
	£2001 to £75,000	Two signatures Any two from line above or any one from line above plus B / FO / SBM / ESBM	
	Above £75,000	Two signatures Any one from line above plus CFO / CEO	
Signatories for DFE grant claims and DFE returns	Up to £10,000	B / FO / SBM / ESBM with reporting to HT or DTL	N/A for rates reclaims which match rates expenditure. These can be signed by B / FO / SBM / SBM and noted in the accounts
	Above £10,000	HT / CFO / CEO / DTL	
Budget Revisions	Surplus/deficit variance up to £10,000	HT plus CFO and reporting to DTL and Finance Committee	
	Surplus/deficit variance £10,001 to £50,000	HT plus CFO and reporting to DTL, Finance Committee and CEO	
	Surplus/deficit variance over £50,001	As above plus Finance Committee report to Trust's Board of Directors for approval	

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Journals	Up to £5000	B / FO / SBM	
	Up to £10,000	ESBM	
	All values	Any one of; HT / CFO / CEO / DTL	
Bad Debt write-offs(excluding staff)	Up to £1000	CFO with report to Finance Committee	
	Up to £5000	DTL / CEO with report to Finance Committee	
	Above £5000	Finance Committee subject to EFSA limitations in Academies Financial Handbook	
Staff Bad Debt Write-offs	Up to £1000	Any two of; HT / CFO / DTL / CEO and reporting to Finance Committee	
	Above £1000	Finance Committee subject to EFSA limitations in Academies Financial Handbook	
Disposals (excluding Land and Buildings) (Asset value set at £5000)	Inventory items not capitalised in accounts up to £2500 original cost	Any one of; HT / CFO / CEO / DTL	
	Inventory items not capitalised in accounts between £2500 to £5000 original cost	Any two of; HT / CFO / CEO / DTL	
	Assets up to £25,000 original cost	Any one of; CFO / CEO / DTL	Must, if applicable, evidence best possible price achieved
	Assets above £25,000 original cost	Finance Committee	

Approved _____

Review date: _____

Scheme of Delegation

Board approved : 06.02.18

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SECTION A CORE FINANCIAL MANAGEMENT PRINCIPLES

1. Spending must be for the purpose intended by Parliament, and the principles of regularity, propriety, value for money and prudence must be upheld. Any transactions that are irregular, improper or do not afford value for money require prior written permission from the EFSA, and must be referred to the Finance Committee in the first instance.
2. Financial records, systems, reports and value for money decision documentation must be maintained to a good standard, available for inspection by auditors and assurance officers at short notice, and kept for six years after the end of the financial year to which they apply.
3. Cash must be managed appropriately, to avoid going overdrawn and to achieve reasonable levels of return on cash balance held. Bank and control accounts should be reconciled on a regular basis.
4. Prompt action should be taken to recover any debts (whether from sales, lettings or overpayments to contractors, suppliers or staff). As a matter of principle the recovery of all overpayments should be pursued.
5. All write-offs, special payments (including severance payments and compensation payments), novel or contentious payments, acquisitions and disposals of fixed assets and new lease agreements should be referred to the Finance Committee for approval or referral to the EFSA if required.
6. Each academy school and the Board must maintain a register of business interests. Payments to any Trustees, Company Members, School Community Councillors and senior employees must be permitted by the Trust's Articles and should be referred to the Finance Committee.
7. The Finance Committee will appoint accountants and external auditors. The letter of engagement or contract with the external auditor will include provision for the removal of the auditors. If the auditors are removed or resign before their term expires the CEO will inform the EFSA immediately.
8. Each school must ensure that its staff and key partners are aware of the Trust's Confidential Reporting (Whistleblowing) Policy (see Annex 1)
9. EFSA approval required prior to entering into the acquisition and disposal of fixed assets beyond limits specified in the Handbook.

SECTION B - SCHEME OF FINANCIAL DELEGATION

1. Powers and duties reserved for the Trust Board

The Board shall be responsible for:

- 1.1 Approval of the Trust's Financial Operational Manual (to follow) including the written scheme of delegation of its financial powers and duties to its Finance Committee, Audit Committee and individual academy schools' Trust Executives, Headteachers and other staff.
- 1.2 On conversion, approval of the application of the Scheme of Financial Delegation for each new school.
- 1.3 Formally approving the consolidated Trust's annual budget in accordance with EFSA timescales.
- 1.4 Approving the formula level for funding the Trust's Central Services budget, as recommended by the Finance Committee.
- 1.5 Approving the annual Trust accounts, accounting principles and issues arising from the annual audit including the Management Letter from the external auditor.

2. Powers and duties delegated for the Trust's Finance Committee

The Trust's Finance Committee (referred to throughout this document as 'the Finance Committee') shall be responsible for:

- 2.1 Consideration of individual schools' budgets, the use of underspends and recommendation of the Trust's consolidated budget to the Board.
- 2.2 Consideration of the Trust's Central Services budget internal funding formula, and their recommendation to the Board.
- 2.3 Monitoring the Trust's budget at regular intervals including estimated underspends.
- 2.4 Authorisation of the advertising of tenders above £150,000.
- 2.5 Authorisation of the write-off of debts not collectable and above the academy schools' delegated limit of £5,000, and referral to the Secretary of State if required.

- 2.6 Authorisation of the disposal of individual items of equipment and materials that have become surplus to requirements, unusable or obsolete with an original purchase value in excess of £25,000.
- 2.7 Agreeing responses to recommendations made by the external auditor or internal auditor.
- 2.8 Receiving report regarding all instances of fraud and theft and informing the EFSA if required.
- 2.9 Authorising all new financial lease agreements (not operating leases) and referral to the EFSA if required.
- 2.10 Ensuring that adequate insurance arrangements are in place.

3. Powers and Duties delegated to the Trust's Academy Schools

With Trust Executives, Headteachers with the support of the School Community Council, are given delegated financial authority by the Board and shall be responsible for:

- 3.1 Agreeing school priorities for revenue and capital resources.
- 3.2 Reviewing and recommending a balanced school budget to the Finance Committee.
- 3.3 Recommending a Premises Development Plan to the Finance Committee and keeping that Committee informed of capital bid applications and progress.
- 3.4 Monitoring the school's budgets on a regular basis (at least termly), addressing potential budget overspends and approving virements within the agreed limits.
- 3.5 Revised budgets if applicable to be agreed with CFO following the finalisation of the November and February accounts for submission to the Finance Committee for approval.
- 3.6 Ensuring that the public funds allocated to the school are spent for the purpose intended and that they represent value for money.
- 3.7 Ensuring that adequate resources are devoted to the finance function within the school to enable proper accounting records and processes to be maintained.
- 3.8 Agreeing appropriate levels of delegation to its key staff or to its School Community Council if applicable.
- 3.9 Receiving reports on decisions taken by the Headteacher, Head of School, School Business Manager or other member of Finance Team under delegated powers.

- 3.10 Reviewing at the end of each financial year how value for money has been achieved at the school, and reporting this review to the Schoolsworks Finance Committee.

Purchasing

- 3.11 Authorising the award of orders, contracts and operating leases over £75,001 and up to £150,000.
- 3.12 Referring proposals to enter into new lease agreements to the Schoolsworks' Finance Committee.

Security of Assets

- 3.13 Ensuring that there are annual independent checks of assets and the asset register.
- 3.13 Authorising the disposal of individual items of equipment and materials (original value < £5,000) that have become surplus to requirements, unusable or obsolete and reporting such authorisations to the Schoolsworks' Finance Committee.

Personnel

- 3.14 Authorising permanent changes to the schools' staffing structure.

Audit

- 3.15 Considering reports and recommendations made by the external auditor or internal auditor.
- 3.16 Receiving reports regarding all instances of fraud and theft, for referral to the Schoolsworks Finance Committee and the EFSA if required.

4 Financial Powers and Duties Delegated to the Headteacher

The Headteacher or Head of School has delegated powers and functions in respect of internal organisation, management and control of his/her school, the implementation of all policies approved by the Board and for the direction of teaching and the curriculum.

The Headteacher shall be responsible for:

Budgetary control

- 4.1 Reviewing income and expenditure reports and highlighting actual or potential overspending to the relevant Trust Executive.
- 4.2 Budget revision between budget headings of over £1,000 and up to £10,000 with CFO approval and reporting such approval to the relevant Trust Executive.

Financial Management

- 4.3 Ensuring the arrangements for collection of income, ordering of goods and services, payments and security of assets are in accordance with Trust's Financial Framework (see above).

Purchasing

- 4.4 Authorising orders and contracts over £10,000 and up to £75,000, which shall also require the authorisation of the appropriate member of the Finance Team.
- 4.5 Ensuring that all contracts and agreements up to £75,000 conform to the Financial Framework.

Payroll and Personnel

- 4.6 Approving new staff appointments within the authorised staffing structure.
- 4.7 Certifying the payment of salaries each month, in conjunction with the appropriate member of the Finance Team.

Security of Assets

- 4.8 Ensuring that proper security is maintained at all times for all buildings, furniture, equipment, stocks, stores, cash, information and records etc. under the Headteacher's control.
- 4.9 Ensuring that all instances of theft or fraud are properly recorded and reported to the Schoolsworks' Finance Committee.

Accounts and Audit

- 4.10 The operation of financial processes within the school, ensuring that adequate operational controls are in place and that the principles of internal control are maintained.
- 4.11 Ensuring that full, accurate and up to date records are maintained in order to provide financial and statistical information.

Ensuring that all records and documents are available for audit by the appointed external or internal auditors.

5 Financial Powers and Duties Delegated to the Executive/School Business Manager

The Executive/School Business Manager shall be responsible for:

Budgets/Budgetary Control

- 5.1 Preparing an annual draft budget plan for consideration by the school's Headteacher/ Head of School, School Community Council and Finance Committee before the start of the relevant financial year.
- 5.2 Monthly monitoring of expenditure and income against the approved budget, and submitting reports on the school's financial position to the relevant Trust Executive and School Community Council at least termly. Any actual or potential overspending shall also be reported to the Finance Committee.

Purchasing

- 5.3 Authorising orders and contracts up to delegated limit in conjunction with budget holders.
- 5.4 Maintaining a register of formal contracts entered into, amounts paid and certificates of completion.
- 5.5 Retention of quotes obtained for goods, works and services until one year after the contract has ended.
- 5.6 Ensuring that all correct invoices are duly certified by authorised staff before payments are made and that invoices, vouchers and other records are retained and stored in a secure way and are readily available for inspection by authorised persons.
- 5.7 Ensuring the appropriate division of duties between staff responsible for processing orders, receiving deliveries and processing payments.
- 5.8 Communicating purchasing plans in advance to other schools to enable joint purchasing opportunities to be explored.

Payroll and Personnel

- 5.9 Notifying the payroll provider of any matters affecting payments to employees.
- 5.10 Ensuring that the monthly payroll is checked, and certifying it for payment.

Income

- 5.11 Ensuring that all income is accurately accounted for and is promptly collected and banked intact.
- 5.12 Ensuring that measures are taken to recover any income owed to the school.

Banking Arrangements

- 5.13 Maintaining proper records of accounts and ensuring that monthly bank reconciliations are prepared on a timely basis.

Insurances

- 5.14 Notifying the Finance Committee on any eventuality that could affect the school's insurance arrangements.

Security of Assets

- 5.15 Maintaining a permanent and continuous register of all items of furniture and equipment with a value exceeding £5,000.
- 5.16 Reporting all instances of theft and fraud to the Schoolsworks' Finance Committee.

Information and Communication Systems

- 5.17 Maintaining the standards of control for such systems in operation within the school to include the use of properly licensed software and for the security and privacy of data in accordance with the Data Protection Act.

6 Financial Powers and Duties Delegated to the School Bursar/Finance Officer

The School Bursar shall be responsible for:

Budgets/Budgetary Control

- 6.1 Provide all information required for the calculation of the annual draft budget plan as specified by the Executive Business Manager.
- 6.2 Monthly monitoring of expenditure and income against the approved budget, reporting upon actual and potential variances to the Executive Business Manager.

Purchasing

- 6.3 Authorising orders and contracts up to £ 500 in conjunction with budget holders.
- 6.4 Maintaining a register of formal contracts entered into, amounts paid and certificates of completion.
- 6.5 Retention of quotes obtained for goods, works and services until one year after the contract has ended.
- 6.6 Ensuring that all correct invoices are duly certified by authorised staff before payments are made and that invoices, vouchers and other records are retained and stored in a secure way and are readily available for inspection by authorised persons.

- 6.7 Ensuring the appropriate division of duties between staff responsible for processing orders, receiving deliveries and processing payments.

Payroll and Personnel

- 6.8 Notifying the payroll provider of any matters affecting payments to employees.
- 6.9 Ensuring that the monthly payroll is checked, and certifying it for payment.

Income

- 6.10 Ensuring that all income is accurately accounted for and is promptly collected and banked intact.
- 6.11 Ensuring that measures are taken to recover any income owed to the school.

Banking Arrangements

- 6.12 Maintaining proper records of accounts and ensuring that monthly bank reconciliations are prepared on a timely basis.

Insurances

- 6.13 Notify the Executive Business Manager of any eventuality that could affect the school's insurance arrangements.

Security of Assets

- 6.14 Maintaining a permanent and continuous register of all items of furniture and equipment with a value exceeding £5,000.
- 6.15 Reporting all instances of theft and fraud to the Executive Business Manager.

Information and Communication Systems

- 6.16 Maintaining the standards of control for such systems in operation within the school to include the use of properly licensed software and for the security and privacy of data in accordance with the Data Protection Act.

7 Financial Powers and Duties Delegated to Other Staff

Members of staff with delegated responsibilities should be aware that these must be exercised in accordance with financial regulations.

The following responsibilities are delegated to other staff in addition to the Headteacher and School Business Manager.

Budget/budgetary control

- 7.1 Heads of department appointed as budget holders are responsible for checking and certifying termly statements of expenditure against their delegated budget and for reporting any errors or irregularities to the Finance Team. Any actual or potential overspending shall also be reported to the Finance Team.

Purchasing

- 7.2 Departmental budget holders must sign order forms confirming they are within the scope and remaining balance of their budget. All orders must be authorised by the Headteacher, appropriate Trust Executive or Finance Team member in accordance with the Authorisation Schedule in this document.
- 7.3 Other members of staff may be authorised by the School Business Manager to receive and check goods.

SECTION C TENDERING PROCEDURES

This section applies where the Trust or an individual academy school is conducting its own tendering process. It is recognised that, especially with regard to specialist or complex works and purchases, the school may choose to appoint a professional third party (e.g. surveyor, consultant, architect) to carry out the tender process on the schools behalf. If a third party is used it is expected to apply these regulations with the same rigour and ensure that the principles of the Office of Government Commerce (OGC) Procurement Policy and Standards Framework are adhered to.

Approval of contracts over £75,000 should only be made following the following formal tendering process:

1. Invitations to submit tenders will be made by appropriate means, i.e. invitation to tender through advertising in appropriate trade journals etc. Due regard must be given to the expected total valuation of the contract (spanning all years in the case of multi year contracts) and publication within the Official Journal of the European Union (OJEU) will be necessary if relevant financial thresholds are met.
2. The invitation to submit tenders (Section 2.2) will include the nature and purpose of the contract, where further details can be obtained and the last date and time on which tenders can be received, normally not less than fourteen days after the invitation is published.
3. All tenders received must be in a plain sealed envelope bearing only the words "tender" and the subject to which the tender refers.
4. All tenders will be opened at the same time and details of contractor, tendered amounts and any other details recorded at the time of opening.
5. Tenders will be opened by any two representatives from the Board or Trust Executives. Tenders received after the closing date and time will not be considered.
6. No contractor will be allowed to amend the tender after the date and time fixed for receipt of tenders. However, if genuine and obvious errors are found in tenders, contractors will be allowed to withdraw, confirm or amend the tender as appropriate.
7. In accepting any tender, the Trust or school will analyse and compare all possible options to make sure value for money is obtained. This might mean accepting a tender that is not necessarily the lowest. Where a tender other than the lowest is accepted, the reasons for its acceptance must be documented and reported to the Trust Executive and the School Community Council or the Finance Committee. All decisions made must be recorded in the minutes of that meeting for future reference.

8. Acceptance of any tender will be confirmed to the contractor in writing and no work should be started until this has been done.

10. Any contracts awarded will include a paragraph to the effect that any contractor will be prohibited from transferring or assigning, directly or indirectly, any portion of the contract to any other person or contractor, without the written permission of the Trust Executive or the Trust Board.

11. All on-going contracts will be reviewed and renegotiated at regular intervals.

12. Directors, School Community Councillors and school staff should declare their personal interests whether pecuniary or non-pecuniary in any proposal to call for tenders for supply of goods, materials or services or in the decision making process to accept any such tender

Annex 1 – Whistleblowing Policy. (See Section A, No 8)

**CONFIDENTIAL
REPORTING
(WHISTLEBLOWING)
POLICY**

May 2017

**Review:
May 2019**

Board approved 22.05.17

Scheme of Delegation
Board approved : 06.02.18
www.schoolsworks.org

Introduction

Whistleblowing has been defined as:

“the disclosure by an employee or professional of confidential information which relates to some danger, fraud or other illegal or unethical conduct connected with the work place, be it of the employee or his/her fellow employees” (Public concern at work guidelines 1997)

Whistleblowing is a matter between employers and employees. The statutory protection for employees who whistleblow is provided by the Public Interest Disclosure Act 1998 (PIDA). The act protects employees against victimisation if they make a protected disclosure and speak out about corruption or malpractice at work.

The PIDA defines protected disclosure to mean a qualifying disclosure. Qualifying disclosure is in turn defined as any disclosure which in the reasonable belief of the member of staff making the disclosure, tends to show one or more of the following:

- A criminal offence has, is or is likely to be committed
- A person has, is or is likely to fail to comply with a legal obligation
- The health and safety of any individual has or is likely to be endangered
- The environment has been or is likely to be endangered or
- That information tending to show any matter falling within any of the above paragraphs has been or is likely to be deliberately concealed.

This policy applies to all teaching and support staff and to casual or temporary staff and to individuals undertaking work experience within schools in the Trust.

Aims and Scope of Policy

This policy aims to:

- Give confidence to members of staff about raising concerns about illegal, corrupt or improper practices or unethical conduct inconsistent with school standards and policies so that s/he is encouraged to act on those concerns.
- Provide a member of staff with avenues to raise concerns
- Ensure that a member of staff receives a response to the concerns they have raised and feedback on any action taken
- Offer assurance that members of staff are protected from reprisals or victimisation for whistleblowing action undertaken in good faith.

This policy covers whistleblowing relating to:

- Conduct which is unlawful
- Disclosures relating to miscarriages of justice in the conduct of statutory or other processes
- Failure to comply with a statutory or legal obligation
- Maladministration, misconduct or malpractice
- Health and safety issues including risks to the public as well as risks to pupils and members of staff
- Abuse of authority
- Unauthorised use of public or other funds
- Fraud or corruption
- Mistreatment of any person
- Action likely to cause physical danger to any person or risk serious damage to school property
- Sexual or physical abuse of members of staff or pupils
- Unfair discrimination or favouritism
- Racist incidents or acts, or racial harassment
- Any attempt to prevent disclosure of any of the issues listed

Safeguard Against Harassment and Victimisation

The Public Interest Disclosure Act 1998 (PIDA) protects you from any reprisals as long the worker complies with the rules and procedures set out in PIDA. The rules and procedures vary according to whether the disclosure is made to the employer, a legal advisor, a Minister of the Crown, a prescribed person or to any other person not falling in one of the above categories. For example if the disclosure is made to the employer or responsible person the disclosure will be qualifying disclosure if:

- It is made to his/her employer, or
- The worker reasonably believes that the failure relates solely or mainly to the conduct of a person other than his or her employer or any other matter for which a person other than his or her employer has legal responsibility.

Where the disclosure is made to any other person not falling within any of the other categories, to qualify as a qualifying disclosure the rules state that the disclosure must:

- Be made in good faith
- Be believed by the member of staff to be substantially true
- Not be made by the member of staff with a view to seeking personal gain
- In all the circumstances be reasonable for the member of staff to make the disclosure
- In addition the member of staff must satisfy one of the following 3 conditions
 1. He/she reasonably believes that he/she will be subject to a detriment by his/her employer if he/she discloses to the employer

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2. Where there is no other prescribed person to whom the disclosure should be made, the worker reasonably believes that the evidence will be concealed or destroyed if disclosed to the employer or
3. The member of staff has previously made a disclosure of substantially the same information to his/her employer or to a prescribed person.

The Schoolsworks Academy Trust will not tolerate harassment or victimisation of workers who raise matters in accordance with the PIDA provisions. Any worker who victimises or harasses another worker as a result of that worker raising a concern under this whistleblowing policy will be dealt with in accordance with Schoolsworks' staff disciplinary procedures.

Confidentiality

The Schoolsworks Academy Trust will do its utmost to protect the identity of a worker who has raised a concern and does not want their name disclosed. However the investigation into the concern could reveal the source of the information: and statements may be required from the worker as part of the evidence, which would be seen by all parties involved. If a whistleblower is unwilling to give a statement because of fear of disclosure of their identity but the Chief Executive, Chair of Governors or Headteacher remains concerned about the seriousness of the allegation, they will discuss this with the worker and ask him/her to reconsider, so that the matter can be taken forward.

Anonymous Allegations

Workers should put their name to allegations whenever possible – anonymous concerns are much less powerful. Nonetheless whenever possible anonymous allegations will be considered under this whistleblowing procedure taking into account:

- The seriousness of the issue raised
- The credibility of the concern
- The likelihood of confirming the allegation from other attributable sources.

Untrue and Malicious/Vexatious Allegations

If a worker makes an allegation in good faith but it is not confirmed by further inquiry the matter will be closed and no further action taken. If, however, the inquiry shows that untrue allegations were malicious and/or vexatious or made for personal gain, then disciplinary action may be taken against the worker.

Allegations Concerning Child Protection Issues

If a member of staff raises a concern related to a Child Protection issue, the Headteacher or Chair of Governors will report the matter to the Local Authority (LA) officer responsible for Child Protection matters, in accordance with the arrangements for handling such allegations under the schools disciplinary procedure for staff.

What to do if you want to make a Whistleblowing Allegation

Raise your concern with your Line Manager, the Headteacher, Chair of Governors or the Chief Executive of Schoolsworks (whose contact details are shown on the front cover).

If possible put your concern in writing setting out the background and history of the concern: giving names, dates and places where possible, and explaining the reason for your concerns. If you feel unable to put the matter in writing then telephone or arrange to meet the appropriate person. You can also ask your Trade Union or professional association to raise the matter on your behalf or to support you in raising the concern.

Response to Whistleblowing

The matter raised may:

- Need investigation internally in the school
- Need to be passed to the Police if it relates to alleged criminal activity
- Need to be passed to the Education Funding Agency (EFA) and the person in the Local Authority who deals with complaints about financial management or financial propriety in schools
- Need to be referred to the Local Authority for consideration under Child Protection Procedures

At this stage concerns/allegations are neither accepted nor rejected.

Timescale for Response

The Chief Executive will provide an initial written response to you within 5 school days:

- Acknowledging that the concern has been received
- Indicating how it is proposed to deal with the matter
- Giving an estimate of how long it will take to provide a final response
- Advising whether any investigations have been made
- Advising whether further investigation will take place and
- Informing you of support available whilst the matter is being investigated

The Inquiry process

The Chief Executive will:

1. Look into the allegation or appoint an independent person to investigate – seeking evidence and interviewing witnesses as necessary.
2. Maintain confidentiality as far as possible.
3. If appropriate, bring the matter to the attention of the EFA, and the Local Authority appointed person dealing with complaints about financial management of schools.
4. Talk to the Local Authority officer for Child Protection/Social Services manager for Child Protection about any allegations involving Child Protection issues.

Scheme of Delegation

Board approved : 06.02.18

www.schoolsworks.org

Anybody asked to attend a meeting as part of the investigation has the right to be accompanied by a Trade Union or professional association representative or a work place colleague not involved in the area of work to which the concern relates.

The target is to complete the investigation within 10-15 school days from the date of the initial written response.

The Investigation Report

The Chief Executive will make a written report setting out:

- How the investigation arose
- Who the concerns were raised against
- Their position in the school and their responsibilities
- How the investigation was undertaken
- The facts and evidence which were identified
- A summary of the findings and recommendations in respect of the concern itself and any work required on system weaknesses identified during the investigation

The Chief Executive will convene a committee of at least 3 directors or governors to consider the investigation report and decide on the action to be taken. The committee will determine:

- The need for disciplinary action or other appropriate action to be taken
- The further action to be taken, and the reasons why

Following notification of the committee's decision, the Chief Executive will notify you of the outcome within 5 school days, setting out the action to be taken or that no further action is to be taken and the reasons why.

Taking the Matter Further

If no action is to be taken and you are not satisfied with the way the matter has been dealt with, you can make a complaint under the Schoolsworks complaints procedure.

You can also take your concerns to:

- The local authority
- A Local Councillor
- A relevant professional body or regulatory organisation
- The Public Services Ombudsman
- A solicitor
- The police
- Your MP
- A trade union or professional association

- The citizen/s advice bureau
- Public concern at work (an independent charity that provides free advice for persons who wish to express concern about fraud and other serious malpractice. Telephone on 0207 404 6609 or www.pcaw.co.uk)