



Brooke Weston Trust

Scheme of Delegation

September 2018

Table of Contents

Summary	2
Members	4
Board of Directors.....	5
Chief Executive Officer	10
Local Governing Bodies	13
Appendix 1: Brooke Weston Trust Scheme of Financial Delegation	15
1. Powers and Duties Reserved for the Board of Directors	15
2. Powers and Duties Reserved for the Finance and Resources Committee.....	16
3. Powers and Duties Reserved for the Audit and Risk Committee	18
4. Powers and Duties Reserved for the Chief Executive Officer	21
5. Powers and Duties Reserved for the Finance Director.....	22
6. Powers and Duties Reserved for other staff.....	24
Appendix 2: Summary of Scheme of Delegation	27

Scheme of Delegation

Summary

The Brooke Weston Trust (BWT) is the legal entity responsible for the governance of all academies and free schools within the Trust. BWT shall have regard to (but for the avoidance of doubt shall not be bound by) 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 schools which provide high quality education to students from all backgrounds by offering a broad curriculum and fostering collaboration across the Trust family of schools, other 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 of all its students.
- Determination to make long term contributions to its local communities and to wider society.
- All academies within the Trust are in a partnership of equals.

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

- Honesty, integrity, objectivity, openness, selflessness, accountability, leadership, teamwork, benevolence, respect, confidentiality, equality, high expectations, fairness, substance over appearance.
- Ensuring high levels of accountability and empowerment for the CEO.

Vision Statement of the Trust:

'An excellent education for every child' means giving every child the life chances we want for our own.

The Operating Principles of the Trust:

We are an education service organisation which puts children first so that...

- every student will make the best progress they can
- we provide the best possible breadth of preparation for our students to contribute to society and live fulfilled lives
- we all live our trust in students daily, believe they want to learn and to contribute positively to the school and wider society

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 students 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 students...

- to live up to the trust we place in them and to understand they are our clients
- to support each other on their challenging but rewarding journey of personal development and achievement

We expect the support of parents and carers...

- to help ensure that students 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 give us space and opportunity to excel
- 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



Members

The overall responsibility of the Members is:

- for ensuring the Trust's object, as per the Articles of Association (*establishing, maintaining, operating, managing and developing schools including, but in no way limited to a school offering a broad curriculum with emphasis on particular specialisms; collaborating with other schools and the wider community to share expertise and resources*) is met; and
- to hold the Board of Directors to account.

Principal Sponsors of the Brooke Weston Trust

The Garfield Weston Foundation

Founded with the aim of supporting a broad range of activities in the fields of religion, education, the environment, the arts, health (including research) and other areas of general benefit to the community in the UK, the Garfield Weston Foundation makes generous donations to a wide range of organisations each year. The Foundation may appoint two sponsor directors to the Brooke Weston Trust Board of Directors. These are currently George Weston and Guy Weston.

de Capell Brooke Family

Hugh de Capell Brooke was a founding sponsor of Brooke Weston City Technology College and was a strong supporter of the school over many years. The Brooke Weston Trust now benefits from the strong support of Hugh's son, Alexander de Capell Brooke. Alexander de Capell Brooke may appoint up to two sponsor directors to the Brooke Weston Trust Board of Directors. These are current Alexander de Capell Brooke and Bob Lane.

Reserved Matters

- The change the name of the Academy Trust
- To change the Objects of the Academy Trust
- To change the structure of the Trust Board
- To amend the Articles of Association
- To pass a resolution to wind up the Academy Trust
- To appoint the auditors

Board of Directors

The overall responsibility of the Board of Directors is the general control and management of the administration of Brooke Weston Trust, and in accordance with the provisions set out in the Articles of Association and Master Funding Agreement, is legally responsible and accountable for all statutory functions and the performance of the academies under its responsibility (as per Company and Charities law).

The core functions of the Board of Directors across the Trust are:

- Ensuring clarity of vision, ethos and strategic direction;
- Holding executive leaders to account for the educational performance of the organisation and its pupils, and the performance management of staff; and
- Overseeing the financial performance of the organisation and making sure its money is well spent.

Key Responsibilities:

Strategy

- Establish and oversee the strategic direction of Brooke Weston Trust, providing support and challenge to the executive.
- Set the strategic priorities for Brooke Weston Trust for each academic year.
- Regular engagement with all key stakeholders.

Education and Curriculum

- To determine a Trust-wide curriculum policy to ensure provision of a broad and balanced education for all students
- Accountability for the performance and standards of all Brooke Weston Trust schools, including: student outcomes, standard of education provision, student welfare and quality of teaching.
- To appoint, receive reports from and monitor performance of the Education Standards Committee
- Provide challenge and support to the executive over progress against Key Performance Indicators (KPIs).

Governance

- To review and amend: the Articles of Association, terms of reference for the Board and its subcommittees (including the local governing bodies)
- Determine Trust-wide policies which reflect the Trust's ethos and values, including Admissions, Pay, and Performance Management policies.
- Overall accountability for compliance with the Trust's Articles of Association, Funding Agreement, Academies Financial Handbook and all statutory regulations.
- Accountable for the management of risk across Brooke Weston Trust through review of the risk register.
- Self-review of effectiveness of the Board of Directors and committees, including the collation of skills audits of these committees to ensure the governance structure is robust and fit for purpose.

- Responsible for appointment/removal of: Accounting Officer, Company Secretary, Chairs of Governors.¹
- To support the Chairs of Governors on the leadership of their respective LGBs. Periodically undertake performance review of the Chairs of Governors.
- To appoint, receive reports from and monitor performance of a Safeguarding Review Group
- To appoint, receive reports from and monitor performance of a Health & Safety Committee.
- To appoint, receive reports from and monitor performance of the Audit & Risk Committee

Staff and HR

- To undertake performance management of: CEO, Finance Director, Company Secretary
- To appoint, receive reports from and monitor performance of the Remuneration Committee
- To agree salary and pay awards of: CEO, Finance Director, Director of Education and other senior personnel.
- Consulted on appointment of Director of Education, Executive Principals and other senior leaders.
- Approval of the Trust's staffing structure.
- Set the terms and conditions of staff, including agreement of teaching and support staff pay scales.

Finance

- To establish and review the Trust's Financial Scheme of Delegation.
- Appointment of internal auditors and make recommendation to members on external auditors.
- Approval and submission of Brooke Weston Trust's annual report and accounts, signed statement on regularity, propriety and compliance, incorporating governance statement demonstrating value for money.
- Ensuring financial controls so there is regularity, probity and value for money in relation to management of public funds.
- To establish financial policies, including charging and remissions, staff expenses, procurement etc., and review periodically
- Approval of Trust funding model (including top slice) and financial strategy.
- To appoint, receive reports from and monitor performance of the Finance and Resources Committee
- To appoint an Accounting Officer
- To maintain a register of relevant personal and business interests

Reserved Matters

- To change the names of the Academies
- To determine the educational character, mission or ethos of the Academies
- To agree a Trust-wide Admissions Policy
- To adopt or alter the constitution and terms of reference of any committee of the Trust Board
- To terminate a supplemental funding agreement for an Academy
- To establish a trading company
- To sell, purchase, mortgage or charge any land in which the Academy Trust has an interest

¹ In extreme circumstances, the Board of Directors reserves the right to remove a local governing body where there are concerns over its effectiveness and replace with an Interim Executive Board.

- To approve the annual estimates of income and expenditure and major projects
- To appointment investment advisors
- To sign off the annual accounts
- To appoint or dismiss the Chief Executive Officer, the Finance Director, the Company Secretary of the Clerk to the Board.
- To approve expansion of Brooke Weston Trust with additional schools
- To do any other act which the Articles expressly reserve to the Trust Board or to another body
- To do any other act with the Trust Board determines to be a Reserved Matter from time to time.

Standing Committees and Best Practice Groups² of the Board:

Subcommittee: Finance and Resources Committee

The purpose of the committee is to:

- To ensure the Board of Directors is fully aware of the financial position of the Trust and how the financial position of the Trust might change in the foreseeable future. Based on the committee's best view of the future to advise the Board of Directors on whether the Trust is holding a prudent level of unspent funds
 - If the Trust holds funds above the level of prudence, to recommend how these could be best reinvested to meet the Trust's strategic aims
 - If the Trust has insufficient funds to advise on what could be done to improve funding without damaging the Trust's strategic aims
- To provide assurance that key enabling resources are optimised and aligned with the Trust's strategic aims and objectives
- To gain assurance on the effectiveness of
 - Financial planning, budget-setting, performance analysis, financial reporting
 - Estates investments and management planning
 - IT investment to provide secure, responsive and reliable IT capabilities
 - Procurement processes and outcomes
 - Senior management in timely completion of actions and recommendations identified through internal and external analysis

Subcommittee: Audit and Risk Committee

The purpose of the committee is to:

- To promote a climate of financial control and discipline which minimises the opportunity for financial mismanagement.
- To ensure controls are tested and are operating effectively.
- To ensure the Trust adheres to all applicable legislation.
- To ensure that processes are in place to identify all significant risks which might impact the Trust and to provide oversight that these are being actively managed.
- To identify future changes in legislation which might impact the Trust, assess their impact and develop a plan to ensure compliance.
- To review the risk registers and minutes maintained by each of the Board's Committee's to ensure that they are actively managing their risks.

² *Best Practice Groups* are not subcommittees of the Board of Directors however support to the Board in fulfilling its function.

Subcommittee: Remuneration Committee

The purpose of the committee is to:

- Review proposed salary awards and pay scales used by the Trust;
- Conduct detailed analysis of proposed senior staff (i.e. CEO, FD, Executive Principal, Principal, Vice Principal) pay awards;
- Scrutinise performance management records.

Subcommittee: Education Standards Committee

The purpose of the committee is to:

- Exercise the powers of the Board of Directors in respect of holding the Trust senior executives to account (i.e. CEO, Director of Education, Executive Principal) for all aspects of school performance and standards;
- Scrutinise the rationale for identifying strategic priorities, the accuracy of school level and Trust-level data analysis, the clarity of purpose and speed of impact in addressing areas of underperformance or risk;
- Identify strong practice or innovation and its wider dissemination.

Subcommittee: Local Governing Bodies

The purpose of the committee is to:

- Set the academy's vision, ethos and strategic direction;
- Hold the Principal to account for the educational performance of the academy and its pupils; and
- Ensure the academy and staff have the correct resources and support to fulfil their function.

Best Practice Group: Chairs' Forum

The purpose of the group is to:

- Share best practice amongst Chairs of Governors across the Trust enabling robust and efficient governance throughout all academies;
- Act as a channel of information from the Board of Directors and its subcommittees/best practice groups to the local governing bodies of each academy;
- Identify training and CPD requirements for local governing bodies to ensure governors are able to carry out their function effectively.

Best Practice Group: Health and Safety Group

The purpose of the group is to:

- Exercise the powers of the Board of Directors in respect of ensuring the safe operation of its schools and their associated activities;
- Review relevant data and act on it by recommending policy and strategy to the Board of Directors, interpreting it for staff and monitoring its implementation;

- Assist the Board of Directors in its duty of care by providing an overview of the health and safety climate across the Trust and ensures proper checks and balances are in place at all levels within the organisation.

Best Practice Group: Safeguarding Review Group

The purpose of the group is to:

- Exercise the powers of the Board of Directors in respect of ensuring the safety and welfare of students and staff in its schools and through their associated activities.
- To review relevant safeguarding information and act on it by recommending policy and strategy to the Board of Directors, interpreting it for staff and monitoring its implementation.
- Assist the Board of Directors in its duty of care by providing an overview of safeguarding practice across the Trust and ensures proper checks and balances are in place at all levels within the organisation.

Chief Executive Officer

The CEO is appointed by the Members in consultation with the Board of Directors to fulfil the following delegated objectives.

The core functions of the CEO across the Trust are:

- Ensuring that the guiding principles, culture and objectives of the Trust are faithfully upheld, revisited and reinforced;
- Ensuring overall compliance with all relevant statutory regulations, including Health and Safety, safeguarding and child protection etc.
- Holding Principals and senior leaders to account for the educational performance of the individual academies and its pupils, and the performance management of all staff; and
- Ensuring effective and compliant use of public funds across all Brooke Weston Trust academies.

Key responsibilities:

Strategy

- Contribute to and lead the organisation in accordance with the established strategic direction and vision for Brooke Weston Trust.
- To champion the Trust's visions and values.
- Contribute to, implement and reports progress against agreed strategic priorities.
- Regular engagement with stakeholders, maintaining relationships with senior DFE, OfSTED personnel, etc.

Education and Curriculum

- Responsible for the performance and outcomes of all Brooke Weston Trust academies, including: student outcomes, standard of education provision, student welfare and quality of teaching.
- Contribution to the setting and approval of the key priorities and key performance indicators (KPIs), reporting progress against these to the Board.
- Ensuring robust and rigorous quality assurance mechanisms are in place to drive strategies for school improvement.
- To provide oversight of the implementation of the Trust-wide curriculum policy
- To provide oversight of the target-setting and achievement and progress by the Principal, and monitor performance against these targets

Governance

- To attend meetings of the Board and to provide a CEO's report.
- Contribute to the development of and enforce agreed policies across all Brooke Weston Trust academies. Approval of policies may be delegated by the Board of Directors to the CEO.
- Approval of school-level guidance, in conjunction with the local governing bodies.
- Delegated responsibility for ensuring compliance with the Trust's Articles of Association, Funding Agreement, Academies Financial Handbook and all statutory regulations.
- Monitor and oversee the effectiveness of local governing bodies through regular quality assurance, providing support and appropriate resources and training to allow robust governance across all Brooke Weston Trust academies.

- To undertake role as Member for each Board subcommittee and best practice group. Regular reporting and effective flow of information to the Board of Directors, subcommittees and best practice groups in line with agreed terms of reference.
- Responsible for the management of risk across the Trust.
- To propose a Trust-wide Admissions Policy for Board approval.
- To review the levels of complaints, exclusions and appeals received and report to the Board

Staff and HR

- To appoint/dismiss and undertake performance management of: Director of Education, Executive Principals, Principals, central team and other senior personnel.³
- To recommend salary and pay awards of: Director of Education, Executive Principals, Principals, central team and other senior personnel.
- Review and agree staff appraisal procedures and pay progression for all staff.
- Agree academy staffing structures, ensuring appropriate qualifications and skillsets are held across all Brooke Weston Trust academies.
- Responsibility for ensuring access to CPD opportunities for all staff, overseeing talent management and succession planning across the Trust.
- Overall responsibility for staff wellbeing across the Trust.

Finance

- Undertake Accounting Officer responsibilities, as outlined in the Academies Financial Handbook.
- Responsible for implementing and operating under the agreed Financial Scheme of Delegation.
- Accountable for effective budget planning to support delivery of Brooke Weston Trust's key priorities.
- Accountable for development of Trust-wide procurement strategies and efficiency savings programmes.
- Accountable for ensuring appropriate financial controls and quality assurance is in place to support proper and efficient use of public funds.
- To enter into contracts in line with the limits set in the Financial Scheme of Delegation.

CEO Reports

Executive Principals: responsible for the provision of leadership and management support/coaching of their link Principals for all aspects of performance, in line with agreed strategies and priorities of the academy.

Finance Director: overall responsibility for developing the Trust's financial strategy, implementing and ensuring adherence to the Financial Scheme of Delegation and internal financial controls, management of Brooke Weston Trust accounts and audit function and ensuring overall compliance with stipulations of the Academies Financial Handbook.

Senior Operations Manager: responsibility for managing all core business functions of the Trust, in line with the agreed Trust strategic objectives.

³ Appointment of Director of Education, Executive Principals and Principals is carried out on behalf of, but in consultation with, the Board of Directors

Head of Analytics, Systems Performance and Innovation: to embed a culture of objective performance improvement and analysis across the Trust, refining systems and reporting to enable further improvement and innovation.

Local Governing Bodies

The Local Governing Bodies (LGB) are subcommittees of the Board. It is the role of the LGB to support and strengthen their Principal's leadership through robust challenge.

The core functions of the local governing body within their respective academies are:

- Setting the academy's vision, ethos and strategic direction;
- Holding the Principal to account for the educational performance of the academy and its pupils; and
- Ensuring the academy and staff have the correct resources and support to fulfil their function.

Key responsibilities:

Strategy

- In consultation with the Principal, setting and agreeing the academy's vision, ethos and strategic direction.
- To champion the Brooke Weston Trust vision and values in the academy.
- In accordance with overall Trust priorities, setting individual academy targets and challenging the Principal on progress against these targets.
- Regular engagement with all key stakeholders and to establish and maintain a relationship with members of the local community.

Education and Curriculum

- In consultation with the Principal, setting and reviewing progress against the academy's improvement plan priorities including: quality of teaching, student attendance & behaviour, safeguarding, curriculum effectiveness.
- To ensure effective processes are in place for monitoring quality assurance of the above areas.
- In collaboration with the Principal, to develop, monitor and approve the academy development plan.

Governance

- Responsible for the appointment/removal of: governors, clerk to governing body, nomination of Chair of Governors for Board consideration.
- To appoint from its number a vice-Chair and local governors with specific link responsibilities (safeguarding, pupil premium etc.)
- Conduct annual self-effectiveness/skills audit reviews to identify training requirements and ensure robust governance at academy-level.
- Ensure compliance with the Brooke Weston Trust policies. Approve academy-level guidance which reflect the academy's ethos and values, to include: admissions; SEND, safeguarding, curriculum, and behaviour.
- Monitor of the academy's risk register, providing challenge to the Principal on progress against mitigation of risk.
- Succession planning of the governing body.
- Publishing required details on governance arrangement
- Reporting compliance with all statutory regulations, including carrying out audit functions for H&S and safeguarding
- In consultation with the Principal, to make proposals for admissions arrangements in accordance with the School Admissions and Appeals codes.
- To ensure effective arrangements are in place for student recruitment

Staff and HR

- Supporting interview process for appointments above Vice Principal level
- Ensuring staffing levels are appropriate to requirements of the school and staff are accessing appropriate CPD.
- Ensuring compliance with Brooke Weston Trust HR policies
- Holding senior leaders to account against academic targets.

Finance

- Ensuring the school and staff have the correct resources and support to fulfil their function
- Ensuring appropriate use and probity of pupil premium and sports premium funding
- To maintain a register of business and personal interests

Date Adopted:

Review Date:

Appendix 1: Brooke Weston Trust Scheme of Financial Delegation

Scheme of Financial Delegation

1. Powers and Duties Reserved for the Board of Directors

General

- 1.1** Approval of a written scheme of delegation of its financial powers and duties to its Finance and Resources Committee, Audit and Risk Committee, the Chief Executive Officer, the Trust Finance Director and other staff. The scheme must satisfy the Board of Directors ultimate responsibility for ensuring that there are adequate operational controls in place for all the financial processes within the Trust. The Financial Scheme of Delegation should be operated in conjunction with the Financial Regulations of the Trust.

Budgets/Budgetary Control

- 1.2** Formally approving the annual Trust budget.
- 1.3** Considering budgetary control reports from the Finance and Resources Committee at every meeting, with relevant explanations and documentation where required.

Purchasing

- 1.4** Maintenance of a Register of Business Interests for all Members, Directors, Governors and Trust staff with financial responsibilities.
- 1.5** Authorisation of the award of tenders above £750,000.

Income

- 1.6** Authorisation of the write-off of debts not collectable (the Secretary of State's prior approval is also required if debts to be written off are above the value set out in the annual funding letter).

Security of Assets

- 1.7** 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 £100,000.

Accounts and Audit

- 1.8** Approval of the audited financial statements.
- 1.9** Informing the EFA if it suspects any irregularity affecting resources.
- 1.10** Considering reports from the Audit and Risk Committee at every meeting, with relevant explanations and documentation where required in respect of the financial reporting, internal control systems, risk management systems, regulatory compliance procedures and internal and audit functions of the Trust.

Scheme of Financial Delegation

2. Powers and Duties Reserved for the Finance and Resources Committee

The Finance and Resources Committee shall be responsible for:

General

- 2.1 Exercising the powers and duties of the Board of Directors in respect of the financial administration of the Trust, except for those items specifically reserved for the Board of Directors and those delegated to the Chief Executive Officer, the Trust Finance Director and other staff.
- 2.2 Reporting on decisions taken under delegated powers to the next meeting of the Board of Directors.
- 2.3 Ensuring that the Board of Directors is fully aware of the financial position of the Trust and how the financial position of the Trust might change in the foreseeable future.
- 2.4 Advise the Board of Directors on whether the Trust is holding a prudent level of unspent funds.
- 2.5 To provide assurance that key enabling resources are optimised and aligned with the Trust's strategic aims and objectives.
- 2.6 Management of Financial Risk.

Budgets/Budgetary Control

- 2.7 Seeking assurance on a sustainable financial situation in the short to medium term.
- 2.8 Reviewing the annual Trust budget and recommending its acceptance, or otherwise to the Board of Directors.
- 2.9 Considering budgetary control reports on the Trusts financial position at every meeting, taking appropriate action to contain expenditure within the budget and report to the Board of Directors.
- 2.10 Reporting to the Board of Directors all significant financial matters and any actual or potential overspending.

Purchasing

- 2.11 Authorising the award of orders and contracts over £100,000 and up to £750,000.

Security of Assets

- 2.12 Authorising the disposal of individual items of equipment and materials that have become surplus to requirements, unusable or obsolete with an original purchase value of up to £100,000 and reporting such authorisations to the Board of Directors.

Accounts and Audit

- 2.13 Reviewing the draft financial statements and highlighting any significant issues to the Audit and Risk Committee and the Board of Directors.
- 2.14 Receiving the reports of the auditor on the use of resources and discharge of financial responsibilities and highlighting any significant issues to the Audit and Risk Committee and the Board of Directors.

Investment Portfolio

2.15 Reviewing the Trust Investment Portfolio to ensure that it is invested in line with the Investment Policy.

Financial Strategy

2.16 The development of the financial strategy of the Trust, through the consideration of financial priorities and proposals of the Chief Executive Officer, Trust Finance Director and other senior staff taking the significant risk factors into account.

2.17 Monitor the financial implications of enabling strategies and capital investments to ensure that they meet the needs of the Board of Directors.

Financial Procedures

2.18 Monitor and review procedures for ensuring the effective implementation and operation of financial policies and procedures on a regular basis and where appropriate make recommendations for improvement.

Resources

2.19 Advise the Board of Directors as appropriate on procurement, estates, information technology, catering and other operational strategies, ensuring alignment with the Trust's overall Strategic Plan.

2.20 Monitor how and where funding is being invested to support the operational strategy of the Trust and report any concerns to the Board of Directors.

2.21 Monitor major corporate projects to ensure that they remain on budget and deliver the desired outcome.

Scheme of Financial Delegation

3. Powers and Duties Reserved for the Audit and Risk Committee

The Audit and Risk Committee shall be responsible for:

General

- 3.1 Assisting the Board of Directors to fulfil its corporate governance responsibilities.
- 3.2 Exercising the powers and duties of the Board of Directors in respect of the financial reporting, internal control systems, risk management systems, regulatory compliance procedures and internal and audit functions of the Trust, except for those items specifically reserved for the Board of Directors and those delegated to the Chief Executive Officer, the Trust Finance Director and other staff.
- 3.3 Promoting a climate of financial control and discipline which minimises the opportunity for financial mismanagement.
- 3.4 Ensuring the Trust adheres to all applicable legislation.
- 3.5 Ensuring processes are in place to identify all significant risks which may impact on the Trust and provide oversight that these are being actively managed.
- 3.6 Identifying future changes in legislation that might impact on the Trust, assess the impact of these and develop a plan to ensure compliance.

Accounts

- 3.7 Reviewing and approving the statements included in the annual report concerning internal control, risk management and viability statement highlighting any significant issues to the Board of Directors.
- 3.8 Reviewing all risk and control related disclosure statements, in particular the Trust's annual Governance Statement, Statement on Regularity, Propriety and Compliance and Value for Money Statement, together with any associated reports and opinions from management, and the External Auditor prior to endorsement by the Trust Board.
- 3.9 Receiving the reports of the auditor on the use of resources, systems of internal financial control, and discharge of financial responsibilities and highlighting any significant issues to the Board of Directors.

External audit

- 3.10 Considering and making recommendations to the Board in relation to the appointment, re-appointment and removal of the Trust's external auditor.
- 3.11 Overseeing the relationship with the external auditor.
- 3.12 Approving their remuneration, including both fees for audit and non-audit services, and ensuring that the level of fees is appropriate to enable an effective and high-quality audit to be conducted.
- 3.13 Approving their terms of engagement, including any engagement letter issued at the start of each audit and the scope of the audit.
- 3.14 Assessing the independence of the External Auditor, ensuring that key audit personnel are rotated at appropriate intervals and to review the performance of the External Auditor on an annual basis.
- 3.15 Recommending the audit fees to the Trust Board and pre-approve any fees in excess of £10,000 in respect of non-audit services provided by the external auditor and to ensure that the provision of non-audit services does not impair the external auditors' independence or objectivity.
- 3.16 Reviewing the External Auditor's annual management letter and all other reports and recommendations, together with the appropriateness of management's response.

- 3.17** Reviewing the reports and recommendations of the internal management team, together with the appropriateness of management's response; to monitor the implementation of action agreed by management in response to reports from the External Auditor, Internal Auditors and Education and Skills Funding Agency (ESFA).

Internal controls and Risk management

- 3.18** Receiving quarterly reports from independent auditors on our internal controls.
- 3.19** Reviewing and approving the role and mandate of internal audit, monitoring and reviewing the effectiveness of its work, and annually approving the internal audit charter ensuring it is appropriate for the current needs of the organisation.
- 3.20** Reviewing and approving the annual internal audit plan to ensure it is aligned to the key risks of the business, and receiving regular reports on work carried out.
- 3.21** Reviewing the risk registers and minutes maintained by each of the Board's Committee's to ensure that they are actively managing their risks.
- 3.22** Testing and validating effective risk management across the Trust.
- 3.23** Reviewing the adequacy and effectiveness of the Trust's governance, risk management and internal control arrangements, as well as its arrangements for securing value for money, through reports and assurances received from management, the Executives, the External Auditor and any other relevant independent assurances or reports (e.g. from the National Audit Office).

Health and Safety

- 3.24** Reviewing the Trust's risk management and Health & Safety processes and procedures for the identification, assessment, evaluation, management and reporting of risks.
- 3.25** Reviewing the adequacy and robustness of risk registers.

Safeguarding systems

- 3.26** Reviewing the Trust's quality assurance processes and procedures for the identification, handling and processing of safeguarding referrals in line with best practice.

Compliance, whistleblowing and fraud

- 3.27** Reviewing the adequacy and security of the Trust's arrangements for its employees and contractors to raise concerns, in confidence, about possible wrongdoing. This will include the review of the adequacy of policies for ensuring compliance with relevant regulatory, legal and code of conduct requirements. The committee shall ensure that these arrangements allow proportionate and independent investigation of such matters and appropriate follow up action.
- 3.28** Reviewing the Trust's procedures for detecting fraud.
- 3.29** Reviewing the Trust's systems and controls for the prevention of bribery and receive reports on non-compliance.
- 3.30** Receiving reports on the outcome of investigations of suspected or alleged impropriety.
- 3.31** Reviewing or investigating any other matters referred to the Committee by the Trust Board.

- 3.32** Drawing any significant recommendations and matters of concern to the attention of the Trust Board, and in cases of urgent matters directly to members of the Trust Board.
- 3.33** Ensuring the Trust complies with all other areas of legislation, for example Data Protection, Employee legislation.

Scheme of Financial Delegation

4. Powers and Duties Reserved for the Chief Executive Officer

The Chief Executive Officer has delegated powers and functions in respect of internal organisation, management and control of the Trust, the implementation of all policies approved by the Board of Directors and for the direction of teaching and the curriculum.

The Chief Executive Officer shall be responsible for:

Budgets/Budgetary Control

- 4.1** Reviewing income and expenditure reports and highlighting actual or potential overspending to the Finance and Resources Committee.

Financial Management

- 4.2** Ensuring the arrangements for collection of income, ordering of goods and services, payments and security of assets are in accordance with the Financial Regulations.

Purchasing

- 4.3** Authorising all orders and contracts over £10,000 in conjunction with the Trust Finance Director.
- 4.4** Ensuring that all contracts and agreements conform to the Financial Regulations.

Payroll and Personnel

- 4.5** Approval/veto of proposals and authorisation of changes to the Trust's establishment.

Security of Assets

- 4.6** Ensuring that there are annual independent checks of assets and the asset register.
- 4.7** Ensuring that proper security is maintained at all times for all buildings, furniture, equipment, vehicles, stocks, stores, cash, information and records etc. under his/her control.

Accounts and Audit

- 4.8** The operation of financial processes within the Trust, ensuring that adequate operational controls are in place and that the principles of internal control are maintained.
- 4.9** Ensuring ongoing in-year Quality Assurance processes are in place via independent scrutiny and internal checks.

Scheme of Financial Delegation

5. Powers and Duties Reserved for the Finance Director

The Trust Finance Director shall be responsible for strategic planning along with the CEO, Executive Principals, Senior Operations Manager and Senior Finance and HR Manager.

Budgets/Budgetary Control

- 5.1 Preparing an annual draft budget plan for consideration by the Finance and Resources Committee and Board of Directors.
- 5.2 Monthly monitoring of expenditure and income against the approved budget and submitting reports on the Trusts financial position to every meeting of the Finance and Resources Committee. Any actual or potential overspending shall be reported to the Finance Committee.
- 5.3 Assessing and formally documenting the financial implications of all proposed changes within the Trust for review through executive management and or committee process as appropriate.

Purchasing

- 5.4 Ensuring that the individual academies are maintaining a register of formal contracts entered into, amounts paid and certificates of completion and are retaining the quotes obtained for goods, works and services (this can be delegated to the Senior Operations Manager or Senior Finance and HR Manager).
- 5.5 Ensuring that all correct invoices are duly certified by authorised staff before payments (this can be delegated to the Senior Operations Manager or Senior Finance and HR Manager).
- 5.6 Ensuring the appropriate division of duties between staff responsible for processing orders, receiving deliveries and processing payments (this can be delegated to the Senior Finance and HR Manager).

Payroll and Personnel

- 5.7 Authorising the monthly payroll (this can be delegated to the Senior Finance and HR Manager).
- 5.8 Authorising any changes to the staff structures in the individual academies (this can be delegated to the Senior Finance and HR Manager if within the agreed budget).
- 5.9 Authorising any additional posts advertised (this can be delegated to the Senior Finance and HR Manager if within the agreed budget).
- 5.10 Authorising any changes in salary to existing staff (this can be delegated to the Senior Finance and HR Manager if within the agreed budget).

Banking Arrangements

- 5.11 Maintaining proper records of account and reviewing monthly bank reconciliations (this can be delegated to the Senior Finance and HR Manager).

Accounts and Audit

- 5.12 The operation of financial processes within the Trust, ensuring that adequate operational controls are in place and that the principles of internal control are maintained.

5.13 Ensuring that full, accurate and up to date records are maintained in order to provide financial and statistical information.

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

Insurances

5.15 Ensuring that arrangements for insurance cover are in place and adequate.

5.16 Notifying the Finance and Resources Committee on any eventuality that could affect the Trusts insurance arrangements.

Scheme of Financial Delegation

6. Powers and Duties Reserved for 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 the Senior Finance and HR Manager:

General

- 6.1 Ensuring that the individual academies are maintaining a register of formal contracts entered into, amounts paid and certificates of completion and are retaining the quotes obtained for goods, works and services.
- 6.2 Ensuring that all correct invoices are duly certified by authorised staff before payment.
- 6.3 Ensuring the appropriate division of duties between staff responsible for processing orders, receiving deliveries and processing payments.

Payroll and Personnel

- 6.4 In the Trust Finance Directors absence authorising the monthly payroll.
- 6.5 Maintaining proper records of account and reviewing monthly bank reconciliations.

The following responsibilities are delegated to other staff in addition to the Chief Executive Officer and Trust Finance Director:

Budgets/Budgetary Control

The Individual Academy Principals are responsible for:

- 6.6 Checking and certifying monthly statements of expenditure against their delegated budget and for reporting any errors or irregularities to the Trust Finance Director. Any actual or potential overspending shall also be reported to the Trust Finance Director.

Purchasing

The Individual Academy Principals and Delegated Budget Holders are responsible for:

- 6.7 Authorising orders provided they are within the scope and remaining balance of their delegated budget.

The Academy Senior Finance Officers are responsible for:

- 6.8 Maintaining a register of formal contracts entered into, amounts paid and certificates of completion.
- 6.9 Retention of quotes obtained for goods, works and services.
- 6.10 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.
- 6.11 Ensuring the appropriate division of duties between staff responsible for processing orders, receiving deliveries and processing payments.

Income

The Academy Senior Finance Officers are responsible for:

- 6.12 Ensuring that all income is accurately accounted for and is promptly collected and banked intact.

Payroll

The Academy Senior Finance Officers are responsible for:

6.13 Running the monthly payroll.

6.14 Ensuring that the monthly payroll is checked, and ready for authorisation.

Security of Assets

The Academy Senior Finance Officers are responsible for:

6.15 Maintaining a permanent and continuous register of all items of furniture, equipment, vehicles and plant over £10,000.

Information and Communication Systems

The Trust IT Director is responsible for:

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

Delegated Duty	Value	Delegated Authority	Method
Ordering Goods and Services	Up to £2,500	Budget Holder and Principal	See Trust Procurement Policy
	£2,501 to £5,000	As above plus Senior Finance and HR Manager	See Trust Procurement Policy
	£5,001 to £10,000	As above plus Trust Finance Director	See Trust Procurement Policy
	£10,001 to £100,000	As above plus Chief Executive Officer	See Trust Procurement Policy
	£100,001 to £750,000	As above plus Finance Committee	See Trust Procurement Policy
	Over £750,000	As above plus Board of Directors	See Trust Procurement Policy
	Authority to accept other than lowest quotation or tender	Chief Executive Officer	
Signatories for cheques, BACS payment authorisations and other bank transfers	Any	Two signatories from: -Senior Finance and HR Manager -Trust Finance Director -Chief Executive Officer	
Signatories for EFA grant claims and EFA returns	Any	Two signatories from: -Senior Finance and HR Manager -Trust Finance Director -Chief Executive Officer	
Disposal of Assets	Up to £100,000	Finance & Audit Committee	
	Over £100,000	As above plus Board of Directors	
Write-off of bad debts	Up to £100,000	Chief Executive Officer	
	Over £100,000	Board of Directors	
Purchase or sale of any freehold property		EFA approval	
Granting or take up of any leasehold or tenancy agreement exceeding three years		EFA approval	
Raising Invoices to collect income		Academy Senior Finance Officer	

Appendix 2: Summary of Scheme of Delegation

R = Responsible

A = Accountable

C = Consulted

S = Support

I = Informed

Area	Decision	Delegation					
		Members	Board	Subcommittees of Board	CEO	Local Governing Bodies	Academy Principal
STRATEGY & VISION	Setting the vision and strategic direction of the Trust		A	C	R	S	S
	Setting the strategic priorities for the Trust each academic year		A	C	R	S	S
	Regular engagement with all key stakeholders	A	I	I	S	R	S
	Setting the vision and strategic direction of the school		A	I	S	R	S
	Setting the strategic priorities for the academy for each academic year		A	I	S	R	S
	To determine the scope of central services to be delivered by BWT to and on behalf of the academy		A	C	R	I	I
	To consider requests from schools to join the Trust		A	C	R	I	I
	To promote equality, diversity and tolerance amongst staff and students		A	S	S	S	R

	To set and approve amendments to the Trust's admissions policy		A/R	I	S	C	S
EDUCATION & CURRICULUM	Reporting on progress against the agreed strategic priorities		A	C	R	I	I
	To prepare the School Development Plan/School Improvement Plan		A	C	S	C	R
	To agree the School Development Plan/School Improvement Plan		A	C	R	C	S
	To set and report on progress against student performance targets		A	C	S	C	R
	To agree and monitor progress against student performance targets		A	C	R	C	S
	To discharge duties in respect of students with special educational needs and disabilities		A	I	I	S	R
GOVERNANCE	Determine Trust-wide policies which reflect the Trust's ethos and values (including safeguarding, health & safety, admissions)		A	C	R	C	S
	Determine academy-level guidance which reflects the academy's and Trust's ethos and values		A	I	I	R	S
	Monitor compliance with statutory regulations (including data protection, safeguarding, health and safety) and the Trust's policies		A	R	S	I	S

LGB member monitoring (including provision of training and support, recruitment and succession planning)		A	C	R	C	I
Management of risk: review and monitor		A	C	R	C	S
Annual self-review of LGB		A	I	S	R	I
Annual 360 review of Chair of LGB/Board		A	I	R	I	I
Annual self-review of Board		A/R	C	C	I	I
Members: appoint/remove	A	I	I	I	I	I
Directors: appoint/remove	A	R	C	C	I	I
Board Committee Chairs (including LGB Chair): appoint/remove		A/R	C	S	C	I
Clerk to Board: appoint/remove		A	I	C	I	I
Clerk to LGB: appoint/remove		A	I	S	R	S
Articles of Association: review/agree	A	R	C	S	I	I
Governance structure for BWT: establish and review		A	C	R	I	I
Set terms of reference for committees and scheme of delegation		A	R	S	I	I
To draw up governing documents and any amendments thereafter		A	C	S	C	I
Performance monitoring of LGB		A	I	S	C	I

	Auditing and reporting against matters of compliance		A	R	S	C	S
STAFF AND HR	CEO: appoint/remove		A	C	I	I	I
	CEO: performance management/pay		A	R	I	I	I
	Chief Financial Officer: appoint/remove		A	R	C	I	I
	Chief Financial Officer: performance management/pay		A	R	C	I	I
	Central Team: appoint/remove		A	I	R	I	I
	Central Team: performance management/pay		A	C	R	I	I
	Principal: appoint/remove		A	C	R	S	I
	Principal: performance management/pay		A	C	R	S	I
	Deputy/Vice/Assistant Principal: appoint/remove		A	I	C	S	R
	Deputy/Vice/Assistant Principal: performance management/pay		A	I	C	I	R
	School staff: appoint/remove		A	I	I	I	R
	School staff: performance management/pay		A	I	C	I	R
	Agree terms and conditions of employment		A	R	S	I	I
	Agree Trust staffing structure		A	C	R	I	I
Agree academy staffing structure		A	I	R	I	S	

	Review and agree Trust-wide HR policies, including staff appraisal and pay progression		A	C	R	C	S
FINANCE	Establish and review financial scheme of delegation		A	R	S	I	I
	External auditors: appoint/remove		A	S	S	I	I
	Agree Trust funding model and financial strategy (including top slice) to support delivery of key priorities		A	R	S	I	I
	Agree budget plan to support delivery of academy key priorities		A	R	S	I	C
	Review and approve Trust-wide procurement strategies		A	R	S	I	I
	Receive and respond to external auditors report		A	R	S	I	I
	Submit annual report and accounts, including accounting policies, signed statement on regularity, propriety and compliance incorporating governance statement demonstrating value for money		A	R	S	I	I
	Approval of strategies for ensuring financial control, regularity and probity in spend of public funds		A	R	S	I	I
	To plan, manage and monitor monthly expenditure and financial reports, and identify actual or potential items of budget overspend/underspend		A	C	S	C	R

STUDENT CARE & WELFARE	To develop a safeguarding policy and other associated policies/guidance documents in line with statutory requirements and best practice		A	C	R	C	S
	To implement the Trust's safeguarding policy and other associated policies/guidance documents		A	S	S	S	R
	Provision of student wellbeing programmes (i.e. use of social media, sex education) throughout the academic year		A	I	S	I	R
OTHER	Responsible for monitoring statutory compliance in relation to complaints		A	I	R	R	S
	Responsible for handling and monitoring of complaints		A	I	I	R	S
	To review all permanent exclusions, considering whether to uphold the Principal's decision or to direct reinstatement of excluded student		A	I	I	R	S
	Responsible for monitoring and developing the academy's links with the community, parents, carers and guardians		A	I	I	R	S