

Diocese of Bristol Academies Trust

Scheme of Delegation

Version 6

Adopted by Directors 04/12/18

For use from 01/01/19

History of most recent changes

Date	Page	Change	Origin of Change e.g. EFA request, Change in legislation
7/5/15	27	Add bullet to align Financial delegations with DBAT Financial Procedures	Internal, for consistency with PS Financials operations.
7/5/15	66	Amend diagram to reflect Main Board Standards Committee nomenclature change	Internal, to avoid confusion with Academy Standards Committees.
06/02/17		Extensive review, amalgamation of Decision Tables, more detail on Local Board Procedures	Annual review
04/12/18		Extensive review - new section on DBAT structure, new section on Main Board procedures, changes to Financial Procedures, changes to Local Board composition, Decision Tables re-styled and re-named 'Responsibility Matrix'.	Annual review

Scheme of Delegation

1. Introduction

- 1.1 As a charity and company limited by guarantee, the Diocese of Bristol Academies Trust (the “Company”, “DBAT”) is governed by DBAT Directors (the “Directors”), who are appointed by the Diocese of Bristol Academies Company (DoBAC) Directors and are responsible for, and oversee, the management and administration of DBAT and Academies run by DBAT (“Academies”).
- 1.2 DBAT is accountable to external government agencies including the Department for Education (“DfE”), the Education Funding Agency (“EFA”), Companies House, and the Charity Commission (including any successor bodies), for the quality of the education provided by the Academies and its management of public funds and it is required to have systems in place through which it can assure itself of quality, safety and good practice.
- 1.3 In order to assist in the discharge of these responsibilities, the Board of Directors of DBAT (the “Main Board”) may appoint people who have connections to a particular Academy to serve on a committee of the Board of Directors (a “Local Board”) established to ensure the good governance of that Academy.
- 1.4 This Scheme of Delegation (this “Scheme”) explains the ways in which the Directors fulfil their responsibilities for the leadership and management of DBAT and the responsibilities of the other roles within DBAT.
- 1.5 This Scheme has been put in place by the Directors in accordance with the provisions of DBAT’s Articles of Association (the “Articles”) and it should be read in conjunction with those Articles. This Scheme is reviewed annually and may be terminated or amended by the Main Board at any time by giving notice in writing to the Local Boards.
- 1.6 References in this Scheme to numbered Articles are to the relevant clause of the Articles. A reference in this Scheme to a “clause” or “Appendix” is to a clause or Appendix of this Scheme. In any conflict between any provision of this Scheme and the Articles, the Articles shall prevail.

2. Academy Ethos and Purpose

2.1 The Company's Object as defined in the Articles is:

- *"to advance for the public benefit education in the United Kingdom, ... by establishing, maintaining, carrying on, managing and developing Academies which shall offer a broad and balanced curriculum and which shall include:*

- (i) Church of England schools designated as such which shall be conducted in accordance with the principles, practices and tenets of the Church of England both generally and in particular in relation to arranging for religious education and daily acts of collective worship and in having due regard to any advice issued by the Diocesan Board of Education, and*

- (ii) other Academies whether with or without a designated religious character, but in relation to each of the Academies to recognise and support their individual ethos, whether or not designated Church of England.*

2.2 The primary purpose of DBAT is to ensure that every DBAT pupil achieves the highest possible levels of attainment within an appropriate learning and built environment. DBAT comprises a number of such environments - the component Academies. While each Academy will operate within this Scheme independently through its Local Board, the ethos of DBAT is that all the Academies will work collaboratively, to enable pupils and staff to flourish and grow through an educational model where each of the component parts works together, with the strong supporting the weak and the weak challenging the strong.

2.3 Each Academy will work collaboratively with other Academies run by DBAT, noting in particular the close working links with cluster schools, and the wider family of Church of England schools, sharing resources, knowledge and best practice as may be appropriate with the following objectives in mind, supporting each other to:

2.3.1 Achieve consistently high standards of learning and teaching;

2.3.2 Develop curriculum design and collaboration which optimise opportunities for pupils to progress; provide excellent information, advice and guidance in order to make informed choices; and ensure effective learning, behaviour and interpersonal relationships;

2.3.3 Provide support building upon individual specialisms and/or areas of identified strength between schools to improve key aspects of performance;

2.3.4 Achieve best value in service delivery and financial management, especially where partnership working can add value.

2.4 A fundamental principle of the collaboration between Academies is that no Academy supporting another should profit from any inter-Academy charging arrangement, nor should any supported Academy expect to receive long term support at no cost. The principles of inter-Academy charging are detailed at Appendix 4.

3. The structure of DBAT

3.1 The structure of DBAT includes:

- Members
- Directors (Trustees)
- Main Board Committees and Local Boards
- CEO (and SLT)
- Principals

4. Members

4.1 The Members have several statutory rights such as:

- the right to appoint auditors
- the right to amend the Articles of Association
- the right to receive the annual accounts

4.2 Members are appointed in accordance with Articles 12 to 16.

5. Directors (Trustees)

5.1 Directors are appointed in accordance with Articles 46 to 58.

5.2 The Directors have overall responsibility and ultimate decision making authority for all the work of DBAT. This is largely exercised through strategic planning and the setting

of policy. It is managed through business planning, monitoring of budgets, performance management, the setting of standards and the implementation of quality management processes. The Directors have the power to direct change where required.

- 5.3 The Directors have a duty to act in the fulfilment of DBAT's Object.
- 5.4 Directors will have regard to the interests of all Academies for which DBAT is responsible in deciding and implementing any policy or exercising any authority but will also recognise the responsibility of the Diocesan Director of Education to have regard to the interests of the other Church of England schools for which the Diocesan Board of Education is the "appropriate diocesan authority" under all relevant Education Acts.
- 5.5 Pursuant to Article 100, the constitution, membership and proceedings of each Local Board are determined by the Directors and are as set out in this Scheme.
- 5.6 All persons appointed or elected to the Board of Directors shall give a written undertaking to uphold the Object, purpose, ethos and vision of DBAT as set out in this Scheme.

6. Committees and Local Boards

- 6.1 Directors may establish committees of the Main Board.
- 6.2 Local Boards are formed as committees of the Main Board for each Academy (or one shared Local Board for two or more Academies).
- 6.3 While each Local Board shall be responsible for ensuring that the business of the Academy is conducted in accordance with its purpose and ethos, the determination of the Academy's purpose and ethos shall be the responsibility of the Main Board.
- 6.4 The Local Boards of Church of England Academies shall preserve and develop the religious character of their Academy in accordance with the principles of the Church of England and in partnership with the Church at parish and diocesan level, and shall maintain their Academy's relationship with the local community within which it is situated and which it serves.
- 6.5 The Local Boards of Academies not designated as having a religious character shall recognise and support the individual ethos of their Academy as a school not designated as having a religious character and shall maintain their Academy's relationship with the local community within which it is situated and which it serves.

- 6.6 No alteration to the religious character of any Church of England Academy or the conduct of any Church of England Academy as a Church of England school may be made without first consulting DoBAC.
- 6.7 Local Board members
- 6.7.1 The composition of the members of the Local Boards (each a “Local Board member”) shall be subject to the provisions of this section of the Scheme. The number of people who shall sit on a Local Board shall be subject to the limits (both in respect of the total number of Local Board members and the number of Local Board members belonging to discrete categories of member) set out in Appendix 45.
- 6.7.2 Nothing in this section or in Appendix 45 shall fetter the discretion of the Main Board to compose the Local Board in a different way should the school’s profile or circumstances demand it or where the Main Board determines that there is good reason to do so. In such cases, the Main Board shall advise the Local Board in writing of the total number of Local Board members and the number of Local Board members belonging to discrete categories of member which they may have.
- 6.7.3 The Main Board may also appoint one or more of their number to serve on a Local Board and attend any meetings of such Local Board. Any Director attending a meeting of a Local Board shall count towards the quorum for the purposes of the meeting and shall be entitled to vote on any resolution being considered by such Local Board.
- 6.7.4 All persons appointed or elected to the Local Board shall, as part of their application, give a written undertaking to the Directors to uphold the Object, purpose and ethos of DBAT as set out in this Scheme and as may be directed by the Main Board from time to time.
- 6.8 Appointment of Local Board members
- 6.8.1 This section of the Scheme sets out the criteria by which the Main Board (and any other relevant appointor) may appoint a person to serve as a Local Board member.

6.8.2 A Local Board may (subject to clause 6.7.1 and clause 6.8.4 and Appendix 4) comprise Local Board members of the following categories and such Local Board Members shall be appointed as follows:

(a) DBAT members – appointed directly by the Main Board;

(b) Foundation members – nominated by the appropriate Parochial Church Council (See Appendix 7) and appointed by the Diocesan Board of Education in accordance with such Diocesan procedures as may be in place;

(c) Ex-officio Foundation member – the principal officiating minister of the nominated parish for each Academy (see Appendix 7), or if s/he declines to act, a person appointed to act in his/her stead by the Archdeacon of the Archdeaconry in which the Academy is situated;

(d) Community members – appointed by the Local Board, provided that the person lives or works in the community served by the Academy or, in the opinion of the Local Board, is committed to the government and success of the Academy;

(e) Staff members – elected by employees of DBAT working at the relevant Academy in accordance with such procedure as the Main Board may determine from time to time (having regard to the desirability of both teaching and non-teaching staff being represented on the Local Board);

(f) Parent members – elected or appointed by parents of registered pupils at the relevant Academy in accordance with such procedure as the Main Board may determine;

(g) Principal – the Principal of each Academy shall be an ex-officio Local Board member.

6.8.3 Each Local Board shall elect one of its members to serve as the Chair of the Local Board. The Chair of each Local Board shall have a term of office of one year. A person may be re-elected to be the Chair of a Local Board provided that s/he remains a Local Board Member at such time.

6.8.4 The Local Board of an Academy or its predecessor school which is rated as being 'Inadequate' by OFSTED (or a brand new Academy, yet to be OFSTED rated) shall exclusively comprise Local Board Members appointed by the

Main Board and Foundation Members appointed by the Diocesan Board of Education (DBE). The Main Board shall appoint such persons as it considers will be able to direct and oversee an improvement in the Academy. For such Academies the Main Board shall appoint a member of the Local Board to serve as the Chair of the Local Board. DBAT may consult with the DfE as to the strategy to be employed in trying to improve the Academy and appointments that might be made to the Local Board.

6.8.5 Each Local Board member shall be required to take part in regular self-review and is accountable for meeting his/her own training and development needs. It is a Local Board member's responsibility to consider if, and raise any concerns where, s/he feels that appropriate training and development is not available.

6.9 Co-opted members of the Local Board

6.9.1 The Main Board or Local Boards may appoint up to two persons to be 'Co-opted' to the Local Board to give additional assistance to the Local Board on specific projects or more generally but for a limited period of time. A person to be 'Co-opted' to a Local Board means a person who is to serve on the Local Board without having been appointed (pursuant to paragraph 6.8.2 of this Scheme) or elected to serve on the Local Board. No person who is employed at the Academy may be co-opted to the Local Board if thereby the number of persons employed at the Academy serving on the Local Board would exceed one third of the total number of persons serving on the Local Board (including the Principal). Such persons are appointed on terms approved by DBAT and shall have no voting rights.

6.10 Term of office

6.10.1 The term of office for any person serving on a Local Board shall be four years, except that this time limit shall not apply:

6.10.1.1 to the Principal;

6.10.1.2 to persons who are 'Co-opted' to the Local Board who shall serve for no longer than one year.

6.10.1.3 to the Ex-officio Foundation member;

6.10.1.4 to parents whose child or children leave the school (who shall cease to be Local Board members when they cease to have any children who are registered pupils at the Academy).

6.10.2 Subject to remaining eligible to be a particular type of Local Board member, any person may be re-appointed or re-elected (including being 'co-opted' again) to the Local Board.

6.10.3 It is a requirement for all Local Board members to have an enhanced Disclosure and Barring Service check on appointment to the role as Local Board member.

6.11 Resignation and removal

6.11.1 A Local Board member shall cease to hold office if s/he resigns by notice to the Local Board or DBAT Central Office (but only if at least six persons will remain in office when the notice of resignation is to take effect).

6.11.2 A Local Board member shall cease to hold office if s/he is removed by the person or persons who appointed him/her. While at the same time as acknowledging that no reasons need to be given for the removal of a Local Board member by a person or persons who appointed him/her, any failure to uphold the values of DBAT and/or the Academy or to act in a way which is inappropriate in light of this Scheme will be taken into account. Any Local Board member may also be removed by the Main Board if, in the reasonable opinion of the Main Board, that person is failing to adequately discharge his/her responsibilities or his/her continued membership of the Local Board is inappropriate for any other proper reason and this right to remove prevails over any provision of this Scheme or any other document issued by DBAT which is, or may appear to be, inconsistent therewith.

6.11.3 If a Staff member ceases to work at an Academy then s/he shall be deemed to have resigned and shall cease to serve on the relevant Local Board automatically on cessation of his/her working at the Academy.

6.11.4 Where a Local Board member resigns their office or is removed from office, that person or the Local Board shall give written notice to either the Local Board or the DBAT Central Office, as appropriate.

6.12 Disqualification of members of the Local Board

- 6.12.1 No person shall be qualified to serve on a Local Board unless s/he is aged 18 or over at the date of his/her election or appointment. No current pupil of an Academy shall be entitled to serve on a Local Board.
- 6.12.2 A Local Board member shall cease to hold office if s/he becomes incapable by reason of mental disorder, illness, injury or inability to manage or administer his/her own affairs.
- 6.12.3 A Local Board member shall cease to hold office if s/he is absent without the permission of the Chair of the Local Board from all the meetings of the Full Local Board held within a period of six months and the Local Board resolves that his/her office be vacated.
- 6.12.4 A person shall be disqualified from serving on the Local Board if:
- 6.12.4.1 Their estate has been sequestrated and the sequestration has not been discharged, annulled or reduced; or
 - 6.12.4.2 The person is the subject of a bankruptcy restrictions order or an interim order; or
 - 6.12.4.3 The person is subject to disciplinary procedures and shall be suspended from the Local Board until these are resolved; or
 - 6.12.4.4 The person is subject to suspension from a post within the relevant Academy and shall be suspended from the Local Board until this is resolved.
- 6.12.5 A person shall be disqualified from serving on the Local Board at any time when they are subject to a disqualification order or a disqualification undertaking under the Directors Disqualification Act 1986 or to an order made under section 429(2)(b) of the Insolvency Act 1986 (failure to pay under county court administration order).
- 6.12.6 A person serving on the Local Board shall cease to hold office if they would cease to be a director by virtue of any provision in the Companies Act 2006 or is disqualified from acting as a trustee by virtue of section 178 of the Charities Act 2011 (or any statutory re-enactment or modification of that provision).

- 6.12.7 A person shall be disqualified from serving on the Local Board if they have been removed from the office of charity trustee or trustee for a charity by an order made by the Charity Commission or the High Court on the grounds of any misconduct or mismanagement in the administration of the charity for which they were responsible or to which they were privy, or their conduct contributed to or facilitated.
- 6.12.8 A person shall be disqualified from serving on a Local Board at any time if such person is:
- 6.12.8.1 on the children's barred list; or
- 6.12.8.2 a person who has previously been disqualified from being a governor of a Church of England or any other designated school.
- 6.12.9 A person shall be disqualified from serving on a Local Board if they are a person in respect of whom a direction has been made under section 142 of the Education Act 2002 or subject to any prohibition or restriction which takes effect as if contained in such a direction.
- 6.12.10 A person shall be disqualified from serving on a Local Board where, at any time, they have been convicted of any criminal offence, excluding any that have been spent under the Rehabilitation of Offenders Act 1974 as amended, and excluding any offence for which the maximum sentence is a fine or a lesser sentence except where a person has been convicted of any offence which falls under section 178 of the Charities Act 2011.
- 6.12.11 A person shall be disqualified from serving on a Local Board if s/he has not provided to the Chair of the Local Board a disclosure and barring certificate at an enhanced disclosure level under section 113B of the Police Act 1997. In the event that the certificate discloses any information which would in the opinion of either the Chair or the Principal confirm their unsuitability to work with children that person shall be disqualified. If a dispute arises as to whether a person shall be disqualified, a referral shall be made to the Secretary of State to determine the matter. The determination of the Secretary of State shall be final.
- 6.12.12 Where, by virtue of this Scheme, a person becomes disqualified from serving on the Local Board and was, or was proposed, to so serve, they shall upon

becoming so disqualified give written notice of that fact to the Local Board who shall inform the DBAT Central Team.

6.12.13 The whole of this clause 6.12 shall also apply to any member of any sub-committee of the Local Board who is not a Local Board Member.

6.13 Suspension of members of the Local Board

6.13.1 The Local Board or the Main Board may by resolution suspend a Local Board member for all or any meetings of the Local Board for a fixed period of up to 6 months on one or more of the following grounds:

6.13.1.1 that the Local Board member, being a person employed by DBAT, is the subject of disciplinary proceedings in relation to his/her employment;

6.13.1.2 that the Local Board member is the subject of proceedings in any court or tribunal, the outcome of which may be that he is disqualified from continuing to hold office as a Local Board member under this Scheme;

6.13.1.3 that the Local Board member is in breach of any provisions of the Code of Conduct for Local Board members (as from time to time in force) which the Main Board believes has, or could, bring DBAT, the Local Board, the Main Board, the Academies or his/her office into disrepute;

6.13.1.4 that the Local Board member has acted in a way that is inconsistent with the Object, purpose or ethos of DBAT, and has brought or is likely to bring DBAT, the Local Board, the Main Board, the Academies or his/her office into disrepute;

6.13.1.5 that the member is in breach of his/her duty of confidentiality to DBAT, the Local Board, the Main Board, the Academies, any member of staff or to any pupil at the Academy.

- 6.14 A resolution to suspend a Local Board member from office shall not have effect unless the matter is specified as an item of business on the agenda for the meeting of which notice has been given.
- 6.15 Before a vote is taken on a resolution to suspend a Local Board member, the Director/Local Board member proposing the resolution shall at the meeting state his/her reasons for doing so. The Local Board member who is the subject of the resolution shall then be given the opportunity to make a statement in response before withdrawing from the meeting.
- 6.16 In the event that a Local Board member is suspended, s/he shall remain entitled to receive notices of, and agendas and reports or other papers, for meetings of the Local Board during the period of his/her suspension.

7. CEO

- 7.1 The role of the CEO is to provide leadership, strategic management and direction for DBAT.
- 7.2 The CEO is an ex-officio Director in accordance with Article 57.
- 7.3 The CEO will comply with reasonable direction from the Directors and report regularly to the Board of Directors.
- 7.4 The CEO has the authority to direct Principals in relation to operational and educational standards, particularly where those matters could adversely affect the reputation or position of DBAT.

8. Principals

- 8.1 A Principal is appointed for each Academy within DBAT (or one shared Principal for two or more Academies).
- 8.2 The Principal is responsible for the internal organisation and management of the Academy; the implementation of policies; and the direction of teaching and curriculum.

9. Delegated Powers

- 9.1 Directors can delegate specific tasks to help them to fulfil their obligations. Delegation can be to the DBAT CEO; Main Board Committees; Local Boards; or Principals. Full details of this are given in Appendix 6 'Responsibility Matrix'.

9.2 General principles

- 9.2.1 Subject to Company law generally, provisions of the Companies Act 2006, the Articles and to any directions given by the Members of DBAT pursuant to a special resolution, the management of the business of each Academy shall be delegated by the Main Board to the Local Board who may exercise all the powers of DBAT in so far as they relate to the Academy, in accordance with the terms of this Scheme and in particular the Responsibility Matrix set out in Appendix 6. If a Local Board is uncertain as to where, or if, the Responsibility Matrix deals with a particular matter, the Local Board should refer to a nominee of the Main Board for guidance (being, unless otherwise resolved by the Main Board, a DBAT Central Officer). The delegation of powers to a Local Board of an Academy which is rated as being 'Inadequate' by OFSTED shall be determined by the Main Board on a case by case basis, in accordance with the overall strategy employed in trying to improve that Academy.
- 9.2.2 Nothing in this section or in Appendix 6 shall fetter the discretion of the Main Board to compose an Academy's Responsibility Matrix in a different way should the school's profile or circumstances demand it or where the Main Board determines that there is good reason to do so. In such cases, the Main Board shall advise the Local Board in writing of the Responsibility Matrix to be used.
- 9.2.3 If at any time the Main Board considers that it would be appropriate to delegate additional powers and/or remove delegated authority in one or more areas it shall inform the Local Board what powers shall be delegated or removed and the reasons for this. The Main Board shall have due regard to any representations made by the Local Board but shall not be bound by them.
- 9.2.4 The Main Board shall not remove delegated powers which would in any way affect either the religious character of a Church of England Academy or the individual ethos of an Academy not designated as having a religious character.
- 9.2.5 No alteration of the Articles and no such direction shall invalidate any prior act of a Local Board which would have been valid if that alteration had not been made or that direction had not been given. Except as provided for in this Scheme, the powers given by this Scheme shall not be limited by any special

power given to the Directors by the Articles or to the Local Board, and a meeting of the Local Board at which a quorum is present may exercise all the powers so delegated.

9.2.6 In the exercise of any of its delegated powers and functions, a Local Board shall:

9.2.6.1 ensure that the Academy is conducted in accordance with the Object of DBAT, the terms of any trust governing the use of the land which is used for the purposes of the Academy, any agreement entered into with the Secretary of State for the funding of the Academy and this Scheme;

9.2.6.2 promptly implement and comply with any policies or procedures communicated to the Local Board by the Main Board/Central Team from time to time;

9.2.6.3 review its policies and practices on a regular basis, having regard to recommendations made by the Main Board/Central Team from time to time, in order to ensure that the governance of the Academy is best able to adapt to the changing political and legal environment;

9.2.6.4 act independently and not as agents of those who may have appointed them;

9.2.6.5 work closely with the Main Board or committees of the Main Board and act with integrity, objectivity and honesty in the best interests of DBAT and the Academy;

9.2.6.6 be open about decisions and be prepared to justify those decisions;

9.2.6.7 keep confidential all information of a confidential nature obtained by them relating to the Academy and DBAT; and,

9.2.6.8 adopt financial prudence in managing the financial affairs of the Academy in so far as these are delegated to them.

9.2.7 The Local Board shall be expected to report to the Main Board, ~~or~~ committees of the Main Board or Central Team against key performance indicators which have been set for the Academy and provide such data and information

regarding the business of the Academy and the pupils attending the Academy as the Main Board/Central Team may require from time to time.

10. Operational Matters

- 10.1 The Main Board shall:
 - 10.1.1 operate in accordance with the provisions of the Articles of Association and Appendix 1 which deals with the day to day operation of the Main Board;
 - 10.1.2 ensure that each Academy is conducted in accordance with the Object of DBAT, and any agreement entered into with the Secretary of State for the funding of the Academy;
 - 10.1.3 ensure that all Directors act in accordance with the HM Treasury 'Code of Conduct for Board members in Public Bodies' and DBAT's Code of Conduct for Main Board Directors;
- 10.2 Each Local Board shall:
 - 10.2.1 operate in accordance with the provisions of Appendix 2 which deals with the day to day operation of the Local Board;
 - 10.2.2 consider any advice given by the Principal and any executive officer as well as the Main Board;
 - 10.2.3 ensure that each Academy is conducted in accordance with the Object of DBAT, and any agreement entered into with the Secretary of State for the funding of the Academy;
 - 10.2.4 ensure that all Local Board Members act in accordance with the HM Treasury 'Code of Conduct for Board members in Public Bodies' and DBAT's Code of Conduct for Local Board Members;
 - 10.2.5 do all such things as the Main Board/Central Team may specify as being necessary to ensure that DBAT is meeting its regulatory and legal obligations;
 - 10.2.6 submit to any inspections by the Main Board (or its appointees) and any inspections pursuant to section 48 of the Education Act 2005 to assess how well the Academy is being managed in light of the additional responsibilities and expectations of schools that are Academies;

- 10.2.7 work closely with and promptly implement any advice or recommendations made by the Main Board/Central Team;
- 10.2.8 ensure that the Main Board (and any DBAT Central or Diocese of Bristol employee so authorised by the Main Board) is provided with access to such information (whether held in electronic, paper or other form) as the Main Board may request and shall ensure that the Main Board (and any DBAT Central or Diocese of Bristol employee so authorised by the Main Board) is provided with access to any and all computer systems used by the Academy;
- 10.2.9 ensure that, upon instruction by the Main Board/Central Team, the Academy joins and properly uses any such centralised computer system as the Main Board may determine from time to time is required or beneficial in connection with DBAT's operation of the Academies.
- 10.3 While the undertaking of any activities that would be described as part of the Academy's 'extended schools agenda' or any activities designed to generate business income, will be the responsibility of the relevant Local Board, this shall only be undertaken in a manner consistent with any policy set by the Main Board and having regard to the viability of such activities, the impact on the Academy's activities and any financial implications, such as the threat of taxation in light of DBAT's charitable Object and any threat to funding provided by the Secretary of State. The Trust's trading income will be dealt with through its trading company subsidiary.
- 10.4 In the event that any direction or recommendation of the Board/Central Team are not implemented or the Local Board fails to act in accordance with this Scheme, the Directors expressly reserve the unfettered right to review or remove any power or powers or all powers and responsibility conferred on the Local Board under this Scheme.

11 Annual Review

- 11.1 This Scheme shall operate from the Effective Date and shall be reviewed by the Main Board annually (or at such shorter interval as it may determine), or as required by any new primary legislation.

APPENDIX 1

FUNCTIONING OF THE MAIN BOARD

1. CHAIR, VICE-CHAIR and CLERK of the Main Board

- 1.1 The Main Board shall have a Chair, a Vice-Chair and a Clerk. The Main Board cannot conduct its business without a Chair.
- 1.2 The Directors shall each academic year, at their first meeting in that year, elect a Chair and Vice-Chair from among their number to serve until a successor is appointed or a vacancy occurs as envisaged in paragraph 1.4. A person who is employed by DBAT shall not be eligible for election as Chair or Vice-Chair.
- 1.3 Subject to paragraph 1.4, the Chair and Vice-Chair shall hold office as such until the successor has been elected in accordance with this clause 1.
- 1.4 The Chair or Vice-Chair may at any time resign his/her office by giving notice in writing to the Main Board. The Chair or Vice-Chair shall cease to hold office if:
 - 1.4.1 The person ceases to serve as a Director;
 - 1.4.2 The person is employed by DBAT;
 - 1.4.3 In the case of the Vice-Chair, they are elected in accordance with this Scheme to fill a vacancy in the office of Chair.
- 1.5 Where by reason of any of the matters referred to in paragraph 1.4, a vacancy arises in the office of Chair or Vice-Chair the Directors shall at their next meeting elect one of their number to fill that vacancy. The election of Chair/Vice-Chair will be a specific item of business on the agenda for that meeting.
- 1.6 Where the Chair is absent from any meeting or there is at the time a vacancy in the office of the Chair, the Vice-Chair shall act as the Chair for the purposes of the meeting.
- 1.7 Where in the circumstances referred to in paragraph 1.5 the Vice-Chair is

also absent from the meeting or there is at the time a vacancy in the office of Vice-Chair, the Directors shall elect one of their number to act as a Chair for the purposes of that meeting, provided that the person elected shall not be a person who is employed by DBAT.

- 1.8 If the Clerk does not attend a meeting the Directors present at the meeting can appoint a Director or member of DBAT staff to act as Clerk for that meeting.
- 1.9 The Clerk shall act as Chair during that part of any meeting at which the Chair is elected.
- 1.10 Any election of the Chair or Vice-Chair which is contested shall be held by secret ballot.
- 1.11 The Chair may be removed from office in accordance with this Scheme and the Articles of Association.
- 1.12 A resolution to remove the Chair or Vice-Chair from office which is passed at a meeting of the Directors shall not have effect unless:
 - 1.12.1 it is confirmed by a resolution passed at a second meeting of the Directors held not less than fourteen days after the first meeting; and
 - 1.12.2 The matter of the Chair or Vice-Chair's removal from office is specified as an item of business on the agenda for each of those meetings.
- 1.13 Before the Directors resolve at the relevant meeting on whether to confirm the resolution to remove the Chair or Vice-Chair from office, the Director or Directors proposing his removal shall at that meeting state their reasons for doing so and the Chair or Vice-Chair shall be given an opportunity to make a statement in response.
- 1.14 The Clerk to the Main Board shall be appointed by the Directors. The Clerk shall be employed at such remuneration and upon such conditions as they may think fit, and any Clerk so appointed may be removed by them. The Clerk shall not be a Director or a Principal.

- 1.15 It is expected that the Directors will take part in appropriate training to maintain their expertise.

2. CONFLICTS OF INTEREST

- 2.1 Any Director who has or can have any direct or indirect duty or personal interest (including but not limited to any Personal Financial Interest) which conflicts or may conflict with his/her duties as a Director shall disclose that fact to the Main Board as soon as s/he becomes aware of it. A person must absent him/herself from any discussions of the Main Board in which it is possible that a conflict will arise between his/her duty to act solely in the interests of the Trust and any duty or personal interest (including but not limited to any Personal Financial Interest).
- 2.2 For the purpose of paragraph 2.1, a person has a Personal Financial Interest if s/he, or any child, stepchild, parent, grandchild, grandparent, brother, sister or spouse of the member or any person living with the member as his or her partner, is in the employment of DBAT or is in receipt of remuneration or the provision of any other benefit directly from DBAT or in some other way is linked to DBAT.
- 2.3 This clause 2 shall also apply to any member of any committee of the Main Board who is not a Director.
- 2.4 The Clerk will maintain a register of the personal interests of Directors, including a signed declaration from each member.

3. THE MINUTES

- 3.1 The minutes of the proceedings of a meeting of the Main Board shall be drawn up by the Clerk. The approval of the minutes of the previous meeting will be on the agenda of every meeting of the Main Board and once approved by the Main Board as a true record (subject to any agreed amendments) the minutes will be signed and dated by the Chair. The minutes shall include a record of:
- 3.1.1 All appointments of officers made by the Main Board; and
- 3.1.2 All proceedings at meetings of the Main Board and of committees of the Main Board including the names of all persons present at

each such meeting.

- 3.1.3 The time of arrival and/or departure of any Director not in attendance throughout any meeting.
 - 3.1.4 Where a Director sends an apology for absence with reason, the Chair will decide whether to 'accept' the apology and the Clerk will record the decision in the minutes.
 - 3.1.5 Where important information required by the Main Board is given orally, it will be recorded in the minutes in appropriate detail.
 - 3.1.6 Recommendations received from working groups or committees will be recorded in the minutes, together with any related Directors' resolution
- 3.2 Within 5 working days of a meeting, the draft minutes will be sent by the Clerk to the Chair of that meeting for checking, and to the CEO.
 - 3.3 Copies of the draft minutes, once 'approved' by the Chair, will be sent to all Directors by the Clerk within 10 working days of the meeting.
 - 3.4 The minutes of meetings will be filed at the Central Office with consecutively numbered loose-leaf pages. Minutes will include papers forming part of the meeting.
 - 3.5 Action will be taken on the basis of decisions and need not await the approval of the minutes at the next meeting.

4. COMMITTEES

- 4.1 Directors may establish any committee in accordance with the provisions of this Scheme. The constitution, membership, proceedings and reporting arrangements of any committee shall be determined by the Directors. The establishment, terms of reference, constitution and membership of any committee shall be reviewed at least once in every twelve months. The membership of any committee may include any expert person who is not a Director, provided that a majority of the members of any such committee shall be Directors.

- 4.2 All committees will keep formal minutes, and copies will be presented to the next meeting of the Main Board for information. The Main Board will receive and note, without debate, any decisions on matters which it has delegated to a committee or to an individual. Decisions will be recorded in the minutes.
- 4.3 The Main Board will appoint the Chair of each committee.
- 4.4 Committees will meet at a frequency determined by the Main Board.

5. DELEGATION

- 5.1 Where any power or function of the Main Board is exercised by any committee, any Director or Local Board member, the Principal or any other holder of an executive office, that person or committee shall report to the Main Board in respect of any action taken or decision made with respect to the exercise of that power or function at the meeting of the Main Board immediately following the taking of the action or the making of the decision.
- 5.2 The Chair, or in his or her absence the Vice-Chair, has authority to take urgent action between meetings only where:
- a delay in dealing with the matter would be seriously detrimental to the interests of the Trust, a school, a pupil, his/her parents, or a member of staff;
 - a meeting could not be called in sufficient time to deal with the matter;
 - s/he has first consulted with a member of the DBAT Central Senior Leadership Team.

If the Chair (or Vice-Chair) takes any urgent action between meetings, the facts will be reported to the next meeting of Directors.

6. MEETINGS OF THE MAIN BOARD

- 6.1 Subject to this Scheme, the Main Board may regulate its proceedings as the Directors think fit.
- 6.2 The Main Board will set the dates for its meetings, including those of any

committee for the next school year by the final meeting of the previous school year.

- 6.3 Meetings will start at times which are acceptable to the Main Board and will be limited to 2 hours duration.
- 6.4 The Main Board shall meet at least three times in every school year. Meetings of the Directors shall be convened by the Clerk. In exercising his/her functions under this Scheme the Clerk shall comply with any direction:
 - 6.4.1 given by the Directors; or
 - 6.4.2 given by the Chair of the Directors or, in his/her absence or where there is a vacancy in the office of Chair, the Vice-Chair of the Directors, so far as such direction is not inconsistent with any direction given as mentioned in 6.4.1 above.
- 6.5 Any three Directors may, by notice in writing given to the Clerk (copying the Chair), request a meeting of the Directors; and it shall be the duty of the Clerk to convene such a meeting as soon as is reasonably practicable.
- 6.6 The agenda will be prepared by the Clerk in accordance with any determination of the Main Board and in consultation with the Chair and the CEO and where the Clerk is also the Clerk to any committees, the Chair of the committee.
- 6.7 Any Director may place an item on the agenda by writing to the Clerk.
- 6.8 The agenda will include 'Any Other Business'. Any Director wishing to raise an urgent meeting item must give notice to the Chair at least 24 hours before the meeting. The Chair will decide if the item is to be discussed or, if appropriate, deferred to a subsequent meeting.
- 6.9 The CEO is expected to keep the Main Board fully informed, and will provide a written report to the Main Board at least three times per year. It will include, as a minimum: Contextual information; an update on the Trust's strategy; the current high-level risks; any feedback from stakeholders; reports from Local Boards; horizon scanning; finance; and major management issues.

6.10 At least 7 clear days before the date of a meeting, every Director shall be given by the Clerk:

6.10.1 notice in writing thereof, signed by the Clerk, and sent to each Director at the address provided by each Director from time to time; and

6.10.2 a copy of the agenda and associated paperwork to be discussed at the meeting;

provided that where the Chair or, in his/her absence or where there is a vacancy in the office of Chair, the Vice-Chair, so determines on the ground that there are matters demanding urgent consideration, it shall be sufficient if the written notice of a meeting, and the copy of the agenda thereof are given within such shorter period as s/he directs.

6.11 The convening of a meeting and the proceedings conducted thereat shall not be invalidated by reason of any individual not having received written notice of the meeting or a copy of the agenda thereof.

6.12 Apart from Directors, the only people entitled to attend a meeting of the Main Board are the Clerk, and any such other persons as the Directors may determine. No substitute Directors are permitted, except in the case of 6.14. Any person attending in an advisory role will have no voting rights.

6.13 The Directors can require any non-Director present at a meeting to leave at any time.

6.14 When the CEO is absent, their deputy will attend in his/her place but will have no vote (unless in the long-term absence of the CEO, the deputy has been appointed acting CEO). The deputy may also be invited to attend meetings of the Main Board as an observer, as part of their professional development, or to contribute to agenda items.

6.15 A resolution to rescind or vary a resolution carried at a previous meeting of Directors shall not be proposed at a meeting of the Directors unless the consideration of the rescission or variation of the previous resolution is a specific item of business on the agenda for that meeting.

6.16 A meeting of the Directors shall be terminated forthwith if:

- 6.16.1 the Directors so resolve; or
- 6.16.2 the number of Directors present ceases to constitute a quorum for a meeting of the Directors in accordance with Article 117, subject to Article 119.
- 6.17 Where in accordance with paragraph 6.16 a meeting is not held or is terminated before all the matters specified as items of business on the agenda for the meeting have been disposed of, a further meeting shall be convened by the Clerk as soon as is reasonably practicable, but in any event within seven days of the date on which the meeting was originally to be held or was so terminated.
- 6.18 Where the Directors resolve in accordance with paragraph 6.16 to adjourn a meeting before all the items of business on the agenda have been disposed of, the Directors shall before doing so determine the time and date at which a further meeting is to be held for the purposes of completing the consideration of those items, and they shall direct the Clerk to convene a meeting accordingly.
- 6.19 Subject to paragraph 6.21, the quorum for a meeting of the full Board of Directors and any vote on any matter thereat, shall be any three Directors, or, where greater, one third (rounded up to a whole number) of the total number of Directors holding office at the date of the meeting. The quorum for a meeting of a committee of the Main Board shall be as detailed in the Terms of Reference for that committee.
- 6.20 A Directors may act notwithstanding any vacancies in their number, but, if the numbers of persons serving is less than the number fixed as the quorum, the continuing Directors may act only for the purpose of filling vacancies or of calling a general meeting.
- 6.21 The quorum for the purposes of
- (a) any vote on the removal of a Director in accordance with Article 66, and
 - (b) any vote on the removal of the Chair of the Directors in accordance with Article 90,
- shall be any two-thirds (rounded up to a whole number) of the persons who

are at the time Directors entitled to vote on those respective matters.

- 6.22 Subject to this Scheme and the Articles, every question to be decided at a meeting of the Directors shall be determined by a majority of the votes of the Directors present and voting on the question. Every Director shall have one vote.
- 6.23 Subject to paragraphs 6.19 – 6.21, where there is an equal division of votes, the Chair of the meeting shall have a casting vote in addition to any other vote s/he may have.
- 6.24 The Chair will ensure that meetings are run effectively, focussing on priorities and making best use of time available and ensuring that all Directors enjoy equality of opportunity to express their views and participate in decision making.
- 6.25 The proceedings of the Directors shall not be invalidated by:
- 6.25.1 any vacancy among their number; or
 - 6.25.2 any defect in the election, appointment or nomination of any Director.
- 6.26 A resolution in writing, signed by all the Directors entitled to receive notice of a meeting of Directors or of a committee of Directors, shall be valid and effective as if it had been passed at a meeting of Directors or (as the case may be) a committee of Directors duly convened and held. Such a resolution may consist of several documents in the same form, each signed by one or more of the Directors.
- 6.27 Subject to paragraph 6.28, Directors shall ensure that copies of:
- 6.27.1 the agenda for every meeting of the Directors;
 - 6.27.2 the draft minutes of every such meeting, if they have been approved by the person acting as Chair of that meeting;
 - 6.27.3 the signed minutes of every such meeting; and
 - 6.27.4 any report, document or other paper considered at any such meeting,

are, as soon as is reasonably practicable, made available at every Academy to persons wishing to inspect them.

6.28 There may be excluded from any item required to be made available in pursuance of paragraph 6.27, any material relating to:

6.28.1 a named person employed, or proposed to be employed, at any Academy;

6.28.2 a named pupil at, or candidate for admission to, any Academy; and

6.28.3 any matter which, by reason of its nature, the Directors are satisfied should remain confidential. Such matters shall remain confidential, will be minuted separately and such minutes will not be made publicly available.

6.29 Any Director shall be able to participate in meetings of the Directors by telephone conference or video conference provided that:

6.29.1 s/he has given notice of his/her intention to do so detailing the telephone number on which s/he can be reached and/or appropriate details of the video conference suite from which s/he shall be taking part at the time of the meeting at least 48 hours before the meeting; and

6.29.2 the Directors have access to the appropriate equipment. If after reasonable efforts it does not prove possible for the person to participate by telephone or video conference the meeting may still proceed with its business provided it is otherwise quorate.

6.29.3 The Clerk will physically attend the meeting in order to record the minutes.

7. CORRESPONDENCE

7.1 All incoming correspondence to the Directors (other than any concerning a complaint) is for the attention of the whole board, even if addressed to the Chair and/or the Clerk. Significant items will be presented to each meeting

of the Board for action or information as appropriate. The Chair will report upon any correspondence on which s/he has already taken urgent action.

- 7.2 The Directors will determine by resolution who may write letters on behalf of the Directors, either generally or on specific issues.

8. NOTICES

- 8.1 Any notice to be given to or by any person pursuant to this Scheme (other than a notice calling a meeting of the Directors) shall be in writing or shall be given using electronic communications to an address for the time being notified for that purpose to the person giving the notice. In this Scheme, 'address' in relation to electronic communications, includes a telephone number or email address used for the purposes of such communications.
- 8.2 A notice may be given by the Trust to its Directors either personally or by sending it by post in a prepaid envelope addressed to the Director at his/her registered address or by leaving it at that address or by giving notice using electronic communications to an email address provided by the Trust for each Director. A Director whose registered address is not within the United Kingdom and who gives to the Trust an address within the United Kingdom at which notices may be given to him/her, or an address to which notices may be sent using electronic communications, shall be entitled to have notices given to him/her at that address, but otherwise no such member shall be entitled to receive any notice from the Trust.
- 8.3 A Director present at any meeting of the Main Board shall be deemed to have received notice of the meeting and, where necessary, of the purposes for which it was called.
- 8.4 Proof that an envelope containing a notice was properly addressed, prepaid and posted shall be conclusive evidence that the notice was given. Proof that a notice contained in an electronic communication was sent shall be conclusive evidence that the notice was given. A notice shall be deemed to be given at the expiration of 48 hours after the envelope containing it was posted or, in the case of a notice contained in an electronic communication, at the expiration of 48 hours after the time it was sent.

9. INDEMNITY

- 9.1 Subject to the provisions of the Companies Act 2006 and Article 6.3 every Director or other officer or auditor of DBAT shall be indemnified out of the assets of DBAT against any liability incurred by him/her in that capacity in defending any proceedings, whether civil or criminal, in which judgment is given in favour or in which s/he is acquitted or in connection with any application in which relief is granted to him/her by the court from liability for negligence, default, breach of duty or breach of trust in relation to the affairs of DBAT.

APPENDIX 2

FUNCTIONING OF THE LOCAL BOARD

1. CHAIR, VICE-CHAIR and CLERK of the Local Board

1.1 Each Local Board shall have a Chair, a Vice-Chair and a Clerk. The Local Board cannot conduct its business without a Chair.

1.2 If the Chair is to be locally elected the members of each Local Board shall each academic year, at their first meeting in that year, elect a Chair from among their number to serve until a successor is appointed or a vacancy occurs as envisaged in paragraph 1.5.

1.3 The members of each Local Board shall each academic year, at their first meeting in that year, elect a Vice-Chair from among their number to serve until a successor is appointed or a vacancy occurs as envisaged in paragraph 1.5. Neither a person who is employed by DBAT (whether or not at the Academy) nor a person who is at the time of election already a Director shall be eligible for election as Vice-Chair, noting for the avoidance of doubt that the Chair will be eligible to serve as a Director.

1.4 Subject to paragraph 1.5, the Vice-Chair shall hold office as such until the successor has been elected in accordance with this clause 1.

1.5 The Chair or Vice-Chair may at any time resign his/her office by giving notice in writing to the Local Board. The Chair or Vice-Chair shall cease to hold office if:

1.5.1 The person ceases to serve on the Local Board;

1.5.2 The person is employed by DBAT whether or not at the Academy;

1.5.3 The person is removed from office in accordance with this Scheme; or

1.5.4 In the case of the Vice-Chair, they are elected in accordance with this Scheme to fill a vacancy in the office of Chair.

1.6 Where by reason of any of the matters referred to in paragraph 1.5, a vacancy arises in the office of Chair or Vice-Chair the members of the Local Board shall at its next meeting elect one of their numbers to fill that vacancy (if applicable).

The election of Chair/Vice-Chair will be a specific item of business on the agenda for that meeting.

- 1.7 Where the Chair is absent from any meeting or there is at the time a vacancy in the office of the Chair, the Vice-Chair shall act as the Chair for the purposes of the meeting.
- 1.8 Where in the circumstances referred to in paragraph 1.6 the Vice-Chair is also absent from the meeting or there is at the time a vacancy in the office of Vice-Chair, the members of the Local Board shall elect one of their number to act as a Chair for the purposes of that meeting, provided that the person elected shall neither be a person who is employed by DBAT (whether or not at the Academy) nor a Director.
- 1.9 If the Clerk does not attend a meeting the Local Board members present at the meeting can appoint a member of the Local Board or sub-committee (but not the headteacher) to act as Clerk for that meeting.
- 1.10 A Director or the Clerk shall act as Chair during that part of any meeting at which the Chair is elected.
- 1.11 Any election of the Chair or Vice-Chair which is contested shall be held by secret ballot.
- 1.12 The Chair may be removed from office by the Directors at any time or by the Local Board in accordance with this Scheme.
- 1.13 A resolution to remove the Vice-Chair from office which is passed at a meeting of the Local Board shall not have effect unless:
 - 1.13.1 it is confirmed by a resolution passed at a second meeting of the Local Board held not less than fourteen days after the first meeting; and
 - 1.13.2 The matter of the Vice-Chair's removal from office is specified as an item of business on the agenda for each of those meetings.
- 1.14 Before a resolution is passed by the Local Board at the relevant meeting as to whether to confirm the previous resolution to remove the Vice-Chair from office, the person or persons proposing his/her removal shall at that meeting state their reasons for doing so and the Vice-Chair shall be given an opportunity to make a

statement in response.

1.15 It is the responsibility of the Vice-Chair to make DBAT aware of any concerns relating to the Chair and how the Chair is overseeing the day to day management of the Academy.

1.16 The Clerk to each Local Board shall be appointed in accordance with the Responsibility Matrix in Appendix 6. The Principal or Local Board members cannot be Clerk to the Local Board. The Clerk shall be employed by the academy and the employment costs shall be met by the academy school which the Clerk serves.

1.17 It is expected that the Chair and Vice-Chair and other Local Board Members will attend appropriate training courses to maintain their expertise.

2. CONFLICTS OF INTEREST

2.1 Any Local Board Member who has or can have any direct or indirect duty or personal interest (including but not limited to any Personal Financial Interest) which conflicts or may conflict with his/her duties as a member of the Local Board shall disclose that fact to the Local Board as soon as s/he becomes aware of it. A person must absent him/herself from any discussions of the Local Board in which it is possible that a conflict will arise between his/her duty to act solely in the interests of the Academy and any duty or personal interest (including but not limited to any Personal Financial Interest).

2.2 For the purpose of paragraph 2.1, a person has a Personal Financial Interest if s/he, or any child, stepchild, parent, grandchild, grandparent, brother, sister or spouse of the member or any person living with the member as his or her partner, is in the employment of DBAT or is in receipt of remuneration or the provision of any other benefit directly from DBAT or in some other way is linked to DBAT or the Academy.

2.3 This clause 2 shall also apply to any member of any sub-committee of the Local Board who is not a Local Board Member.

2.4 Any disagreement between the members of the Local Board and the Principal or any sub-committee of the Local Board shall be referred to the Directors/Central Team for their determination.

2.5 The Clerk will maintain a register of the personal interests of its members, including a signed declaration from each member.

3. THE MINUTES

3.1 The minutes of the proceedings of a meeting of each Local Board shall be drawn up by the Clerk. The approval of the minutes of the previous meeting will be on the agenda of every meeting of the Local Board and once approved by the Local Board as a true record (subject to any agreed amendments) the minutes will be signed and dated by the Chair. The minutes shall include a record of:

3.1.1 All appointments made by the Local Board; and

3.1.2 All proceedings at meetings of the Local Board and of sub-committees of the Local Board including the names of all persons present at each such meeting.

3.1.3 The time of arrival and/or departure of any Local Board member not in attendance throughout any meeting.

3.1.4 Where a Local Board member sends an apology for absence with reason, the Local Board Chair will decide whether to 'accept' the apology and the Clerk will record the decision in the minutes.

3.1.5 Where important information required by the Local Board is given orally, it will be recorded in the minutes in appropriate detail.

3.1.6 Recommendations received from working groups or subcommittees will be recorded in the minutes, together with any related Local Board resolution

- 3.2 Within 5 school days of a meeting, the draft minutes will be sent by the Clerk to the Chair of that meeting for checking, and to the Principal.
- 3.3 Copies of the draft minutes, once 'approved' by the Chair, will be sent to all members of the Local Board by the Clerk within 10 school days of the meeting.
- 3.4 The minutes of meetings will be filed at the Academy with consecutively numbered loose-leaf pages. Minutes will include papers forming part of the meeting.
- 3.5 The Clerk shall send copies of minutes of all meetings of the Local Board (and sub-committees to the DBAT Central Team as soon as reasonably practicable after those minutes are drafted, and again once they have been approved.
- 3.6 Action will be taken on the basis of decisions and need not await the approval of the minutes at the next meeting.

4. SUB-COMMITTEES

- 4.1 A Local Board may establish any sub-committee in accordance with the provisions of this Scheme. The constitution, membership, proceedings and reporting arrangements of any sub-committee shall be determined by the Local Board but having regard to any views of the Main Board/Central Team. The establishment, terms of reference, constitution and membership of any sub-committee shall be reviewed at least once in every twelve months. The membership of any sub-committee may include any expert person who is not a member of the Local Board or a Director, provided that a majority of the members of any such sub-committee shall be members of the Local Board or Directors. Any member of a sub-committee who is not a member of the Local Board or a Director shall not be entitled to vote in any proceedings of the sub-committee.
- 4.2 All sub-committees will keep formal minutes, and copies will be presented to the next meeting of the Local Board for information. The Local Board will receive and note, without debate, any decisions on matters which it has delegated to a sub-committee or to an individual. Decisions will be recorded in the minutes.
- 4.3 The Local Board will appoint the Chair of each sub-committee.

4.4 Sub-committees will meet at a frequency determined by the Local Board.

5 DELEGATION

5.1 Members of the Local Board should recognise that all decisions must be made by the Local Board provided such power or function has been delegated to a Local Board. The Local Board may further delegate to any person serving on the Local Board, a sub-committee of the Local Board, the Principal or any other holder of an executive office, such of their powers or functions as they consider desirable to be exercised by them. Any such delegation may be made subject to any conditions imposed either by the Main Board or the Local Board and may be revoked or altered.

5.2 Where any power or function of the Main Board or the Local Board is exercised by any sub-committee, any Director or Local Board Member, the Principal or any other holder of an executive office, that person or sub-committee shall report to the Local Board in respect of any action taken or decision made with respect to the exercise of that power or function at the meeting of the Local Board immediately following the taking of the action or the making of the decision.

5.3 The Chair, or in his or her absence the Vice-Chair, has authority to take urgent action between meetings only where:

- a delay in dealing with the matter would be seriously detrimental to the interests of the school, a pupil, his/her parents, or a member of staff;
- a meeting could not be called in sufficient time to deal with the matter;
- s/he has first consulted with a member of the DBAT Central Senior Leadership Team.

If the Chair (or Vice-Chair) takes any urgent action between meetings, the facts will be reported to the next meeting of the Local Board.

6 MEETINGS OF THE LOCAL BOARD

6.1 Subject to this Scheme, each Local Board may regulate its proceedings as the

Local Board Members think fit.

6.2 The Local Board will set the dates for its meetings, including those of any sub-committee and/or working group for the next school year by the final meeting of the previous school year.

6.3 Meetings will start at times which are acceptable to the Local Board and will be limited to 2 hours duration.

6.4 The Local Board shall meet at least once per term (based on a three term year) in every school year. Meetings of the Local Board shall be convened by the Clerk to the Local Board. In exercising his/her functions under this Scheme the Clerk shall comply with any direction:

6.4.1 given by the Main Board/Central Team or the Local Board; or

6.4.2 given by the Chair of the Local Board or, in his/her absence or where there is a vacancy in the office of Chair, the Vice-Chair of the Local Board, so far as such direction is not inconsistent with any direction given as mentioned in 6.4.1 above.

6.5 Any three Local Board Members may, by notice in writing given to the Clerk (copying the Chair), request a meeting of the Local Board; and it shall be the duty of the Clerk to convene such a meeting as soon as is reasonably practicable.

6.6 The agenda will be prepared by the Clerk in accordance with any determination of the Local Board and in consultation with the Chair and the Principal and where the Clerk is also the Clerk to any sub-committees the Chair of the sub-committee and the Principal.

6.7 Any Local Board member may place an item on the agenda by writing to the Clerk.

6.8 The agenda will include 'Any Other Business'. Any Local Board member wishing to raise an urgent meeting item must give notice to the Chair at least 24 hours before the meeting. The Chair will decide if the item is to be discussed or, if appropriate, deferred to a subsequent meeting.

6.9 The Principal is expected to keep the Local Board fully informed, and will

provide a written report to the Local Board at least three times per year using the standard DBAT template/guidance.

6.10 At least 7 clear days before the date of a meeting, every Local Board Member shall be given by the Clerk:

6.10.1 notice in writing thereof, sent to each Local Board Member at the email address provided by each member; and

6.10.2 a copy of the agenda and associated paperwork to be discussed at the meeting;

provided that where the Chair or, in his/her absence or where there is a vacancy in the office of Chair, the Vice-Chair, so determines on the ground that there are matters demanding urgent consideration, it shall be sufficient if the written notice of a meeting, and the copy of the agenda thereof are given within such shorter period as s/he directs.

6.11 The convening of a meeting and the proceedings conducted thereat shall not be invalidated by reason of any individual not having received written notice of the meeting or a copy of the agenda thereof.

6.12 Apart from Local Board members, the only people entitled to attend a meeting of the Local Board are the Clerk, co-opted members, staff from the DBAT Central Team, DBAT Directors and any such other persons as the Local Board or Main Board may determine. No substitute members are permitted, except in the case of 6.14. Any person attending in an advisory role will have no voting rights.

6.13 Co-opted members may be required to leave a meeting where matters of a confidential nature are discussed. The Local Board can require any non-member present at a meeting to leave at any time.

6.14 When the Principal is absent, their deputy will attend in his/her place but will have no vote (unless in the long-term absence of the Principal, the deputy has been appointed acting Principal). The deputy may also be invited to attend meetings of the Local Board as an observer, as part of their professional development, or to contribute to agenda items, eg performance data.

6.15 A resolution to rescind or vary a resolution carried at a previous meeting of a

Local Board shall not be proposed at a meeting of the Local Board unless the consideration of the rescission or variation of the previous resolution is a specific item of business on the agenda for that meeting.

6.16 A meeting of a Local Board shall be terminated forthwith if:

6.16.1 the Local Board Members so resolve; or

6.16.2 the number of members present ceases to constitute a quorum for a meeting of the Local Board in accordance with paragraph 6.19, subject to paragraph 6.21.

6.17 Where in accordance with paragraph 6.16 a meeting is not held or is terminated before all the matters specified as items of business on the agenda for the meeting have been disposed of, a further meeting shall be convened by the Clerk as soon as is reasonably practicable, but in any event within fourteen days of the date on which the meeting was originally to be held or was so terminated.

6.18 Where a Local Board resolves in accordance with paragraph 6.16 to adjourn a meeting before all the items of business on the agenda have been disposed of, the Local Board shall before doing so determine the time and date at which a further meeting is to be held for the purposes of completing the consideration of those items, and they shall direct the Clerk to convene a meeting accordingly.

6.19 Subject to paragraph 6.21, the quorum for a meeting of a Local Board and any vote on any matter thereat, shall be at least three Local Board Members, or, where greater, one third (rounded up to a whole number) of the total number of Local Board Members in office at the date of the meeting.

6.20 A Local Board may act notwithstanding any vacancies on the Local Board, but, if the numbers of persons serving is less than the number fixed as the quorum, the continuing persons may act only for the purpose of filling vacancies.

6.21 The quorum for the purposes of any vote on the removal of a person from the Local Board in accordance with this Scheme or the appointment of a co-opted Local Board Member shall be any two-thirds (rounded up to a whole number) of the persons who are at the time persons entitled to vote on those respective matters.

6.22 Subject to this Scheme, every question to be decided at a meeting of the Local Board shall be determined by a majority of the votes of the persons present and entitled to vote on the question. Every Local Board Member shall have one vote.

6.23 Subject to paragraphs 6.19 – 6.21, where there is an equal division of votes, the Chair of the meeting shall have a casting vote in addition to any other vote s/he may have.

6.24 The Chair will ensure that meetings are run effectively, focussing on priorities and making best use of time available and ensuring that all members enjoy equality of opportunity to express their views and participate in decision making.

6.25 The proceedings of a Local Board shall not be invalidated by:

6.25.1 any vacancy on the board; or

6.25.2 any defect in the election, appointment or nomination of any person serving on the Local Board.

6.26 A resolution in writing, signed by all the persons entitled to receive notice of a meeting of a Local Board or of a sub-committee of a Local Board, shall be valid and effective as if it had been passed at a meeting of the Local Board or (as the case may be) a sub-committee of the Local Board duly convened and held. Such a resolution may consist of several documents in the same form, each signed by one or more of the members of the Local Board and may include an electronic communication by or on behalf of the Local Board indicating his/her agreement to the form of resolution providing that the member has previously notified the Local Board in writing of the email address or addresses that the member will use.

6.27 Subject to paragraph 6.28, a Local Board shall ensure that copies of:

6.27.1 the agenda for every meeting of the Local Board;

6.27.2 the draft minutes of every such meeting, if they have been approved by the person acting as Chair of that meeting;

6.27.3 the signed minutes of every such meeting; and

6.27.4 any report, document or other paper considered at any such

meeting,

are to be made available, as soon as is reasonably practicable, to persons wishing to inspect them.

6.28 There may be excluded from any item required to be made available in pursuance of paragraph 6.27, any material relating to:

6.28.1 a named person employed, or proposed to be employed, at the Academy;

6.28.2 a named pupil at, or candidate for admission to, the Academy; and

6.28.3 any matter which, by reason of its nature, the Local Board is satisfied should remain confidential. Such matters shall remain confidential, will be minuted separately and such minutes will not be made publicly available.

6.29 Any Local Board Member shall be able to participate in meetings of the Local Board by telephone conference or video conference provided that:

6.29.1 s/he has given notice of his/her intention to do so detailing the telephone number on which s/he can be reached and/or appropriate details of the video conference suite from which s/he shall be taking part at the time of the meeting at least 48 hours before the meeting; and

6.29.2 the Local Board has access to the appropriate equipment. If after reasonable efforts it does not prove possible for the person to participate by telephone or video conference the meeting may still proceed with its business provided it is otherwise quorate.

6.29.3 The Clerk will physically attend the meeting in order to record the minutes.

7 CORRESPONDENCE

7.1 All incoming correspondence to the Local Board (other than any concerning a complaint) is for the attention of the whole board, even if addressed to the Chair

and/or the Clerk. Significant items will be presented to each meeting of the Local Board for action or information as appropriate. The Chair will report upon any correspondence on which s/he has already taken urgent action.

7.2 The Local Board will determine by resolution who may write letters on behalf of the Local Board, either generally or on specific issues.

8 NOTICES

8.1 Any notice to be given to or by any person pursuant to this Scheme (other than a notice calling a meeting of a Local Board) shall be in writing or shall be given using electronic communications to an address for the time being notified for that purpose to the person giving the notice. In this Scheme, 'address' in relation to electronic communications, includes a telephone number or email address used for the purposes of such communications.

8.2 A notice may be given by a Local Board to its members either personally or by sending it by post in a prepaid envelope addressed to the member at his/her registered address or by leaving it at that address or by giving notice using electronic communications to an email provided by the Trust for each Local Board member. A Local Board Member whose registered address is not within the United Kingdom and who gives to the Local Board an address within the United Kingdom at which notices may be given to him/her, or an address to which notices may be sent using electronic communications, shall be entitled to have notices given to him/her at that address, but otherwise no such member shall be entitled to receive any notice from the Local Board.

8.3 A Local Board Member present at any meeting of the Local Board shall be deemed to have received notice of the meeting and, where necessary, of the purposes for which it was called.

8.4 Proof that an envelope containing a notice was properly addressed, prepaid and posted shall be conclusive evidence that the notice was given. Proof that a notice contained in an electronic communication was sent shall be conclusive evidence that the notice was given. A notice shall be deemed to be given at the expiration of 48 hours after the envelope containing it was posted by first class post or, in the case of a notice contained in an electronic communication, at the expiration of 48 hours after the time it was sent.

9 INDEMNITY

9.1 Subject to the provisions of the Companies Act 2006 every member of a Local Board or other officer or auditor of DBAT acting in relation to an Academy shall be indemnified out of the assets of DBAT against any liability incurred by him/her in that capacity in defending any proceedings, whether civil or criminal, in which judgment is given in favour or in which s/he is acquitted or in connection with any application in which relief is granted to him/her by the court from liability for negligence, default, breach of duty or breach of trust in relation to the affairs of DBAT.

APPENDIX 3

FINANCIAL PROCEDURES

Contents

1. Introduction
2. Organisation
3. Accounting System
4. Financial Planning
5. Payroll
6. Purchasing
7. Income
8. Cash Management
9. Fixed Assets
10. VAT

1 Introduction

The purpose of these procedures is to provide a basis for ensuring that the Diocese of Bristol Academies Trust (DBAT) maintains and develops systems of financial control which conform to the requirements both of propriety and of good financial management. It is essential that these systems operate properly to meet the requirements of the DfE funding agreement and the latest version of the Academies Financial Handbook.

DBAT and its academies must comply with the principles of financial control outlined here and with guidance published from time to time by the funding and regulatory Agency. These regulations provide detailed information on DBAT's accounting procedures and systems. They are agreed with DBAT's External Auditors and should be read by all staff involved with financial matters.

These regulations and procedures should be read in conjunction with the Academies Financial Handbook issued by the regulatory Agency.

2 Organisation

DBAT has defined the responsibilities of each person involved in the administration of its finances to avoid the duplication or omission of functions and to provide a framework of accountability for the Board and staff. The financial reporting structure is illustrated below:

2.1 The Board of Directors

The Board has overall responsibility for the administration of the DBAT's finances. The main responsibilities of the Board are set out in the Master Funding Agreement between DBAT and the DfE and additional items from the Academies Financial Handbook. The main responsibilities include:

- Ensuring that grant from the funding and regulatory Agency is only used for the purposes intended;
- Approval of DBAT's annual budget;
- Approval of individual expenditure transactions or contracts greater than £20,000. Ensuring that the decision is included in the minutes of the meeting;
- Appointment of the CEO;
- Monitoring of the financial affairs of DBAT.

2.2 Finance and Audit Committee

The Finance and Audit Committee is a committee of the Board. It meets at least twice a year.

The main responsibilities of the Finance and Audit Committee are set out in the Academies Financial Handbook (AFH) and in its detailed Terms of Reference. The responsibilities include:

- Ensuring the annual accounts are produced in accordance with the requirements of the Companies Act, the Charities SORP, and the Funding and regulatory Agency guidance issued to academies;
- Consideration of auditors' reports and review of the reports of the internal auditor;
- Reviewing the risks to internal financial control;
- Agreeing a programme of work to address, and provide assurance on those risks;
- Scrutinising financial arrangements including systems of financial control, transactions and contracts;
- Report to the Board on issues or exceptions raised to the Committee.

2.3 The Chief Executive Officer (CEO)

As DBAT's Accounting Officer, the Chief Executive Officer (CEO) is responsible to Parliament for DBAT's systems of internal financial control and its financial resources.

The CEO is responsible for:

- Authorising senior Academy appointments;
- Authorising bonuses or ex-gratia payments made to non-senior staff;
- Authorising permanent changes to DBATs establishment with the approval of the Board.
- Monitoring of the Health & Safety policy on behalf of the board.
- Signing cheques and authorising electronic payments in conjunction with any other authorised signatory;

2.4 The Chief Financial Officer (CFO)

The CFO is DBAT's Principal Finance Officer, and is appointed by and is accountable to the CEO and the Board. The main financial responsibilities of the CFO include but are not limited to:

- The day to day management of financial issues including the establishment and operation of a suitable accounting system;

- The management of DBAT's financial position at a strategic level within the framework for financial control determined by the governing body;
- The oversight of the financial positions of the individual Academies;
- The maintenance of effective systems of internal control;
- Ensuring that the annual accounts are properly presented and adequately supported by the underlying books and records of the Trust;
- The preparation of monthly management information;
- Signing cheques and authorising electronic payments in conjunction with any other authorised signatory;
- Ensuring forms and returns are sent to the EFA in line with the timetable in the EFA guidance;
- Provision of guidance to the Board on financial matters;

2.5 The Company Secretary (CS)

The role of CS may be 'included' in the day to day responsibilities of the CFO.

The responsibilities of the CS are to:

- Maintain the records of the Trustees of DBAT at Companies House
- Complete appropriate annual returns

2.6 Academy Principal

The Academy Principal (Principal) is responsible for preparing budget proposals for their Academy, in conjunction with their Academy Business Manager (ABM) / Bursar (BU), and for operating within the agreed academy budget.

Subject to the delegated authority given by the Board, the Principal has the authority to:

- Make appointments within the approved establishment in conjunction with the Local Board's Staffing Committee;
- Authorise orders up to £5,000;
- Authorise orders over £5,000 and up to £20,000 in conjunction with the chair of the Local Board;
- Authorise incremental pay increases in line with the Trust's pay policy and in agreement with the Local Board's Staffing Committee.

2.7 Academy Business Manager (ABM) / Bursar

Academy business Managers (ABMs) and Bursars are responsible for providing the professional expertise to manage the day to day finances of the Academy and supporting the Principal and Local Board with financial planning and budget setting. Details of these responsibilities can be found in the sections below.

Subject to the delegated authority given by the Board, the ABM has the authority to:

- Authorise orders up to £1,000

2.8 Local Board

Each Local Board shall ensure that proper procedures are put in place for the safeguarding of funds and other assets and that the requirements of the Academies Financial Handbook are observed at all times as well as any requirements and recommendations of the Main Board and the Secretary of State. Each Local Board shall also develop appropriate risk management strategies (or adopt strategies promulgated by the Main Board) and shall at all times adopt financial prudence in managing the financial affairs of DBAT in so far as these relate to the relevant Academy.

The Local Board is responsible for:

- Detailed review of proposed annual budget with recommendations for adoption to the Board;
- Review current year financial performance compared to budget;
- Review proposals for capital expenditure with recommendations for adoption to the Board above delegated authority.

When a Local Board has the power to enter into contracts on behalf of DBAT, such Local Board shall at all times operate in accordance with the Standing Financial Instructions and Financial Procedures and the Decision Tables in the Scheme of Delegation.

Each Local Board shall provide such information about the finances of the Academy as often and in such format as the Main Board shall reasonably require. Without prejudice to the above, the Local Board shall provide management accounts in an approved format to the Main Board at least once per term (based on a three term year) or as requested by DBAT. In addition, the Local Board shall inform the Main Board forthwith of any need for significant unplanned expenditure and will discuss with the Main Board options for identifying available funding.

2.9 Internal Audit Team

An Internal Audit service is supplied by RSM Risk Assurance Services LLP and provides the Board with an independent oversight of DBAT's financial affairs. The main duties of the Internal Audit Team are to provide the Board with independent assurance that:

- The financial responsibilities of the Board are being properly discharged;
- Resources are being managed in an efficient, economical and effective manner;
- Sound systems of internal financial control are being maintained;
- Financial considerations are fully taken into account in reaching decisions.

The Internal Audit Team will undertake a regular programme of reviews to ensure that financial transactions have been properly processed and that controls are operating as agreed by the Board. A report of the findings from each visit will be presented to the Finance and Audit Committee for recommendation.

2.10 Other Staff

Other members of staff, primarily the ABMs, Bursars, DBAT's Administration Team, and the budget holders, will have some financial responsibilities and these are detailed in the following sections of this manual. All staff are responsible for the security of DBAT property, for avoiding loss or damage, for ensuring economy and efficiency in the use of resources and for conformity with the requirements of DBAT's financial procedures.

2.11 Register of Interests

It is important for anyone involved in spending public money to demonstrate that they do not benefit personally from the decisions they make or influence. To avoid any misunderstanding that might arise all DBAT Board Members, Academy Board Members, and staff with significant financial or spending powers are required to declare any financial interests they have in companies or individuals from whom DBAT may purchase goods or services. The register is open to public inspection.

The register should include all business interests such as directorships, share holdings or other appointments of influence within a business or organisation which may have dealings with DBAT. The disclosures should also include business interests of relatives such as a parent or spouse or business partner where influence could be exerted over a local board member or a member of staff by that person.

The existence of a register of business interests does not, of course, detract from the duties of Board members and staff to declare interests whenever they are relevant to matters being discussed by the Board or a committee. Where an interest has been declared, Board members and staff should not attend that part of any committee or other meeting.

3 Accounting system

All the financial transactions of DBAT and its academies must be recorded on the Trust's accounting system.

3.1 System Access

Access to the system is password restricted and the CFO/ ABM/ Bursar is responsible for implementing a system which ensures that passwords are changed as appropriate.

Access to the component parts of the system can also be restricted and the CFO/ ABM/ Bursar is responsible for setting access levels for all members of staff using the system.

3.2 Back-up Procedures

The CFO/ ABM/ Bursar is responsible for ensuring that there are effective back up procedures for the system.

The CFO/ ABM/ Bursar should also prepare a disaster recovery plan in the event of loss of accounting facilities or financial data. This should link in with the annual assessment made by the Board of the major risks to which the Trust is exposed and the systems that have been put in place to mitigate those risks.

3.3 Transaction Processing

All transactions input to the accounting system must be authorised in accordance with the procedures specified in these regulations. All journal entries must be documented on the appropriate journal form and authorised by an appropriate individual.

Bank transactions should be input by the Finance Assistants and the input should be checked, and signed to evidence this check, by the ABM / Bursar.

3.4 Transaction Reports

The ABM / Bursar will obtain and review system reports to ensure that only regular transactions are posted to the accounting system. The report obtained and reviewed will include:

- The weekly or monthly audit trail reports;
- Amendment reports for the payroll, purchase ledger and sales ledger;
- Management accounts summarising expenditure and income against budget at budget holder level.

3.5 Reconciliations

The ABM / Bursar is responsible for ensuring the following reconciliations are performed each month, and that any reconciling or balancing amounts are cleared:

- Sales ledger control account;
- Purchase ledger control account;
- Payroll control account;
- All suspense accounts;
- Bank accounts;
- Petty cash

The ABM / Bursar will review and sign all reconciliations as evidence of review. Any unusual or long outstanding reconciling items must be brought to the attention of the DBAT Finance team.

4 Financial planning

DBAT prepares both annual budgets and three year financial forecasts.

The three year financial forecast is prepared as part of the development planning process and provides the framework for the annual budget.

The budget is a detailed statement of the expected resources available to the Academy and the planned use of those resources for the following year.

4.1 Annual Budget Preparation

The ABMs / Bursars are responsible for preparing the draft Academy annual budget in conjunction with their Principal. The annual budget will reflect the best estimate of the resources available to each Academy for the forthcoming year and will detail how those resources are to be utilised.

The budgetary planning process will incorporate the following elements:

- Forecasts of the likely number of students to estimate the amount of grant receivable;

- Review of other income sources available to the Academy to assess likely level of receipts;
- Staffing structure;
- Review of past performance against budgets to promote an understanding of the Academy cost base;
- Identification of potential efficiency savings;
- Review of the main expenditure headings in light of the development plan objectives and the expected variations in cost e.g. pay increases, inflation and other anticipated changes;
- Identification of capital expenditure projects;
- Availability of reserves or other funding sources

4.2 Surplus targets

The Board will agree a reserves policy, which will determine the level of surplus that each Academy is required to generate. If shortfalls are identified, opportunities to increase income should be explored and expenditure headings will need to be reviewed for areas where cuts can be made. This may entail prioritising tasks and deferring projects until more funding is available. Plans and budgets will need to be revised until they generate the surplus required to meet the Board's reserves policy.

4.3 Budget approval

The revenue budget and capital plans must be reviewed by the Academy's Local Board and then presented to the Board for approval. The Board must approve the final Academy budget.

The approved budget must be submitted to the EFA in accordance with any guidance issued by the Agency.

4.4 Finalising the Budget

Each Academy's budget should be communicated by the ABM / Bursar to all staff with responsibility for budget headings so that everyone is aware of the overall budgetary constraints.

The budget should be accompanied by a statement of assumptions and hierarchy of priorities so that if circumstances change, it is easier for all concerned to take remedial

action. The budget should be seen as a working document which may need revising throughout the year as circumstances change.

4.5 Monitoring and Review

Monthly income and expenditure reports will be prepared by the ABMs / Bursars. The reports will detail actual income and expenditure against budget with explanations in relation to any significant variances. The reports will be reviewed by the Local Board and will be reported (at a summary level where appropriate) to the Board of Directors.

Any potential overspend against the budget must in the first instance be discussed with the ABM / Bursar. The accounting system will not allow payments to be made against an overspent budget without the approval of the ABM / Bursar.

The monitoring process should be effective and timely in highlighting variances in the budget so that differences can be investigated and action taken where appropriate to vire money, up to a limit of £5k, from another budget head or from the contingency. Requests for virements must be approved by the Local Board and via the management accounts.

5 Payroll

- The main elements of the payroll system are:
- Staff appointments;
- Payroll administration and
- Payments

5.1 Staff Appointments

The agreed budget will identify a personnel establishment for the Academy. Changes to the establishment which are within the overall approved budget, or which are of a temporary nature, can be made with the approval of the Principal. Permanent changes, which are outside the agreed budgets, can only be made with the approval of the DBAT Board.

The Principal in consultation with the Local board's Staffing committee has authority to appoint staff within the authorised establishment except for SLT members whose appointments must follow consultation with the CEO. The pay rate for new appointments must be in line with DBAT pay policy.

Personnel files are held at the Academy, for all members of staff which include contracts of employment. All personnel changes must be notified, in writing and recorded in the personnel file.

Any bonuses or ex-gratia payments must be approved by the CEO (or Board for senior staff).

5.2 Payroll Administration

The Trust currently has an external payroll provider – Bishop Fleming Payroll Services Ltd.

All staff receive payment every month from the payroll provider on the basis of a third party payment made on behalf of the Trust. The payroll provider creates a master file for each employee which records required details which include:

- Salary;
- Bank account details;
- Taxation status;
- Personal details, and;
- Any deductions or allowances payable.

New staff can only be added to the payroll on the basis of the completion of the relevant 'New Starter' form, which is authorised by the Principal and DBAT. Any other changes must also be authorised by the Principal / ABM / Bursar. All payroll changes must be reviewed by the ABM / Bursar prior to the payroll being signed off for payment.

Each Academy is responsible for recording and monitoring sickness and attendance.

Before the payroll is processed a print of all data input should be obtained and this should be checked against source documentation by the ABM / Bursar.

5.3 Payments

After the payroll has been processed but before payments are dispatched a print of salary payments by Academy and showing the amount payable in total should be obtained from the system. The CFO/ ABM/ Bursar will ensure that a reconciliation between the current month's and the previous month's gross salary payments is prepared, showing all adjustments made. This will be reviewed and signed prior to payments being authorised.

Instruction to release payment will be sent by ABM / Bursar to the payroll provider. All salary payments will be made by BACS.

The payroll provider calculates the deductions due from payroll to comply with current legislation. The major deductions are for tax, National Insurance contributions and pensions. The amounts payable are summarised on the gross to net pay print and are paid over by the payroll provider on the basis of a third party payment.

After the payroll has been processed the nominal ledger will be updated. Postings will be made both to the payroll control account and to individual cost centres. The payroll control account should be reviewed each month to ensure the correct amount has been posted from the payroll system, individual cost centres have been correctly updated and to identify any amounts posted to the suspense account.

The ABM / Bursar will periodically check that the gross pay per the payroll system agrees to the individual contracts of employment held on personnel files.

6 Purchasing

DBAT strives to achieve the best value for money from all purchases. This means we aim to obtain what is needed in the correct quality, quantity and time at the best price possible. As a large proportion of our purchases will be paid for with public funds, we will follow the general principles of:

- Probity, it must be demonstrable that there is no corruption or private gain involved in the contractual relationships of DBAT;
- Accountability, DBAT is publicly accountable for its expenditure and the conduct of its affairs;
- Fairness, that all those dealt with by DBAT are dealt with on a fair and equitable basis.

6.1 Budget Holders

Budget holders will be informed of the budget available to them before the start of the academic year. It is the responsibility of the budget holder to ensure:

- That there are sufficient uncommitted funds to pay for any goods/services ordered.
- That the goods ordered are part of planned expenditure in line with the School Development Plan and the school maintenance plan.

- That the prices quoted are correct, that postage and packaging are included where necessary, and that the goods/services are ordered from an approved supplier.
- The budget holder must sign the internal requisition.

6.2 Orders for Goods and Services

To be read in conjunction with DBAT Procurement Policy for Academies.

Official orders will be raised using the Academy financial accounting system on receipt of a completed requisition form signed by the appropriate budget holder. The requisition must show:

- The supplier and goods / services required
- The person ordering the goods
- The total value of the order or best estimate
- The budget and the signature of the budget holder
- The authorisation of the ABM / Bursar

The completed order will be e-mailed to the supplier.

A member of office staff must make appropriate arrangements for the delivery of goods to the Academy. On receipt the budget holder must undertake a detailed check of the goods received against the goods received note (GRN) and make a record of any discrepancies between the goods delivered and the GRN. Delivery notes should be signed, dated and returned to the office within two working days and will be filed. Discrepancies should be discussed with the supplier of the goods without delay. GRNs should be processed on the finance system.

If any goods are rejected or returned to the supplier because they are not as ordered or are of sub-standard quality, the ABM / Bursar should be notified and a record maintained.

All invoices should be checked by the Academy team prior to payment. Where there is a variance between the final invoice and the approved order, further authorisation will be sought.

The only exception to the above procedures is when one order is raised for an annual commitment, for example, telephone charges, cleaning contract, photocopier lease, etc. These orders are issued at the beginning of the financial year and remain 'open' for the whole year with all appropriate invoices being allocated to the one order.

Cash payments are dealt with in section 8.2 below.

6.3 Orders up to £1,000

Purchase orders are approved by the budget holder and the ABM / Bursar.

6.4 Orders over £1,000 but less than £5,000

Purchase orders in this category are authorised by the ABM and the Principal. Verbal prices/quotations should be obtained.

6.5 Orders over £5,000 but less than £20,000

6.5.1 Capital expenditure

Orders over £5,000 but less than £10,000 are further authorised by the Principal and the Chair of the Local Board. Orders over £10,000 but less than £20,000 are further authorised by the Chief Financial Officer. Written quotes should be obtained where possible. If not, verbal quotes should be obtained.

6.5.2 Revenue expenditure

Orders over £5,000 but less than £20,000 are further authorised by the Principal and the Chair of the Local Board. Written quotes should be obtained where possible. If not, verbal quotes should be obtained.

6.6 Orders over £20,000 but less than £60,000

Approval must first be obtained from the main DBAT Board for any expenditure in excess of £20,000. The Board approval must be noted in the minutes of the meeting.

Before any order is placed at least three quotations should be obtained to identify the best source of the goods/services. Written details of quotations obtained should be prepared and retained by the ABM / Bursar for audit purposes.

6.7 Orders over £60,000 but less than EU procurement limit

A competitive tendering exercise should be carried-out if no suitable framework exists. Approval should be obtained from the Main Board.

6.7 Orders above EU procurement limit

All proposed expenditure above the EU procurement limit must first be approved by the main DBAT Board and then advertised in the Official Journal of the European Union (OJEU) and

carried-out in accordance with PCR. Guidance on the OJEU thresholds is available from the Cabinet Office. Useful information can be found at:

<https://www.gov.uk/tendering-for-public-sector-contracts>

Further guidance can be found in the DBAT Procurement Policy for Academies.

7 Income

7.1 Grant income

The main sources of income for DBAT are the grants to its Academies from the funding and regulatory Agency, the EFA. The receipt of these sums is monitored directly by the DBAT Finance Team who is responsible for ensuring that all grants due to DBAT are received.

Applications for other grants must be notified to the DBAT Finance Team. The award of new grants must be notified, with a copy of the grant letter, to the DBAT Finance Team to ensure that the collection of income is managed effectively and that any conditions of grant are met.

7.2 Invoiced income

DBAT and academies also obtains income from other sources in accordance with its charitable objects and its charges and remissions policy. All invoices should be raised and posted on to the appropriate accounting system.

7.3 Trips

A staff member must be appointed for each trip to take responsibility for the collection of sums due. The responsible staff member must prepare a record for each student intending to go on the trip showing the amount due.

Receipts must be issued for all monies collected and the value of the receipt and the number of the receipt recorded against the student making the payment.

The ABM / Bursar should maintain an up to date record for each student showing the amount paid and the amount outstanding. The responsible staff member is responsible for chasing the outstanding amounts.

7.4 Lettings

Each Academy will have its own Charging and Lettings Policy within guidelines set by the Board. Records of bookings of Academy facilities must be kept, identifying the sums due. A deposit or full payment must be made in advance for the use of facilities. Monies due for lettings should be invoiced using the appropriate accounting system.

Details of organisations or individuals using the facilities should be sent to the ABM / Bursar who will ensure that a formal letting agreement is issued for all lettings. Details of payments made and outstanding accounts will be maintained. Outstanding amounts will be chased by the responsible staff member.

7.5 Custody

All cash and cheques must be kept in the ABM's / Bursar's safe prior to banking. Banking should take place every week or more frequently if the sums collected exceed the insurance limit on the safe.

Monies collected must be banked in their entirety in the appropriate bank account. The Finance Team will prepare reconciliations between the sums collected, the sums deposited at the bank and the sums posted to the accounting system. The reconciliations must be prepared promptly and must be reviewed by ABM/ Bursar/ Principal.

7.6 Credit Control

ABMs should regularly review sales ledger balances to identify credit control needs.

The write off of debts up to £45,000 must be approved in line with the Decision Tables shown in Appendix 5. Write-offs over £45,000 or 1% of annual income, whichever is lower, must be approved by the EFA in line with the Academies Financial Handbook.

8 Cash Management

8.1 Bank Accounts

The opening of all accounts must be authorised by the Board who must set out the arrangements covering the operation of accounts, including any electronic payments, transfers between accounts and cheque signing arrangements.

Deposits

Particulars of any deposit must be entered on a copy paying-in slip, counterfoil or listed in a supporting book. The details should include:

- the amount of the deposit and
- a reference, such as the number of the receipt or the name of the debtor.

Payments and withdrawals

All cheques and other instruments (e.g. BACS) authorising withdrawals or payments from DBAT bank accounts must bear the signatures of two authorised signatories.

This provision applies to all accounts, public or private, operated by or on behalf of the Board.

Administration

The ABM / Bursar must ensure bank statements are received regularly and that reconciliations are performed at least on a monthly basis. Reconciliation procedures must ensure that all bank accounts are reconciled to the cash book and that adjustments arising are dealt with promptly.

8.2 Petty Cash Accounts

Each Academy maintains a maximum cash balance of £500. The cash is kept in the ABM's / Bursar's safe.

The only deposits to petty cash should be from cheques cashed specifically for the purpose. The receipt should be recorded in the petty cash system with the date, amount and a reference, normally the cheque number, relating to the payment. All other cash receipts for whatever reason should be paid directly into the bank.

Petty cash payments will be limited to £50. Higher value payments should be made by cheque directly from the main bank account as a cash book payment.

All transactions must be entered into the petty cash records on a regular basis, and regular, as well as unannounced cash counts should be undertaken by the ABM and Finance Department to ensure that the cash balance reconciles to supporting documentation.

8.3 Credit Cards

Credit cards will be issued to ABMs / Bursars on the approval of the Board / CEO / TFO. The normal credit limit will be £2,000. Credit cards will be managed as payment cards for the Academy. Balances will be cleared in full on a monthly basis. Credit cards may not be used for personal purchases.

8.4 Cash Management

DBAT in collaboration with its bankers, operates a cash management scheme whereby the credit balances held on all DBAT bank accounts is placed on deposit.

The ABM / Bursar is responsible for preparing cash flow forecasts to ensure that the Academy has sufficient funds available to pay for day to day operations.

8.5 Investments

Investments must be made only in accordance with written procedures approved by the Board.

All investments must be recorded in sufficient detail to identify the investment and to enable the current market value to be calculated. The information required will normally be the date of purchase, the cost and a description of the investment. Additional procedures may be required to ensure any income receivable from the investment is received.

9 Fixed assets

9.1 Asset register

All items purchased with a value over DBAT's capitalisation limit must be entered in an asset register. The asset register should include the following information:

- asset description and serial number
- date of acquisition
- asset cost
- source of funding (% of original cost funded from Funding and regulatory Agency grant and % funded from other sources)
- expected useful economic life
- depreciation
- current book value
- location

The Asset Register will:

- Ensure that staff take responsibility for the safe custody of assets;
- Enable independent checks on the safe custody of assets, as a deterrent against theft or misuse;
- To manage the effective utilisation of assets and to plan for their replacement;

- Help the external auditors to draw conclusions on the annual accounts and DBAT's financial system;
- Support insurance claims in the event of fire, theft, vandalism or other disasters.

9.2 Security of assets

Stores and equipment must be secured by means of physical and other security devices. Only authorised staff may access the stores.

All the items in the register should be permanently and visibly marked as DBAT's property and there should be a regular (at least annual) count by someone other than the person maintaining the register. Discrepancies between the physical count and the amount recorded in the register should be investigated promptly and, where significant, reported to the Audit Committee.

Inventories of Academy property should be kept up to date and reviewed regularly. Where items are used by the Academy but do not belong to it this should be noted.

9.3 Disposals

Disposals should be made in line with the Academies' Financial Handbook. Items which are to be disposed of by sale or destruction must be authorised for disposal by the ABM / Bursar and, where significant, should be sold following competitive tender.

Disposal of equipment to staff is not encouraged, as it may be more difficult to evidence whether DBAT obtained value for money in any sale or scrapping of equipment. In addition, there are complications with the disposal of computer equipment, as DBAT would need to ensure licences for software programmes have been legally transferred to a new owner. DBAT is expected to reinvest the proceeds from all asset sales for which capital grant was paid in other assets. If the sale proceeds are not reinvested then DBAT must repay to the funding and regulatory Agency a proportion of the sale proceeds.

All disposals of land, buildings and heritage assets must be agreed in advance with the Secretary of State.

9.4 Loan of Assets

Items of DBAT property must not be removed from DBAT premises without authority. A record of the loan must be recorded in a loan book and booked back in to DBAT when it is returned.

If assets are on loan for extended periods or to a single member of staff on a regular basis the situation may give rise to a 'benefit-in-kind' for taxation purposes. Loans should therefore be kept under review and any potential benefits discussed with DBAT's auditors.

10 VAT

Under 'Notice 749 – Local authorities and similar bodies' DBAT is classed as an unregistered body and as such it can reclaim all the VAT it incurs.

This is the responsibility of the ABM / Bursar of the Academy paying the original invoice.

VAT is reclaimed using form VAT 126 and a copy of the completed form should be kept on record. A single form VAT 126 will be completed which covers all academies within DBAT. This will be the responsibility of the Trust's CFO.

11 Inter Academy Charging

See Scheme of Delegation Appendix 3

INTER-ACADEMY CHARGING

DBAT is a single entity whose purpose is to ensure that every DBAT pupil achieves the highest possible levels of attainment within an appropriate learning and built environment. DBAT will comprise of a number of such establishments - the component Academies - and it makes sense for us to manage each of these and measure their pupil outcomes independently of each other. This does not mean that they are in competition with one another. DBAT was born from an educational model that enables pupils and staff to flourish and grow because each of the component parts works together, with the strong supporting the weak and the weak challenging the strong.

This means that the normal mode of operation within DBAT must be that, if one Academy supports another, the supporting Academy may only charge for that support if there is a tangible cost to it. DBAT is not an organisation where attainment is measured in financial terms and no Academy within DBAT can be permitted to generate income at the expense of another. Conversely, no Academy should provide support at a loss.

The best way to illustrate this is through some examples.

- i The DBAT central organisation (the central office) is funded by the contribution of a percentage of the funding provided for each Academy (the Central Cost Contribution - CCC). This contribution will be set from time to time against a budget for the central office approved by the Main Board. It may vary according to the level of activity carried out at the central office. Additional funding received by the central office from other sources will contribute directly to costs at the central office and will supplement the CCC required from the Academies.

The general support provided by the central office to a particular Academy will not be subject to an additional charge, even though one Academy might sometimes receive more support than another. In the long run, this will balance out.

Sometimes, an Academy will require a planned programme of support over and above the general support from the central office. The most obvious example of this will be when a new Academy joins DBAT and a formal action plan is put in place to

support it. In pre-DBAT days, this funding would have come from either the Department for Education or a Local Authority. In future, such funding will come from the Academy itself. Planned support programmes sometimes require support from other Academies as well. Support programmes will be drawn up by the central office in consultation with the relevant Academy Principal and will be signed off by the Chief Executive Officer.

- ii DBAT provides opportunities for staff to share their experience with other Academies and for staff development, when a member of staff in one Academy works in another Academy to provide support. The ethos of DBAT is that all Academies regard this as a positive benefit to everyone involved and not as an opportunity for income generation.

Support will often be provided on a short term basis, perhaps only for a few days in a year and for this ad hoc support no charge will be made as, in the long run, any costs are likely to balance out. There will be occasions when staff are exchanged or when staff based in one Academy will be seconded to another for a longer term. In these circumstances full consultation will take place with the Principal, Local Board, DBAT and where appropriate the Trades Unions.

When a member of staff in one Academy works in another Academy, the charging principle is based on the answers to two simple questions:

- (a) *Does the providing Academy have to pay someone else to do the work of that member of staff while they are out of the Academy?*

If another member of staff in the providing Academy covers the provision, or staff are exchanged, the answer is 'no'. Only when the providing Academy actually incurs a tangible expense, i.e. pays a salary or an invoice to cover the provision, can this charge be passed on to the receiving Academy. The charge must be agreed by the Academies before the charge is made and proof of the expenditure must be provided. In practice, such elaborate arrangements should be completely unnecessary for short term, ad hoc arrangements.

- (b) *Would the receiving Academy have had to pay for the support received if staff had not been available from another Academy?*

When staff are exchanged (for instance when one Academy provides a teacher to another Academy to help them improve standards, while the other Academy provides to the first Academy a teacher who needs CPD), the answer will be 'no', even though the two members of staff may be paid on different salaries.

If Academies share a member of staff, (for instance, a Business Manager or an English teacher), or an Academy seconds a full time member of staff to another Academy (for instance a member of the Senior Leadership Team), then the 'home' Academy will make a salary charge including oncosts to the other Academy proportionate to the time that member of staff spends working for each Academy. The charge will be based on the salary and oncosts paid by the 'home' Academy, even where the salary scale point might be paid at a lower rate in other Academies. Charges must be agreed by the Academies before an agreement is reached and proof of the expenditure must be provided.

For a planned support programme, a combination of (a) and (b) will form the basis of inter-charging between the Academies involved. A support programme for an Academy joining DBAT will be signed off by the Chief Executive Officer.

Whatever the case, no Academy will make a charge for administration.

DBAT has established a trading subsidiary. The Trust's Board of Directors will decide upon the appropriate model for the billing of services between the trading subsidiary, the Trust and its Academies.

APPENDIX 5

LOCAL BOARD COMPOSITION

This Appendix sets out the suggested number of Local Board Members by category (and, by extension, in aggregate) that a Local Board may have. Please see clause 6.8.4 for the provisions relating to Academies which are rated as 'Inadequate' by Ofsted. Where there is one Local Board serving more than one Academy the Local Board will be composed at the Main Board's discretion (see clause 6.7.2) within the broad balance of these models.

Composition Model A

Predecessor School:	Voluntary Aided
Type of Local Board Member	Number
Foundation members *:	6
Ex-officio Foundation member:	1 (See Appendix 6)
Community members:	1
Parent members:	2
Principal:	1
Staff member:	1
Total	12

The Local Board may co-opt 2 Local Board members.

* consent of Diocesan Board of Education to each appointment is required.

Composition Model B

Predecessor School:	Voluntary Controlled
Type of Local Board member	Number
Foundation members *:	2
Ex-officio Foundation member:	1 (See Appendix 6)
Community members:	5
Parent members:	2
Principal:	1
Staff member:	1
Total	12

The Local Board may co-opt 2 Local Board members.

* consent of Diocesan Board of Education to each appointment is required.

Composition Model C

Predecessor School: Community / Foundation (Non religious designation)

Type of Local Board member	Number
DBAT members:	3
Community members:	5
Parent members:	2
Principal	1
Staff member	1
Total	12

The Local Board may co-opt 2 Local Board Members.

Composition Model D

To be used as standard model for new secondary schools

Type of Local Board member	Number
Foundation members*:	8
Ex-officio Foundation member:	1 (See Appendix 6)
Community members:	3
Parent members:	2
Principal	1
Staff member	1
Total	16

* consent of Diocesan Board of Education to each appointment is required.

The Local Board may co-opt 2 Local Board members.

APPENDIX 6

RESPONSIBILITY MATRIX

These tables are to be read in conjunction with the detail contained in DBAT policies and guidance documents as well as the other sections of the DBAT Scheme of Delegation. All academies must ensure that their financial and other arrangements comply with the current financial regulations as identified in the Academies Financial Handbook. If any doubt exists speak to a DBAT Officer before taking any action or reaching any decision.

This Responsibility Matrix is for DBAT Academies and central functions. However, a decision table for any school can be customised by the Main Board or CEO on a case by case basis, in accordance with the overall strategy employed in trying to improve that Academy. Any new school will have a customised table, until it is operating securely.

The Main Board of Directors is ultimately accountable for the proper functioning of the Trust.

Key:

Responsible (R) – The person who actually carries out the process or task assignment; responsible to get the job done.

Accountable (A) – The person/group who is accountable in practice for the process or task being completed appropriately; responsible person(s) are accountable to this person/group.

Consulted (C) – People who are not directly involved with carrying out the task, but who are consulted; may be a stakeholder or subject matter expert.

Informed (I) – Those who receive output from the process or task, or who have a need to stay informed

No.	Tasks	Main Board	CEO	Local Board	Principal
A - Strategy, Leadership and Governance					
A1	Set vision and strategic objectives of the Trust and Academies	A	R	CI	CI
A2	Deliver vision and strategic objectives of the Trust	A	R	CI	CI
A3	Deliver vision and strategic objectives of the Academies		I	A	R

No.	Tasks	Main Board	CEO	Local Board	Principal
A4	Review and challenge progress of the Trust against its strategic objectives and KPIs, and in accordance with Trust vision	A	R	R	C
A5	Set and review performance of the Trust and the Academies (in relation to academic standards, finances, and other matters)	A	R	I	C
A6	Comply with all obligations relating to the Trust including the Academies Financial Handbook	A	R		
A7	Comply with all obligations relating to the school including the Academies Financial Handbook		I	A	R
A8	Comply with all regulations affecting the Trust (including all charity law, company law, employment law, education law and health and safety)	A	R		
A9	Comply with all regulations affecting the school (including all charity law, company law, employment law, education law and health and safety)			A	R
A10	Ensure that there are appropriate financial controls so that there is regularity, probity and value for money in relation to the management of public funds in the Trust	A	R		
A11	Ensure that there are appropriate financial controls so that there is regularity, probity and value for money in relation to the management of public funds in the school			A	R
A12	Set up a register of Main Board business and pecuniary interests and put in place a procedure to deal with any conflicts of interest	A	R		
A13	Set up a register of Local Board business and pecuniary interests and put in place a procedure to deal with any conflicts of interest			A	R
A14	Respond to central FOI requests, Subject Access requests and complaints	A	R		
A15	Respond to school FOI requests, Subject Access requests and complaints			A	R
A16	Ensure processes in place for appointment of directors and Local Board members (including ensuring that the directors have the skills to run the Trust)	AR	R		
A17	Ensure the correct processes are used for the appointment/election of Community/Parent/Staff			AR	R

No.	Tasks	Main Board	CEO	Local Board	Principal
	local board members				
A18	Ensure the correct processes are used for the appointment of DBAT members in community schools. Ensuring processes in place for appointment of local board members	A	R	I	
A19	Actively seek to fill Local Board vacancies (including ensuring that the local board members have the skills to run the Academies)	AR	R	R	R
A20	Appoint Accounting Officer and Audit Committee	AR			
A21	Appoint Trust internal and external auditors	A	R		
A22	Appoint/remove Clerk – Main Board	AR	R		
A23	Appoint/remove Clerk – Local Board			AR	I
A24	Prepare Scheme of Delegation	A	R	CI	CI
A25	Keep under review the establishment, terms of reference and membership of Main Board committees	A	R		
A26	Keep under review the establishment, terms of reference and membership of local board sub-committees			A	R
A27	Publish the structure of the Local Board and any sub-committees including term of office and attendance record			AR	I
A28	Agree training programme for directors and local board members	A,I	R	I	
A29	Process legal claims – with potential impact on Trust reputation	A	R		
A30	Process legal claims – with potential impact on Academy reputation		C	A	R
A31	Conduct benchmarking exercises	A	R	I	R
A32	Manage and mitigate strategic risk	A	R	R	R

No.	Tasks	Main Board	CEO	Local Board	Principal
A33	Take other major strategic decisions	A	R	I	I
A34	Appoint (and remove) the Chair of the Main Board (elected)	AR			
A35	For those using standard responsibility matrix: appoint (and remove) the Chair of the Local Board (elected)			AR	
A36	For those with a school-specific responsibility matrix: appoint (and remove) the Chair of the Local Board	AR	A	R	I
A37	Hold Main Board meetings as required and in accordance with Articles of Association	A	R		
A38	Hold a Local Board meeting at least three times per year (once per long term), or more often as required by DBAT Central Team			AR	CI
A39	Regulate the Main Board's governance procedures	AR			
A40	Regulate the Local Board's governance procedures	A	R	R	I
A41	Submit Main Board information to the DfE database of governors via GIAS	A	R		
A42	Submit Local Board information to the DfE database of governors via GIAS			A	R
A43	Agree Main Board director induction and training programme	A	R		
A44	Agree Local Board member induction and training programme			AR	
A45	Audit Main Board skills	A	R		

No.	Tasks	Main Board	CEO	Local Board	Principal
A46	Audit Local Board skills			AR	
A47	Review progress against strategic plan and evaluate Main Board performance	AR			
A48	Review progress against strategic plan and evaluate Local Board performance			AR	
A49	Approve and set up a directors' expenses scheme.	A	R		
A50	Approve and set up a local board members' expenses scheme.			A	R
A51	Determine and allocate central services provided to the Academies by the Trust	A	R	CI	CI
A52	Monitor the effectiveness of services provided centrally by the Trust	A	R	I	
A53	Oversee public relations activities to project the activities of the Trust and its Academies to the wider community		AR		
A54	Oversee public relations activities to project the activities of the school to the wider community				AR
A55	Devise Trust Prospectus and website	A	R		
A56	Devise Academy Prospectus and website			A	R
B - Christian Distinctiveness, RE and Collective Worship					
B1	Build a strong culture, ethos, vision and values for the Trust based on the CE Vision for Education and articulated in the DBAT Vision	A	R	I	I
B2	Build a strong culture, ethos, values and vision for the school that is theologically literate, based on the CE Vision for Education and DBAT Vision, known by all stakeholders and established and promoted by leadership at all levels, enabling pupils and adults to flourish	I	A	R	R
B3	Ensure all Main Board Directors understand their responsibilities as foundation directors, in leading a church Trust and maintaining the Christian ethos.	A	R	I	I

No.	Tasks	Main Board	CEO	Local Board	Principal
B4	Ensure all local board members, both foundation and in other roles, understand their responsibilities in leading a church school and maintaining the Christian ethos.	I	A	R	R
B5	Keep staff and local board members up to date and energised in their provision for Christian ethos taking advantage of opportunities provided through the Diocesan Board of Education and nationally for training and development.	I	I	A	R
B6	Ensure the high profile of the SIAMS agenda across the Trust and with all stakeholders	A	R	C	C
B7	Ensure the high profile of the SIAMS inspection schedule in the curriculum and with all stakeholders	I	A	R	R
B8	Monitor the provision of Religious Education across the Trust, ensuring RE is provided according to the school Trust deed, Articles and the Christian ethos of DBAT	A	R	C	C
B9	Teach high quality Religious Education as an academic subject, ensuring RE is provided according to the school Trust deed, Articles and the Christian ethos of DBAT, reflecting the CE Statement of Entitlement and promoting a theological approach to the teaching of Christianity e.g. using Understanding Christianity	I	A	R	R
B10	Monitor the provision of the daily act of Collective Worship ensuring it is an expression of the school's Christian vision	A	R	R	R
B11	Ensure that all pupils take part in an inclusive and inspiring daily act of Collective Worship that is an expression of the school's Christian vision and offers the opportunity for pupils and adults, without compulsion, to grow spiritually.	I	I	A	R
B12	Promote strong church/parish/diocese/national church - Trust relations	A	R	I	I
B13	Promote strong church/parish - school relations	I	A	R	R
B14	Educate for Wisdom, Knowledge and Skills, ensuring curriculum and extra-curricular opportunities meet the academic and spiritual needs of all learners	I	A	R	R

No.	Tasks	Main Board	CEO	Local Board	Principal
B15	Educate for Hope, Aspiration and Courageous Advocacy, developing character, moral development and engaging in social action as advocates for change in local, national and global contexts	I	A	R	R
B16	Educate for Community and Living Well together, promoting social and cultural development, encouraging good mental health and wellbeing	I	A	R	R
B17	Educate for Dignity and Respect, creating an environment that embraces difference such that all pupils, whatever their background or ability, can flourish	I	A	R	R
C – High Quality Education					
C1	Agree an academy improvement plan which looks in detail at the next 12 months, has actions looking 3 years ahead and has strategies for 5 years	I	A	R	R
C2	Cost the academy improvement plan for the next 12 months in the detail of the academy budget and ensure the 3 and 5 year plans are aspirational and affordable	I	A	R	R
C3	Set the times of school sessions and the dates of school terms and holidays	A	R	C	I
C4	Maintain a register of pupil attendance			A	R
C5	Ensure that statutory requirements are met for information published on Trust website	A	R		
C6	Ensure that statutory and DBAT requirements are met for information published on school website		I	A	R
C7	Ensure the provision of free school meals to those pupils meeting the criteria, including Universal Infant Free School Meals (where applicable)			A	R
C8	Ensure that school lunch nutritional standards are met	I	I	A	R
C9	Agree a broad and balanced curriculum and which subject options should be taught having regard to resources, and implement provision for flexibility in the curriculum (including activities outside school day).	I	A	R	R

No.	Tasks	Main Board	CEO	Local Board	Principal
C10	Provide clear advice, informed by statutory guidance, on which a strategy for careers advice and guidance can be based.	I	C	A	R
C11	Prohibit political indoctrination and ensure the balanced treatment of political issues	A	C	R	R
C12	Central - have due regard to the need to prevent people from being drawn into terrorism and to oversee the incorporation of the necessary procedures and practices outlined in the Prevent duty into the child protection policy	AR	AR		
C13	School - have due regard to the need to prevent people from being drawn into terrorism and to oversee the incorporation of the necessary procedures and practices outlined in the Prevent duty into the child protection policy	I	C	AR	R
C14	Prohibit the teaching of creationism as evidence based theory	A	C	R	R
C15	Decide whether to offer extra-curricular activities and what form these should take			AR	AR
C16	Put into place any additional activities to be provided			A	R
C17	Responsibility for children's educational outcomes	A	C	R	R
C18	Responsibility for individual education of all pupils on roll	I	CR	A	R
C19	Set targets for pupil academic achievement across the Trust	A		AR	R
C20	Set and publish Academy targets for pupil academic achievement	I	C	A	R
C21	Monitor and report pupils' academic achievement including both attainment and progress, relative to pupil starting points	I	A	AR	R

No.	Tasks	Main Board	CEO	Local Board	Principal
C22	Put in place appropriate monitoring strategies to evaluate the quality of teaching and challenge underperformance	A	R	A	R
C23	Provide reports to DBAT Central Team at intervals to be decided by DBAT Central Team in consultation with the Diocese Officers			A	R
C24	Provide reports to DBAT Main Board at intervals to be decided by DBAT Central Team in consultation with the Diocese Officers		A	R	R
C25	Designate a qualified teacher to be responsible for co-ordinating SEN provision (SENCO)	I	RC	A	R
C26	Publish and update at least annually a SEN information report	I	C	A	R
C27	Appoint a designated teacher for looked-after children	I	C	A	R
C28	Quality of Teaching – ensure appropriate levels of support, challenge and intervention to support delivery of education outcomes	A	R	AI	R
C29	Resolve student issues (including attendance, exclusions, punctuality and disciplinary matters for each Academy)	I	I	A	R
C30	Collaborations and partnership agreements	A	R	C	R
D – Finance and Premises					
D1	Formulate the annual Trust budget	A	R		
D2	Formulate the annual school budget		C	A	R
D3	Approve the annual Trust budget	AR	C		
D4	Approve the annual school budget	AR	C	I	I

No.	Tasks	Main Board	CEO	Local Board	Principal
D5	Prepare central monthly financial management accounts, including relevant KPIs	A	R		
D6	Prepare school monthly financial management accounts, including relevant KPIs		C	A	R
D7	Monitor financial performance of the Trust through monthly management accounts	AR	R		
D8	Monitor financial performance of the school through monthly management accounts	A	C	R	R
D9	Monitor monthly financial position of the Trust (assets and liabilities)	AR	R		
D10	Agree the model for funding and resource allocation across the Trust and its academies, incorporating regular review of the Central Cost Contribution	AR	R	C	C
D11	Prepare and submit audited annual financial statements and Trustees' reports	A	R		
D12	Administer the appointment of the External Auditors on behalf of the Company's Members	AR	R		I
D13	Appoint the Trust's Internal Auditors or otherwise procure alternative internal control assurance	A	R		I
D14	Maintain an effective and improving internal control environment, incorporating recommendations from Internal Auditors or the External Auditors	A	R		C
D15	Agree the Trust's Investment Policy	AR	R	I	
D16	Manage the Trust's investments and treasury function in line with agreed policies	A	R		
D17	Enter into any borrowing arrangements, including obtaining ESFA approval	A	R		I

No.	Tasks	Main Board	CEO	Local Board	Principal
D18	Prepare grant applications - Trust	A	R		
D19	Prepare grant applications - school		I	A	R
D20	Write off unrecoverable debts and other losses	A	R		C
D21	Investigate financial irregularities (CEO suspected)	AR			
D22	Investigate financial irregularities (Principal suspected)	A	R	C	
D23	Investigate financial irregularities (others suspected) - central	A	R		
D24	Investigate financial irregularities (others suspected) - school	I	C	A	R
D25	Enter into contracts in accordance with the Standing Financial Procedures, other than leases - central	A	R		
D26	Enter into contracts in accordance with the Standing Financial Procedures, other than leases - school	A	C	R	R
D27	Enter into lease agreements	A	R		C
D28	Procure all required categories of insurance, or equivalent - central	A	R		
D29	Procure all required categories of insurance, or equivalent - school	A	R	I	R

No.	Tasks	Main Board	CEO	Local Board	Principal
D30	Agree annual action plans and monitor how schools premiums are spent, eg PE Sports Premium, Pupil Premium		C	A	R
D31	Formulate Condition Improvement Fund and other capital bids	A	C	I	R
D32	Acquire or dispose of freehold property used by the Trust or its schools	A	R	C	C
D33	Agree a school premises strategy that will identify the suitability of building and facilities in light of long term curriculum needs and to ensure the buildings, land and facilities are maintained to a good standard		C	A	R
D34	Establish an accessibility plan and review it every three years		C	A	R
D35	Set Trust procurement and tendering policies in accordance with the Funding Agreement and the Academies Financial Handbook	A	R	I	I
D36	Agree special payments to staff, including severance, compensation and ex-gratia payments	A	R	R	C
D37	Agree a policy and process for executive pay	AR	C	I	
E – Safe and Secure					
E1	Monitor the effectiveness of the school's actions to prevent and tackle all forms of bullying, harassment and discrimination including cyber-bullying and prejudice-based bullying		I	AR	R
E2	Monitor pupils' attitude to learning, behaviour and attitudes to staff and each other	C	C	AR	R
E3	Monitor whether pupils feel safe and their ability to assess and manage risk appropriately and to keep themselves safe	I	C	AR	R

No.	Tasks	Main Board	CEO	Local Board	Principal
E4	Monitor the overall and persistent absence and attendance rates	I	I	A	R
E5	Exclude a pupil fixed term (less than 45 days in total a year) or to propose a permanent exclusion.	I	C	A	R
E6	Consider certain exclusions and any representations (must consider any pupil excluded permanently or for more than 5 days) NB: local board must act through the pupil discipline committee	I	C	AR	R
E7a	Agree and implement an appeals process for excluded pupils and direct reinstatement of pupils where appropriate, in line with school policy	I	C	AR	R
E7b	Agree and implement an appeals process for excluded pupils and direct reinstatement of pupils where appropriate, where parents appeal beyond the school, if this stage is in the school policy	A	C	I	I
E8	Monitor the effectiveness of safeguarding arrangements	AR	R	R	R
E9	Implement the policy for safer recruitment (including DBS and S128 checks)	AR	AR	AR	AR
E10	Ensure health and safety regulations are followed - central	A	R		
E11	Ensure health and safety regulations are followed - school	A	R	I	R
E12	Ensure health and safety issues are resolved within the Trust (where not a school issue)	A	R	I	I
E13	Ensure health and safety issues are resolved within schools	I	I	A	AR
F – HR, People Management and Policy					
F1	Policies – review and approve Academy specific policies		IC	AR	R
F2	Policies – review and approve Trust-wide policies (including admissions, procurement, DBS, Charging and remissions policies, health & safety and safeguarding)	A	R	CI	CI

No.	Tasks	Main Board	CEO	Local Board	Principal
F3	Implement the school curriculum (T&L) policy	I	C	AR	AR
F4	Financial Policies – establish policies and procedures to ensure compliance with the Trust's financial and reporting requirements	A	R	I	
F5	Publicise all statutory policies, including behaviour, discipline and exclusion policies to staff, pupils and parents.		I	A	R
F6	Establish Trust wide HR Policies (including recruitment, pay, discipline, capability, grievance and absence policies) in accordance with all appropriate regulations	A	R	I	I
F7	Set Appraisal and Performance Management Policy together with pay reviews (in line with the Trust's pay policy and all statutory regulations)	A(R in respect of CEO)	R	I	I
F8	Appoint the Principal through an ad-hoc sub-committee (selection panel)	AR	R	C	
F9	Appoint a Deputy Principal/school Senior Management (inc Business Manager) (selection panel)	I	C	AR	R
F10	Appoint other teachers		C	AR	R
F11	Appoint non-teaching staff		C	AR	R
F12	Agree the overall staffing structure of the school	C	R	A	CI
F13	Performance manage the Principal, including determining the Principal's pay discretions, using the Education (School Teachers' Appraisal) (England) Regulations 2012	A	R	C	
F14	Performance manage the school senior management team, including determining pay discretions, using the Education (School Teachers' Appraisal) (England) Regulations 2012		C	A	R
F15	Ensure the performance management of all other teaching and non teaching staff		C	A	R

No.	Tasks	Main Board	CEO	Local Board	Principal
F16	Make pay decisions and determine staff complement in line with the pay policy and legal requirements		R	A	C
F17	Review of principals' salaries annually (in line with Trust's pay policy and all statutory requirements)	A	R	I	I
F18	Determine dismissal payments/early retirement	A	R	I	C
F19	Manage any claims and disputes with staff members	A	R	I	C
F20	Suspend / end the suspension of the Principal	AR	CI	CI	
F21	Suspend / end the suspension of other staff (except Principal)	I	C	AR	C
F22	Dismiss the Principal NB: DBAT must act through Dismissal Committee	AR	CI	CI	
F23	Dismiss other school staff NB: DBAT must act through Dismissal Committee	I	C	AR	C
F24	Produce and maintain a central record of Trust central staff recruitment and vetting checks	AR	AR	I	I
F25	Produce and maintain a central record of school recruitment and vetting checks	I	I	A	R
F26	Determine admission-arrangements annually	A	I	R	I
F27	Carry out consultation where changes to admission arrangements are proposed, or the Academy has not consulted on its arrangements in the last 7 years.	A	C	R	R
F28	Implement the admission arrangements, make application decisions and manage admission appeals	A	I	R	I
F29	Establish and publish an admissions appeal timetable.	A	I	R	I

No.	Tasks	Main Board	CEO	Local Board	Principal
F30	Appeal against LA directions to admit pupil(s)	I	I	AR	R
F31	Appoint the CEO	AR			
F32	Appoint cross-Trust Staff (in line with recruitment policy)	A	R	I	I
F33	Set terms and conditions of employment and staff handbook	A	R	C	I
F34	Dismiss CEO, senior/cross-Trust staff (in accordance with the Trust disciplinary and capability policies)	A (R in respect of CEO)	R	C	
F35	Review discipline and grievance policy	A	R	I	I
F36	Organisational restructuring	A	R	C	C

Appendix 7

DBAT local boards – ex-officio foundation members

Local Board	Ex-officio foundation member(s)
Christian Malford/Seagry/Somerfords' Walter Powell	Rector: Draycot benefice Rector: Woodbridge benefice
The Deanery Easton	Vicar: Wroughton and Wichelstowe
Fishponds	Priest-in-charge: Easton - Holy Trinity with St Gabriel & St Lawrence & St Jude
Lydiard Millicent/Ridgeway Farm	Priest-in-charge: All Saints, Fishponds
St Mary Redcliffe Primary	Vicar: All Saints, Lydiard Millicent
St Peter's	Vicar: St Mary Redcliffe with Temple and St John the Baptist Bedminster
South Marston	Priest-in-Charge: St Peter, Chippenham
Tadpole Farm	Priest-in-Charge: St Mary Magdalene, South Marston
	Priest-in-Charge: St Andrew, North Swindon

DBAT local boards – foundation member nominations

Local Board	Nominating PCC
Christian Malford/Seagry/Somerfords' Walter Powell	1) Great Somerford 2) Christian Malford
The Deanery	Wroughton and Wichelstowe
Easton	Easton - Holy Trinity with St Gabriel & St Lawrence & St Jude
Fishponds	Both St Mary's and All Saints, Fishponds
Lydiard Millicent/Ridgeway Farm	All Saints, Lydiard Millicent
St Mary Redcliffe Primary	St Mary Redcliffe with Temple and St John the Baptist Bedminster
St Peter's	St Peter, Chippenham
South Marston	St Mary Magdalene, South Marston
Tadpole Farm	St Andrew, North Swindon