

Scheme of Delegation

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Scheme of Delegation

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1. Introduction

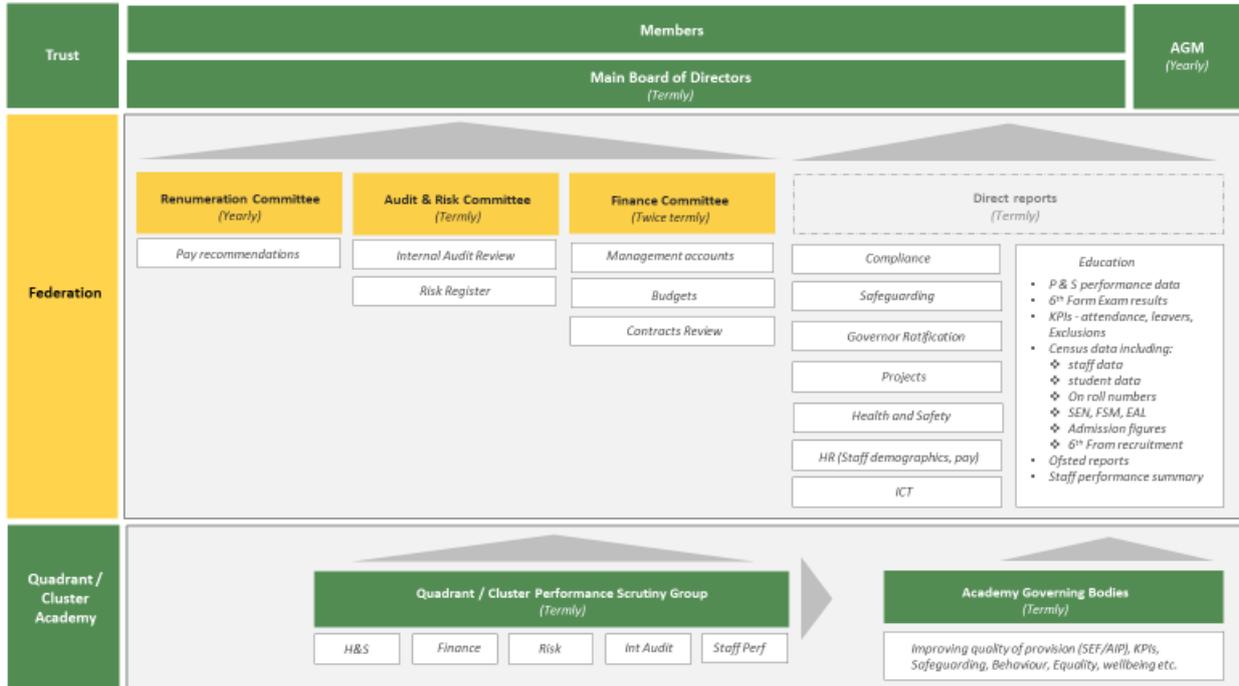
- 1.1 **Harris Federation** (referred to herein as the “**Trust**”) was established on 26 April 2007. The Trust is a multi-academy trust capable of operating and maintaining a number of academies (each an “**academy**” and together the “**academies**”).
- 1.2 The Trust is both a company limited by guarantee and an exempt charity, regulated by the Secretary of State for Education, who acts as the principal regulator.
- 1.3 The Trust’s constitution and its charitable objective is set out in its Memorandum and Articles of Association (“**Articles**”).
- 1.4 Trustees have an overriding duty to act freely and in the best interest of the Trust and the academies at all times.
- 1.5 The purpose of this Scheme of Delegation is to provide operating clarity as to the roles, responsibilities and authority of those who contribute to the governance and oversight of the academies and the Trust itself. This Scheme of Delegation is subsidiary to the Articles, the Funding Agreement(s) and all schools/academies legislation.
- 1.6 The Trustees reserve the right (in their absolute discretion) to review and alter this Scheme of Delegation and the level of delegated responsibility at any time, and will be formally reviewed for its effectiveness at least every two years.
- 1.7 The Effective Date of this Scheme of Delegation is 1 September 2021.

2. Accountability: Governance and Management Structures

- 2.1 **Overall Structure.** The Trust is a company limited by guarantee. It has no shareholders. The highest tier of oversight is provided by the “**Members**” who, through general meetings, are the guardians of the Trust, its purpose and welfare. Each Member’s liability is limited to £10 and, in view of the limited liability and therefore scope for accountability, they have limited governance and no day to day management responsibilities. Members cannot be employees.
- 2.2 The next tier of oversight is provided by the “**Trustees**”. Trustees are appointed by the Members to whom they report. They are trustees for charity law purposes and also company Trustees are appointed directors registered with Companies House. The Trustees are personally responsible for the actions of the Trust and the academies and are accountable to the Members, the Secretary of State for Education and the wider community for the quality of the education received by all pupils of the academies and the expenditure of public money. The Trustees are required as trustees and pursuant to the Funding Agreement(s) to have systems in place through which they can assure themselves of the quality, safety and good practice of the affairs of the Trust. The Trustees meet as a board of Trustees, generally known as the “**Trust Board**”.
- 2.3 All Trustees have the same responsibility to act in the best interests of the Trust and the academies, irrespective of any other role they may undertake within the academy.

2.4 The Trust Board will oversee the management and administration of the Trust and the academies run by the Trust and herein delegates authority and responsibility to others. The Trust must appoint a Clerk.

2.5 The main delegation will be:



- to the “**Chief Executive Officer**”, who will be responsible for the day to day management of the Trust and the academies. The Chief Executive Officer will be appointed by the Trust Board and report directly to it.
- to “**Trust Board Committees**” or “**Working Groups**” of the Trust Board, who will act either in a permanent capacity or a temporary capacity where the terms of delegation will be determined by the Trustee Board on an ad hoc basis.
- to an “**Academy Governing Body**” for each academy to undertake elements of the Trustee Board’s role of strategic direction and oversight at a local level. Each Academy Governing Body is accountable to the Trust Board in relation to any matter delegated to it. The duties, responsibilities and authorities of each Academy Governing Body may vary between academies as determined by the Trust Board in consultation with the Chief Executive Officer.
- to the “**Executive Team**” which is the executive management arm of the academy trust, focusing on operations and the educational performance of the academies. They operate under the leadership and direction of the Chief Executive Officer, who is by virtue of his position a Trustee of the academy Trust. The Executive Team work directly with the staff in each academy and the Academy Governing Body to ensure that the required outcomes are achieved in accordance with the direction and vision of the Trust Board. The “Executive Team” includes the Chief Executive

Officer, Secondary Director, Primary Director, Chief Information Officer, Chief Financial Officer, Commercial & Compliance Director and Director of People.

- to the “Principal” (includes Assistant Director, Executive Principal, Principal or Head of School) through the formal delegation of powers from the Trust Board through the Executive Team. The operation of each academy will be managed by an Executive Principal. The duties, responsibilities and authorities of a Principal may vary as between academies as determined by the Chief Executive Officer in consultation with the Trust Board. A Principal will report directly to the Secondary Director or Primary Director.

3. The role of the Members

3.1 The role of the Members is laid out in the Articles and in company law. Their role is that of guardians of the constitution, ensuring the charitable object is fulfilled and to conduct oversight of the Trust Board. Members have limited governance and no day to day management responsibilities.

3.2 The Members’ key responsibilities are:

- to ensure the Objects of the Trust are met;
- to receive the Annual Report (prepared by the Trustees) at a General Meeting of the Trust;
- to appoint the Trust’s auditors;
- to determine the Trust’s constitution by adopting the company’s Articles;
- to exercise either a direct power under the Articles or a statutory power;
- to appoint and remove Trustees (noting any powers delegated by the Members to the Trust Board to make such appointments and removals).

3.3 Notwithstanding any provision of the Articles, the Members have formally delegated to the Trustees the power and responsibility to appoint and remove Trustees, and such appointments will be ratified at the next General Meeting of the Members. Any removal by the Trust Board of a Trustee appointed or ratified by the Members can only be undertaken by majority vote in general meeting or by written resolution of a majority of the Members.

4. The role of the Trustees and the Trust Board

4.1 The Trustees have overall responsibility and ultimate decision making authority for all the work of the Trust.

4.2 The Trust Board will set the strategic direction of the Trust, maintain legal oversight, monitor all activities, assess the performance of the academies and establish & review material policies and practices governing the life of the academies.

4.3 The specific tasks and responsibilities of the Trust Board are as follows:

- to determine the vision and ethos of the Trust whilst acknowledging the uniqueness of each individual academy and the needs of the communities they serve;
- to, in conjunction with the Chief Executive Officer, develop a strategic plan for the Trust and to ensure the effective communication of that plan so it can be implemented across the Trust and in all the academies;
- to establish and maintain the academies (including considering expansion of the Trust by taking existing schools into the Trust or opening new schools);

- to determine and ensure the implementation of material policies and procedures which it is intended will achieve a consistently high standard of education and financial prudence across all areas of the Trust;
- to make or ratify suitable appointments of individuals who serve or will serve on the Academy Governing Bodies, such as the Chair of Governors including removing such individuals who fail to fulfil the expectations of the role;
- to approve the overall Trust budget and the budgets of each academy, having regard to any recommendations of the Finance Committee which will be responsible for conducting a thorough review of all budget proposals;
- to formally appoint the Chief Executive Officer;
- to provide challenge and support to the Chief Executive Officer and through him to the academies
- to set goals and undertake the performance management of the Chief Executive Officer;
- to ensure that the Chief Executive Officer is effectively overseeing the objectives and outcomes of each of the academies;
- to ensure appropriate performance management systems are in place and are effective across the Trust and are accompanied by relevant programmes for the professional development of all staff;
- to regularly receive and review the KPIs from the academies;
- to oversee the delivery of the benefits that collaborative working, common approaches and common systems will bring across the academies;
- to ensure that the Trust operates effective health & safety systems and procedures (including safeguarding);
- to ensure there are robust financial systems and procedures in place that are adhered to by the Trust and each academy (using periodic internal audits to provide such assurance);
- to oversee the performance and delivery of any service provided by the Trust to the academies;
- to ensure proper advice is available to the Trust in relation to legal and compliance matters;
- to ensure a comprehensive risk management framework and appropriate risk management strategies are put in place and maintained across the Trust.

4.4 The organisation of the Trust Board is set out in the Articles of Association which determine the minimum meeting frequency, quorum and the process for appointment of a Chairman and Vice-Chairman of the Trust Board. In summary, the Trust Board is required to meet at least three times a year and the quorum for any meeting is the greater of three or a third of the Trustees appointed at any one time.

5. The role of the Chairman of the Trust Board

5.1 The Chairman of the Trust Board (“**Chairman**”) has a fundamental role in leading the business of the Trust and as a fulcrum between the Trustee Board and the Chief Executive Officer.

5.2 The Chairman is first amongst equals but has no defined individual power (except in an emergency).

5.3 The specific tasks and responsibilities of the Chairman are as follows:

- to ensure the Trust Board provides a strategic focus to the Trust and its academies;
- to manage the business of the Trust Board to ensure it undertakes its duties efficiently and effectively in and between board meetings;
- to build, develop and meld the Trustees into an effective team, taking account of recruitment, succession and the professional development needs of the Trustee Board;
- to work in partnership with the Chief Executive Officer, developing a professional relationship, providing appropriate encouragement, challenge and support;

- to promote a culture of robust evaluation and continuous improvement across the Trust striving to drive up standards everywhere;
- to ensure the Trustee Board meets all its legal requirements by working closely with the clerk/secretary to the Trustee Board;
- to represent the Trust to key external partners, the media and the public when required.

6. The role of the Chief Executive Officer

6.1 The Chief Executive Officer will be responsible for managing the Trust and its academies on a day to day basis. The role, function, responsibility and authority of the Chief Executive Officer are delegated by the Trust Board and may be varied at its sole discretion.

6.2 The specific tasks and responsibilities of the Chief Executive Officer are as follows:

- to support the Trustee Board in the formulation and development of its strategy;
- to work as an Executive Principal / Principal as required and to undertake designated work as defined by School Teachers Pay and Conditions;
- to ensure that all decisions made by the Board are implemented in a timely and effective manner;
- to actively promote the values of the Trust through actions, policies and procedures;
- to ensure striving for outstanding educational performance is embodied across the Trust;
- to provide direction and oversight to all of the Trust's operations;
- to line manage various staff members including those who lead functional delivery areas that form part of the delivery of the Executive Team;
- to manage the central operations of the Trust and the delivery of the key objectives of the functions delivered by the Executive Team;
- to provide strong and effective leadership to the Trust staff to achieve the highest levels of educational and financial performance and ensure a culture of continuous improvement;
- to work effectively with the range of external stakeholders, including communities, parents, government, funding and regulatory bodies;
- to ensure the highest standards of safeguarding and child protection are maintained across the Trust and in each academy;
- to oversee the effective management of risk within the Trust;
- to ensure, as Accounting Officer, robust financial systems are in place so that the Trust's funds are used properly, efficiently and effectively;
- to ensure the Trust's internal communications with staff, pupils, parents and governors are effective;
- to develop the relationship that the Trust has with the Secretary of State for Education (including also the Department for Education, the Education and Skills Funding Agency, the Regional Schools Commissioner and Ofsted);
- to develop strategic partnerships with other bodies and organisations, including service providers, which will further the Trust's strategic plan;
- to represent the Trust to key external partners, the media and the public on a national platform.

7. The role of the Executive Team

7.1 The "**Executive Team**" is made up of the key leads that oversee functional operations and resources on a pan Trust basis (including teaching & learning, standards, academy improvement, HR, finance, school premises, health and safety, risk management and ICT) to support the educational performance of the academies. The Executive Team works directly with the staff in each academy to ensure that the Trust's strategic plan (incorporating each Academy Improvement Plan) is being

implemented and the required outcomes are achieved in accordance with the strategy and vision of the Trust Board. The individuals who form the Executive Team operate under the leadership and direction of the Chief Executive Officer.

- 7.2 Each functional lead within the Executive Team has individual responsibilities, performance targets and are managed directly by the Chief Executive Officer. The Executive Team as a body has no executive authority or responsibility, as all functions that it delivers are the responsibility of an individual with the team.
- 7.3 The Executive Team will seek input and advice from internal and external experts, including the Primary Leadership Group and Secondary Leadership Group, and may on occasion seek to utilise and/or deploy staffing resources (on a temporary or permanent basis) for the benefit of the Trust as a whole.
- 7.4 The Executive Team supports the Chief Executive Officer in delivering the following specific tasks and responsibilities:
- to manage the processes for schools joining the Trust (including carrying out appropriate due diligence and identifying any actions required to address areas of weakness or opportunities for improvement);
 - to support academies to improve educational outcomes through the provision of academy improvement services;
 - to advise on, facilitate, supplement or provide (as necessary) any operational or managerial support to each academy, with regard to the core functions overseen by the Executive Team in accordance with the requirements of the Trust Board;
 - to specify management controls and management reporting requirements, audit the associated processes, procedures and outcomes in each academy, and identify and ensure the delivery of appropriate training and support;
 - to provide operational and management support to the Principals and senior leadership teams within the academies;
 - to assist the Trust, by supporting the Academy Governing Bodies, to achieve the collective strategic aims and objectives of the academies;
 - to advise on staffing structures within each academy, identifying areas and implementing plans where collaboration will lead to improvements in teaching and learning and/or efficiencies;
 - to implement and review systems for the benchmarking of the academies across the Trust, developing systems for cross fertilisation and supporting the Chief Executive Officer in maximising the opportunities for resource sharing and collaboration;
 - to build and keep under constant review a comprehensive risk management framework ensuring risk management strategies are executed appropriately across the Trust and in each academy (including the adequacy of insurance);
 - to undertake the strategic management of the Trust's estate, including drawing up a strategic asset plan which identifies areas in need of expansion and/or development and areas likely to be surplus to requirements;
 - to take a lead on any capital bids and allocations, supporting each academy's premises team to carry out works safely and cost effectively;

- to support each academy and Academy Governing Body in the development of its financial planning and reporting in the context of the respective academy's strategic goals and vision and strategy of the Trust;
- to seek out and apply for grant funds for the Trust and each academy and to raise further discretionary funds from the DfE/LA and third party sources; and
- to aid the Chief Executive Officer in reporting appropriately to the Trust Board.

7.5 The cost of the functions undertaken by the Chief Executive Officer and Executive Team will be funded on a fair basis by the academies by the contribution of a percentage of the government funding provided to each academy (the "**Federation Contribution**"). This contribution will be set each year based upon a budget for the shared costs approved by the Trust Board. The percentage will vary from year to year depending on the level of activity carried out by the Executive Team and any additional specific needs determined to be necessary by the Trust Board for an individual academy.

8. The role of the Leadership Group

8.1 The Trust has a **Primary Leadership Group (PLG)** and **Secondary Leadership Group (SLG)** which is drawn from the senior leading educators within the Trust (e.g. Assistant Directors and Executive Principals) and will be led respectively by either the Primary Director or Secondary Director. It is advisory only and acts to support the Chief Executive Officer with a particular focus on educational standards and outcomes.

8.2 The size and membership of the PLG / SLG will be determined by the Chief Executive.

8.3 The PLG / SLG supports the Chief Executive Officer in delivering the following specific tasks and responsibilities:

- to improve and sustain the standards of teaching and learning across the Trust;
- to propose appropriate educational standards to the Trust Board for all academies;
- to develop the professional competence of the staff;
- to consider succession planning and career development of the staff;
- to cross fertilise improvement and ensure collaboration delivers better outcomes for children.

9. The role of the Academy Governing Body

9.1 The Trust Board has determined to establish an "**Academy Governing Body**" for each academy. The overarching purpose of an Academy Governing Body is to provide strategic direction, support and local accountability for the performance of the relevant academy within the framework and parameters set by the Trust Board. It is a non-executive body supporting the Trust Board to deliver its responsibilities.

9.2 Those serving on Academy Governing Bodies are accountable to the Trust Board and must ensure that at all times they act in good faith and in the best interests of the academies and the Trust, exercising reasonable care and skill having particular regard to personal knowledge and experience. Members of the Academy Governing Body must comply with the Trust's Conflict of Interest Policy.

9.3 An annual skills audit will be undertaken in which AGB members will be asked to articulate their contribution to the success of the Trust and the academy in the period of review.

- 9.4 The core duties of the Academy Governing Bodies are ensuring clarity of vision, ethos and strategic direction; holding the Principal to account for the educational performance of the academy and its students. The Department for Education Governors' Handbook states:

It is essential to have skilled Governors but equally important to emphasise that the skills required are those to create robust accountability, not to do the academy's job for it. For example, a Governor with financial expertise should use their skills to scrutinise the academy's accounts, not to help prepare them."

- 9.5 Specific areas which the Academy Governing Body will oversee include:

- Approving the Academy Improvement Plan (AIP) and Self Evaluation (SEF) ensuring the compliance of the curriculum and making sure that spending plans take account of and deliver it;
- reviewing the academy improvements in terms of quality of curriculum and teaching;
- monitoring the academy safeguarding and equalities procedures and compliance;
- approving specific academy policies (e.g. related to SEND, Safeguarding, anti-bullying, behaviour S, etc.);
- noting Federation policies that impact on the activities of the academy
- monitoring the attainment of the academy against the objectives that it has been set; and
- monitoring financial performance against the approved budget.

- 9.6 The main tasks and responsibilities of the Academy Governing Body are detailed in the table below:

| | The Academy Governing Body will: | The Principal will: | The Executive Team will: |
|------------------------------------|---|---|--|
| Vision, Values and Strategy | <ul style="list-style-type: none"> within the vision and ethos set by the Trust, develop and monitor the vision, ethos and culture of the academy. approve the academy's self-evaluation form (SEF) and strategy for improvement as set out in its Academy Improvement Plan (AIP) proposed by the Principal and the Primary or Secondary Director and monitor its implementation. | <ul style="list-style-type: none"> support the Governing Body in the development of its vision and the academy's values and promote these within the academy. be responsible for preparing the academy Improvement Plan and SEF in conjunction with the Primary or Secondary Director. | <ul style="list-style-type: none"> Approve SEF and AIP |
| Academy Budget | <ul style="list-style-type: none"> review budget summary termly discussing any concerns that may arise effecting provision of education. review in detail Pupil Premium Grant spend and impact. review in detail catchup spend and impact. support/challenge for any proposed capital spend. | <ul style="list-style-type: none"> ensure that accurate accounting records are kept by the academy showing the receipt and use of all funds (ensure compliance with the requirements of the Trust's Financial Powers and Duties, the academy's Finance Policy, the Academies Handbook and any other relevant Trust/academy policies. Chief Financial Officer be responsible for approving any plan to raise voluntary funds (subject to agreement by the CEO) provided the purpose for which they have | <p>The Chief Financial Officer will:</p> <ul style="list-style-type: none"> develop the Trust's financial controls, policies and procedures to ensure the safeguarding of funds and assets in compliance with relevant guidance and advice. monitor the academy's compliance with such financial controls, policies and procedures. provide management accounts, draft and final budgets and other financial information in an accurate and timely way and in an approved |

| | The Academy Governing Body will: | The Principal will: | The Executive Team will: |
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| | <ul style="list-style-type: none"> support/challenge for any proposed restructuring or cuts in staffing. beware of any risks to the budget in a 3 year forecast, for example falling student numbers, cuts in funding, support and challenge on how this may be dealt with. | <p>been raised is within the charitable object of the Trust.</p> | <p>format to the Principals on a monthly basis and as otherwise requested by the Finance Committee.</p> <ul style="list-style-type: none"> recommend the academy’s annual budget to the Trust Board having appropriately considered the priorities of the academy and the deployment of resources (staff and other) to successfully deliver the necessary outcomes. The annual budget needs to be reviewed and approved by the Finance committee before it is recommended to the Trust Board. |
| <p>Curriculum and Standards</p> <p>The Trust Board will:</p> <ul style="list-style-type: none"> have ultimate responsibility for Curriculum and Standards. | <ul style="list-style-type: none"> monitor and evaluate the curriculum offer including the extra curricular offer to ensure that it fully meets the requirements of the National Curriculum in terms of Intent, Implementation and Impact, and that it is broad, balanced, well sequenced and builds social capital appropriately for the local context. | <ul style="list-style-type: none"> be responsible for designing and delivering a curriculum with high quality Intent, Implementation and Impact in order to achieve high standards. be responsible for the quality and delivery of the curriculum on a day to day basis and for implementing any strategic plan for the improvement of the curriculum, | <p>The Chief Executive Officer working with the Secondary and Primary Directors will:</p> <ul style="list-style-type: none"> have overall responsibility for agreeing the curriculum priorities, targets, Self Evaluation and Academy Improvement Plan of each academy within the parameters set by the Trust Board. |

| | The Academy Governing Body will: | The Principal will: | The Executive Team will: |
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| | <ul style="list-style-type: none"> ensure that there is an appropriate training plan so that staff are appropriately trained and upskilled to deliver the curriculum. ensure that the wider curriculum of PHSE including SRE, mental health and safeguarding are well established and effective in keeping students well informed about risks and safe. | <p>standards & attainment and delivery of the academy Improvement Plan.</p> | <ul style="list-style-type: none"> monitor pupil progress in terms of pupils knowing more and remembering more and review performance in the light of the academy's strategy for improvement performance targets, SEF etc. monitor the implementation of any strategic plan and the academy Improvement Plan. |
| <p>Health and Safety</p> <p>The Trust Board will:</p> <ul style="list-style-type: none"> agree the main policies to be operated across the Trust with regard to health & safety (including safeguarding). | <ul style="list-style-type: none"> to appoint a medical needs Governor with appropriate training and support to carry out termly visits to the Academy, checks on safeguarding and feedback to the Governing body. review termly any identified high level risks that may impact on the Academy provision. | <ul style="list-style-type: none"> ensure compliance with all health and safety policies, practice and procedures as determined by the Trust Board and the Chief Executive Officer. engender a culture that promotes health and safety. report any health and safety incidents to the federation | <p>The Chief Executive Officer will:</p> <ul style="list-style-type: none"> develop and propose all policies, practice and procedures to be operated across the Trust with regard to health & safety. ensure that each academy adopts and is compliant with all health & safety policies, practice and procedures as determined by the Trust Board. monitor the health and safety across the Federation for Compliance and report by |

| | The Academy Governing Body will: | The Principal will: | The Executive Team will: |
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| | | | exception any concerns to the Trust Board. |
| <p>Safeguarding</p> <p>The Trust Board will:</p> <ul style="list-style-type: none"> appoint a Trustee to lead the safeguarding across the Trust. | <ul style="list-style-type: none"> to appoint a safeguarding Governor, with appropriate training and support to carry out termly visits to the Academy, checks on safeguarding (including the Single Central Record) and feed back to the Governing body. | <ul style="list-style-type: none"> ensure compliance with all safeguarding policies, practice and procedures as determined by the Trust Board and the Chief Executive Officer. engender a culture that promotes safeguarding. report any safeguarding incidents to the federation. | <p>The Chief Executive Officer will:</p> <ul style="list-style-type: none"> develop and propose all policies, practice and procedures to be operated across the Trust with regard to safeguarding. ensure that each academy adopts and is compliant with all safeguarding policies, practice and procedures as determined by the Trust Board. monitor safeguarding across the Federation for Compliance and report by exception any concerns to the Trust Board. |
| <p>Human Resources</p> <p>The Trust Board will:</p> <ul style="list-style-type: none"> delegate to the Chief Executive Officer, the appointment of the Principal of each academy. | <ul style="list-style-type: none"> the Chair will participate in the performance management of the Principal. review of annual curriculum and financial planning model, with benchmarks. | <ul style="list-style-type: none"> ensure that safer recruitment processes are followed for the recruitment of staff. ensure that robust and transparent performance management is in place. | <p>The Chief Executive will:</p> <ul style="list-style-type: none"> lead the performance management of the Principal engaging the Chair in the process. CEO advised by Secondary Director or Primary Director will approve any significant cost in relation to |

| | The Academy Governing Body will: | The Principal will: | The Executive Team will: |
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| <ul style="list-style-type: none"> agree the main policies to be operated across the Trust with regard to the management of staff (including Pay Policy and the Performance Management Policies). | <ul style="list-style-type: none"> review a high level summary of staff leavers and joiners alongside a summary of performance management outcomes . Support and challenge for any staffing concerns e.g. Lack of specialist teachers, loss of key staff which may affect provision, exceptional circumstances that arise. | <ul style="list-style-type: none"> implement and comply with all policies dealing with staff issued by the Trust Board. ensure the adoption of any standard contracts or terms and conditions for the employment of staff issued by the Trust Board. approve the progression of staff between pay grades ensuring any progression is objectively based on successful performance management outcomes. approve any initial disciplinary action or the commencement of a capability review in respect of staff other than the Principal. develop and propose the organisation of the senior leadership team and TLR posts to support the delivery of the curriculum and bring about school improvement. appoint all staff. | <p>the appointment or resignation of a member of staff, including in relation to ill health retirement or the settlement of any claims or grievances in accordance with the Scheme of Financial Delegation.</p> |

| | The Academy Governing Body will: | The Principal will: | The Executive Team will: |
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| | | <ul style="list-style-type: none"> ▪ set and monitor the achievement of performance management targets for all staff. ▪ ensure the professional and personal development of staff including making best use of any training and support available from or procured by the Executive Team. ▪ manage any claims and disputes with staff members having regard to any advice and recommendations given by the Chief Executive Officer and the Trust’s HR department. | |
| <p>Admissions and Leavers</p> <p>The Trust Board will:</p> <ul style="list-style-type: none"> ▪ delegate responsibility (subject to agreement of changes by the CEO) to the individual academies to review, amend and determine their admission policies annually. ▪ review the admission policies from time to time and if a change is | <p>Support the Trust Board to</p> <ul style="list-style-type: none"> ▪ in line with the vision and values of the Trust Board determine the admission policy for its academy including whether to expand an academy ▪ monitor Federation KPIs presented termly as below <ul style="list-style-type: none"> ○ Monitor student leavers data which should be | | <ul style="list-style-type: none"> ▪ review the admissions policy from time to time and, if a change is believed to be in the best interests of the Trust, make such recommendations to the Academy Governing Body or Trust Board. ▪ conduct Stage 1 complaints. |

| | The Academy Governing Body will: | The Principal will: | The Executive Team will: |
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| <p>believed to be in the best interest of the Trust make that change in discussion with the Academy Governing Bodies. For example, to ensure each academy has an admission policy that is consistent across the Trust or is compliant with the Admissions Code. This may require each academy to consult and make changes to their policies.</p> | <p>presented with detailed analysis from the Academy termly</p> <ul style="list-style-type: none"> ○ Monitor attendance data which should be presented with detailed analysis from the Academy termly ○ Monitor fixed-term exclusions data which should be presented with detailed analysis from the Academy termly <ul style="list-style-type: none"> ▪ establish a student discipline Panel to <ul style="list-style-type: none"> ○ consider any decision by the Principal to permanently exclude any pupil (by Committee) in accordance with the DfE Guidance on Exclusions. ○ consider an fixed term exclusion decision by a Principal which results in more than 15 days exclusions in a term, in accordance with the DfE Guidance on Exclusions | | |

| | The Academy Governing Body will: | The Principal will: | The Executive Team will: |
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| | <ul style="list-style-type: none"> ○ Meet with students at risk of exclusion as appropriate ▪ review and monitor in year admission decisions. ▪ actively ensure that incorrect or illegal off-rolling is not taking place. ▪ approve any changes to the admissions policy of the academy and approve the policy annually. ▪ attend any independent panels on complaints as required. | | |
| <p>Premises</p> <p>The Trust Board will:</p> <ul style="list-style-type: none"> ▪ approve the overall asset management strategy for the premises owned or managed by the Trust. ▪ determine any disposals or acquisitions of land to be used by the Trust. | | <ul style="list-style-type: none"> ▪ be responsible for the day to day environment having regard at all times to the safety of the users of the buildings and the facilities. ▪ develop, with the support the Executive Team, a long term estate management strategy to ensure the suitability of building and facilities in light of long term curriculum needs. ▪ be responsible for, within the constraints of the academy | <p>The Chief Executive Officer, through the Commercial & Compliance Director, will:</p> <ul style="list-style-type: none"> ▪ implement an overall asset management strategy for the premises owned or managed by the Trust. ▪ have overall responsibility for the management and maintenance of the premises owned or managed by the Trust giving due consideration of the estate |

| | The Academy Governing Body will: | The Principal will: | The Executive Team will: |
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| | | <p>Budget, the upkeep, maintenance and care of the buildings and facilities used by the academy.</p> <ul style="list-style-type: none"> attract and manage short term lettings and day to day use of the school buildings and playing fields under such lets. | <p>management strategies of each academy.</p> <ul style="list-style-type: none"> make applications for grants and other capital funding to improve the estate of the Trust. |
| Community Activities and Community Engagement | <ul style="list-style-type: none"> encourage and monitor community engagement and consultation. | <ul style="list-style-type: none"> develop and deliver the academy's extended schools' agenda. develop and deliver any other activities designed to generate income (following input from the Executive Team on any wider financial/fiscal impact of any such initiative). manage the academy's engagement with the community and in particular the development of good relations with other local schools, businesses and organisations. | |
| Risk Management The Trust Board will: | <ul style="list-style-type: none"> review the top risks and understand the impact of these if they were to occur, to support and challenge | <ul style="list-style-type: none"> support the Executive Team to identify risks and maintain the academy risk register | The Chief Executive Officer, through the Commercial & Compliance Director, will |

| | The Academy Governing Body will: | The Principal will: | The Executive Team will: |
|---|---|---|--|
| <ul style="list-style-type: none"> ensure a comprehensive risk management framework and appropriate risk management strategies are put in place and maintained across the Trust. | <p>actions taken by the Academy to mitigate.</p> | <ul style="list-style-type: none"> oversee the implementation of all risk management strategies within the academy guided by the Executive Team. | <ul style="list-style-type: none"> be responsible for the identification and effective management of risk across the Trust. |
| <p>Equality</p> | <ul style="list-style-type: none"> appoint an Equalities Governor. have a good understanding of the Academy demographics and any underperformance of different groups nationally. approve the Academy Equality Duty plan. review all KPI data with regard to equality (Attendance, Exclusions, Leavers and Achievement). challenge the Academy in any areas they may have concerns about, this maybe through national media or local complaints or from visits to the Academy. | | |

Members of the Academy Governing Body

- 9.7 The number of people who shall sit on each academy's Governing Body shall be not less than three but, unless otherwise determined by the Trust Board, shall not be subject to any maximum.
- 9.8 Each Academy Governing Body shall have the following members:
- Up to 14 Sponsor Governors;
 - up to two Staff Governors, elected or appointed. This is optional and academies are not obliged to appoint staff governors;
 - up to two Parent Governors, elected or appointed. This is optional and academies are not obliged to appoint parent governors;
 - Ex Officio Governors comprising the Principal; the Executive Principal where one has been appointed.
- 9.9 A register of the current composition of each Academy Governing Body shall be kept by the Clerk to the Academy Governing Body, a copy of the original register on first convening as an Academy Governing Body must be lodged with the Federation Head Office by the Clerk and updated annually at the start of each academic year.
- 9.10 No changes to the number or type of Governors comprising any Academy Governing Body shall be made without the consent of the Trust Board.
- 9.11 All persons appointed or elected to the Academy Governing Bodies shall give a written undertaking to the Trust Board to accept the Code of Conduct of Governors of the Federation.

Appointment of members of the Academy Governing Body

- 9.12 The Trust Board may appoint persons to serve on an Academy Governing Body as Sponsor Governors, having regard to:
- Ensuring that the people serving on the Academy Governing Body between them have an appropriate range of skills and experience and due attention is given to succession planning.
- 9.13 In filling Staff Governor vacancies the Academy Governing Body shall invite nominations from all staff employed under a contract of employment or a contract of service (excluding the Principal) and, where there are any contested posts, shall hold an election by a secret ballot. All arrangements for the calling and the conduct of the election and resolution of questions as to whether any person is an eligible candidate shall be determined by the Academy Governing Body.
- 9.14 The Principal and, where appointed, the Executive Principal at each academy shall be treated for all purposes as being an ex officio member of that academy's Governing Body.
- 9.15 The Chief Executive Officer shall be treated for all purposes as being a Sponsor Governor of each Academy Governing Body. The Director of Secondary Education and the Director of Primary Education shall, in each case where appointed, be treated as Sponsor Governors of Secondary and Primary academies respectively. The CEO may nominate any other Director or Assistant Director of the Federation to serve in his/her place. Such nomination will be made by written notice delivered to the Clerk to the Governors of the academy concerned.

- 9.16 Parent Governors of Academy Governing Bodies shall be elected by parents or carers of registered students at the academy and they must be a parent/registered carer of a student at the academy at the time when they are due to start their term of office
- 9.17 Academy Governing Bodies shall delegate to the Principal all necessary arrangements for, and powers to determine all other matters relating to, an election of the Parent Governors of the Academy Governing Body, including any question of whether a person is a parent/carer of a registered student at the academy. Any election of persons who are to be the Parent Governors of the Academy Governing Body which is contested shall be held by secret ballot.
- 9.18 The arrangements made for the election of the Parent Governors of Academy Governing Bodies shall provide for every person who is entitled to vote in the election to have an opportunity to do so by post or, if they prefer, by having their ballot paper returned to the academy by a registered student at the academy.
- 9.19 Where a vacancy for a Parent Governor of an Academy Governing Body is required to be filled by election, the Principal shall take such steps as are reasonably practical to secure that every person who is known to them to be a parent/carer of a registered student at the academy is informed of the vacancy and that it is required to be filled by election, informed that he/she is entitled to stand as a candidate, and vote at the election, and given an opportunity to do so.

Term of office

- 9.20 The term of office for any person serving on the Academy Governing Body shall be 4 years or such shorter period as Chair of the Trust Board shall notify in the case of any Sponsor Governor, save that this time limit shall not apply to Ex Officio Governors who will serve for as long as they remain in office. Subject to remaining eligible to be a particular type of member on the Academy Governing Body, any person may be re-appointed or re-elected (including being "Co-opted" again) to the Academy Governing Body.
- 9.21 The Clerk to the Governors shall at the commencement of each academic year prepare a list of Sponsor Governors whose term of office is due to expire during the year and send the list to the Governor Services Lead at the Federation who shall notify the Chair of the Academy Governing Body if the Federation Board object to the re-appointment of any Governor.
- 9.22 The term of office of a Parent Governor shall be four years from the date of election or shall cease on the date on which the Parent's child leaves the academy or where the parent has more than one child at the academy the date at which the last child leaves, whichever is sooner.
- 9.23 The term of office of a Staff Governor shall be four years from the date of appointment or shall cease on the date at which the staff member leaves the academy's employment. A staff member leaving the academy to work elsewhere in the Federation shall be treated as leaving the academy's employment.
- 9.24 At the expiration of the term of office of Parent Governors or Staff Governors the Academy Governing Body shall notify parents or staff as appropriate that a vacancy is due to arise and invite applications and nominations from others in each class who may wish to serve. Where more applications are received than there are vacancies an election shall be held.

Resignation and removal

- 9.25 Any person serving on an Academy Governing Body shall cease to hold office if they resign their office by notice to the Academy Governing Body (but only if at least three persons will remain in office when the notice of resignation is to take effect). The Clerk should notify the Governor Services Lead as soon as possible.
- 9.26 Any person serving on an Academy Governing Body shall cease to hold office if they are removed by the Board of the Federation. Whilst at the same time as acknowledging that no reasons need to be given for the removal of a person who serves on the Academy Governing Body by the Board, any failure to uphold the values of the Federation and the academy or to act in a way which is appropriate in light of the Scheme of Delegation will be taken into account.
- 9.27 If any person who serves on an Academy Governing Body in their capacity as an employee at the academy ceases to work at the academy then they shall be deemed to have resigned and shall cease to serve on the Academy Governing Body automatically on termination of their work at the academy .
- 9.28 Where any person who serves on an Academy Governing Body resigns their office or is removed from office, the Clerk to Governors shall give written notice thereof to the Academy Governing Body who shall inform the Governor Services Lead.

Disqualification of members of the Academy Governing Body

- 9.29 No person shall be qualified to serve on an Academy Governing Body unless they are aged 18 or over at the date of their election or appointment. No current student of the academy shall be entitled to serve on the Academy Governing Body.
- 9.30 Any person serving on an Academy Governing Body shall cease to hold office if they become incapable, by reason of mental disorder, illness or injury, of managing or administering their own affairs.
- 9.31 Any person serving on an Academy Governing Body shall cease to hold office if they are absent, without the permission of the Chair of the Academy Governing Body based on their assessment of the reasons given and the longer term impact, for two consecutive meetings at which they were entitled to attend and the Academy Governing Body recommends to the Board that their office be vacated.
- 9.32 A person shall be disqualified from serving on an Academy Governing Body if:
- their estate has been sequestrated and the sequestration has not been discharged, annulled or reduced; or
 - they are the subject of bankruptcy restrictions order or an interim order.
- 9.33 Any person shall be disqualified from serving on an Academy Governing Body 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 the Insolvency Act 1986 as amended (failure to pay under county court administration order).
- 9.34 Any person serving on an Academy Governing Body 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 72 of the Charities Act 2011 (or any statutory re- enactment or modification of that provision).

- 9.35 Any person shall be disqualified from serving on an Academy Governing Body 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 which they, by their conduct, contributed to or facilitated.
- 9.36 Any person shall be disqualified from serving on an Academy Governing Body at any time when they are:
- included in the list kept by the Secretary of State under section 1 of the Protection of Children Act 1999; or
 - disqualified from working with children in accordance with Section 35 of the Criminal Justice and Court Services Act 2000; or
 - barred from regulated activity relating to children (within the meaning of section 3(2) of the Safeguarding Vulnerable Groups Act 2006).
- 9.37 Any person shall be disqualified from serving on an Academy Governing Body if they are a person in respect of whom a direction has been made under section 142 of the Education Act 2002 or are subject to any prohibition or restriction which takes effect as if contained in such a direction.
- 9.38 Any person shall be disqualified from serving on an Academy Governing Body where they have, at any time, 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 72 of the Charities Act 1993.
- 9.39 After the academy has opened, any person shall be disqualified from serving on its Academy Governing Body if they have not provided, to the Clerk to the Academy Governing Body, a DBS certificate at an enhanced disclosure level. 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 Trust Board to determine the matter. The determination of the Trust Board shall be final.
- 9.40 Any person who fails to provide a Declaration of Personal Interest, as defined in the section on Conflicts of Interest, shall be disqualified from serving on an Academy Governing Body.
- 9.41 Any person who fails to complete a Disclosure and Barring Service check within the prescribed period (within 21 days of appointment) shall be disqualified from serving on an Academy Governing Body.
- 9.42 Where any person becomes disqualified from serving on the Academy Governing Body; they shall upon becoming so disqualified give written notice of that fact to the Clerk to the Academy Governing Body who shall inform the Governor Services Lead.
- 9.43 The disqualification provisions shall also apply to any member of any committee or sub-committee of an Academy Governing Body who is not a member of the Academy Governing Body.

Chair and Vice Chair of the Academy Governing Body

- 9.44 The Trust Board shall each academic year, at their first meeting in that year, appoint a Chair at the academy. Any person who is employed by the Federation (whether or not at the academy) or a person who is at the time of election already a Director of the Federation (except where such a person is a Director by virtue of

being the incumbent chair of the Academy Governing Body) shall be eligible for appointment as Chair upon signing a declaration that they will not seek to serve as a Director of the Federation. The Vice Chair should be appointed by the Academy Governing Body at the first meeting of the academic year and the same rules on eligibility as set out above for the Chair apply.

- 9.45 The Chair may at any time resign their position by giving notice in writing to the Governor Services Lead. The Vice-Chair of the Academy Governing Body at any academy may at any time resign their office by giving notice in writing to the Academy Governing Body. The Chair or Vice-Chair shall cease to hold office if:
- They cease to serve on the Academy Governing Body;
 - they have failed to sign a declaration that they will not seek to serve as a Director of the Federation whilst entering the employment of the Federation, whether or not at the academy ;
 - they are removed from office in accordance with these regulations; or
 - in the case of the vice-chair, they are appointed to fill a vacancy in the office of Chair.
- 9.46 Where a vacancy arises in the office of Chair, the Trust Board shall nominate an academy replacement. Where a vacancy arises in the office of Vice-Chair the Academy Governing Body should fill the vacancy.
- 9.47 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, unless otherwise directed by the Trust.
- 9.48 Where 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 Academy Governing Body shall elect one of their number to act as a Chair for the purposes of that meeting.
- 9.49 The Clerk to the Academy Governing Body shall act as Chair during that part of any meeting at which the Chair is elected for that meeting.
- 9.50 Any election of the Chair for the meeting or Vice-Chair which is contested shall be held by secret ballot.
- 9.51 The Chair may be removed from office by the Trust Board at any time.

Clerk to the Governing Body

- 9.52 Each Academy Governing Body must appoint a Clerk to the Governors and must notify the Governor Services Lead and Trust Board of the name and address of the person appointed.
- 9.53 The Clerk to the Academy Governing Body is not automatically appointed as the Clerk to any committees or sub-committees which are responsible for making their own arrangements for issuing notices and keeping minutes of meetings.
- 9.54 Where the appointed Clerk is not in attendance at any meeting of an Academy Governing Body the members present shall nominate one of their number to take notes and prepare the minutes of the meeting. Ex Officio Governors may not act as the minute taker.
- 9.55 The nature of Governors' meetings is such that the Clerk who sends out the agenda, collates the supporting papers and prepares the minutes for a meeting will see and hear information that is confidential and sensitive.

- 9.56 Clerks must ensure that the information they have is not shared with anyone outside the meeting; this means that the contents of minutes and meeting papers and conversations that take place in meetings must not be discussed or referred to.
- 9.57 Clerks must also take steps to protect against the risks to the security of the information stored electronically or on paper. These steps include:
- Using the Governors' area on SharePoint to upload minutes and papers rather than sending by e mail.
 - Where it is necessary for minutes and supporting papers for agenda items to be distributed by e mail, all documents and spreadsheets must be password protected and the recipients provided with the password by separate mail.
 - Hard copies of supporting papers for agenda items must not be left unattended in an open office.
 - Minutes must not be released to any person until they have been checked by the Chair of the meeting.
 - Freedom of Information Act requests, including any requests for copies of minutes, must not be answered directly but must be referred to the Head of Compliance at the Federation on all occasions.
 - Electronic versions of supporting papers and minutes must be password protected when they are saved on any directory to which any other person has access.
 - Clerks who are employees of the Federation must be provided with a copy of this guidance on appointment and required to confirm by e mail that they have read and understood it and will comply with its provisions.
 - External Clerks, whether self-employed or engaged via companies or local authorities, must be engaged under a contract for services that specifies all the terms of the engagement including confidentiality and security of records. academies should check the contracts to confirm that the necessary provisions are included. Where the provisions are not adequate or there is no contract the Federation will provide a contract that clerks must sign and return.

Conflicts of interest

- 9.58 Any Governor 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 their duties as a Governor shall disclose that fact to the Academy Governing Body as soon as they become aware of it. A person must absent themselves from any discussions of the Academy Governing Body in which it is possible that a conflict will arise between their 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).
- 9.59 Each Governor however appointed must complete and return to the Clerk to the Governors a signed Declaration of Interest, including, where they have no declarable interests, a nil return, at the time of their appointment. The Clerk shall keep the Declaration of Interest in the governance records and shall make an entry recording the declarations in the Governors' Register of Interests.
- 9.60 At the commencement of each academic year the Federation will send to all Governors a declaration of interest form to be completed and returned to the Governor Services Lead. The Federation will send details of all declarations received to the Clerk to the Academy Governing Body. The Clerk shall present a copy of the

schedule of details to the Chair at every meeting so that any Governor having a personal interest shall be asked to leave the meeting if any issue to which that interest relates is discussed.

- 9.61 At the commencement of any meeting of the governors the Clerk shall bring to the attention of the Chair of the meeting any failure by any Governor to make a declaration and if that person is present at the meeting the Chair shall require that they either complete a declaration immediately or leave the meeting.
- 9.62 At the commencement of business at every meeting the Chair shall remind governors of their duty to disclose personal interests and ask those present to confirm verbally that they have not acquired or lost any interests since the date of their last written declaration. The fact that Governors were asked to make the declaration and any declaration given must be recorded in the minutes.
- 9.63 Any Governor who fails to disclose an interest having been requested to do so shall be removed from office and shall not be eligible for re-appointment at the academy or at any other establishment within the Federation.
- 9.64 Where any Governor is also a member of the Trust Board it shall not be necessary for the Clerk to request a declaration of interest from them because they will have given the required declaration to the Clerk to the Governors of the Federation. The Clerk to the Academy Governing Body can ask the Clerk to the Governors of the Federation or the Governor Services Lead for a copy of the declaration given.
- 9.65 A person has a Personal Financial Interest if:
- They are in the employment of the Federation or is in receipt of remuneration or the provision of any other benefit directly from the Federation; or
 - They, or any related or connected person, has a pecuniary or other interest in any venture or organisation with which the academy does, or may do, business. The definitions of related and connected person and pecuniary interest shall be those contained in the ESFA academies Financial Handbook.
- 9.66 Each Governor is also required to disclose in the procedure for declarations of interest any role that they have in any other educational organisation whether as a governor, employee, proprietor, consultant or in any other capacity.
- 9.67 Governors' pecuniary interests and interests in other educational establishments will be disclosed on the academy website as required by the ESFA academies Financial Handbook.
- 9.68 Where any Governor receives or is offered gifts or hospitality by any third party that does or may do business with the academy such gift or offer is considered to compromise the independence of the Governor. Gifts and hospitality may not be accepted and any offer must be notified directly to the CFO. The CFO shall be responsible for advising the Trust Board whether any such offer constitutes an attempted bribe or other irregularity and the Board will determine whether any further action shall be taken against the supplier or potential supplier making the offer.
- 9.69 Any Governor found to have accepted a gift or hospitality without declaring it shall be required to stand down as a Governor.
- 9.70 In any conflict between any provision of the academies Scheme of Delegation and the Articles of Association of the Harris Federation, the Articles shall prevail.

9.71 Any disagreement between the Governors or any subcommittee of the Academy Governing Body and the Principal at the academy shall be referred to the Chief Executive Officer before resolution by the Trust Board.

Minutes

9.72 The minutes of the proceedings of every meeting of Governors shall be drawn up by the Clerk to the meeting; and shall be signed (subject to the approval of the members of the Academy Governing Body) at the next subsequent meeting by the person acting as Chair. The minutes shall include a record of:

- All appointments of officers made by the Academy Governing Body; and
- All proceedings at meetings of the Academy Governing Body and of committees and sub-committees thereof including the names of all persons present at each such meeting.

9.73 Draft minutes of meetings must be submitted to the Chair of the meeting within the period agreed with the Chair.

9.74 Clerks shall place the signed copies of the minutes of each meeting in the academy's governance records file.

9.75 Clerks shall ensure that copies of minutes of all meetings of the Academy Governing Bodies (and such of the committees and subcommittees as the Trust Board shall from time to time notify) shall promptly be provided to the Trust Board when requested and shall in any event forward copies of the minutes to the Federation Head Office for retention; clearly identified minutes uploaded to SharePoint satisfy this requirement.

9.76 The purpose of the minutes of any meeting of Governors or Committees is threefold:

- to record any decisions taken at the meeting so that auditors and regulators can be assured that any actions taken by an academy were properly authorised;
- to record any actions agreed upon and the ownership of those actions so that they can be followed up at subsequent meetings to ensure compliance with the requirements of the governors; and
- to record the participation of governors so that reviewers can be assured of the quality of governance.

9.77 None of these objectives require that the minutes include a detailed record of information presented at the meeting. To do this is time consuming and can also lead to imprecise recording because of the complex technical nature of some reports.

Committees

9.78 An Academy Governing Body may establish a Finance Committee. The finance role of the committee may be combined with other functions, for example in a Finance and General Purposes Committee or through a Quadrant Business Performance Scrutiny Group (BPSG)

9.79 The Terms of Reference and the powers delegated to any Committee shall be in accordance with the instructions issued from time to time by the Trust Board as set out in the Scheme of Delegation.

9.80 The Chair and Vice-Chair of any Finance Committee shall not be the same persons who serve as Chair and Vice-Chair of the Academy Governing Body of the academy.

- 9.81 Academy Governing Bodies may establish any other committee or sub-committee that it considers appropriate to assist with the efficient discharge of its duties.
- 9.82 The constitution, membership and proceedings of any committee or sub-committee established by an Academy Governing Body, with the exception of the Finance Committee, shall be determined by the Academy Governing Body but having regard to any views of the Trust Board. The establishment, terms of reference, constitution and membership of any committee or sub-committee shall be reviewed at least once in every twelve months. The membership of any committee or sub-committee may include persons who do not also serve on the Academy Governing Body, provided that a majority of the members of any such committee or subcommittee shall be members of the Academy Governing Body or Directors of the Federation.
- 9.83 The Academy Governing Body may determine that some or all of the members of a committee or sub-committee who are not Federation Directors or who do not serve on the Academy Governing Body shall be entitled to vote in any proceedings of the committee or sub-committee. No vote on any matter shall be taken at a meeting of a committee or sub-committee unless the majority of members of the subcommittee present either are Directors of the Federation or serve on the Academy Governing Body of the academy. The terms of reference for any committee or sub-committee of the governing body shall be consistent with any policy or statement of recommended practice issued from time to time by the Trust Board.

Delegation

- 9.84 Provided such power or function has been delegated to an Academy Governing Body, it may further delegate to any person serving on the Academy Governing Body, committee, 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 either the Trust Board or the Academy Governing Body may impose and may be revoked or altered.
- 9.85 Where any power or function of the Directors or the Academy Governing Body is exercised by any committee, any Director or Governor, Principal or any other holder of an executive office, that person or committee shall report to the Academy Governing Body in respect of any action taken or decision made with respect to the exercise of that power or function at the meeting of the Academy Governing Body immediately following the taking of the action or the making of the decision.

Meetings of the Academy Governing Body

- 9.86 Subject to the following, each Academy Governing Body may regulate its proceedings as its members think fit.
- 9.87 The Academy Governing Body shall meet at least three times in every academic year.
- 9.88 Meetings of the Academy Governing Body shall be convened by the Clerk to the Academy Governing Body on the instructions of the Chair.
- 9.89 In exercising their functions, the Clerk shall comply with any direction given by:
- the Trust Board;
 - the Chief Executive Officer;
 - the Academy Governing Body; or
 - the Chair or, in their absence or where there is a vacancy in the office of chair, the Vice-Chair, so far as such direction is not inconsistent with any direction given as mentioned above.

- 9.90 Each member of the Academy Governing Body shall be given at least seven clear days before the date of a meeting:
- notice in writing thereof, signed by the Clerk, and sent to each member of the Academy Governing Body at the address (or e-mail address) provided by each member from time to time;
 - a copy of the agenda for the meeting; and
 - a copy of any report or paper that will be considered at the meeting by reason of the item concerned being on the agenda for the meeting.
- 9.91 Provided that where the Chair or, in their 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 they direct.
- 9.92 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.
- 9.93 A meeting of the Academy Governing Body shall be terminated forthwith if:
- the members of the Academy Governing Body so resolve; or
 - the number of members present ceases to constitute a quorum for a meeting of the Academy Governing Body.
- 9.94 The quorum for a meeting of the Academy Governing Body, and any vote on any matter thereat, shall be any three Sponsor members of the Academy Governing Body, or, where greater, any one third (rounded up to a whole number) of the total number of persons holding office on the Academy Governing Body as Sponsor Governors at the date of the meeting.
- 9.95 Where the Academy Governing Body resolves to adjourn a meeting before all the items of business on the agenda have been disposed of, the Academy Governing Body 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.
- 9.96 Every member of the Academy Governing Body shall have one vote.
- 9.97 Where there is an equal division of votes, the Chair of the meeting shall have a casting vote in addition to any other vote they may have.
- 9.98 Each Academy Governing Body shall ensure that a copy of the following is kept on record:
- the agenda for every meeting of that Academy Governing Body;
 - the signed minutes of every such meeting; and
 - any report, document or other paper considered at any such meeting.
- 9.99 The following may be excluded from any item required to be made available relating to:
- a named teacher or other person employed, formerly employed, or proposed to be employed, at an academy or elsewhere in the Federation;

- a named student or former student at, or candidate for admission to, an academy ;
- and any matter which, by reason of its nature, the Academy Governing Body is satisfied should remain confidential.

9.100 At the end of every meeting of the Academy Governing Body or of any Committee or sub-committee thereof the Chair shall direct the meeting to consider in regard of every decision made or item discussed whether any item be treated as confidential and recorded as such in the minutes of the meeting.

Notices

- 9.101 Any notice to be given to or by any person (other than a notice calling a meeting of an Academy Governing Body) shall be in writing or shall be given using electronic communications. A notice may be given by the Academy Governing Body to its members either personally or by sending it by post in a prepaid envelope addressed to the member at their registered address or by leaving it at that address or by giving it using electronic communications to an address for the time being notified to the Academy Governing Body by the member.
- 9.102 A member of the Academy Governing Body present at any meeting of the Academy Governing Body shall be deemed to have received notice of the meeting and where necessary of the purposes for which it was called.
- 9.103 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 in accordance with guidance issued by the Institute of Chartered Secretaries and Administrators 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.

Review of Performance

- 9.104 Once in every academic year the Academy Governing Body shall review the performance of the academy and its own work within that performance.
- 9.105 Guidance on the form that the review is to take will be issued annually by the Trust Board to take into account the requirements of the ESFA as set out in the ESFA Academy Trust Handbook.
- 9.106 The findings of the review and any recommendations for future actions shall be reported back to the Academy Governing Body and included in the minutes of the meeting at which they are presented.
- 9.107 The Governors' review should be carried out in the context of the academy's performance in the period under review. The review process therefore must be to examine the attainments, and shortcomings, of the academy in the period leading up to review and then assess their own contribution to successes and their involvement, or lack of it, in areas that had less successful outcomes. The areas of review will vary according to the academy's situation and will be determined by the Chair but should always include some consideration of the following:
- the academy's exam results;
 - the outcome of any Ofsted inspection and any recommendations made by inspectors;
 - what formal complaints, if any, were received by the academy, how were they resolved and what actions are required to prevent a re-occurrence of the events that led to the complaint.

9.108 For each item considered the Governors should consider whether there is anything more that they might have done to help identify and deal with an unsuccessful outcome or anything they did that contributed to positive achievements.

9.109 The review should always include asking whether the Academy Governing Body has the right mix of skills and experience to monitor and advise on all relevant issues and whether all the required meetings took place and were adequately attended. From this Governors may identify actions that they need to take to reinforce success and to counter shortcomings, this might include (raising with the Board where applicable):

- increasing the number of Governors;
- changing the structure and composition of committees;
- re-allocating responsibilities;
- recruiting new Governors with additional skills;
- arranging training either collectively or for individual Governors in specialist topics; or
- asking existing Governors to step down.

Indemnity

9.110 Subject to the provisions of the Companies Act 2006, which relate to governors who are also Directors of the Harris Federation, every member of the Academy Governing Bodies or other officer or auditor of the Federation acting in relation to an academy shall be indemnified out of the assets of the Federation against any liability incurred by them in that capacity in defending any proceedings, whether civil or criminal, in which judgment is given in favour or in which they are acquitted or in connection with any application in which relief is granted to them by the Court from liability for negligence, default, breach of duty or breach of trust in relation to the affairs of the academy .

9.111 The indemnity provided shall only apply where the person claiming indemnity has notified the Federation at the outset of any action against them and has complied with any directions given by the Federation or its insurers for the defence and management of the claim.

10. Annex A - Financial Powers and Duties

In order to allow the academy to function efficiently, delegation to committees and the principal is necessary. The extent and level of any such delegation is set out in the matrix of responsibilities below.

Where committees are established, the name of the committee to which the function is delegated is specified in the matrix except for the Finance and General Purposes Committee which is referred to as F&GPC.

Key to abbreviations:

| Abbreviation | Full name | Status |
|---------------------|--|------------------------|
| AD | Assistant Director | Federation appointment |
| AIP | Academy Improvement Plan | Academy document |
| ATH | Academy Trust Handbook | ESFA Document |
| AGB | Academy Governing Bodies | Committees of the FBD |
| CEO | Federation Chief Executive Officer | Federation appointment |
| CFO | Chief Financial Officer | Federation appointment |
| DfE | Department for Education | Government Department |
| DPE | Director of Primary Education | Federation appointment |
| DSE | Director of Secondary Education | Federation appointment |
| ESFA | Education & Skills Funding Agency | Agency of the DfE |
| FBP | Finance Business Partner | Federation appointment |
| FC | Federation Financial Controller | Federation appointment |
| FFH | Federation Financial Handbook | Federation document |
| F&GPC | Finance and General Purposes Committee | Academy GB committee |
| FBD | Federation Board of Directors | Appointed by Sponsor |
| FO | Finance Officers | Academy appointments |
| HOT | Head of Talent and Attraction | Federation appointment |
| HFBP | Head of Finance Business Partnering | Federation appointment |
| HOP | Head of Procurement | Federation appointment |
| HR | Human Resources Department of the Federation | Federation appointment |
| IA | Internal Auditor | Federation appointment |
| ICT | IT Cluster Managers | Federation appointment |
| DCC | Director of Commercial and Compliance | Federation appointment |
| PM | Premises Managers | Academy appointment |
| PCM | Procurement Manager | Federation appointment |
| SFBP | Senior Finance Business Partners | Federation appointment |
| TOCA | Transfer of Control Agreement | Federation document |

| | Responsibility | Harris Federation Board (FBD) | Academy Governing Body | Principal & Executive Principal | Executive Team | Comments |
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| 1. | Accounting Policy and Procedures | | | | | |
| 1.1. | Adhering to ESFA and statutory financial requirements. | Finance Committee of FBD approves all accounting policies and procedures. | | | CFO recommends policies to Board via FBD Finance Committee. | External auditors are consulted on financial policies to ensure compliance. |
| 1.2. | Ensuring policies and controls are followed. | FBD Audit & Risk Committee receives and reviews internal audit reports on compliance. The Audit & Risk Committee must meet at least 3 times a year. | | Principals/Head of Academy action the Internal Auditor's points. Principals/Head of Academy responsible for Free School Meal compliance. | CFO & HFBP receive internal control reports from Internal Auditor and take action to remedy non-compliance with any finance related policies and procedures under their control. Consider any recommendation made by IA for best practice. The Principal will take actions for areas under their control. | IA will visit the high risk academies during the year as set out in the annual internal audit plan. Where CFO, Principal & HFBP have taken action to remedy non-compliance IA will arrange a follow up visit to check on compliance. The Federation must submit its internal audit annual summary report of the areas reviewed, key findings, recommendations and conclusion to the ESFA by 31 st December each year when it submits its |

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| | | | | | | audited annual accounts. |
| 1.3. | Maintaining accounting records as required by statute. | FBD Finance Committee receive and review half termly budget monitoring reports. | | Review budget monitoring reports monthly. | <p>SFBP reviews budget monitoring reports monthly and Federation Finance team checks monthly that all control accounts are reconciled.</p> <p>FBPs must prepare monthly accounts and must include income & expenditure account, variation to budget report, cashflow and balance sheet.</p> | The review of accounts against budget and the control account reconciliations will highlight possible errors and omissions in the records so that they are rectified in a timely fashion. |

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| 2. | Asset Safeguarding | | | | | |
| 2.1. | Arranging security of physical assets such as buildings, furniture, equipment, stock, stores and cash. | | | Principal oversees academy staff responsible for arranging security of physical assets and site. FO is responsible for ensuring the physical security of petty cash. | CFO decides on minimum financial security procedures and incorporates them into the FFH. FBP checks petty cash reconciliations. | |
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| 2.2. | Checking annually the inventory to verify the location and condition of each item of equipment. | | | Principal directs academy staff to physically check assets and update records accordingly. | FBPs and FOs amend financial records to reflect losses and disposals. IA review all material losses and discrepancies and report to CFO and Audit Committee. | Write offs of lost equipment have to be approved by the FBD Audit Committee. |

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| 2.3. | Authorising the disposal of unusable or obsolete equipment included in the inventory and ensuring that the best value is obtained on disposal. | | CFO | ICT staff prepare lists of items recommended for disposal Principal approves, in writing, any disposal of an asset that cost less than £10k when acquired. | CFO is responsible for approving disposals of assets originally costing over £10k if recommended by the academy Principal. FBPs and FOs amend financial records to reflect disposals. | Any item given away must be signed for by the recipient to confirm that they made no payment for the item. |
| 2.4. | Maintaining a record of all property borrowed by staff or third parties. | | | Principal ensures that there is a system in place and that relevant staff record issues and returns of equipment. | | The asset register records loans. All issues and loans are signed for by staff; equipment issued to staff must be returned when they leave the academy. |
| 2.5. | Maintaining a fixed asset register | | | | FBPs and FC are responsible for maintaining the accounting record of all capital assets. | |

| 3. | External Audit | | | | | |
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| 3.1. | Appointing statutory auditors. | Appointment of auditors confirmed by Members at AGM. | | | | A firm providing external audit to a Trust shall not also provide internal audit services to it. We must retender external audit services every 5 years. |
| 3.2. | Making records and documents available for inspection by the External Auditors. | | Clerk to the Governing Body will make copies of the minutes of all meetings of the AGB and its Committees available if required. | Provides auditors with any explanations required that cannot be dealt with by FBP or FC. | FBP prepares all information required for statutory disclosure and ensures records are in order for inspection. FC prepares the consolidated statutory accounts with back up to the external auditors. | There is a legal obligation to supply auditors with such information and explanations as they may require. |
| 3.3. | Receiving the reports and management letters from audit inspections and implementing any recommendations. | External Auditors will present their report and management letter direct to the FBD Audit and Risks Committee at the Autumn Term Committee meeting. | | If the academy is specifically mentioned in the management letter the Principal responds to points raised in report for the AGB. | CFO prepares detailed response to management letter points and plans recommended changes as required by the Audit & Risks Committee. FBP assists the Principal to prepare | External auditors will submit a management letter after their annual audit – this is not a part of the audit opinion on the accounts but advice to the Trust. The ESFA reviews management |

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| | | | | | responses to audit points. | letters, to ensure progress is made in resolving issues. |
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| 4. | Financial Planning, Budgeting, Monitoring and Reporting | | | | | |
| 4.1. | Setting budget objectives and reserves levels. | FBD set parameters for reserves as part of approving the reserves policy. | | Proposes the level of reserves as part of the Academy Development Plan (ADP). Academies must prepare a business case to submit to the Federation if they propose an in-year deficit. The business case should include a recovery plan. | CFO ensures the proposed reserves levels comply with Federation policy. CFO and CEO will review and consider academy plans to use reserves. | Policy must reflect Charity Commission requirements. Available reserves may be used in-year in exceptional circumstances, but this will need CEO/CFO approval. |
| 4.2. | Involvement of Principals and Executive Principals who have resigned during the academic year | | | Principals and Executive Principals are not allowed to make financial decisions during their notice period. Their role is confined to providing advice and information only during the budget process. | CFO ensures DSE or DPE take the lead on setting the budget objectives or delegate it to other senior member of staff. | |

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| 4.3. | Approving use of brought forward reserves. | FBD approval is required for any use of reserves in excess of £100k. | | Principals must submit a written proposal with justification for using their reserves to the Director of Primary or Director of Secondary Education as appropriate. | Director of Primary or Secondary will review proposals and if they endorse them recommend approval to CEO. CFO will scrutinise all proposals and advise CEO on impact and make his recommendation. CEO decides whether to allow use of reserves up to £100k. | |
| 4.4. | Producing a 3-year forecast that covers high level objectives and plans and allows for known and likely changes. | | | Principal and senior team produce reviews of performance each Autumn and propose changes to 3 year forecast to the FBD. | FBP costs plans and assists with information to propose savings where necessary to make the forecast balance. | |
| 4.5. | Maintaining a premises and asset management plan and ensuring that financial plans allow for funds to be accrued to meet longer term costs. | FBD Finance Committee to set policies for reserves that should be held by the academy to meet known long-term premises costs that will not qualify for condition improvement funding. | | Report to DCC/ FBD Finance Committee on condition of premises and asset management plan and consider affordability of works. | DCC to contribute reports on condition of premises to Principal and organise updates of asset management plans by surveyors. | Ideally the premises and asset management plan should be reflected in the 3-year forecast. Health and Safety issues raised related to premises will need immediate actions and risk management. |

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| 4.6. | Overseeing the preparation of the annual budget to reflect the priorities established by the Academy Development Plan (ADP). | | | Principals discuss priorities and objectives with FBPs to reflect ADP so they can draft budget; Final budget to be submitted agreed with Principal and underlying assumptions explained by FBP. | The CFO/HFBP oversees the preparation of a budget template and stipulates assumptions to be followed in budgeting. FBPs draft budgets to reflect principals' instructions within the template CFO team reviews the draft budgets prior to submission to AGBs. | Budget assumptions will always include an objective to set at least a balanced budget or to generate an in-year surplus. A 3-year plan/forecast should be prepared along with the annual budget. |
| 4.7. | Approving the final budget. | FBD Finance Committee review the consolidated Federation budget and report recommendations to FBD. | | Principal, supported by FBP, presents the proposed budget to CFO. A timetable will be issued at the beginning of the budget process. | Directors of Primary and of Secondary Education review the budgets of their respective academies prior to submission to AGBs. | |

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| | | FBD approval of the final budget must be minuted. | | | CFO presents consolidated budget to the FBD Finance Committee and thereafter to the Federation Board for approval. | |
| 4.8. | Notifying the approved budget to ESFA within the required timescale. | | | | FC submits consolidated budget and forecast return in May and July respectively to the ESFA. This needs to be approved by Trustees. | FC issues a budget timetable, to coincide with the ESFA reporting deadlines, to the academies. |
| 4.9. | Monitoring actual year to date income and expenditure against budget and explaining variances. | Consolidated reports for the whole Federation are reviewed by the FBD Finance Committee half termly and are reported in summary to the FBD. Approval of budget and review of management accounts must be minuted. FBD Chair is sent the group management accounts including Cashflow and | Pupil number projections reviewed termly by the AGB. | Principal reviews monthly reports and outturn forecasts. | FBP prepares monthly management accounts, outturn forecasts and monitoring reports. CFO team review and check monthly consolidated academy reports. The schools resource management self-assessment tool which is usually prepared by the ESFA needs to be | The monitoring reports include a commentary to explain variances and a summary of risks and opportunities. |

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| | | Balance Sheet for review every month. Pupil number projections must be reviewed termly by the Board. | | | reviewed by the Trustees. | |
| 4.10. | Approving transfers between budget headings (virements). | | | Principal can make transfers between budgets (virements) provided that the changes do not impact on the overall budgeted outturn. Any academy that generates more than £50k additional income compared to budget and plans to spend this money in-year requires the approval of the CEO in consultation with the Director of Secondary Education or Director of Primary Education.' | | A virement is a re-allocation of planned expenditure. Virements should not affect the overall budget forecast for the year. |
| 4.11. | Approving expenditure not provided for in the annual budget that would otherwise put academy into deficit. | Any proposal by an academy to incur expenditure that was not provided for in the budget and that will cost £100k or more must be | | Principals can propose additional expenditure to CEO / CFO. | FBP will assist the Principal or other staff in preparation of the business case proposing the expenditure. | Any request for additional expenditure to be approved must be supported by a written business case setting out the |

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| | | approved by the FBD Finance Committee. | | | <p>The CEO consulting with DPE or DSE can approve additional expenditure up to a limit of £100k. Above £100k Board approval is required.</p> <p>CFO will scrutinise all proposals and advise the CEO on the financial impact.</p> | <p>advantages of the expenditure and explaining how the cost will be met.</p> |
| 5. | Value for money, awarding contracts, Placing orders | | | | | |
| 5.1. | Appointing Preferred Suppliers. | | | | <p>PCM will review prices and terms proposed by any supplier seeking Preferred Supplier status. HOP will make final decision on any proposal to appoint a preferred supplier.</p> | <p>Preferred Suppliers are those whose rates/prices and terms and conditions have been checked in advance to ensure that they will provide good value for money so that it is not always necessary to obtain competitive quotes before ordering from them.</p> <p>Preferred suppliers have normally arisen from a formal tender or benchmarking</p> |

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| | | | | | | exercise overseen by the PCM. |
| 5.2. | Using the Preferred Supplier List (PSL) for the supply of agency workers and introduction of permanent or fixed staff. | | | Principal must follow this framework. Consideration to go outside of this will only be made for very hard to fill vacancies or particularly niche posts where a particular skillset is required; in these exceptional instances, prior written approval of the HOT will be required. | Federation heads of department must use this framework. | This is a dynamic purchasing system (DPS) which means it is subject to periodic 'refresh'. HOT will evaluate suppliers' performance and consider new recruitment agencies for appointment to the PSL. |
| 5.3. | Selecting a supplier for any expenditure below £2,000. | | | FOs or individual budget holders will select a supplier for each order. | Principals will authorise orders and ensure that Preferred Suppliers are used where available. | Preferred Suppliers must be used where available unless the academy can demonstrate that another supplier provides better value for money. FBPs should be mindful of value for money (VFM). |
| 5.4. | Selecting a supplier for urgent site maintenance/repair works between £2,000 and £5,000 | | | Premises Manager will propose a supplier for each order. | Federation Estates Manager to sense check proposal and endorse. FBPs will authorise orders | Factors to be considered include urgency of need, ramifications if works are not |

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| | | | | | and ensure that Preferred Suppliers are used where available. | undertaken (for instance, health & safety issues) in a timely manner, and of course, VFM. |
| 5.5. | Selecting a supplier for any expenditure between £2,000 and £20,000 (with exception of point 5.4 above). | | | FOs or individual budget holders must obtain two written quotes. Principals must authorise any proposed purchase where the lowest cost offer is not accepted. | F�Ps will authorise orders and ensure that the chosen supplier is either a Preferred Supplier or that two written quotes were obtained. | Academies must either use a Preferred Supplier or obtain two written quotes prior to selection. |
| 5.6. | Selecting a supplier for any expenditure between £20,000 and £40,000. | | | FOs or individual budget holders must obtain three written quotes from potential suppliers. Principals must authorise any proposed purchase where the lowest cost offer is not accepted. | F�Ps will check that three written quotes were obtained, and that Preferred Suppliers were included in the three prices where available and make a recommendation of award. CFO will authorise orders. | Three written quotes for the supply must be obtained. All Preferred Suppliers must be asked to provide prices. If required, the Procurement team can run formal tenders. |
| 5.7. | Selecting a supplier for any expenditure over £40,000. | | | Principal will direct staff to prepare a detailed specification setting out the academy's (or | HOP will oversee tender process. PCM will keep a register of all | Formal tender process per the procurement guidelines will be followed. |

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| | | | | department's) requirements. | tenders issued and results. | The award must be based on criteria set out in the tender document. |
| 5.8. | Waiving pricing/quote process for procurements between £2,000 and £40,000 where only one supplier is considered suitable. | | | Academy must submit statement signed by Principal explaining why only one supplier is considered suitable. Principal to approve following PCM endorsement. | PCM will endorse waiver after reviewing reasons given. | Waiver has to be confirmed by email and copy attached to PO or contract. Waiver will be entered in procurement statistics if procurement award a contract. |
| 5.9. | Waiving tender process for procurements between £40,000 and £100,000 where only one supplier is considered suitable. | | | Academy must submit statement signed by Principal explaining why only one supplier is considered suitable. | CFO or DCC will endorse waiver after reviewing reasons given. | Waiver has to be confirmed by email and copy attached to PO or contract. Waiver will be entered in procurement statistics as contract must be issued. |
| 5.10. | Waiving tender process for procurements over £100,000 where only one supplier is considered suitable. | Board to approve. | | Academy must submit justification statement signed by Principal explaining why only one | HOP will consider merits of request and provide CEO with a recommendation. | Waiver has to be confirmed in email and copy attached to PO or contract. |

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| | | | | supplier is considered suitable. | CEO will consider waiver after reviewing justification statement and HOP's recommendation. | Waiver will be entered in procurement statistics. |
| 5.11. | Purchases up to £250 | | | Principal authorises invoice prior to payment | | No purchase order is required for purchases less than £250 |
| 5.12. | Authorising Purchase Orders up to £20,000. | | | Principal authorises PO on P2P system. | Budget Holders can approve requests up to their authorised limit. | FBPs will review all academy orders prior to Principal approval. |
| 5.13. | Authorising Purchase Orders over £20,000 value. | | | Principal authorises PO on P2P system. | CFO and FC authorises PO on P2P system. | P2P system is programmed only to accept CFO authorisation for orders over £20,000. FBPs will review all academy orders prior to Principal approval. |
| 5.14. | Executing contracts for a total or potential total value up to £40,000. | | | For academies FBP & Principal to financially approve via email. | For Federation – FC and Director approve via email and HOP to formalise and DCC or HOP to sign contract. | All signed contracts must be saved to academy's Dropbox and Procurement's SharePoint. |

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| 5.15. | Executing contracts for a total or potential total value of between £40,000 and £250,000. | | | For academies FBP & Principal to financially approve via tender evaluation report (TER). | For Federation – FC and Director approve via tender evaluation report and HOP to formalise and DCC or HOP to sign contract. | Endorsed TER to be saved in Procurement’s SharePoint. All signed contracts must be saved to academy’s Dropbox and Procurement’s SharePoint. |
| 5.16. | Executing contracts for a total or potential total value of between £250,000 and £2 million. | | Head of Finance Committee authorisation required for payments over £250,000 | For academies FBP & Principal to financially approve via tender evaluation report. | For Federation – FC and Director approve via tender evaluation report and HOP to formalise contract. Contract to be signed by CEO. | Endorsed TER to be saved in Procurement’s SharePoint. All signed contracts must be saved to academy’s Dropbox and Procurement’s SharePoint. |
| 5.17. | Executing contracts for a total or potential total value of over £2 million. | Provide delegation to CEO to sign contract. | | For academies FBP & Principal to financially approve via tender evaluation report. | For Federation – FC and Director approve via tender evaluation report and HOP to formalise contract. CEO to sign contract if delegated to do so by the Board. | Endorsed TER to be saved in Procurement’s SharePoint. All signed contracts must be saved to academy’s Dropbox and Procurement’s SharePoint. |
| 5.18. | Ensuring compliance with Public Contracts Regulations. | Audit Committee receive reports on Compliance from IA that will highlight | | | This Scheme of Delegation sets the limits and procedures for | HOP monitors all formal tenders and formalises the award of contract to ensure compliance. |

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| | | any failure to follow Regulations. | | | quoting and tendering. HOP encourages academies to follow these procedures. | |
| 5.19. | Appointing an external consultant. | | | | The CEO in consultation with a director can approve the appointment of external consultants. | |
| 5.20. | Procurement and spending | | | | The Federation prohibits the purchase of alcohol except for use in religious services. | |
| 5.21. | Photocopier Leasing and Cost per Copy Charge Agreements. | | | Principal approves the contract once FBP has reviewed it financially. | HOP formalises and signs the contract. | |

| | Responsibility | Harris Federation Board (FBD) | Academy Governing Body | Principal & Executive Principal | CEO/Federation Directors and Staff | Comments |
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| 6. | Governance | | | | | |
| 6.1. | Establishing the academy Governing Body and the regulations for its conduct of business. | FBD establish the number of Governors required and the nature of the appointments and sets out the Regulations for Conduct of Business by the Governing Body as by laws under the Federation’s Articles. | | | CEO approves the Regulations for the Conduct of Business. | The Regulations for the Conduct of Business of the Governing Body include procedures for holding meetings, issuing notices, making and circulating minutes, appointment and removal of governors, etc. |
| 6.2. | Appointing Governors to the academy’s Governing Body. | Appoints Sponsor Governors. | The AGB may recommend individuals for appointment as Sponsor Governors. They must organise elections of Staff and Parent Governors, through delegation to the Principal. | Principals and Executive Principals are ex officio governors. | CEO may nominate persons for appointment by FBD. The FBD have appointed the CEO a sponsor Governor of all AGBs. DPE and DSE are sponsor governors of primary and secondary academies respectively. | Staff governors and parent governors can be appointed if elected by the relevant groups. It is not a requirement of the Federation’s Articles to have parent and/or staff governors although most academies do. |

| | Responsibility | Harris Federation Board (FBD) | Academy Governing Body | Principal & Executive Principal | CEO/Federation Directors and Staff | Comments |
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| 6.3. | Appointing Chairs of academy Governing Bodies and committees. | FBD appoints a Chair of the academy 's Governing Body annually. | The AGB appoints Vice Chair. | | | Clerks to the Governing Bodies are responsible for keeping a record of appointments and terms of office. |
| 6.4. | Removing Chairs of academy Governing Bodies and committees. | The Chair of the Federation Board may remove the Chair of the academy Governing Body at any time pending confirmation by the Board. | Governing Body may remove the Chair and/or Vice Chair of any committee that it has established. | | | |
| 6.5. | Establishing committees. | | The Governing Body may with the Board or CEO's approval, establish any committee it considers necessary. | | The CEO directs Head Office staff to draft terms of reference as part of the process for the annual review of the Federation Scheme of Delegation. | Terms of Reference for Committees are included in the Federation Scheme of Delegation. |
| 6.6. | Removing a Governor from the Academy Governing Body. | FBD may remove a Governor. | The Governing Body may recommend removal of a Governor to the FBD via the CEO. | | CEO recommends removal of a Governor to the Federation Board. | The procedures for removing Governors are set out in the Regulations for the Conduct of Business for the Governing Body. |

| | Responsibility | Harris Federation Board (FBD) | Academy Governing Body | Principal & Executive Principal | CEO/Federation Directors and Staff | Comments |
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| 6.7. | Maintaining a register of pecuniary and business interests of Governors. | The Federation must publish on its website relevant business and pecuniary interest of members, trustees, local governors and accounting officer. | | | <p>Clerks will collect and collate annual declarations of interests from all Trustees and local Governors in accordance with the ESFA requirement.</p> <p>CEO will consider any proposed transaction with a related party and decide whether to proceed.</p> | <p>All Governors have a duty to disclose interests. Subject to the ESFA de minimus rule, transactions between academies and parties related to governors or senior staff are not normally permitted.</p> <p>CFO will need to report on contracts and other agreements with related parties to the ESFA in advance of the contract or agreement commencing.</p> |
| 6.8. | Changes to governance information | | | <p>Principal must inform DCC of any change to head teacher, chair of governor and local governor's information within 7 days of the change.</p> <p>Principal must notify the ESFA of changes to the governance</p> | | <p>Notification must be through the governance section of DFE's Get Information About Schools (GIAS) register. Records required in GIAS for the Trust are members, Chair of Trustees, all other</p> |

| | Responsibility | Harris Federation Board (FBD) | Academy Governing Body | Principal & Executive Principal | CEO/Federation Directors and Staff | Comments |
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| | | | | information within 14 calendar days of the change. | | Trustees, Accounting Officer & CFO (including direct contact details for all). |
| 6.9. | Maintaining a register of Gifts and Hospitality offered or received. | FBD sets the Federation policy for accepting and recording gifts and hospitality. | The Clerk to the Governors will maintain the register and will report any non-compliance to the GB. Governors will decide, subject to the policy parameters, whether any offer may be accepted by Governors. | Will decide, within the parameters of Federation policy, whether to allow any offers of gifts or hospitality to staff to be accepted. | The Internal Auditor will review the registers of Gifts and Hospitality as part of the procedure to ensure regularity and propriety. The Principal is responsible for keeping registers for staff. CFO is responsible for keeping a register for central Trust staff, Principals and Trust Board. | All Governors and staff have a duty to disclose gifts or hospitality received or offered. |
| 6.10. | Appoint Governance Professional (clerk to Trustees Board) | Trust must appoint a Governance Professional (clerk to the board) to support the Board of Trustees, who is someone other than a trustee, principal or CEO. | | | | |

| | Responsibility | Harris Federation Board (FBD) | Academy Governing Body | Principal & Executive Principal | CEO/Federation Directors and Staff | Comments |
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| 7. | Income including disposals and granting leases | | | | | |
| 7.1. | Approving a lettings policy and setting rates to be charged. | FBD set the overall policy for letting premises. | | Principals have authority to allow discounts on rates for staff members and charities within limits set by the AGB. They delegate responsibility for checking legal obligations are met by hirers to Finance Officer or Admin staff. | DCC will provide advice to academy staff if unsure that legal obligations are being met by hirers. | TOCAs and leases must be referred to DCC for legal checks before completion. |
| 7.2. | Writing off debts for income not received. | The FBD Audit Committee will review all write offs over £1,000 approved by AGBs and may instruct the CFO to investigate any item. | | Principal can authorise write offs up to £1,000 per item and must recommend any greater write off to the AGB | FBP must prepare a report on any recommendation to write off a debt including actions already taken to recover the debt. | In all cases, the academy must require payment in advance for hiring to minimise the risk of bad debts. Material write offs (exceeding 1% of total income per transaction) must be approved by the ESFA. |
| 7.3. | Authorising other income generating activities such as after school clubs and sports clubs and granting a licence to use the premises out of hours. | | | Prepares plans and proposals, including risk assessments, for approval by Governing Body, proposes schedule of charges. | FBPs will support the Principal in preparing the plans and proposals. HOP to assess the proposals and | If any exclusive (all hours/all days) use of building or site is granted as part of the proposal it will need approval by ESFA, as treated as a |

| | Responsibility | Harris Federation Board (FBD) | Academy Governing Body | Principal & Executive Principal | CEO/Federation Directors and Staff | Comments |
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| | | | | | <p>determine if income generating activity should be competitively tendered to comply with PCR 2015.</p> <p>DCC will oversee risk assessment and viability appraisal for potential activities.</p> | disposal. DCC can advise if use is exclusive (See point 7.4). |
| 7.4. | Disposals of land and granting of leases or licences for exclusive use of areas of the academy site. | FBD Finance Committee to consider the proposals and agree the application of any capital receipts to building projects. | | Produces reports with the DCC and comments on the feasibility of options. | DCC assists Principal with appointing specialists to advise on value of disposals and feasibility of options; produce report for principal on the options. Once signed off by AGB the DCC makes the case to the ESFA for approval of the disposal. | Any disposal of land or leases need to be agreed by ESFA as condition of Funding Agreement. Disposal of “playing fields” by Secretary of State will be picked up specifically in this process. |
| 8. | Insurance and Risk Management | | | | | |
| 8.1. | Reviewing insurance cover in the light of a risk assessment and claims records. | | | Academies will provide CFO team with all information required to arrange cover. | CFO team review cover levels and negotiate insurance cover. | |

| | Responsibility | Harris Federation Board (FBD) | Academy Governing Body | Principal & Executive Principal | CEO/Federation Directors and Staff | Comments |
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| 8.2. | Maintaining a Risk Register. | FBD Audit Committee reviews overall risk management strategy, approach and attitude to risk and decides the Risk Management Policy. FBD must review the Federation Risk Register at least annually. | AGB will review the Risk Register at each meeting | Principals supported by appropriate staff will compile local risk registers in support of the Federation register and policy. The Principal must every year submit the Risk Register including the contingency and business continuity planning to the AGB for review and approval. | The Federation must manage risks to ensure it effective operation. DCC drafts Risk Policy and Federation Risk Register. | Risk Register is based on Government Orange Book and DfE guidance and complies with the Charity Commission requirements for and guidance on Risk Policy. |
| 8.3. | Producing Contingency and Business Continuity Planning (CBCP) for risks that cannot be controlled. | | | Principal and senior staff responsible for academy CBCP. | DCC prepares the template for plans to follow and advise academies on completing their plans. | Contingency and Business Continuity Plan is an AFH requirement. |
| 9. | Investments and Borrowings | | | | | |
| 9.1. | Setting aside funds not required in the short term. | FBD decides the investment policy and in particular specifies what types of investment may be made. | | | FC prepares proposals for investment. CFO reviews all proposals and FBD approve it. | |
| 9.2. | Borrowing funds | Any proposal to borrow funds must be approved by the FBD. | | | CFO will prepare any proposal for borrowing and check compliance with ESFA rules. | This requirement extends to any purchase providing cash back facilities |

| | Responsibility | Harris Federation Board (FBD) | Academy Governing Body | Principal & Executive Principal | CEO/Federation Directors and Staff | Comments |
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| | | | | | CEO must approve any proposal before consideration by Board. CFO will apply for ESFA approval where necessary prior to consideration by FBD. | or deferred payment terms. |
| 9.3. | Inter-academy loans | FBD to approve loans between academies | | | CEO to review and agree proposals prior to FBD Finance Committee. | Transfer of funds between academies is permitted without need for ESFA approval. Loans will be at nil interest rate. |
| 9.4. | Entering into operating leases. | | | | Head of Procurement approves all leases. | Academies may only enter into operating leases that do not exceed 3 years. Finance leases are not permitted. |
| 10. | Payments | | | | | |
| 10.1. | Authorising bank payments – general levels. | The following act as “A” signatories on the bank mandate: - Chair of FBD Finance Committee. | | Principal and Vice Principal act as “C” signatories on the bank mandate. | CEO and CFO act as B signatories on the bank mandate. | |

| | Responsibility | Harris Federation Board (FBD) | Academy Governing Body | Principal & Executive Principal | CEO/Federation Directors and Staff | Comments |
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| | | - Chair of FBD Audit Committee. | | | | |
| 10.2. | Authorising payments to suppliers, students and staff. | One of the A signatories is required to approve any transfer or payment over £250k. | | Principal must authorise the draft BACS payment run and any Bankline payment request prior to payment. | <p>FBP checks the BACS payment run and bank line payments.</p> <p>Central Finance Team check all back up documentation received for payments over £20k and expense claims over £150 and that authorisations are held.</p> <p>FC reviews all BACS runs prior to presenting to CFO.</p> <p>CFO authorises the cover sheet for all payment runs and specifically authorises the Federation payment run.</p> | |

| | Responsibility | Harris Federation Board (FBD) | Academy Governing Body | Principal & Executive Principal | CEO/Federation Directors and Staff | Comments |
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| 10.3. | Approving applications for Business/Credit Cards. | | | The Principal must approve any request for additional cards to be issued to staff at the academy. | CFO approves all applications for credit cards. The FC approves any application to increase the card limit. | Unless there are exceptional circumstances academies will only be issued one credit card. |
| 10.4. | Authorising use of academy credit card. | | | Principal authorises use of the card. The card should be kept in a locked cabinet, drawer or the academy's safe and can only leave site with the Principal's permission. Principal must sign the statement with supporting documentation attached. | FBP's are required to review the expenditure for each academy on a monthly basis and report on any unusual transactions. | <p>Purchase orders are required for all purchases over £250.</p> <p>FO must match every transaction on the statement against the supporting documentation.</p> <p>Federation and academy credit cards must not be used to meet personal expenses.</p> |
| 10.5. | Issuing cheques drawn on the academy bank account. | | | | | The use of cheques as a means of making payments is not allowed. |

| | Responsibility | Harris Federation Board (FBD) | Academy Governing Body | Principal & Executive Principal | CEO/Federation Directors and Staff | Comments |
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| 10.6. | Setting up direct debits. | | | | Direct debits must be approved by both the CEO and CFO. | FBDs and FOs must ensure that all direct debit forms are signed by the CEO and CFO. |
| 10.7. | Authorising reimbursement of personal expenses. | Expenses policy is set by FBD. | | <p>Principals authorise all expense claims within their academy or delegate authority to budget holders.</p> <p>Principals may not authorise their own claims, nor may they be authorised by any other member of academy staff.</p> | <p>FBDs check that academy expense claims comply with policy before processing payment.</p> <p>SFBP or Executive Principal can authorise principals' claims up to £250.</p> <p>Where the structure allows, Assistant Director, Executive Principals can authorise Principals' expenses over the £250 level.</p> <p>The DPE and DSE authorise Assistant Directors expenses. CEO authorises Directors' expense claims.</p> | Staff must not purchase materials or equipment and then seek to recover the cost via expense claims. |

| | Responsibility | Harris Federation Board (FBD) | Academy Governing Body | Principal & Executive Principal | CEO/Federation Directors and Staff | Comments |
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| | | | | | <p>CFO team check Federation staff claims comply with policy before processing payment.</p> <p>CEO expenses must be authorised by the Chair of the Audit or Finance Committee</p> | |

| 11. | Salaries and Pensions | | | | | |
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| 11.1. | Approving Terms and Conditions of Employment including salary scales, benefits and allowances. | Remuneration Committee determines Terms and Conditions. | | The Principal decides on application of Terms and Conditions in individual cases where the policy allows discretion. | HR will advise on Terms and Conditions and take legal advice to ensure compliance. CEO will take final decision to approve terms. | |
| 11.2. | Approving variations and changes to salary, allowances and working hours for individuals. | | | The Principal may authorise change provided that savings elsewhere are made so that it does not result in total cost exceeding the approved budget. | FBP reviews payroll changes for each month to ensure significant variations have been duly authorised. | The letter informing the employee of the change in salary needs to be filed in the individual staff HR file. |
| 11.3. | Approving temporary variations to salary payable. | | | The Principal authorises temporary variations to individual's salary such as overtime payments or unpaid leave. | FBPs are responsible for checking that significant monthly variations are authorised before payment is made. | Authorisation must be in writing and must contain sufficient detail to make it clear why any additional cost was incurred. |
| 11.4. | Approving calculation of pay and deductions prior to payment. | | | The Principal signs the draft payroll to authorise the payroll service provider to process payment. | FBP will review the draft payroll and highlight significant variations to the Principal. Principal must be provided with a 'variations report' | Authorisation to pay each month's salary is given to the payroll service provider online through their portal. Authority to approve payments is |

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| | | | | | showing pay anomalies prior to authorisation. The CEO authorises all monthly changes to the Fed/Principal's payroll. The PA to the CEO/HR Administrator processes all changes to the payroll. The CFO reviews and physically authorises the payroll. | restricted by password. |
| 11.5. | Approving salaries awarded to individual staff. | Salary and Bonus of Principals and their equivalents in seniority are determined by the 'Remuneration Committee'; Chaired by the Chair of the FBD and a minimum of two Directors. CEO also attends. | | The Principal reviews staff salaries (other than their own) and recommends changes in individual's pay scales, within budget. | FBP reviews overall salary structure as part of the budget approval process | Important that material changes in pay and honoraria are in line with Federation Policy to avoid possibility of equal pay claims as the Federation is a single employer. |
| 11.6. | Approving bonuses. | Policy for performance related bonuses are set by FBD. | | Principal cannot authorise a bonus payment. Only the CEO has the authority to do so. | CEO is the only person who can authorise staff bonuses. | |

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| 11.7. | Appointing staff to vacancies. | | | Principal decides on staff appointments for all posts so long as the budget allows it. | | |
| 11.8. | Obtaining legal advice on severance payments. | | | | HR Dept. brief lawyers, and obtain opinions on liability, in all cases other than redundancy payments. | Legal advice must be taken on any disputed settlement items. Where legal advice is that the Federation's chances of success are greater than 50% the claim must be defended. |
| 11.9. | Authorising severance payments to individuals, including redundancy, below £10k. | | | Principal recommends severance to HR Dept. | HR Dept. prepare report and recommendations on all severance for approval by CEO. FC checks all calculations. | Ex gratia payments must not be made. |
| 11.10. | Authorising severance payments, including redundancy in excess of £10k to any person. | | | Principal recommends severance to HR Dept. | HR Dept. prepares report and recommendations on reasons for severance and legal position. CFO team checks calculation of sum due. CEO authorises offer of settlement. | Approval from HM Treasury is required for staff severance payments that exceed the statutory or contractual minimum by £50k or more. Ex gratia payments must not be made. |

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| | | | | | FC checks all calculations. | An academy trust must obtain prior ESFA approval before making a staff severance payment where an exit package which includes special severance payment is at or above £100k |
| 11.11 | Gender pay gap | | | | HR must publish on its website and on the government's reporting website information about the gender pay gap. | |
| 11.12 | Publish salaries over £100k | | | | The Federation must publish on its website the number of employees whose taxable benefit exceeds £100k. | |

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| 12. | Taxation | | | | | |
| 12.1. | Complying with VAT regulations. | | | | CFO team prepares guidance for academies on charging VAT on income and recovering input tax. | VAT returns are submitted monthly by Federation and sums recovered distributed to |

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| | | | | | | academies once received. |
| 12.2. | Complying with PAYE regulations. | | | | FBPs check that any payments to consultants and self-employed persons are tax compliant. Head Office supplier management team ensure that appropriate consideration has been given to IR35 status of all consultants and other individuals not on payroll. | All self-employed persons and consultants must have a contract for service. |
| 12.3. | Ensuring that senior employee's payroll arrangements fully meet HM Treasury's tax requirements. | | | | FBPs must check all consultants' appointments for tax compliance. FC checks all senior staff tax arrangements. | |
| 13. | Other | | | | | |

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| 13.1. | Administration of voluntary funds. | | | The Principal reviews accounts, and makes decisions on use of funds subject to fund rules as set by AGB. | FBP/FO are responsible for maintaining fund records and reporting income, expenditure and balances. CFO will set policy for voluntary funds including uses for which the funds collected may be applied. | Voluntary funds are distinct from PTA funds, which are not the responsibility of the academy and must have their own bank accounts and treasurer. |
| 13.2. | Compliance with Companies Act regulations. | | | | CFO acts as Company Secretary. FC updates all statutory records. | |
| 13.3. | Compliance with Charities Act regulations. | | | | FC checks regulations and advises CFO. | External Auditors consider compliance with Charity Law as part of the annual audit. |
| 13.4. | Making controversial, significant or unusual decisions | Relevant Committees will decide on issues where financial consequences of decisions are between £5,000 and £100,000. | | | CFO will consider whether any transaction under consideration needs to be referred to the ESFA. | AFH requires novel and/or contentious decisions to be referred to the ESFA before a final decision is taken. |

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| | | FBD decides all issues over £100,000. | | | | |
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