



Delta Academies Trust

Governance Handbook

Updated February 2018



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DELTA ACADEMIES TRUST – OUR ORGANISATION

Delta Academies Trust (the Trust) is a Multi-Academy Trust and an exempt educational charity with a clear geographical context, based mainly in the Yorkshire and Humberside region. This Handbook provides a summary of our vision and objectives and how we are organised to support the achievement of those objectives. It also sets out the responsibilities and procedures we use to ensure we are governed to a high standard. This document will be updated as new/revised DfE and Trust policies come into force.

There are five main sections:

1. Delta Academies Trust

This section covers the vision, goals and objectives of Delta Academies Trust. It also provides an overview of our organisation and structure.

2. Trust Governance, including Scheme of Delegation

This section explains the responsibilities and procedures we use to ensure we operate and conduct our business in a fair and transparent way. The relationship between the Trust and our Academies is also outlined here. The supporting Annexes provide standard Terms of Reference used across the Trust.

3. Financial Accountability

This section outlines some elements of the financial framework within which the Trust operates. Further more detailed information is provided in the Trust Financial Regulations Manual.

4. Academy Governance

This section provides templates to support Academy Advisory Bodies, in providing a local scrutiny function, as part of the Trust governance framework.

5. Resources for Clerks

This section includes forms, templates and guidance for Clerks in carrying out their role.

SECTION 1 - DELTA ACADEMIES TRUST - OUR VISION, VALUES AND STRATEGY

Our Vision is 'Changing lives'

Our Mission Statement is to improve educational outcomes for communities in the North of England, creating a sustainable organisation that improves our society and the wider environment. This mission statement is underpinned by the following key strategies and core values.

Strategies

1. To ensure high quality sustained performance and educational outcomes for all Delta academies.
2. To operate a financially sustainable organisation, characterised by high value for money.
3. To collaborate with others to establish a Northern Alliance of powerful MATs and other stakeholders that will transform educational outcomes in the North of England.
4. To develop high quality education leadership to enhance the capacity to drive improvement.
5. Train and develop high quality teachers and staff.
6. To create a generation of young people who are socially and environmentally responsible.
7. To ensure that young people are confident, employable and have the knowledge and skills to challenge received wisdom.

Core Values

We will:

- Place children and students at the heart of everything we do.
- Place collaboration before competition, working with others for the betterment of all.
- Develop and support professionals in our own and other academies and schools to establish practice that improves lives.
- Ensure that all children make good progress irrespective of their starting point and that those young people facing disadvantage are lifted from educational poverty.
- Never do anything to the detriment of learners, staff or other stakeholders, in a neighbouring community.
- Adhere to the 'Seven Principles of Public Life'.
- Promote environmental awareness and protection locally, nationally and globally.

Our Vision and Values are underpinned by the following strategies, goals and objectives. These are the touchstones against which we assess the impact of our contribution.

Strategy 1 - To ensure high quality sustained performance and educational outcomes for all Delta academies.

Goal 1 – Ensure that outcomes in all Delta academies are above those for all similar groups of learners, from similar starting points nationally.

Objective 1.1 – Ensure that all academies are above floor. Moreover, that achievement and attainment is above national for combined and basic measures in Primary and Secondary respectively.

Objective 1.2 – Ensure that aspirant targets are set and tracking systems are in place from September 2017, with the first series of reports and metrics produced by October 2017. This will include information on progress to be shared in an efficient and timely way with pupils, students, Trust staff and Board members.

Objective 1.3 – Have in place high quality Schemes of Learning and resources for all core subjects in secondary and KS2 in Primary from December 2017. This will include standardised assessments aligned to data collection points.

Strategy 2 - To operate a financially sustainable organisation, characterised by high value for money.

Goal 2 – Ensure that each academy is financially sustainable and that the ‘core’ service operates in a financially efficient and effective way.

Objective 2.1 – Each academy to set a surplus budget. Where this is not so, any in-year deficit is servicing increased pupil numbers due to lag funding. Moreover, all academies to establish an in-year budget surplus in line with the financial policy of the Trust.

Objective 2.2 – Establish a reserves policy that identifies in-year and cumulative reserves.

Objective 2.3 – Ensure that a service led staffing plan for the ELT and core services is in place and underpins school improvement. This will include a full annual review of the levy and school improvement services.

Objective 2.4 – Ensure that the Trust’s Managing Absence Policy, Pay policy (Delta pay and conditions), Dress Code and Induction Policies are fit for purpose.

Objective 2.5 – Establish a Northern Alliance procurement group for all major areas of expenditure. Joint meeting of FDs, Directors of ICT, COOs to align contracts and agree areas for joint tenders.

Strategy 3 - To collaborate with others to establish a Northern Alliance of powerful MATs and other stakeholders that will transform educational outcomes in the North of England.

Goal 3 – Establish with Ministers, the NSC, RSC, and others support for the concept of the Northern Alliance.

Objective 3.1 – Identify a core group to support the Northern Alliance and bring forward strategic projects that cement its role with a number of key partners. This to include the wider dissemination of the vision to NSC, RSC, Regional MATs, LAs and other partners, coupled with a Memorandum of Understanding.

Objective 3.2 – Develop a strategic map for the North and identify areas of risk and challenge linked to project bids targeting these areas; this to include recruitment of teachers and leaders.

Strategy 4 - To develop high quality education leadership to enhance the capacity to lead improvement.

Goal 4 – Ensure that current leaders have the knowledge and understanding to lead their Trust and that there is sufficient capacity within the system to secure effective succession planning.

Objective 4.1 – Underpin system leadership through a CEO mentoring programme delivered by Delta to a small group of CEOs.

Objective 4.2 – Provide a CPD route for Middle, Senior and Executive Leadership via the Ambition School Leadership programme. This will be delivered in collaboration with the Delta and OGAT teaching schools.

Strategy 5 - Train and develop high quality teachers and staff.

Goal 5 – Establish a range of alternative pathways to encourage entry into the teaching profession, especially targeting and supporting in shortage subjects or located in geographically hard to recruit areas.

Objective 5.1 – Ensure that we have a good supply of newly qualified entrants into the profession, continuing to work with external partners, including Teach First and Troops into Teaching. Additionally, supporting dual partnership bids for a three-year allocation of trainee teachers.

Objective 5.2 – Look to develop an undergraduate Teacher Training Programme to support recruitment in shortage regions, particularly Bradford, Grimsby and Hull. This would be a five-year teaching apprenticeship.

Objective 5.3 – Offer a range of subject enhancement courses for teaching staff wishing to teach a shortage subject which is outside their experience, e.g. Science and Maths.

Objective 5.4 – Audit staff for those suitable for entry into the profession via assessment only route.

Strategy 6 - To create a generation of young people who are socially and environmentally responsible.

Goal 6 – Establish what the Delta curriculum means to stakeholders.

Objective 6.1 – Establish an educational philosophy based on the Trust's vision and values. To be launched at the Trust conference, it will establish seven key curriculum values. These will then form the broad aspects for curriculum development and delivery.

Objective 6.2 – Environmental awareness and impact will underpin our philosophy and work. Activities of all our staff and students should seek to improve the environment locally and globally. This will form part of 6.1 above but will also influence our actions and choices, philosophically and practically.

Objective 6.3 – Establish a series of Delta Pledges to be undertaken alongside academic studies. A student conference for the Trust will establish these and other areas covered in 6.1.

Strategy 7 - To ensure that young people are confident, employable and have the knowledge and skills to challenge received wisdom.

Goal 7 – Establish a range of experiences that ensure students' confidence and employability.

Objective 7.1 – Establish a robust programme of independent careers advice that is underpinned by links with FE, HE and employers.

Objective 7.2 – Establish good manners, reliability and punctuality. Underpin this in the first instance by a robust behaviour system that also rewards those who succeed or improve.

Objective 7.3 – Review the PSHE curriculum to ensure objective scientific questions and British values give pupils confidence to engage in debate with those in authority.

Since February 2016, Delta has developed a strong school improvement model at both Primary and Secondary, which has had a significant impact on raising standards. It is based on our five-step model.

FIVE STEP IMPROVEMENT MODEL

1. **Distributed Leadership, with Vision and Efficacy.**
2. **Education Excellence and Value (Curriculum and Classroom).**
3. **Learner-Centred Systems and Policies.**
4. **Targeted CPD for All Staff.**
5. **Accountability, support and praise at every level.**

Distributed Leadership with Vision and Efficacy

Delta has established a strong vision and sense of belonging. Key to this is the sharing of systems and alignment of the vision, values and practice. To allow more staff to contribute to the leadership of the organisation, retain key professionals and develop capacity, a wide range of incremental leadership roles have been established to complement the Executive.

Education Excellence and Value

Delta academies have a number of classroom systems that are common across the Trust. In addition, Primary use a version of the Shanghai maths model based on same day intervention (SDI). The Trust has developed a reading strategy in-house which is led by the Director of Reading and is specifically focussed on developing depth of understanding.

In secondary academies, lessons are based on collaborative structures using the 'Teacher Toolkit'. A common approach to curriculum planning is predicated upon a two stage KS4 covering three years. All core subjects use the same exam boards, schemes of work, common assessments and timelines. This makes standardising relatively simple and allows specialist Directors to be deployed across all academies.

This common approach has reduced staff workload and made planning and resourcing more effective. Value for money and best use of staffing resource is supported through Curriculum Led Financial Planning (CLFP) using a contact ratio of 0.79 with an <8% curriculum bonus.

Learner-Centred Systems and Policies

There is a common behaviour policy across secondary and primary academies; the primary version is based on the secondary approach. These have proved effective in removing the barrier of low-level disruption, which blights many lessons in challenging schools. Trust-wide targets, tracking and reporting half-termly, have allowed key performance indicators to be used consistently. In primary these take the form of Pearson tests, SATs and Interim Teacher Assessment Frameworks (ITAFs). These are then standardised to allow the Executive to deploy resources and direct interventions and/or CPD.

In secondary academies, there is a common approach to assessment in all subjects and this is collated on a half-termly basis. Year to date Key Performance Indicators (KPIs) allow the Trust Executive Team and Board to interpolate progress. In both primary and secondary the weekly RAG process drives focussed intervention for key groups. Other KPIs include attendance, exclusions and enrichment activity take-up.

Targeted CPD for All Staff

There is a weekly two-hour CPD programme that runs in secondary academies and this allows staff to share practice within and across academies. This is essential for standardisation and ensuring consistent reporting and assessment. A large number of opportunities are created in the primary estate for staff to visit other academies and contribute to their development. This underpins our approach to developing capacity and a number of acting up or associate posts is ensuring that staff are given the opportunity to lead. A partnership now exists with Ambition School Leadership that has allowed staff to pursue National Professional Qualifications (NPQs).

Accountability, support and praise at Every Level

At Trust level the Specialist Directors and Principals meet monthly with the Executive team at the Academy Network Meetings. These meetings allow the Executive to hold key professionals directly to account for the progress of pupils and students. The meetings are both challenging and supportive, providing a forum for high level CPD and the sharing of best practice. They are key to aligning the leadership teams with the vision for the Trust and supporting and facilitating a depth of collaboration. They are both highly effective and developmental.

At academy level, the RAG meetings draw together a wide range of key staff and provide a forum for detailed discussions about pupil and student barriers to progress. They are the cornerstone of Delta practice.

Our academies often serve highly deprived areas where self-esteem and low aspiration are barriers to progress. Praise assemblies, student feedback, marking and assessment, including question level analyses encourage students to take responsibility for their own learning and develop confidence.

ORGANISATION AND STRUCTURE

Our Organisation

Academy Trusts are responsible for achieving educational outcomes and ensuring regularity, propriety and value for money. Academy Trusts as companies enter into a legal contract known as a Funding Agreement (FA) with the Secretary of State. The Funding Agreement regulates our operation by imposing educational, financial and other obligations in return for funding. The Trust is therefore responsible for ensuring that funds are used only in accordance with agreed powers. The Trust acts as one employer across all of the Academies it operates.

Our Structure

Delta Academies Trust is a Multi-Academy Trust (MAT), with a predecessor educational trust history dating back to 2010. We sign one Funding Agreement with the Department for Education on behalf of all the Academies and schools in the group. This document is available on the Trust website. Our Company number is 7386086. (Limited by guarantee) Exempt Charity under the Academies Act 2010. Our Vat Number: 115811243 and our Information Commissioner registration number on behalf of all academies is Z246644X.

Members

The Members are the subscribers to the Trust's Memorandum of Association. This document is available on the Trust website. They have an overview of the governance arrangements of the Trust and the power to appoint and remove Directors. The Members meet at least annually to receive the financial statements of the Trust.

Board of Directors

The Board of Directors (BoD) is the Governing Body for the organisation and remains accountable in law and to OFSTED for the exercise of its functions. The Board of Directors meets at least four times a year. The rules and methods of operation are set out in the Trust's published Memorandum and Articles of Association, which are available on the Trust website. The Board of Directors (BoD) sets out Trust strategy and policy in key areas, which are then applied within and across all our academies through the organisational framework and schemes of delegation. The BoD is responsible for ensuring the annual audit of accounts takes place and for submitting the statutory Statements of Account to the Secretary of State as Principal Regulator and to Companies House, on behalf of all its Academies. The BoD approves the appointment of Internal and External Auditors, receives their reports and is responsible for ensuring that any recommendations are implemented and progress monitored. If you would like more information about the current Members and Directors of Delta, including details of their meeting attendance and declarations of interest, please see the details provided on the Trust website http://www.deltatrust.org.uk/Legal_Documents.

Chief Executive Officer

The Chief Executive is a member of the Board of Directors and is the Accounting Officer for the Trust. The Accounting Officer, on behalf of the BoD, takes personal responsibility (which must not be delegated) for assuring compliance with the Academies Financial Handbook (AFH), the Funding Agreement (FA) and all relevant aspects of company and charitable law. The Chief Executive has responsibility under BoD guidance, for the overall organisation, management and staffing of the organisation and for its procedures in financial and other matters, including conduct and discipline.

Academies

Each Academy has a designated leader, either a Principal, a Head of Academy or an Executive Principal. These leaders are responsible for managing Academy affairs within the budgets and framework fixed by the Board. The Academy designated leader has delegated powers and functions in respect of internal organisation, management and control of the Academies, the implementation of all policies approved by the Board and for the direction and quality assurance of teaching. They are supported by a Senior Leadership Team within the Academy.

Each Academy within the group has an Academy Advisory Body (AAB), which is a sub-committee of the main Trust Board. The Board of Directors formally delegates a scrutiny role to AABs via the scheme of delegation, which is subject to annual review.

These relationships are summarised in the organisational chart at [Annexe A](#).

Executive Leadership Team

The Core Executive Leadership Team comprises the Directors of Education, Primary and Secondary, the Assistant Director of Education, the Director of Finance, Chief Compliance Officer and the Executive Officers' Assistant. A wider executive team also includes a number of Executive Principals from Primary and Secondary and the Directors of ICT and HR. The Core ELT meets at least fortnightly to monitor and support the work of Academies and to help ensure consistent practice across the group in key support services. In addition, there are half-termly meetings for the wider Executive Team, Principals and Heads of Academy, Specialist Subject and Learning Directors at Academy Network Meetings.

These relationships are summarised in the organisational chart at [Annexe B](#).

Support Services

The Core Team delivers centralised services to support Academies and works to assure consistent working practices and best value for the group. Each Academy contributes a proportion of its income to fund these core services. The percentage is set each year by the Board of Directors and is currently 3.9%. Centralised services include:

- Financial management, centralised purchasing and payroll
- Curriculum development
- HR
- Legal advice
- Insurance
- ICT strategy and support
- Leadership Development at all phases of education
- Governance support
- Facilities management including Health and Safety support
- Staff deployment
- Recruitment of all teaching and non-teaching staff

- Talent management, Continuing Professional Development and Training
- Audit services
- Data management, assessment and analytics
- Teaching Schools support
- Schools Direct and NQT support

Contact details for all Core Team staff are provided at [Annexe C](#).

Disaster recovery plan

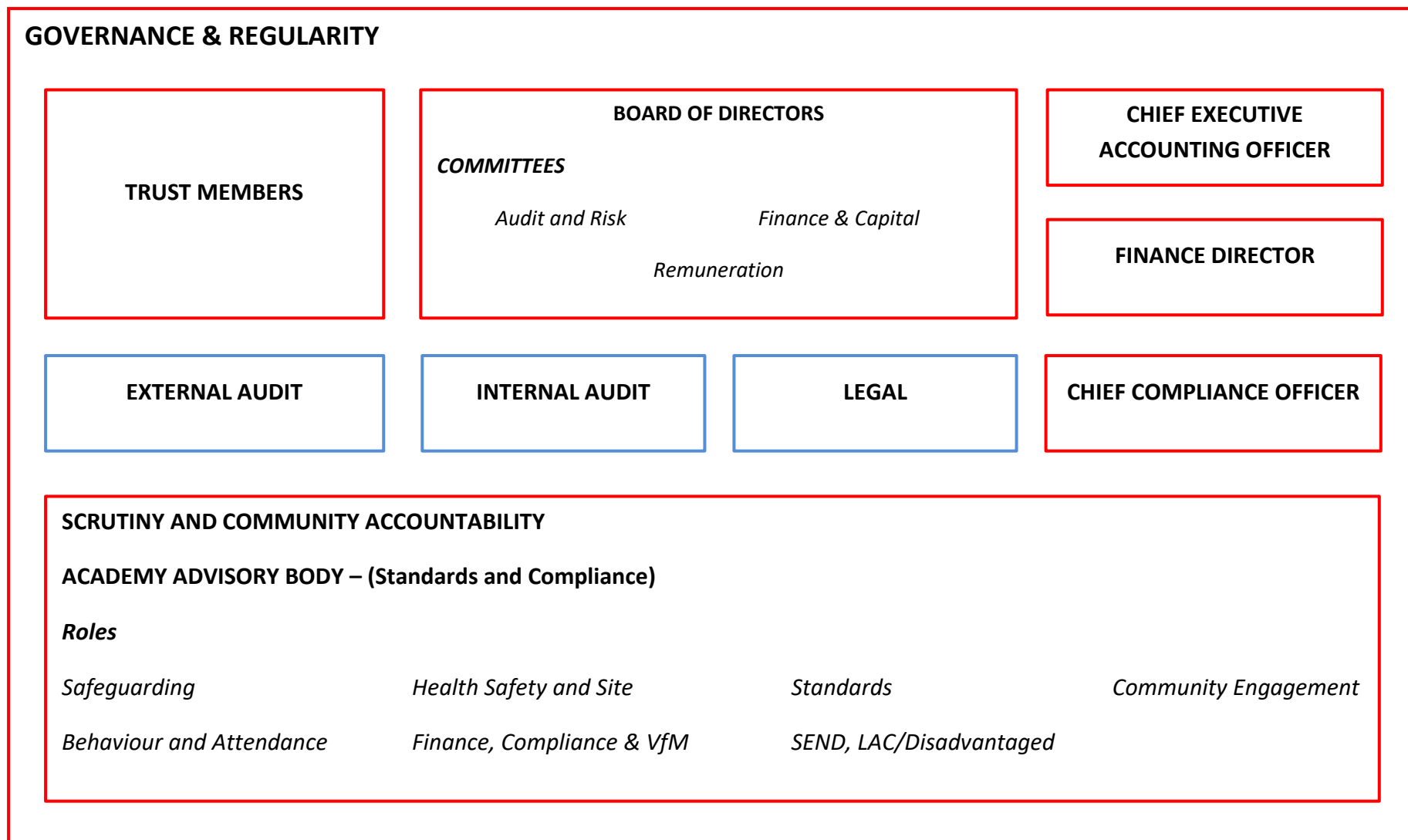
An overview plan highlighting communication and escalation procedures is included at [Annexe D](#).

Academies must have a more detailed emergency response plan to reflect their local risks and planned responses. A template for tailoring is provided on the health and safety section of the Trust VLE, accessible via this link [Trust Health and safety](#).

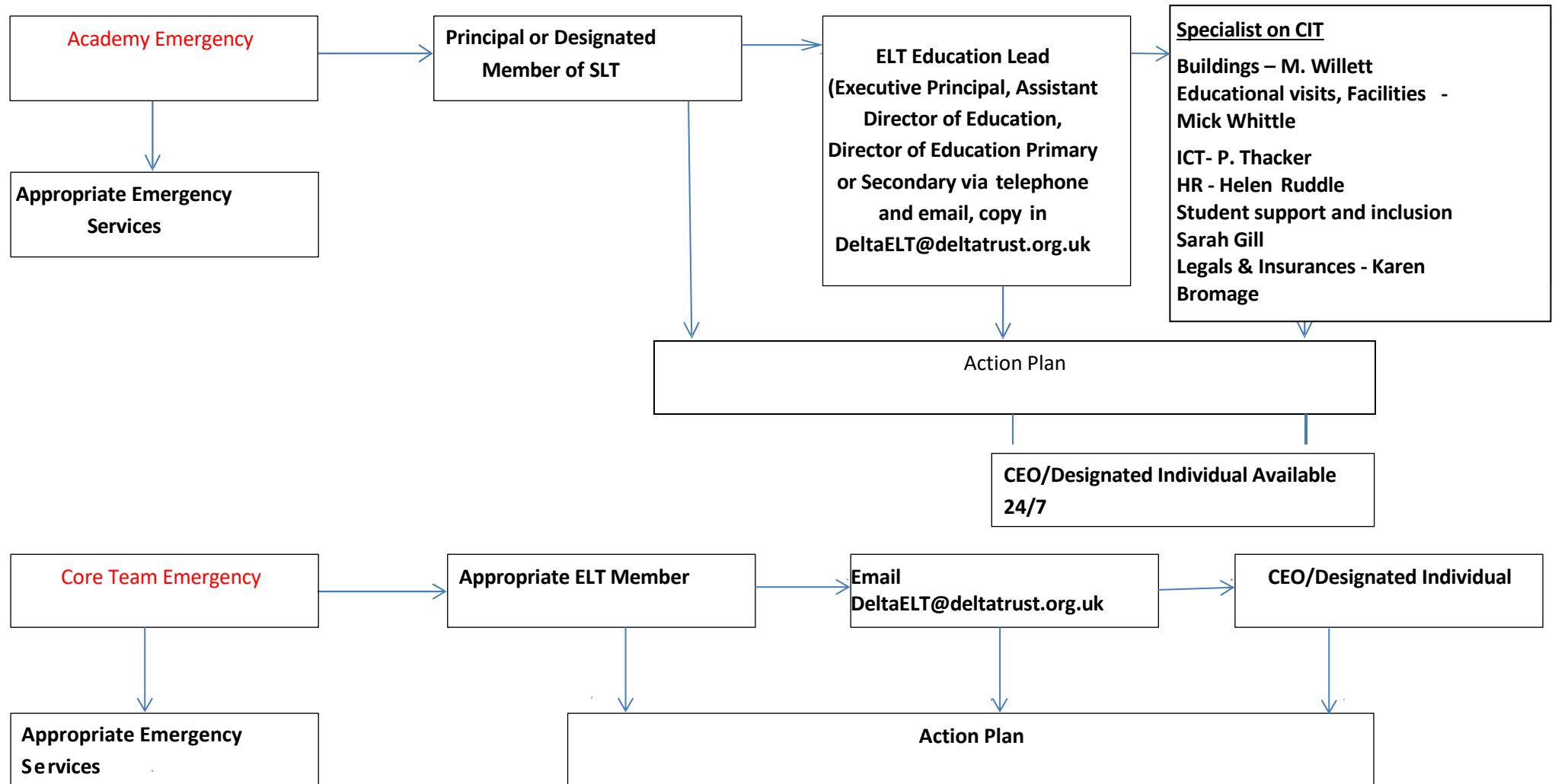
Policies

Trust policies and procedures are prepared centrally and then issued, following scrutiny by ELT or the Board, as appropriate. Once approved, policies are loaded on to the VLE and sent to School Leaders, who are then responsible for communicating and overseeing implementation of these policies at individual Academies. In some areas, templates are provided, which require tailoring locally by academies. A summary of these policies, required actions by academies and AABs and links to the relevant area of the VLE are provided at [Annexe E](#).

ANNEXE A – TRUST ORGANISATION CHART



ANNEXE B - DISASTER RECOVERY PLAN



ANNEXE C – POLICIES

The following list of policies are either required or recommended for Trust Academies. Where links are provided to Trust policies, these policies have been approved by the Board of Directors as the governing body of the Trust and apply to all Trust Academies and the Trust Core where appropriate. The Principal or Head of Academy of each Academy is responsible for communicating these policies to staff and to the AAB at their Academy and for overseeing implementation. The Principal or Head of Academy is also responsible for ensuring that statutory policies are provided to all new staff as part of Academy induction arrangements and for ensuring that records of staff acceptance of policies are retained at the Academy. Summaries of key points are provided for all policies which may be used for briefing purposes. The AAB, as part of its oversight role, is responsible for quality assuring the implementation of the policies locally. If you have questions/ comments/ suggestions about the content of any of these policies please contact governance@deltatrust.org.uk and we will consider issues raised as part of our on-going policy review programme. We will email Principals or Heads of Academy with new policies as they are developed and they will be added to the policies section of the VLE [Policies on VLE](#). New policies should be drawn to the AAB's attention in the next full meeting following issue. Academy specific policies are highlighted below.

Trust Policies A-Z – statutory	Notes	AAB role	Review frequency	Links
Accessibility plan	Academy must develop specific plan Must be published on the Academy website	Ensure plan produced, QA implementation	Every three years	N/A
Admissions arrangements	Any proposed changes are subject to consultation with Trust Board of Directors and the relevant Local Authority Must be published on the Academy website	Review any proposed changes, Ensure consultation completed	Annually. Where no changes, consultation every 7 years.	school-admissions-code --2 school-admissions-appeals-code www.gov.uk/guidance/academy-admissions

Trust Policies A-Z – statutory	Notes	AAB role	Review frequency	Links
Careers Education & Information & Guidance Policy	Trust template – must be tailored to the Academy and added to the Academy website	QA implementation	Annual	CEIAG Policy DfE Careers guidance and access for education and training providers.pdf
Central record of recruitment and vetting checks Live document covering staff currently employed	Academy must maintain this record. Trust template must be used. Trust Safer recruitment policy must be followed.	Termly QA review by nominated AAB member. QA of Annual Report on safeguarding	Live record At least half termly review by Principal At least termly review by nominated AAB member	Safer recruitment checklist Safer recruitment policy Annexe U
Charging and remissions policies	Trust policy applies Must be published on Academy website	QA implementation	Three years	Charging Policy
Child protection policy and procedures	Academy policy must follow Local Safeguarding Children's Board requirements, Trust child protection statement and overarching policy provided.	Ensure policy reflects Local Safeguarding Board requirements. QA Academy processes at least termly to test operation of policy in practice. Ensure ALL staff have confirmed that they have read Part I of Keeping Children Safe in Education	Annually	Trust Child Protection Statement Template policy MUST be tailored to reflect local arrangements keeping-children-safe-in-education protecting-children-from-radicalisation information-sharing-advice what-to-do-if-you're-worried-a-child-is-being-abused working-together-to-safeguard-children

Trust Policies A-Z – statutory	Notes	AAB role	Review frequency	Links
Complaints procedure statement	Trust policy applies Must be published on Academy website	QA implementation – convene panel as required	Three years	Trust Complaints policy
Data protection policy	Trust policy applies	QA implementation – ensure referrals are made to Delta	Annual registration Policy review - Two years	Data Protection Policy
Early Years Foundation Stage (EYFS)	Academy specific	Ensure policy developed locally, QA implementation	Various – see DfE guidance in EYFS statutory framework	Early years foundation stage framework
Freedom of Information publication scheme	Trust policy applies	Aware of content, QA implementation	Three years	Freedom of Information Act Publication Scheme
Health and Safety	Trust Health and safety and Every procedures apply	Aware of content, QA implementation	Various – see DfE guidance	Health and safety area <ul style="list-style-type: none"> • Asbestos • COSHH and DSEAR • DSE • Electrical • Fire Safety • First aid, accident and incident • Health and Safety management • Ionising radiation • Risk assessment • Safe usage of minibus and other passenger vehicles • Work at height

Trust Policies A-Z – statutory	Notes	AAB role	Review frequency	Links
Home-Academy agreements	Academy specific	Ensure agreement developed locally, QA implementation	Three years	N/A
Minutes of, and papers considered at, meetings of the Academy Advisory Body and its committees	Delta template agendas must be used Add local issues as necessary	Ensure minutes reviewed at next meeting , approved, signed and retained Oversee communication to Delta via VLE upload	Each AAB meeting	AAB Minutes template
Personal social and health education (PSHE) policy (including sex and relationships)	Academy specific	Aware of content, QA implementation	Three years	sex-and-relationship-education relationships-education-rse-and-pshe
Public Sector Equality Duty: a) Draw up equality objectives	Trust policy applies Must publish on Academy website	Aware of content, QA implementation. Add Academy specific objectives as required	Four years	Equality and Diversity Policy
Public Sector Equality Duty: b) Publication of equality information	Annual report against objectives required by each Academy Must publish on Academy website	Review report Agree actions Agree any revisions to objectives	Annually (summer term)	N/A
Register of pupils' admission to school	Academy must maintain this record	Aware of content, QA implementation	Live record	N/A

Trust Policies A-Z – statutory	Notes	AAB role	Review frequency	Links
Register of pupils' attendance.	Academy must maintain this record	Aware of content, QA implementation including late calls and authorisation of absences	Live record	N/A
Register of Business interests	Template provided Academy must publish summary on academy website	Ensure up to date Ensure declarations made at every AAB and sub- committee meeting Ensure procurement decisions take account of all declared interests	Live record	ANNEXE P – Register of business interests template ITEM 4 – AAB Website summary template
School behaviour policy	Trust template Must publish on academy website	QA implementation	Three years	Secondary behaviour policy template
School information published on a website	Trust provides template and audit document. Academy responsible for implementation	Aware of content, QA implementation	Live – review at least annually but updates as required throughout year	website analysis
Special Educational Needs information report	Academy specific. Must publish summary on website	Ensure policy developed locally, QA implementation	Annually - any in year changes should be updated as soon as possible	SEN Code of Practice

Trust Policies A-Z – statutory	Notes	AAB role	Review frequency	Links
Staff discipline, conduct and grievance (procedures for addressing)	Trust policy applies	Aware of content, QA implementation, convene panels as required	Three years	HR policies Grievance policy Code of Conduct for Working with Children
Statement of procedures for dealing with allegations of abuse against staff	DfE guidance applies LCSB approach must be added	Aware of content and ensure Local Safeguarding Board requirements added. QA Academy processes	Annually	Dealing with allegations against staff
Supporting pupils with medical needs	Trust policy applies – templates must be adapted by Academies	Aware of content, QA implementation	Every three years	Supporting Pupils With Medical Conditions Policy

Non-statutory policies

Policies A-Z - non-statutory	Notes	AAB role	Review frequency	Links
Anti-bullying	Academy specific	Aware of content, QA implementation	Annually	N/A
Anti-fraud Policy (incorporates anti-bribery policy)	Trust policy applies	Aware of content, QA implementation	Three years	Anti-Fraud Policy
Appraisal (Teachers)	Trust policy applies	Aware of content, QA implementation	Three years	Appraisal Policy and Procedure
Capability	Trust policy applies	Aware of content, QA implementation	Three years	HR Policies
Collective Disputes	Trust policy applies	Aware of content, QA implementation	Three years	Collective disputes policy
Connected Parties	Trust policy applies	Aware of requirements, monitor local procurement practice locally	Three years	ANNEXE N – Policy on goods or services provided by Connected parties
Drug & Alcohol Abuse	Trust policy applies	Aware of content, QA implementation	Three years	Drug and Alcohol Abuse Policy

Policies A-Z - non-statutory	Notes	AAB role	Review frequency	Links
Educational visits - Learning outside the Classroom	Trust policy applies. Academy specific authorisation procedures must be documented using Evolve template	Aware of content, QA implementation via at least termly reports and approval where applicable	Three years	Learning outside the classroom <u>Note Evolve system contains operational procedures to support implementation</u>
E safety	Trust policy applies	Aware of content, QA implementation	Three years	e-Safety Policy and Guidance
Flexible working policy	Trust policy applies	Aware of content, QA implementation	Three years	Flexible working policy
Gifts, hospitality and entertaining	Trust policy applies	Aware of content, QA implementation	Three years	ANNEXE O – Gifts, Hospitality and entertaining policy
Harassment & Bullying	Trust policy applies	Aware of content, QA implementation	Three years	Harassment and Bullying Policy
Induction	Trust procedures for Principals and Core Team. Academy specific policy for all other staff	Aware of content, QA implementation via report on new staff induction arrangements - Autumn Term 2	Three years	

Policies A-Z - non-statutory	Notes	AAB role	Review frequency	Links
Intimate care policy	Trust policy applies	Aware of content, QA implementation. Ensure all relevant staff aware	Three years	Intimate Care Policy
Investment and treasury management	Trust policy applies	Aware of content	Three years	Treasury Policy
Local Government Pension Scheme - employing authority discretions	Trust policy applies	Aware of content	Three years	LGPS discretionary policy
Managing Change (to incorporate redeployment, redundancy and restructure)	Trust policy applies	Aware of content, QA implementation	Three years	Under development – please contact HR with any queries
Pay (Teachers)	Trust policy applies	Aware of content, QA implementation	Annual	Teachers Pay Policy
Reserves policy	Trust policy applies	Aware of content	Annual	Reserves Policy

Policies A-Z - non-statutory	Notes	AAB role	Review frequency	Links
Safeguarding children and promoting student welfare	Template policy provided must follow Local Safeguarding Children's Board requirements. Trust child protection statement	<p>Ensure policy reflects Local Safeguarding Board requirements.</p> <p>QA Academy processes at least termly to test operation of policy in practice.</p> <p>Ensure ALL staff have confirmed that they have read Part I of Keeping Children Safe in Education</p>	Annually	<p>Trust Child Protection Statement</p> <p>Template policy MUST be tailored to reflect local arrangements</p> <p>keeping-children-safe-in-education</p> <p>protecting-children-from-radicalisation</p> <p>information-sharing-advice</p> <p>what-to-do-if-you're-worried-a-child-is-being-abused</p> <p>working-together-to-safeguard-children</p>
Safer recruitment	Trust policy applies and must be followed	Aware of content, QA implementation. Part of termly QA review of safeguarding by nominated AAB member. QA of Annual Report on safeguarding	Every three years	<p>Safer Recruitment Policy</p> <p>Safer recruitment checklist</p>
Sickness Absence	Trust policy applies	Aware of content, QA implementation	Every three years	HR Policies
Trade Union Facilities Arrangements	Trust agreement applies	Aware of content	Annual	HR Policies

Policies A-Z - non-statutory	Notes	AAB role	Review frequency	Links
Trade Union recognition agreement	Trust agreement applies	Aware of content	Annual	HR Policies
Transport Policy (travel plan)	Academy specific	Ensure policy developed locally, QA implementation	Three years	N/A
Travel and Subsistence	Trust policy applies	Aware of content, QA implementation	Three years	Expenses Policy including travel and subsistence
Uniform policy	Academy specific	Ensure policy developed locally, QA implementation	Three years	N/A
Whistleblowing	Trust policy applies Must tailor template	Aware of content, QA implementation	Three years	Whistleblowing template

SECTION 2 – DELTA ACADEMIES TRUST GOVERNANCE

Governance and Schemes of Delegation - An overview

The Delta Board of Directors is the legal governing body of the MAT.

Board members act collectively: with the exception of the CEO they do not have individual executive authority. The specific functions and decisions that are reserved to the Board are set out in [Annexe F](#).

The Board of Directors (BoD) sets out Delta group strategy and operational policy in key areas, which are then applied within and across all its academies through the organisational framework and schemes of delegation to Academy Leaders and Academy Advisory Bodies (AABs). The Trust Scheme of Delegation is included at [Annexe G](#).

Individual Responsibilities

In exercising their functions, all those involved in the governance of the Trust must:

- Support the Aims and Objectives of the Trust
- Act with integrity, objectivity and honesty in the best interests of the Trust and its academies; and
- Be prepared to explain decisions and actions to interested parties.

Individual Members, Board, ELT and SLT and Academy Advisory Body members should at all times comply with the principles in the Code of Conduct for Board Members of Public Bodies issued by the Cabinet Office in June 2011. <https://www.gov.uk/government/publications/board-members-of-public-bodies-code-of-conduct>. All should act in good faith and in the best interests of the Trust, its pupils, staff and Academies and should follow the Seven Principles of Public Life (**the Nolan Principles**). These are summarised below:

Selflessness

Holders of public office should take decisions solely in terms of public interest and not in the interests of themselves, their family or their friends.

Integrity

Holders of public office should not place themselves under any obligation to a third party, which might influence them in the performance of their public duties.

Objectivity

All decisions involving awarding contracts, benefits or rewards should be made on merit.

Accountability

Holders of public office are accountable to the public for their actions and should submit themselves to whatever scrutiny is appropriate to their office.

Openness

Holders of public office should be as open as possible about the decisions and actions they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands it.

Honesty

Holders of public office have a duty to declare any private interests relating to their public duty and resolve conflicts so as to protect the public interest.

Leadership

Holders of public office should promote and support these principles by leadership and example.

All members should also ensure that they are familiar with Delta's rules and practices on declarations and avoidance of conflicts of interests.

To support our commitment to high standards of governance, all Members, Board of Directors and Academy Advisory Body Members must sign and show acceptance of the following documents, at the first meeting each Academic year:

- Code of Conduct – see [Annexe H](#)
- Declaration of Business and Personal Interests form - see [Annexe I](#). This must also be updated for any changes at each meeting and any interests in items on the agenda declared at the meeting. Directors or AAB members with a declared interest in an item must remove themselves from the meeting when that item is subject to discussion.

Please note that a summary of information about Members, Directors and AAB members, including their record of attendance at meetings and declared business interests will be published on the Trust or Academy websites as appropriate. A template is provided in [Item 4 – AAB Website summary template](#).

The Trust BoD retains the right to change the AAB membership and terms of delegation for any individual Academy in the unlikely event of inappropriate behaviour by the Body as a whole or by any member.

Sub-committees of the Board

Strategic Working Group

The Trust may from time to time establish a group that will comprise specialist staff and members of the Board in order to carry out a detailed review or task and finish activity, eg review of a specific policy or procedure. This group will make recommendations for action to the Board of Directors.

Safeguarding Nominated Board members

Two members of the Board are designated as safeguarding leads. They maintain oversight of Trust safeguarding issues on an ongoing basis and report to every full Board meeting.

Audit and Risk Committee

Delta has an Audit and Risk Committee, comprising no fewer than three members, which meets at least three times a year. The Committee's Terms of Reference are attached at [Annexe J](#). The Audit and Risk Committee is responsible for the scrutiny of the Trust and Academy risk management arrangements. They also receive reports from the Trust's internal and external auditors. The Committee presents the minutes of its meetings to the Board as soon as possible after each Committee meeting. The Audit and Risk Committee makes recommendations to the Board as it considers appropriate.

Finance and Capital Committee

Delta has a Finance and Capital Committee, comprising no fewer than three members, which meets at least three times a year. The Committee's Terms of Reference are attached at [Annexe K](#). The Finance and Capital Committee is responsible for the scrutiny of the Trust and Academy financial management arrangements. The Committee presents the minutes of its meetings to the Board as soon as possible after each Committee meeting. The Finance and Capital Committee makes recommendations to the Board as it considers appropriate.

Remuneration Committee

Delta has a Remuneration Committee, comprising no fewer than three members, which meets at least annually. The Committee's Terms of Reference are attached at [Annexe L](#). The Remuneration Committee is responsible for the scrutiny of the remuneration and conditions of service of Trust staff.

Academy Advisory Bodies

Each individual Academy within the group has an Academy Advisory Body (AAB), which is a sub-committee of the main Trust Board. The AAB is responsible for the scrutiny of the work of the Academy, with a particular focus on:

- Outcomes and progress for pupils and students
- Efficacious use of resources (VFM)
- Engagement with local community, parents, stakeholders
- Behaviour, attendance and safeguarding
- Health and Safety
- Scrutiny of the impact of Trust policies
- Referring matters for further scrutiny by the Trust.

The Academy Advisory Body Terms of Reference are attached at [Annexe M](#).

Please note that these need to be considered alongside the Scheme of Delegation included in this Handbook, at [Annexe G](#). This document forms the basis for all relationships between the Trust and

Academy Advisory Bodies and should be reviewed and noted at the first meeting in each Academic Year. It will be subject to annual review.

The Academy Advisory Body (AAB) plays a key role in the life of each Academy. The AAB is responsible for working with the Academy Senior Leadership Team to improve the whole life of the Academy and its impact on its community. In this respect the AAB's main functions are to:

- Provide scrutiny and constructive challenge in key focus areas to the Principal and Academy Leadership Team;
- Scrutinise the use of resources within the Academy to improve the impact for pupils and staff;
- Act as a key link between the Academy, parents and local community and champion the work of the Academy;
- Act as a panel for student disciplinary, attendance and exclusions matters
- Oversee the implementation of, and ensure compliance with, Delta policies locally and provide assurance of safeguarding processes; and
- Refer areas for further review to the Trust.

In order to perform these functions there is an expectation that each AAB member is responsible for monitoring a key element of Academy performance and attends the Academy on a regular, at least termly, basis. This is in addition to attendance at AAB meetings.

As a minimum, the Trust requires that designated AAB members are appointed to scrutinise the following areas of focus at Academy:

1. Standards
2. Behaviour and attendance
3. Safeguarding
4. Special Education Needs and Disability (SEND) /Looked After Children (LAC) /Pupil Premium (PP)
5. Health and safety, premises
6. Finance, compliance and Value for Money (VfM)
7. Community engagement

Academies may nominate additional link members to suit the particular development or focus areas of their school.

Structure of Academy Advisory Bodies (AABs)

The Board of Directors has approved the following outline structure for Academy Advisory Bodies:
The Trust must appoint a majority of members;

- There should be a minimum of one parent member;
- The Academy Principal/ Head of Academy is an ex-officio member;
- The ELT Education Lead is a Trust appointed member; and
- Academies can choose to have staff as members of the local body but the total number of staff members must not exceed one-third of the total membership.

The Academy Advisory Body will consist of at least five members to lead on scrutiny of the designated areas above. Some of our Academies will have additional requirements in terms of diocesan or foundation representation. In these cases, the requirements of the relevant Funding Agreements must be followed.

Membership of Academy Advisory Bodies (AABs)

The Trust adopts the skills model within local Academy governance, enabling the active engagement by parents, staff and other individuals keen to make the Academy a local success. The Trust Board of Directors retains overall responsibility for the efficient and effective operation of all the Academies.

It will therefore appoint the majority of Members on any AAB from candidates put forward by the Academy. The ratification of AAB Members lies with the BoD, actioned through the Executive Leadership Team. The Principal and the ELT Education Lead (Director of Education, Assistant Director of Education or Executive Principal) hold a seat on the Academy AAB.

If Academies wish to put forward candidates to be appointed as a Trust appointed Member, they should complete the nomination forms provided in the Clerk's guidance at [Section 5 \(Item 2\)](#), of this Handbook. These should be returned to governance@deltatrust.org.uk for approval. Trust appointed AAB Members initially serve a two-year term of office, with the option for the Trust to extend this to four years.

The Trust also follows the skills model in the appointment of parent AAB members. AABs will seek written nominations (either self or by others) of parents to act as AAB members against a role specification which will reflect the ethos and values of the Trust and the personal qualities required. The AAB will review applications against those requirements and recommend suitable candidates to the Board, holding informal interviews if necessary.

Members of the Trust Board of Directors, and the Executive Leadership Team (ELT) may attend AAB and any sub-committee meetings.

AABs may appoint Associate Members to both the full AAB and any committees that it sets up for periods of office that they see fit. These members will not have voting rights.

Sub committees

Individual AABs have discretion on the split of workload and responsibility between main Body and committees/panels as they see fit locally. However, Academies must have a Finance and Resources Committee and Terms of Reference are included in the AAB section of this Handbook at [Annexe V](#) Membership of this Committee is:

- Nominated AAB member (Finance lead)
- Principal
- AAB Member

The following staff members are required to be in attendance to provide detailed information to the Committee

- Academy Finance Manager or Officer
- Core Finance Manager
- Core HR Adviser

We recognise that models need to be flexible to reflect local circumstances. In particular, federated Academy Advisory Bodies may wish to use subcommittees to ensure that the focus on individual Academies is maintained. Please contact the Governance section via governance@deltatrust.org.uk to discuss your plans.

Other Panels

For certain aspects of Academy management, Member Panels will be required from time to time. These may relate to the independent review of Principal/ Head of Academy recommendations in respect of Pupil Exclusions and Site Bans. They will also provide an independent review of complaints, under the Trust Complaints policy and procedure. Outlines for these panels are included in the AAB section of this Handbook at [Annexe W – Member Panels](#)

Clerk

Each Academy Advisory Body must appoint a Clerk whose role is to work alongside the Chair and Principal and offer administrative support and governance advice and to ensure that Trust Governance Handbook requirements are met. Clerks are also responsible for maintaining records such as AAB membership details and the register of business interests. The Principal/ Head of Academy is responsible for ensuring that documents are provided to the Trust and that Edubase records of local governance arrangements are kept up to date.

Please see [Section 5](#) of this Handbook for more detailed information to support Clerks in performing this important role.

Academy Leadership

Academy Principals/ Head of Academy have delegated powers and functions in respect of internal organisation, management and control of the Academies, the implementation of all policies approved by the Board and for the direction of teaching and the curriculum. They are also responsible for managing Academy affairs within the budgets and framework fixed by the Board.

These responsibilities include the following:

Academy Improvement

- Accountability for Academy and staff performance
- Accountability for all aspects of safeguarding
- Accountability for collaboration with the local community and the development of effective governance in the Academy

Finance

- Set the draft budget in conjunction with Finance for approval by the Board of Directors
- Monitor and review monthly budget variances and ensure monthly management accounts are distributed to Finance and Resources Sub Committee
- Ensure all monthly finance information is submitted to Delta Core Finance in a timely manner
- Ensure the implementation of Internal and External Audit recommendations
- Prepare and sign the Annual Value for Money Statement
- Ensure all transactions are in line with the approved Schemes of Delegation and Policies

Payroll

- Ensure all information is accurate/ up to date and submitted by the agreed monthly deadlines

Human Resources

- Maintain a Single Central Register and ensure regular documented review by designated AAB member
- Maintain a whole staff training record especially in relation to Child Protection and Safeguarding and Safer Recruitment
- Ensure sickness absence levels are monitored and apply the appropriate elements of the Trust sickness absence policy

Recruitment

- Provide information as requested to include within the recruitment packs for posts
- Advise Trust Recruitment Team of Interview Panel
- Ensure compliance with Safer Recruitment requirements
- Review and sign all offer letters
- Ensure all identity documents and qualifications are verified and that DBS processes are being followed

CPD/Training

- Ensure appropriate CPD requirements are identified for employees and appropriate training given to AAB members

ICT

- Seek Trust guidance to ensure all purchases of hardware and software are compatible with Academy network

Marketing and Communications

- Ensure all Data Protection and Freedom of Information requests received are identified and forwarded promptly to Delta via dp@deltatrust.org.uk or foi@deltatrust.org.uk
- Provide marketing content and information as requested for website/publications

Facilities and premises

- Ensure all property and or motor vehicle changes are notified to Delta so appropriate insurance cover is obtained
- Monitor the implementation of approved Health and Safety policies and report to AAB on identified risks
- Ensure the Academy environment is safe and secure

Governance and compliance

- Monitor the implementation of approved Educational Visits Policy and report to the AAB on identified risks
- Ensure compliance with all Trust and Academy policies and ensure all staff have confirmed acceptance of the policies
- Ensure AAB Agendas minutes and supporting documentation are appropriate, meet the minimum requirements of this Governance Handbook and are submitted to Delta within the agreed timescales

Please note: These responsibilities however, are not exhaustive.

ANNEXE F – MEMBERS AND THE BOARD OF DIRECTORS FUNCTIONS, DUTIES AND RESPONSIBILITES

Functions reserved to the Members and the Board of Directors

Members

1. Constitutional matters
2. Appointment or removal of Directors
3. Hold meetings in accordance with Articles of Association

Directors

4. Hold meetings in accordance with Articles of Association
5. Appoint or remove Chair and Vice Chair
6. Appoint or remove Clerk
7. Establish committees and their terms of reference
8. To decide which functions of the Board will be delegated to committees, groups and individuals
9. To receive reports from any individual or committee to whom a decision has been delegated and consider whether any further action by the Board is necessary
10. To review the delegation arrangements annually
11. To suspend a Director
12. To sign or execute any PFI related project documents
13. To appoint Principals, Executive Principals, Regional Directors, Executive Directors and the Chief Executive Officer

Summary of the duties of Directors under the Companies Act 2006

- Directors must act within their powers (s171).
- Directors must promote the success of the company (s172).
- Directors must exercise independent judgment (s173).
- Directors must exercise reasonable care skill and diligence (s174).
- Directors must avoid conflict of interest (s175).
- Directors must not accept benefits from third parties (s176).
- Directors must declare any interest in proposed transactions with the company (s177).

Summary of the duties of Directors under Charity Law

Trustees have full responsibility for the charity and must:

- Act together and in person and not delegate control of the charity to others;
- Act strictly in accordance with the Trust's governing documents;
- Act in the Trust's interests only and without regard to their own private interests;
- Manage the Trust's affairs prudently throughout the life of the Trust;
- Not derive any personal benefit or gain from the Trust of which they are trustees; and
- Take proper professional advice on matters on which they are not themselves competent.

Summary of main responsibilities of Directors under the Articles

Powers and responsibilities of Directors under the Articles of Association (Articles 93-131):

- To manage the business of the Trust.
- To expend the funds of the Trust in such manner as they shall consider most beneficial for the achievement of the Objects.
- To invest in the name of the Trust such part of the funds as they may see fit.
- To enter into contracts on behalf of the Trust.
- In exercising these powers and functions, the Directors may consider any advice given by the Chief Executive and any other Executive Officer.
- Any bank account shall be operated by the Directors in the name of the company and cheques shall be signed by at least two signatories authorised by the Directors.
- The Directors may appoint separate committees for each Academy and should determine constitution, membership, proceedings and Terms of Reference. Terms of Reference are to be reviewed annually.
- Directors may delegate to any Director, committee, the Chief Executive or any other Executive Officer, such of their powers or functions as they consider desirable. Delegation may be subject to conditions and may be revoked or altered. Any exercise of this power is to be reported to the next Directors' meeting.
- To appoint the Chief Executive and Principals of the Academies. Directors may delegate such powers and functions as required by the Chief Executive and Principals for the internal organisation, management and control of the Academies (including the implementation of all policies approved by the Directors and for the direction of the teaching and curriculum at the Academies).
- To comply with obligations under the Companies Act and Charities Act with regards to the preparation and filing of the annual report, accounts and annual return.

ANNEXE G – SCHEME OF DELEGATION

1. PRINCIPLES

- 1.1 Delta Academies Trust (Delta) is an exempt educational charity.
- 1.2 The Delta Board of Directors is mindful that it has an overriding responsibility to ensure that all statutory obligations to our pupils, students, parents, the Department for Education and the Education and Skills Funding Agency are met.
- 1.3 Delta Board's intention is to provide a framework via the Scheme of Delegation within which School Improvement Support Services staff, Academy Advisory Bodies and Academy Principals/Heads of Academy can make decisions to meet the needs of pupils, students and where appropriate, the wider community.

2. VISION STATEMENT

- 2.1 Our vision is 'Changing Lives.' Our mission statement is to improve educational outcomes for communities in the North of England, creating a sustainable organisation that improves our society and the wider environment.
- 2.2 **What is our purpose?**
 - 2.2.1 To raise standards for all pupils and students by sustaining and enhancing performance and to develop the whole child.
 - 2.2.2 To fulfil our moral purpose by engaging and collaborating with other schools to help improve the life-chances of all young people both locally, regionally and nationally.

2.3 Core Values

We will:

- Place children and students at the heart of everything we do
- Place collaboration before competition, working with others for the betterment of all
- Develop and support professionals in our own and other academies and schools to establish practice that improves lives
- Ensure that all children make good progress irrespective of their starting point and those young people facing disadvantage are lifted from educational poverty
- Never do anything to the detriment of learners, staff, or other stakeholders, in a neighbouring community
- Adhere to the 'Seven Principles of Public Life'
- Promote environmental awareness and protection locally, nationally and globally.

3. DELTA MEMBERS

- 3.1 The Members are the subscribers to the Trust's Memorandum of Association. They have an overview of the governance arrangements of the Trust and the power to appoint and remove Directors. Their objectives include the advance, for the public benefit, education in the United Kingdom, by establishing, managing and developing schools offering a broad and balanced curriculum.

3.2 The Academies Financial Handbook recommends that a majority of members should be independent of the Board of Directors, to ensure a significant degree of separation between the individuals who are members and those who are Directors. Delineation between the two layers ensures that Members, independent of Directors, provide oversight and challenge.

3.3 Delta Members currently are:

- Steven Hodsman (Chair)
- Lesley Bailey
- Sean Cavan
- Denis Hird

3.4 The Members **must** authorise:

3.4.1 amendments to Delta's Articles of Association;

3.4.2 documents containing any unusual or onerous provisions where it may be appropriate for the Board to discuss them first; and

3.4.3 any project or matter in which the Chief Executive Officer may reasonably be considered to have a conflict of interest.

4. **DELTA BOARD OF DIRECTORS**

4.1 The Delta Board of Directors is the legal governing body of the MAT.

4.2 The Board of Directors (BoD) sets out Delta group strategy and operational policy in key areas which are then applied within and across all Delta academies through the organisational framework and schemes of delegation to local governance arrangements.

4.3 Board members act collectively: with the exception of the CEO they do not have individual executive authority. Each Academy and School in the group is ultimately governed by the Trust (Delta).

4.4 The Delta Board of Directors currently are

- Steven Hodsman (Chair)
- Lesley Bailey (Vice Chair)
- Sean Cavan
- David White
- Emanuela Sani
- David Haigh
- Paul Tarn (Chief Executive Officer).

4.5 Members of the Executive Team are invited to attend Board meetings at the request of the Directors.

4.6 The Company Secretary to Delta is currently Emma Mayor.

4.7 Under the Articles of Association (Articles 93-131), Directors have the following powers and responsibilities:

- 4.7.1 To manage the business of the Trust.
- 4.7.2 To expend the funds of the Trust in such manner as they shall consider most beneficial for the achievement of the Objects.
- 4.7.3 To invest in the name of the Trust such part of the funds as they may see fit.
- 4.7.4 To enter into contracts on behalf of the Trust.
- 4.7.5 In exercising these powers and functions, the Directors may consider any advice given by the Chief Executive and any other Executive Officer
- 4.7.6 Any bank account shall be operated by the Directors in the name of the company and cheques shall be signed by at least two signatories authorised by the Directors.
- 4.7.7 The Directors may appoint separate committees for each Academy and should determine constitution, membership, proceedings and Terms of Reference. Terms of Reference are to be reviewed annually.
- 4.7.8 Directors may delegate to any Director, Committee, the Chief Executive or any other Executive Officer, such of their powers or functions as they consider desirable. Delegation may be subject to conditions and may be revoked or altered. Any exercise of this power is to be reported to the next Directors' meeting.
- 4.7.9 To appoint the Chief Executive and Principals of the Academies. Directors may delegate such powers and functions as required by the Chief Executive and Principals for the internal organisation, management and control of the Academies (including the implementation of all policies approved by the Directors and for the direction of the teaching and curriculum at the Academies).
- 4.7.10 To comply with obligations under the Companies Act and Charities Act with regards to the preparation and filing of the annual report, accounts and confirmation statement/annual return.

4.8 **Sub-committees of the Board**

- 4.8.1 The Delta Board of Directors has the following scrutiny sub-committees, made up of Non-Executive Directors. Each of these sub-committees meets at least termly and makes recommendations to the Board as it considers appropriate:
 - Audit and Risk Committee
 - Finance and Capital Committee
- 4.8.2 In addition, the Board has a Remuneration Committee, made up of Non-Executive Directors. This sub committee meets at least annually.
- 4.8.3 Terms of Reference for all Board Sub committees are reviewed on at least an annual basis and are published in the Delta Governance Handbook.
- 4.8.4 Two Board members, David White and Steven Hodsman, are Designated Safeguarding Members.

- 4.8.5 In addition, the Board will from time to time establish a specialist working group that will report to the board.

4.9 Academy Advisory Bodies (AABs)

- 4.9.1 Each individual Academy within the group has an Academy Advisory Body (AAB), which is also a scrutiny sub-committee of the main Delta Board. The Academy Advisory Body (AAB) plays a key role in the life of each Academy and is responsible for scrutinising the work of the Academy Senior Leadership Team.
- 4.9.2 The Board has set the following parameters for the composition and membership of Academy Advisory Bodies:
- Members must be appointed by Delta;
 - There should provision for at least one parent member to be appointed;
 - The Academy Principal/ Head of Academy is a member;
 - The relevant Executive Leadership Team (ELT) Education Lead/Executive Principal is a member; and
 - Academies can choose to put forward staff from within the Academy for appointment as members of the local body but the total number of internal staff members must not exceed one-third of the total membership. Staff will be appointed as Delta AAB member.
- 4.9.3 An Academy Advisory Body should consist of at least five members. Some of our Academies will have additional requirements in terms of diocesan or foundation representation. Delta Governance will work with these academies to adapt the proposed model to their specific circumstances.
- 4.9.4 AABs may appoint Associate Members to both the full AAB and any committees that it sets up for periods of office that they see fit. These members will not have voting rights.
- 4.9.5 In addition, the Executive Leadership Team (ELT) members, or School Improvement Support Services staff representing ELT members, other than those appointed as Academy Advisory Body Members, may attend AAB meetings.

Composition of an Academy Advisory Body

Type of Member	Number	Term of Office	Appointment Process
ELT Education Lead/ Executive Principal	1	Ex officio	N/A – by appointment
Principal/ Head of Academy	1	Ex officio	N/A – by appointment as Principal/ Head of Academy
Delta AAB member (including Chair and Vice Chair)	At least 2	2-4 years	Approval by ELT, following completion of eligibility and nomination checks in accordance with the Delta Governance Handbook
Parent AAB Members	At least 1	2 years	Provision must be made for the appointment of at least one parent member. Appointment following structured interview by Academy Principal/Head of Academy and Chair and completion of Delta nomination and eligibility forms. Approval by ELT

4.10 Central Functions

As part of a group of academies, we aim to have the greatest amount of impact with efficacy. Each Academy contributes a set percentage of grant income, towards the provision of a range of support functions and services, which are available to all academies. The percentage charge and the level and scope of services to be provided are determined by the Delta Board of Directors and are subject to periodic review.

Based on risk and or need, the long-term or significant additional deployment of Learning/Subject Directors or Leadership support, will result in additional charges to the Academy/School. The ultimate responsibility for the deployment of Learning/ Subject Directors resides with the Chief Executive Officer. Principals/Heads of Academy should discuss their requirements with their ELT Education Lead and or Executive Principal.

5. EDUCATIONAL SCRUTINY

5.1 The Board of Directors is ultimately responsible for educational outcomes across Trust academies. In order to discharge this responsibility effectively across its forty-three academies, the Board has made the following delegations:

- Day to day scrutiny of performance, including performance management reviews of ELT Education Leads, Executive Principals and Senior Learning and Subject Directors, is delegated to the Chief Executive Officer.
- High level scrutiny of predictions and outcomes for each Academy takes place in Academy Network Meetings attended by the Chief Executive Officer, ELT Education Leads and Executive Principals.
- Day to day scrutiny of performance, including performance management reviews, of Academy Principals, Heads of Academy and Learning and Subject Directors, is delegated

to the Chief Executive Officer, ELT Education Leads and Executive Principals.

- Academy specific overview of outcomes and progress for pupils and students, safeguarding, including behaviour and attendance, and the efficacy of arrangements to support SEND/LAC/Disadvantaged pupils and students is delegated to the Academy Advisory Body.

5.2 ELT Education Lead/Executive Principal membership of Academy AABs provides the structure for the interaction between the professional and governance scrutiny elements the Board has put in place.

6. **BUDGET SETTING**

6.1 Projected outturns must be in place by the end of April each year and approved by the Board by mid-May. All final Academy and Group budgets must be submitted to the Board for ratification by 31 July each year. Budgets are set by the Principal/ Head of Academy and Executive Principal / ELT Education Lead, in consultation with the AAB Chair. They are then submitted to the Director of Finance and Chief Executive Officer (Accounting Officer) for approval, before presentation to ELT and the Board of Directors for ratification before submission to the ESFA.

6.2 All Principals/Heads of Academy in conjunction with their ELT Education Lead /Executive Principals, will submit their Academy Improvement Plan, Summary SEF and Curriculum Led Financial Plan to the Chief Executive Officer by October half term each year. The monitoring of implementation will be reported to the relevant Academy Network Meeting and AAB.

6.3 Principals/Heads of Academy will work within specific parameters as follows:

- Contact Ratio at 0.79 (0.81 for primary)
- Curriculum Bonus < 8% (n/a for primary)

DELEGATED AUTHORITIES

Delegated Duty	Delegated Authority	Comment
Admissions	<p>Academy for annual review of policy and administration of admissions. Where no policy changes are proposed, consultation on the policy must take place at least once every seven years.</p> <p>Board of Directors for any changes to an Academy admissions policy</p>	<p>All Delta Academies, excluding PRU and Alternative Provision academies, will participate where possible in the relevant Local Authority admission procedures for primary academies and for 11 – 16 in secondary academies. For post 16 students, an Academy may determine arrangements, taking into account Local Authority admission policies.</p> <p>Any proposals to change admissions arrangements agreed on conversion must be submitted to the Delta Board of Directors for approval and then must be submitted to the Local Authority for consultation.</p> <p>Admissions Appeals are the responsibility of the Trust; we will use Local Authority arrangements, where possible</p>
Capital Programme (School Capital Allocation)	Delta	<p>Strategic priorities at Trust level will form part of recommendations from the Chief Executive Officer to the Board of Directors.</p> <p>The Finance and Capital Committee of the Board of Directors will monitor delivery against these strategic priorities.</p> <p>Projects within the SCA will be approved by Executive Leadership Team.</p> <p>Under exceptional circumstances, operational requirements may require executive action – all such action will be reported to the Board at the earliest opportunity</p>
Capital works	Delta / Academy	<p>Any capital or capitalised revenue projects will be approved in accordance with the Finance and Assets scheme of delegation:</p> <ul style="list-style-type: none"> Up to £1,000- Budget Holder/Finance Officer. Selection from preferred supplier list unless agreed otherwise with DoF £1,001 to £5,000 – As above plus Principal/Head of Academy.

Delegated Duty	Delegated Authority	Comment
		<p>Minimum of three quotes</p> <ul style="list-style-type: none"> £5,001 to £10,000 - As above plus Delta Core Finance. Minimum of three quotes £10,001 to £49,999 - As above plus Delta Director of Finance £49,999 - £100,000 – As, above plus Chief Executive Officer Formal tendering process, including advertising in OJEU (if over the OJEU threshold) Over £100,000 to £499,999– CEO and ELT Over £500,000 as above plus Board of Directors
Capital Programme Contract Variations	<p>If within agreed programme budget/contingency – Academy</p> <p>Delta – if exceeding agreed programme budget/contingency</p>	It is suggested that a 15% contingency is built into all programmes to allow for some local contract variation during the programme
Changes to activities (year groups, trading activities)	ELT for initial scrutiny, Board for final approval of change	Board retains ultimate sign-off to ensure that any proposals are within the objects, powers and terms of funding provided to the Trust's academies
Complaints	Principal/ Head of Academy/ AAB panel	Trust policy to be followed. If required, formal hearing by panel of AAB members, not previously involved in the review of the complaint
Direct pupils off-site to help improve their behaviour	Principal / Head of Academy, following consultation with ELT Education Lead / Executive Principal	
Edubase /Get information system	<p>DoF/CCO for Board-related information</p> <p>Principal/ Head of Academy for Academy</p>	Principal / Heads of Academy must ensure they have access to Edubase / Get information system for their Academy/ School
Educational scrutiny	ELT Education Lead / Executive Principal.	

Delegated Duty	Delegated Authority	Comment
	AAB	
Health and Safety	Delta Academy Principal/ Head of Academy	It is the responsibility of Delta to ensure that a general policy on the management of health and safety is in place, that this policy is communicated to all employees and that appropriate systems and procedures are in place to secure effective implementation of that policy. The operational compliance of this function is delegated on a day-to-day basis to the Principals and Heads of Academy of Delta academies. Overall compliance with this requirement is monitored by the Audit and Risk Committee on behalf of the Board of Directors
Income Generation	Principal/ Head of Academy	Any income generated belongs to each individual Academy for them to invest in the future learning of the pupils/ students. Raising invoices to collect income will be approved in accordance with the Finance and Assets scheme of delegation <ul style="list-style-type: none"> • Up to £5,000 - Finance Officer within Academy • £5,001 to £10,000 - As above plus Principal/Head of Academy • £10,001 to £100,000 - As above plus Delta Director of Finance. • Over £100,000 - As above plus ELT
Insurance/ Risk Pooling arrangements	Delta – Director of Finance	Delta will ensure that all Academies receive value for money for their insurance
Investments	Delta – Board of Directors	Delta invests any surplus monies in accordance with the Treasury Management and Reserves policies approved annually by the Board of Directors
Permanent Exclusions	Principal/ Head of Academy and AAB	All Academies will follow DfE guidance for permanent exclusions and independent permanent exclusion appeals. If required, formal hearing by panel of AAB members, not previously involved in the

Delegated Duty	Delegated Authority	Comment
		matter
Private Finance Initiative (PFI)	Delta – Board of Directors	Any changes or new PFI contracts require approval by the Board of Directors. Where capital projects are approved within PFI buildings, Delta procurement requirements must be followed
Reporting of Fraud /suspected frauds to ESFA	Delta – Director of Finance	Principals / Heads of Academy must report all frauds or suspected frauds to Core Finance, in line with the Trust Anti-Fraud Policy. We must report centrally any amounts over £5,000 to the ESFA
Service Level Agreements / Contracts	Delta – Framework contracts	Academies should use Delta Framework contracts where these are in place, unless better value can be demonstrated, in advance of any procurement activity. Procurement for all contracts must follow the Delta procurement requirements and the approval levels laid down in the Finance and Assets scheme of delegation: <ul style="list-style-type: none"> • Up to £1,000- Budget Holder/Finance Officer. Selection from preferred supplier list unless agreed otherwise with DoF • £1,001 to £5,000 – As above plus Principal/Head of Academy. Minimum of three quotes • £5,001 to £10,000 - As above plus Delta Core Finance. Minimum of three quotes. • £10,001 to £49,999 - As above plus Delta Director of Finance • £49,999 - £100,000 – As, above plus Chief Executive Officer Formal tendering process, including advertising in OJEU (if over the OJEU threshold) • Over £100,000 to £499,999– CEO and ELT

7. FINANCIAL LEVELS OF AUTHORITY

Delegated Duty	Value	Delegated Authority	Method
Ordering goods and services (raising requisitions)	Up to £1,000	Budget Holder/ Finance Officer	Selection from current supplier list unless agreed otherwise with DoF
	£1,001 to £5,000	As above plus Principal/Head of Academy	Minimum of three quotes
	£5,001 to £10,000	As above plus Core Finance	Minimum of three quotes
	£10,001 - £49,999	As above plus Director of Finance	Minimum of three quotes
	£50,000 to £99,999	As above plus Chief Executive Officer	Formal tendering process, including advertising in OJEU (if over the OJEU threshold) Note: if a contract is for a number of years the full cost of the contract must be considered
	£100,000 - £499,999	As above plus ELT	
	Over £500,000	As above plus Board of Directors	
Operating leases or contracts over 1 year	Any	All contracts and leases must be approved in line with the above and signed centrally by the CEO or Director of Finance	
Finance leases	Any	All finance leases must be referred to Core Finance as ESFA approval is required	
Signatories for cheques, BACS payment authorisations and other bank transfers	Any	Two signatories from: Director of Finance Principal/Head of Academy Vice Principal or Nominated AAB Member Over £50,000 Three signatures required of which one must be the Director of Finance	
Signatories for ESFA grant claims and ESFA returns	Any	Two signatories CEO and Director of Finance (or as required by ESFA)	
Virement of budget provision between budget headings	Up to £10,000	Academy Finance Officer in conjunction with Principal/Head of Academy and Core Finance Manager, with reporting to the Finance and Resources Committee and Director of Finance	
	Over £10,000	Principal/Head of Academy, ELT Education Lead /Executive Principal plus Director of Finance	

Delegated Duty	Value	Delegated Authority	Method
Changes to Budget from previous year carry forward / in year surplus	Any	Principal/Head of Academy, ELT Education Lead/Executive Principal plus Director of Finance and CEO	
Purchase or sale of any freehold property	Any	ESFA approval required (All discussions with ESFA will be carried out by CIT) Please notify the Director of Finance in the first instance.	
Disposal of assets	Up to £5,000	Principal/Head of Academy	
	Above £5,000	As above plus Director of Finance	
Write off of bad debts	Any	Director of Finance	
Granting or take- up of any leasehold or tenancy agreement exceeding three years (Refer above for operating leases over 1 year)	Any	ESFA approval required (All discussions held with ESFA will be carried out by CIT) Please notify the Director of Finance in the first instance	
Raising invoices to collect income	Up to £5000	Finance Officer within Academy	
	£5,001 to £10,000	As above plus Principal/Head of Academy	
	£10,001 to £100,000	As above plus Director of Finance	
	Over £100,000	As above plus Director of Finance and ELT	

Reporting of Fraud

Please ensure any suspected Frauds are notified to Core in line with the Fraud Policy. We must report centrally any amounts over £5,000 to the ESFA.

Novel, Contentious or Repercussive transactions

Novel payments or other transactions are those of which the academy trust has no experience, or are outside the range of normal business activity of the trust. Contentious transactions are those which might give rise to criticism of the trust by Parliament, and/or the public, and/or the media. Repercussive transactions are those which are likely to cause pressure on other trusts to take a similar approach and hence have wider financial implications.

Delta does not authorise any activity that would fall into this category of transaction.

8. HR LEVELS OF AUTHORITY

HR levels of authority are contained within a suite of policies. Please contact info@deltatrust.org.uk if you require further details.

9. OTHER MATTERS

- 9.1 Additional delegations from the Board of Directors to the Chief Executive Officer are detailed below.
- 9.2 The Chief Executive Officer can sign and approve on behalf of the Board specific documents relating to academies (or proposed schools) joining Delta. The specific documents referred to comprise:
- supplemental funding agreements;
 - commercial transfer agreements (and related side letters);
 - leases (and related side letters);
 - under leases;
 - tenancies at will (and related side letters);
 - licenses (including licenses to occupy and licenses to assign existing leases);
 - land transfers;
 - deeds of assignment;
 - deeds of variation;
 - settlement agreements (details of all settlement agreements will be reported to the Audit and Risk Committee);
 - related amendments to the master funding agreement; and
 - other agreements.
- 9.3 Such documents may be negotiated and approved by the Chief Executive Officer acting as a Director of Delta under this delegated authority and may be signed, executed and delivered (as appropriate) by any Director of Delta (including the Chief Executive Officer).
- 9.4 The Chief Executive Officer may authorise the submission of free school proposals on behalf of the Board and also authorise any other academy projects, which relate to schools which wish to join Delta or where schools wish to purchase Delta support services, subject to completion of financial, educational and future liability risk assessments.
- 9.5 The Chief Executive Officer is authorised to negotiate and to approve and to sign, execute and deliver (as appropriate) such relevant documents provided always that the Board had been expressly notified of the proposal that the school in question should join Delta.

9.6 For the avoidance of any doubt the delegation includes the authority for the Chief Executive Officer at his discretion:

- to further delegate the negotiation and approval of documents to employees and agents acting on behalf of Delta, including professional and other advisors;
- to authorise any merger which relates to a school (including an academy) joining Delta;
- to negotiate and approve deeds of indemnity in respect of academy conversions. (Any Director is authorised to execute and deliver deeds of indemnity authorised by the Chief Executive Officer); and
- to negotiate PFI related project documents (including any School Agreements, Principal Agreements or Deeds of Variation to Project Agreements or Deeds of Variation to existing leases. (Such PFI related project documents may be signed, executed and delivered (as appropriate) by any Director of Delta (including the Chief Executive Officer)).

ANNEXE H – CODE OF CONDUCT

As individuals on the Board/AAB, we agree to the following:

Role and Responsibilities

- We understand the purpose of the Board/AAB and the role of the executive leaders.
- We accept that we have no legal authority to act individually, except when the Board/AAB has given us delegated authority to do so, and therefore we will only speak on behalf of the Board/AAB when we have been specifically authorised to do so.
- We accept collective responsibility for all decisions made by the Board/AAB or its delegated agents. This means that we will not speak against majority decisions outside the Board/AAB meeting.
- We have a duty to act fairly and without prejudice.
- We will consider carefully how our decisions may affect the community and other schools or academies.
- We will always be mindful of our responsibility to maintain and develop the ethos and reputation of our Trust and Academy/School. Our actions within the Academy/School and the local community will reflect this.
- In making or responding to criticism or complaints, we will follow the procedures established by the Trust.
- We will accept and respect the difference in roles between the Board, AAB and staff, ensuring that we work collectively for the benefit of the organisation;
- We will respect the role of the executive leaders and their responsibility for the day to day leadership and management of the organisation and avoid any actions that might undermine such arrangements;
- We agree to adhere to the Trust's rules, policies and procedures;
- When formally speaking or writing in our Board/AAB role, we will ensure our comments reflect current Trust policy even if they might be different to our personal views;
- When communicating in our private capacity (including on social media) we will be mindful of and strive to uphold the reputation of the Trust and the Academy/School.

Commitment

- We acknowledge that accepting office as a Member/ Director/ AAB member involves the commitment of significant amounts of time and energy.
- We will each involve ourselves actively in the work of the Board/ AAB and accept our fair share of responsibilities, including service on committees or working groups.
- We will make full efforts to attend all meetings and where we cannot attend, explain in advance, why we are unable to.
- We will get to know the Trust/Academy/School well and respond to opportunities to involve ourselves in school activities.

- We will visit the Academy/School, with all visits arranged in advance with the senior executive leader and undertaken within the framework established by the Board.
- When visiting the Academy/School in a personal capacity (eg as a parent or carer), we will maintain our underlying responsibility as a Member/ Director/ AAB member.
- We will consider seriously our individual and collective needs for induction, training and development, and will undertake relevant training.
- We accept that in the interests of open governance, our full names, date of appointment, terms of office, roles on the Board/ AAB, attendance records, relevant business and pecuniary interests, category of appointment and the body responsible for appointing us will be published on the Trust/ Academy/School's website.
- In the interests of transparency, we accept that information relating to Members/ Directors/ AAB members will be collected and logged on the DfE's national database of governors (Edubase/Get information system).

Relationships

- We will strive to work as a team in which constructive working relationships are actively promoted.
- We will express views openly, courteously and respectfully in all our communications with other Members/ Directors/AAB members/ the Clerk and academy staff.
- We will support the Chair in their role of ensuring appropriate conduct both at meetings and at all times.
- We will develop effective working relationships with the executive leaders, staff and parents, the Trust and the community.

Confidentiality

- We will observe complete confidentiality in all areas of our work.
- We will exercise the greatest prudence at all times when discussions regarding Trust/ Academy/School business arise outside a Board/ AAB meeting.
- We will not reveal the details of any Board/AAB vote.
- We will ensure all confidential papers are held and disposed of appropriately.

Conflicts of interest

- We will record any pecuniary or other business interest (including those related to people we are connected with) that we have in connection with the Board/ AAB's business in the Register of Business Interests, and if any such conflicted matter arises in a meeting we will offer to leave the meeting for the appropriate length of time.
- We accept that the Register of Business Interests will be published on the Trust/ Academy/ School's website.
- We will also declare any conflict of loyalty at the start of any meeting should the situation arise.
- We will act in the best interests of the Trust/ Academy/School as a whole and not as a representative of any other group or organisation.

Ceasing to be a Members/ Director/AAB member

- We understand that the requirements relating to confidentiality will continue to apply after a Member/ Director/AAB member leaves office.

Breach of this code of conduct

- If we believe this code has been breached, we will raise this issue with the Chair and the Chair will investigate; the Board/ AAB will only use suspension/removal as a last resort after seeking to resolve any difficulties or disputes in more constructive ways.
- Should it be the Chair that we believe has breached this code, another appropriate member of the Board/ AAB will investigate.

The Seven Principles of Public Life

(Originally published by the Nolan Committee: The Committee on Standards in Public Life was established by the then Prime Minister in October 1994, under the Chairmanship of Lord Nolan, to consider standards of conduct in various areas of public life, and to make recommendations).

Selflessness - Holders of public office should act solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.

Integrity - Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their official duties.

Objectivity - In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

Accountability - Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

Openness - Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

Honesty - Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

Leadership - Holders of public office should promote and support these principles by leadership and example.

Adopted by the Board/ AAB of [NAME] on [date].

I [Name]

declare as a Member/Director/AAB member / Employee of Delta Academies Trust that I have read and agreed to abide by this Code of Conduct. I understand that failure to sign or uphold this undertaking will result in disqualification as a Member/ Director/AAB member.

Name:

Academy:

Position:

ANNEXE I – DECLARATION OF PECUNIARY AND PERSONAL INTEREST

Name:

Academy:

Position:

I [name]:

declare as a Member/Director/AAB member / Employee of Delta Academies Trust that I hold the following personal and/or pecuniary interest(s):

Pecuniary interests	Please provide details of the interest
Current employment	
Businesses (of which I am a partner or sole proprietor)	
Company directorships – details of all companies of which I am a director	
Charity trusteeships – details of all companies of which I am a trustee	
Membership of professional bodies, membership organisations, public bodies or special interest groups of which I am a member and have a position of general control or management	
Gifts or hospitality offered to you by external bodies while acting in your position as a governor/trustee and whether this was declined or accepted in the last 12 months	
Contracts offered by you for the supply of goods and/or services to the trust/school	
Any other conflict	

Personal interests	Name	Relationship to me	Organisation	Nature of interest
Immediate family/close connections to Member/ Director /AAB Member/ Employee				
Company directorships or trusteeships of family/close connections to Member/ Director /AAB Member/ Employee				

If you are a Member/ Director / AAB member or equivalent at any other MATs/ Academies / Schools, please provide details below:

Name of MAT/ Academy/School:

Position held:

Date appointed/elected to post:

Date of termination of post:

To the best of my knowledge the information supplied above is correct and complete. **I understand that it is my responsibility to declare any conflict of interest/loyalty, business or personal that relates directly or indirectly, to myself or any relation in any contract, proposed contract or other matter** when present at a meeting at the MAT/ Academy/ School where such contract or matter comes under consideration. I understand that I must withdraw from any meeting during the discussion of such contract or matter and must not vote in respect of it.

I agree to review and update this declaration at least annually or more frequently in the event of any changes and give consent for the information provided to be used in accordance with the Trust connected parties policy.

I give consent for a summary of my interests to be published on the Trust/ Academy website in accordance with the requirements of the Academies Financial Handbook.

Signed:

Date:

Guidance notes

Members, Directors and AAB members have a legal duty to act only in the best interests of their Trust, Academy or School. Where a situation arises in which they cannot do this due to a personal interest they have, steps must be taken to identify, prevent and record the conflict. This ensures that Members, Directors and AAB Members are acting in the best interests of the pupils, Trust, Academy or School.

In the declaration above, you must provide details relating to:

- Your ownership or partnership of a company or organisation which may be used by the Trust/Academy/School to provide goods or services;
- Goods or services you offer which may be used by the Trust/Academy/School;
- Any close relation you have to someone who satisfies either of the above;
- Any close relationship you have to someone who is employed by the Trust/Academy/School.

Pecuniary interests

Generally, you should not participate in any discussions in which they may directly or indirectly benefit from a pecuniary interest, except where the relevant authority has authorised this. For academies the rules are outlined in the Trust Articles of Association.

A direct benefit refers to any personal financial benefit.

An indirect benefit refers to any financial benefit you may have by virtue of a relationship to someone who stands to gain from a decision of the Board/ AAB.

Both direct and indirect interests must be declared.

Non-pecuniary interests (Conflicts of loyalty)

There may be a non-pecuniary interest whereby the Member/ Director/ AAB member does not stand to gain any benefit but a declaration should still be made. For example, this might be where a Member/ Director/ AAB member has a family member working in the school. While the Member/ Director/ AAB member might not benefit personally, their judgment could be impaired if something was brought up that would affect the family member.

Handling the conflict

The Board/AAB must make a decision as to whether or not they should take steps to remove the conflict by:

- Not pursuing the course of action it relates to; or
- Proceeding with it in an alternative way which does not give rise to conflict; or
- Not appointing the Member/ Director/ AAB member in question or seeking to secure their resignation.

In the minutes of the meeting, the following should be recorded:

- The nature of the conflict;
- Which Member/Director/AAB member it relates to;
- Whether a declaration was made in advance of the meeting;
- A brief overview of what was discussed;
- Whether the Member/Director/AAB member withdrew from the meeting;
- How the Members/ Directors/ AAB members made the decision in the best interests of the Trust/ Academy/School.

The Academies Financial Handbook requires Trusts and Academies to keep a register of pecuniary interests for the Members/ Directors/AAB Members and senior staff of the Trust/ academies/schools.

The register should be reviewed annually by the clerk but any new interest or ceased interest, should be reported to the clerk as and when they occur. Upon completion, this signed form should be given to the clerk whose responsibility it is to keep a register of all interests and review it annually. A template for the register is provided in the Delta Academies Trust Governance Handbook.

The Charity Commission offers guidance on conflicts of interest in: <https://www.gov.uk/guidance/manage-a-conflict-of-interest-in-your-charity> and CC29: Conflicts of interest: a guide for charity trustees. <https://www.gov.uk/government/publications/conflicts-of-interest-a-guide-for-charity-trustees-cc29>

ANNEXE J - TERMS OF REFERENCE OF THE AUDIT AND RISK COMMITTEE

1. Authority

The Audit and Risk Committee is a Committee of the Trust Board of Directors and is authorised to investigate any activity within its Terms of Reference or specifically delegated to it by its Board of Directors.

It is authorised to request any information it requires from any employee, external auditor or internal auditor.

The Audit and Risk Committee is authorised to request any outside legal or independent professional advice it considers necessary, normally in consultation with the Accounting Officer. However, the Audit and Risk Committee may not incur expenditure without approval of the Board of Directors.

2. Role

The role of the Audit and Risk Committee is to assess the scope and effectiveness of the systems established by management to identify, assess, manage and monitor financial and non-financial risks to the company. It also maintains an oversight of the Trust's governance, internal control, financial reporting and value for money frameworks in order to establish levels of compliance throughout the company.

The minutes of the Finance and Capital Committee will be submitted to the Board of Directors.

The Committee shall report to the Board of Directors as required and make whatever recommendations to them that it deems appropriate within the context of its terms of reference.

3. Duties

The Committee has the following duties:

- To review key risk areas and scrutinise the Trust's approach to the management and control of the key areas of risk identified.
- To report to the Board of Directors on the appropriateness of the controls put in place and the levels of compliance achieved.
- To review the implementation of agreed risk management systems within Trust Academies, with particular focus on Safeguarding, Health and Safety and Educational Visits.
- To review the implementation of agreed risk management systems within the Core Team, with particular focus on ensuring academy compliance with policies and procedures in respect of Safeguarding, Health and Safety and Educational Visits.
- To review and scrutinise the Trust risk management policy and make recommendations to the Board.
- To review the External Auditors' annual planning proposals and make recommendations to the Board in respect of the approval of the planned audit approach and audit programme for the year.
- To review the Internal Auditor's annual planning proposals and approve the planned audit approach.
- To monitor and assess the role and effectiveness of the Internal Audit function in the overall context of the Trust's risk management system.

- To review and scrutinise the company policy in relation to the provision of non-audit services by the auditor and make recommendations to the Board.
- To review and challenge, where necessary, the actions and judgements of management in relation to the financial statements.
- To review the Trustees' Statement in the accounts, on the company's internal controls and risk management framework and recommend the statement to the Board of Directors.
- To review and scrutinise the whistleblowing and anti-fraud and corruption policies and ensure that arrangements are in place by which staff may raise concerns in confidence and make recommendations to the Board.
- To monitor that all allegations of fraud or irregularity are managed and investigated appropriately.

4. **Responsibilities**

The Committee has the following responsibilities:

- To advise the Board of Directors and Accounting Officer on the adequacy and effectiveness of the Trust's governance, risk management, internal control and value for money systems.
- To advise the Board of Directors on the appointment, reappointment, dismissal and remuneration of the external and regularity auditors.
- To advise the Board of Directors on the need for and then the appointment, re-appointment, dismissal and remuneration of the internal auditors.
- To advise the Board of Directors on the programme of work to be delivered by both the external and internal auditors. The programme of work should be derived from having regard to the key risks faced by the Trust.
- To ensure that the Internal Auditors commissioned comply with the standards set by the Chartered Institute of Internal Auditors.
- To receive reports from management, the External Auditor and Internal Auditor on an agreed basis and consider the issues raised, management responses and action plans.
- To monitor outstanding audit recommendations and ensure any agreed delays to implementation dates are reasonable.
- To ensure appropriate cooperation and coordination of the work of the External and Internal Auditor.
- To meet the Internal and External Auditor without management at least annually.
- To receive the annual management letter from the external auditors and establish whether recommendations have been implemented.
- To review the audit representation letters before consideration by the Board, giving particular consideration to matters that relate to non-standard issues.

5. **Administration**

- The Committee will meet at least once per term.
- The Audit and Risk Committee will consist of at least two Non-Executive Directors.
- The Chair of the Board of Directors cannot be a member of the Audit and Risk Committee.
- The Audit and Risk Committee will be quorate if two members are present.
- The Accounting Officer, Director of Finance, Chief Compliance Officer and other members of the Trust's staff may be invited to attend, but will have no voting rights.
- Representatives of the Internal and External Auditors will attend meetings at the invitation of the Committee.
- The Committee will be supported by the Chief Compliance Officer and clerking services will be provided by the Executive Officers' Assistant.
- Agendas will be agreed in advance by the Chair of the Audit and Risk Committee and all relevant papers should normally be circulated to each member at least five working days prior to the date of the meeting.
- Draft minutes of Committee meetings shall be agreed with the Chair and circulated promptly to all members of the Committee.
- The Audit and Risk Committee will review these terms of reference on an annual basis and self-assess its performance against these terms of reference.
- An annual report will be produced by the Audit and Risk Committee and will be presented to the Board of Directors.

ANNEXE K - TERMS OF REFERENCE OF THE FINANCE AND CAPITAL COMMITTEE

1. Authority

The Finance and Capital Committee is a Committee of the Board of Directors and its role is to support and advise the Board in exercising its authority in relation to the matters set out in these terms of reference. The Committee is responsible to the Board for its performance.

It is authorised to request any information it requires from any employee, external auditor or internal auditor regarding its duties and responsibilities. The Finance and Capital Committee is authorised to request any outside legal or independent professional advice it considers necessary, normally in consultation with the Accounting Officer. However, the Finance and Capital Committee may not incur expenditure without approval of the Board of Directors.

The Committee shall make recommendations to the Board on all matters unless the Board expressly delegates authority to the Committee to make decisions.

Where there is a potential overlap of responsibilities between the Committee and the Audit and Risk Committee, the respective Committee Chairs shall have the discretion to agree the most appropriate Committee to fulfil any obligation.

2. Role

The Board has defined the Committee's purpose as assisting the Board in its on-going oversight of the Trust's arrangements for budgeting, financial planning, financial performance and financial reporting in respect of both revenue and capital activities.

The minutes of the Finance and Capital Committee will be submitted to the Board of Directors.

The Committee shall report to the Board of Directors as required and make whatever recommendations to them that it deems appropriate within the context of its terms of reference.

3. Duties

The Board of Directors delegates authority to the Finance and Capital Committee to:

- Review and scrutinise the first Trust core formal budget plan for the financial year and make recommendations on budget approval to the Board.
- Review and scrutinise the summary of academy budgets.
- Review and scrutinise the Condition Improvement Fund allocations to individual Academies.
- Review and scrutinise the schemes of delegation in relation to Finance and Assets and make recommendations for any changes to the Board.
- Review and scrutinise the Trust Treasury Management and Reserves Policies and any other policies delegated for consideration to the committee from the Board of Directors and make recommendations to the Board on their adoption.

4. Responsibilities

The Finance and Capital Committee shall undertake and be responsible for the following activities:

- Scrutinising the overall financial strategies and performance of the Trust core.
- Monitoring the current and projected levels of income and expenditure across individual academies within the Trust.
- Reviewing Trust core management accounts and monitoring performance against the financial and resource objectives approved in the annual plan and budget.
- In conjunction with the Audit and Risk Committee, ensuring that an effective framework for the financial management of the Trust is in place.
- Reviewing the financial implications and any significant financial risks associated with new proposals and developments.
- Advising the Board of Directors on strategic matters relating to Finance, Facilities and Procurement.

5. Administration

- The Committee will meet at least once per term.
- The Finance and Capital Committee will consist of at least two Non-Executive Directors.
- The Finance and Capital Committee will be quorate if two members are present.
- The Accounting Officer, Director of Finance and other members of the Trust's staff may be invited to attend, but will have no voting rights. The Director of Facilities should be available for items on Facilities and Procurement.
- Support for the Committee will be led by the Chief Compliance Officer and clerking services will be provided by the Executive Officers' Assistant.
- Agendas will be agreed in advance by the Chair of the Finance and Capital Committee and all relevant papers, should normally be circulated to each member at least five working days prior to the date of the meeting.
- Draft minutes of Committee meetings shall be agreed with the Chair and circulated promptly to all members of the Committee.
- The Finance and Capital Committee will review these terms of reference on an annual basis and self – assess its performance.

ANNEXE L - TERMS OF REFERENCE OF THE REMUNERATION COMMITTEE

Authority

The Remuneration Committee is a committee of the Board of Directors and is authorised to make recommendations on items within its Terms of Reference or specifically delegated to it by its Board of Directors.

The Remuneration Committee is authorised to request any outside legal or independent professional advice it considers necessary, normally in consultation with the Accounting Officer. However, the Remuneration Committee may not incur expenditure without approval of the Board of Directors.

Role

The role of the Remuneration Committee is to maintain an oversight of the Trust's approach to remuneration and pay progression. The Committee shall report to the Board of Directors on an annual basis or more frequently if required and make whatever recommendations to them that it deems appropriate within the context of its terms of reference.

Duties

The Committee has the following duties:

- To advise the Trust Board on the remuneration and conditions of service of Academy Principals and Heads of Academy.
- To advise the Trust Board on the remuneration and conditions of service of the Executive Leadership team, including those of the Chief Executive Officer.
- To advise the Trust Board on the remuneration and conditions of service of Core Improvement Team staff.
- To make specific recommendations on remuneration for senior staff to include Heads of Academy Principals, Executive Principals, Regional Directors, Executive Directors, the Chief Executive Officer and all Academy and Core Improvement team staff earning over £60k and therefore disclosed in the senior staff note in the Trust financial statements.

In determining recommendations to the Trust's Board on the remuneration and conditions of service of designated senior post holders, the Committee will consider both national benchmarking information on pay and conditions for institutions of a similar size or approach and information on similar positions within the region.

The Committee may consider salary progression for designated senior post holders utilising a salary progression methodology. Any methodology used is to be reviewed and agreed by the Remuneration Committee. Any recommendations will be reported to the Trust Board at its next meeting.

Administration

- The Committee will meet at least annually.
- A meeting must take place in the autumn term to receive the recommendations arising from the performance management cycle for the previous academic year.
- The Remuneration Committee will consist of three Non-Executive Directors. No employee, including the Chief Executive Officer, of the Trust may be a member of the Remuneration Committee.
- The Remuneration Committee will be quorate if two members are present.
- The Accounting Officer, Director of Education (Primary), Director of Education (Secondary), Director of Finance and other members of the Trust's staff may be invited to attend, but will have no voting rights.
- Clerking services will be provided by the Company Secretary.

The Remuneration Committee will review these Terms of Reference on an annual basis and self-assess its performance against these Terms of Reference.

ANNEXE M - TERMS OF REFERENCE OF THE ACADEMY ADVISORY BODY

1. Authority

The Academy Advisory Body (AAB) is a sub-committee of the Board of Directors and performs a key local scrutiny function in each Trust academy or group of academies as part of the Trust Assurance Framework.

The AAB plays an important role in the life of the Academy and has responsibility to act as a link between the Academy, parents and local community and to champion the work of the Trust and the Academy.

The AAB is required to act as a critical friend to the Academy and its Leadership and to report to the Trust risks and issues within its terms of reference, or which come to its attention. In effect, the AAB supports the work of the Board, the Chief Executive Officer and the Executive Leadership Team and is critical to ensuring that the work of the Trust is discharged effectively at academy level.

The financial delegations relating to the AAB are contained within the Financial Scheme of Delegation.

2. Role

The Academy Advisory Body's main functions are to:

- Scrutinise the work of the Academy and its leadership team in the following areas:
 - Standards
 - Behaviour and attendance
 - Safeguarding
 - Health, safety and site
 - Finance, Compliance and Value for Money (VfM)
 - SEND/LAC/Disadvantaged pupils
 - Community engagement.
- Act as a key link between the Academy, parents and local community and champion the work of the Trust and the Academy.
- Provide constructive challenge to the Principal and Leadership Team.
- Ensure that the Academy is proactive in collaboration across the Trust.
- Oversee the implementation of and ensure compliance with Trust policies.
- Report risks and issues within its terms of reference, or which come to its attention, to the Trust.

3. **Duties**

The Academy Advisory Body has duties in the following areas:

Standards

- To monitor educational outcomes in terms of attainment and progress for all pupils, including the impact of planned strategies to raise standards for vulnerable groups.
- To scrutinise the Academy Improvement Plan, Summary SEF and Curriculum Led Financial Plan before submission to the Trust for approval and to monitor progress and impact.
- To monitor the implementation of any post OFSTED action plans.

Behaviour and attendance

- To scrutinise local implementation of the relevant Trust behaviour policy.
- To form a panel to review any permanent exclusion decisions made by the Principal/ Head of Academy.
- To monitor attendance at the Academy and the impact of strategies to improve attendance including by vulnerable groups.

Safeguarding

- To appoint from its members a designated Child Protection and Safeguarding representative
- To approve the Academy Child Protection and Safeguarding policies on at least an annual basis and monitor implementation locally.
- To approve the Academy Learning Outside the Classroom policy on at least an annual basis and monitor implementation locally.
- To review induction and training records in respect of safeguarding, child protection and safeguarding and educational visits on at least a termly basis.
- To review the SCR for completeness and accuracy on at least a termly basis.
- To scrutinise Evolve reports on planned educational visits on at least a termly basis for compliance with agreed policies and procedures.

SEND/LAC/Disadvantaged pupils

- To appoint from its members a designated member with responsibility for pupils with Special Educational Needs and Disability, Looked After Children and Disadvantaged Pupils and those in receipt of additional funding.
- To monitor the impact of any targeted funding to address specific needs of these pupils.
- To scrutinise the impact of the Academy's strategies for supporting and developing provision for these groups of pupils throughout the academy on at least a termly basis.
- To ensure that reporting via the Academy website in respect of targeted funding is compliant with statutory requirements and is up-to-date.

Health, safety and site

- To appoint from its members a designated Health and Safety representative.
- To review every report on at least a termly basis to ensure required activities are completed and recorded on a timely basis.
- To undertake a health and safety site walk with the Principal/Head of Academy at least once each term and report back to the AAB on their findings.
- To scrutinise the implementation of any actions arising from health and safety audits.

Finance, Compliance and Value for Money (VfM)

- To nominate from its members a designated member with responsibility for Finance.
- To participate in the setting of the Academy budget in accordance with the timescales and processes set out in the Trust Financial Regulations Handbook.
- To monitor expenditure in-year and ensure all budgets delegated to the Academy are managed within the Trust's scheme of delegation.
- To review the progress of the Academy in implementing Internal Audit and Trust action plans and to challenge any areas identified of non-compliance.
- To scrutinise the Academy's arrangements for ensuring value for money and review the Principal / Head of Academy's annual value for money statement before submission to the Trust.

Community engagement

- To develop the involvement of parents, carers and other stakeholders in the life of the Academy
- To scrutinise Academy specific policies, publications and website content.
- To review the impact of all policies locally.
- To form a panel, if required, of independent AAB members, to review any stage three complaints, under the Trust's complaints policy.
- To form a panel, if required, to review any recommendations of site exclusion made by the Principal/ Head of Academy.

Organisation

- To establish a Sub-Committee for Finance and to adopt the Trust terms of reference and membership for this Sub-Committee as specified in the Trust Governance Handbook. To establish any other Sub-Committees deemed appropriate to support in carrying out the scrutiny function of the AAB.

4. **Administration**

- The Academy Advisory Body will meet at least once per term, with an additional business meeting at the start of the academic year.
- The Academy Advisory Body will consist of at least five members. The quorum for an AAB meeting is one half, excluding any vacancies, (rounded up to a whole number) of the membership of the AAB.
- ELT members, or Core Team staff representing ELT members, other than those appointed as Academy Advisory Body Members, may attend AAB meetings.
- AAB Members will normally be appointed for a term of no less than two years and no more than four years. Subject to remaining eligible, a Member may be re-appointed.
- The Chair and Vice Chair will be elected by the whole AAB from Trust appointed members and will serve for one year. No Chair or Vice Chair may serve for more than two consecutive years without the approval of the Trust.
- Each AAB will appoint a Clerk whose role it is to work alongside the Chair and Principal and offer administrative support and governance advice.
- Any sub-committees formed will appoint a Clerk and arrange their own meetings. They will agree and publish minutes and report these to the next meeting of the full AAB. Quorums for sub-committees can be set by the committee chair but meetings must be attended by at least three sub-committee members.
- Arrangements and agendas will follow the Trust approach, as explained in the Governance Handbook. Local AABs are free to add to the standard templates.
- The Principal will publish a calendar of meetings for each academic year in consultation with the Chair and Chairs of any sub-committees.
- Agendas and all relevant papers should be circulated to each member at least five working days prior to the date of the meeting.
- Minutes of meetings shall be circulated promptly to all members of the Committee for information and reviewed and signed at the next AAB meeting.
- Minutes will be uploaded to the relevant section of the Trust VLE by the Clerk.
- The Board of Directors will review these terms of reference on an annual basis.
- Academy Advisory Bodies will self – assess performance against these terms of reference.

SECTION 3 – FINANCIAL ACCOUNTABILITY

The Financial Accountability requirements for Academies are set out in Funding Agreement (FA) http://deltatrust.org.uk/Legal_Documents, the Academies Financial Handbook (AFH) <https://www.gov.uk/government/publications/academies-financial-handbook> and charity and company law. The Board of Directors is responsible for approving these arrangements and approving any changes as recommended by the Audit and Risk Committee.

Responsibilities for financial management

The Board

The Academies Financial Handbook states that every Academy Trust (AT) should have a Finance Committee to which the Board may delegate the detailed scrutiny of the Academy Trust's finances. At Delta that function is fulfilled by the Finance and Capital Committee for the MAT as a whole and by the Finance and Resources Committee for individual Academies.

The Accounting Officer

The Accounting Officer for Delta is the Chief Executive Officer. He has overall executive responsibility for the effective management of Delta's strategic and day- to-day financial affairs. He must also fulfil the legal obligations set out in HM Treasury's Managing Public Money.

The Accounting Officer is personally responsible to Parliament and to the Accounting Officer of the ESFA for the resources under his control. The essence of the role is a personal responsibility for the propriety and regularity of the public finances for which he is answerable; for the keeping of proper accounts; for prudent and economical administration; for the avoidance of waste and extravagance; for ensuring value for money; and for the efficient and effective use of all the resources in his charge. Essentially, the Accounting Officer must be able to assure Parliament and the public, of high standards of probity in the management of public funds.

The Finance Director

The Academies Financial Handbook (AFH) requires all Academy Trusts to have a Chief Finance Officer (CFO) appointed by the MAT's Board. At Delta, the Director of Finance is the CFO. The CFO has a pivotal role in advising the Board of Directors and the Executive Leadership Team.

The Academy Advisory Body

The AAB is responsible for monitoring the in-year position against the agreed budgets and reviewing action taken in the Academy. It is also responsible for maintaining an overview of the operation of financial procedures at the Academy and for monitoring the implementation of any internal or external audit recommendations. Plans for pupil premium funding and its impact should also be reviewed and challenged by the AAB.

The Scheme of Delegation specifies the level of financial control and delegation between the Delta Board, the Accounting Officer, the Director of Finance, the AABs and Academy staff. The scheme of delegation is attached at [Annexe G](#).

Standards of Financial Conduct

Public service values are at the heart of Delta. We recognise our obligations to all those with whom we have dealings, including students, employees, regulatory bodies, suppliers, agents, other institutions and the wider community. High standards of personal and corporate conduct, based on the recognition that students and other users of the Academies' services come first, are a requirement of being a Member, Director or Academy Advisory Body Member and underpin all decisions taken by the Delta Board of Directors and Academy Advisory Bodies. Delta is committed to conducting its business in accordance with the highest ethical standards.

In accordance with the ESFA Academies Financial Handbook, The Trust and Academies must capture all business and pecuniary interests for those taking strategic or procurement decisions. At Trust level, we require the Members, the Board, ELT, Core Team Managers and all Finance and procurement staff to declare their business and pecuniary interests. In Academies, this requirement applies to all AAB members, the Senior Leadership Team and all finance staff employed and working at the Academy. A template for this is provided at [Annexe I](#). Delta Core and all Academies must maintain a Register of Business Interests which is updated as soon as new declarations are made. The Delta template for this is provided in the Financial Accountability section at [Annexe P](#).

Details of Trust policies on Connected Parties and Gifts, Hospitality and Entertaining are included at [Annexes N and O](#). These policies apply to all Trust Academies and to Core Team.

Trading with Delta or its Academies by Directors or AAB Members is not permitted under ESFA guidance and Trust policies, unless very strict requirements can be satisfied. Any potential instances must be reported to Core Finance for approval before any trading takes place.

Detailed guidance on financial procedures to be followed by academies is provided in the Delta Financial Regulations Handbook [Delta Academies Trust Financial Regulations Handbook](#). As well as operational guidance, this provides an overview of processes in respect of budgeting, financial reporting and audit requirements.

ANNEXE N – POLICY ON GOODS OR SERVICES PROVIDED BY INDIVIDUALS OR ORGANISATIONS CONNECTED TO A MEMBER, TRUSTEE OR ACADEMY ADVISORY BODY MEMBER

1. ROLES AND RESPONSIBILITIES

This policy has been approved by the Delta Academies Trust (Delta) Board of Directors. It applies to Delta and Delta Academies.

2. SUGGESTED AUDIENCE

All Members, Directors, Academy Advisory Body Members and staff with responsibility for Procurement and Finance.

3. AIM

The aim of this policy is to set out Delta's approach to implementing Academies Financial Handbook Guidance.

4. INTRODUCTION

4.1 Public service values are at the heart of Delta. We recognise our obligations to all those with whom we have dealings, including students, employees, regulatory bodies, suppliers, agents, other institutions and the wider community. High standards of personal and corporate conduct, based on the recognition that students and other users of the Academies' services come first, are a requirement of being a Member, Director or Academy Advisory Body Member and underpin all decisions taken by the Delta Board of Directors and Academy Advisory Bodies. Delta is committed to conducting its business in accordance with the highest ethical standards.

4.2 Delta benefits from Members, Directors and Academy Advisory Body Members, appointed on a voluntary basis, who are drawn from the public and private sector, and who bring significant educational and other professional expertise to the Academy Trust.

5. GUIDANCE

The Academies Financial Handbook provides additional guidance in respect of all Academy Trusts' duties in respect of goods and services provided by connected parties. This guidance is summarised in Appendix 1. Delta is required to comply with these requirements.

6. FOR THE AVOIDANCE OF DOUBT

6.1 Delta will apply the thresholds of control laid down in the Academies Financial Handbook.

6.2 Delta will always request a demonstration that charges do not exceed the cost of supply.

6.3 Any transaction required to be disclosed in Delta's Financial Statements as a related party transaction is deemed to be covered by this policy.

6.4 In the event that any services were to be supplied by self-employed consultants, Delta would require such services to be provided at below the market rate. Delta would only enter into such a contract when satisfied that the agreed 'at cost' figure is reasonable and justifiable.

7. BOARD OF DIRECTORS

- 7.1 Having considered the requirements laid down in the Academies Financial Handbook, the Board of Directors has concluded that it is unlikely that any goods or services provided by connected parties (notwithstanding the significant educational and other professional expertise demonstrated by its Members and Directors) would be of sufficient additional benefit to the Academy Trust over goods or services that could be procured from non-connected parties, to outweigh the potential reputational risks and associated administrative burden of ensuring compliance with the requirements in the Academies Financial Handbook as outlined in Appendix 1.
- 7.2 There is therefore a presumption that trading with connected parties will not take place for new and renewed contracts for goods and services.
- 7.3 This presumption notwithstanding, any proposal to enter into any connected party trading by either Delta or any of its Academies must be referred to the Board of Directors for consideration.
- 7.4 In these circumstances, the Director offering the goods or services should remain in the meeting to give details of the assistance offered, but withdraw whilst consideration of the offer of service is made.
- 7.5 The remaining Directors must consider any offer in light of this policy and the presumption that trading with connected parties will not take place.

8. ACADEMIES

- 8.1 Delta has considered the guidance in the Academies Financial Handbook and its application in a Multi-Academy Trust context. It has concluded that it will require Academies to follow these principles in any trading activities with individuals who are Academy Advisory Body Members at any Delta Academies. The Declaration of Business Interests Form requires disclosure by AAB Members of any trading with Delta or Delta Academies. Standard templates include the requirement to update AAB Members Declarations of Interests at every meeting. A summary of declared business interests will also be made available on the Delta and Academy websites as appropriate.
- 8.2 If an Academy, having considered the guidance above, is proposing to enter into a trading relationship with a Member, Director or Academy Advisory Body Member at any Delta Academy, they must contact Core Finance who will provide advice and support in applying this policy.

9. PENALTIES FOR BREACH OF THE CONNECTED PARTY POLICY

- 9.1 Any breach, or suspected breach, of this policy will be investigated and appropriate action taken, which may include reporting to the appropriate authorities.
- 9.2 Any breach of this policy by a Delta employee may result in disciplinary action being taken under local disciplinary procedures, and may lead to dismissal if it constitutes gross misconduct.

10. ROLE OF THE ACADEMY FINANCE OFFICER IN RELATION TO THE ABOVE POLICY

- 10.1 The Academy Finance Officer is responsible for:
 - 10.1.1 ensuring that any declarations of business or pecuniary interest by staff, including SLT, are recorded in the individual Academy's Register

10.1.2 reporting any possible conflict of interests to Delta Core Finance;

10.1.3 returning on a termly basis to Core Finance at Delta a copy of the Register of Interests (December, March, and August).

11. **ROLE OF THE CLERK TO THE AAB AT THE ACADEMY IN RELATION TO THE ABOVE POLICY**

11.1 The AAB Clerk is responsible for:

11.1.1 ensuring that any declarations of business or pecuniary interest by AAB Members are recorded in the individual Academy's Register;

11.1.2 reporting any possible conflict of interests to Delta Core Finance.

12. **MONITORING AND REVIEW**

This Policy will be reviewed every three years or when there are changes to relevant legislation or guidance.

APPENDIX 1 - SUMMARY OF REQUIREMENTS IN RESPECT OF CONNECTED PARTY TRADING INCLUDED IN THE ACADEMIES FINANCIAL HANDBOOK

1. The Academy Trust must pay no more than 'cost' for goods or services provided to it by the following persons ('services' do not include services provided under a contract of employment):
 - 1.1 any member or trustee of the academy trust;
 - 1.2 any individual or organisation connected to a member or trustee of the academy trust. For these purposes the following persons are connected to a member, or trustee;
 - 1.3 a relative of the member or trustee. A relative is defined as: a close member of the family, or member of the same household, who may be expected to influence, or be influenced by, the person. This includes, but is not limited to, a child, parent, spouse or civil partner;
 - 1.4 an individual or organisation carrying on business in partnership with the member, trustee or a relative of the member or trustee;
 - 1.5 a company in which a member or the relative of a member (taken separately or together), and/or a trustee or the relative of a trustee (taken separately or together), holds more than 20% of the share capital or is entitled to exercise more than 20% of the voting power at any general meeting of that company;
 - 1.6 an organisation which is controlled by a member or the relative of a member (acting separately or together), and/or a trustee or the relative of a trustee (acting separately or together). For these purposes an organisation is controlled by an individual or organisation if that individual or organisation is able to secure that the affairs of the body are conducted in accordance with the individual's or organisation's wishes;
 - 1.7 any individual or organisation that is given the right under the trust's articles of association to appoint a member or trustee of the academy trust; or any body related to such individual or organisation;
 - 1.8 any individual or organisation recognised by the Secretary of State as a sponsor of the academy trust; or any body related to such individual or organisation.

2. A body is related to another individual or organisation if it: is controlled by the individual or organisation; or controls the organisation; or is under common control with the individual or organisation. For these purposes control means:
 - 2.1 holding more than 20% of the share capital (or equivalent interest); or
 - 2.2 having the equivalent right to control management decisions of the body; or
 - 2.3 having the right to appoint or remove a majority of the board or governing body
3. The 'at cost' requirement does not apply to the trust's employees unless they are also one of the parties described above.
4. Whilst these provisions do not apply to contracts of employment, the same principles of securing value for money and using public money properly, including managing conflicts of interest, will still apply. Salaries paid should be appropriate to the individual's skills and experience and the salary rates paid in the wider market.
5. Should any staff/personnel of an individual or organisation referred to above be based in, or work from the premises of, the academy trust, that individual/ organisation and the trust must agree an appropriate sum to be paid to the trust for such use/occupation of the premises, save to the extent that they are carrying out work for the trust.
6. Any agreement with individuals or organisations outlined above must be properly procured and be:
 - 6.1 Supported by a statement of assurance from that individual or organisation to the Trust confirming that their charges do not exceed the cost of the goods or services; and
 - 6.2 On the basis of an open book agreement including a requirement for the supplier to demonstrate clearly, if requested, that their charges do not exceed the cost of supply.
7. For these purposes the cost will be the full cost of all the resources used in supplying the goods or services. Full cost includes:
 - 7.1 All direct costs (the costs of any materials and labour used directly in producing the goods or services); and
 - 7.2 Indirect costs (comprising a proportionate and reasonable share of fixed and variable overhead costs. Overhead charges must be proportionate to the amount of work being done for the Trust. Delta would deduct any excess recoupment of overhead costs in one year from any invoices submitted in future years to ensure full compliance with the not for profit principles contained in the Academies Financial Handbook.
8. Full cost must not include an element of profit.

ANNEXE O – GIFTS, HOSPITALITY AND ENTERTAINING POLICY

1. Gifts and Hospitality Policy

Purpose

This outlines the Delta Academies Trust (the Trust) policy with regard to the receipt of gifts and hospitality by its staff from any third parties arising from duties undertaken on behalf of the Trust or any of its academies or related companies.

The Trust is committed to ensuring that the governance of Delta Academies Trust and its academies is conducted in accordance with the highest standards of integrity, probity and openness. This policy has also been set in context of the Trust **Anti-Fraud Policy** and the Bribery Act 2010.

General Rules

- Trust and Academy staff must not receive gifts, hospitality or benefits of any kind from a third party which might be seen to compromise their personal judgement or integrity. Staff are asked to immediately report any offer or receipt of such gifts to the Finance Office within the Academy or Core Finance office to be recorded in the Register of Gifts and Hospitality.
- Directors, local Academy Advisory Body members and staff may accept the following gifts/hospitality without the need to seek the approval of Delta Core Finance or formally register receipt within the Register of Gifts and Hospitality:
 - courtesy hospitality at business lunches / dinners or attendance in an official capacity at a public function;
 - incidental promotional gifts such as calendars, diaries or pens;
 - receipt of small items from suppliers or contractors as expressions of gratitude such as boxes of chocolate or individual bottles of drink (at a value of less than £25).

NB: Care must always be taken to ensure that whenever such gifts / hospitality are accepted no obligation to the person or organisation in question is accepted. In cases of doubt academies should consult the Delta Director of Finance.

- The following examples of gifts/hospitality require approval by Delta Core Finance and should be formally recorded by the Finance Office in the Register of Gifts and Hospitality:
 - Attendance as a non-paying guest of a commercial organisation or individual at a non-work related cultural or sporting event (at a value of more than £25);
 - Promotional gifts worth in excess of £25;
 - Other offers of gifts/ hospitality not falling into any of the above categories.

Unacceptable Gifts/Hospitality

The following are examples of offers of gifts/hospitality which should be refused by staff:

- Gifts of money (not including donations to Delta, its academies or Delta Academies Charitable Trust)
- Free membership or subscriptions (eg sports clubs)
- Foreign travel unless as a specific element of a business, academic or research activity approved by Delta Academies Trust CEO in line with the Delta 'Expenses including Travel and Subsistence Policy'. In the case that this affects the CEO this should be approved by the BOD
- Free goods, services or equipment which are normally provided by a supplier to Delta or its academies at a charge.

NB: Any offers of gifts and hospitality falling into any of the above categories should be reported immediately to the Delta Director of Finance.

2. Entertaining Policy

Purpose

This outlines the Delta Academies Trust (Trust) policy with regard to the provision of entertaining third parties by its employees and on the use of public funding for the provision of hospitality/entertaining of its staff.

The Trust recognises that it is customary and routine for education professionals to provide reasonable gifts and entertainment to clients and to receive the same from clients and suppliers. Entertaining must not be made with the purpose of gaining an unfair commercial advantage. We must avoid the situation where entertaining an individual employed by an organisation could breach that organisation's code or cause embarrassment.

The Trust is committed to ensuring that the governance of the Trust and its academies is conducted in accordance with the highest standards of integrity, probity and openness. This policy has also been set in context of the **Delta Anti - Fraud Policy** and the Bribery Act 2010.

Provision of entertaining to third parties:

- Where funding is to be used from the Trust and/or its academies then all entertaining must be approved and agreed with Delta Core Finance prior to that expenditure.
- Entertaining will not be reimbursed via monthly expense claims and the company credit cards cannot be used for entertaining unless approval has been sort from Delta Core Finance.
- If approved all entertaining must be recorded on the Entertaining Expenditure Register held by the Finance Office at the Trust/Academy. This should include an assessment of the impact on the recipient, value and the perception this may have within the market place.

Provision of entertaining to staff

The provision of entertaining to staff with the use of educational funding is not encouraged, however we understand on occasions you may wish to hold a celebratory event for staff. These events are exempt from tax and National insurance as long as **all** staff within the single location are invited to attend (ie All staff within an academy are invited).

- Maximum amount £5 per staff member per annum – this is at the discretion of the ELT/ Principal/Head of Academy.
- It is acceptable to provide staff with lunches for full day training events or meetings only (this excludes provision of alcohol). Other meals/lunches can only be provided / reimbursed in line with the 'Expenses including Travel and Subsistence Policy'.
- Any provision of alcohol for the consumption by staff should only be provided in the case of a celebratory event, completion of successful Ofsted or outstanding examination results. However, this should still be kept to a minimum i.e. one glass per staff member and full approval must be gained from Delta Core Finance prior to the purchase. This should be recorded on the Entertaining Expenditure Register.

3. Penalties for Breach of either of the above policies

If a breach of these policies amount to a breach of the Bribery Act 2010 it may attract the following penalties:

- **Individuals** – the penalties for individuals on conviction are severe, and may include imprisonment up to 10 years for all individuals involved.
- **Corporate** – Delta Academies Trust itself and partners, officers and directors may be liable to severe financial penalties for bribery committed by employees, contractors, agents, representatives and other third parties who provide services for or on Delta Academies Trust's behalf. The costs of any external investigation ordered by the regulator may easily be more than £1m, and will be payable by the Trust.
- **Third parties** – any breach of this policy by any contractor, agent, consultant or supplier will normally result in the Trust's contract with any such party being terminated insofar as its terms or law permits.
- **Investigations** – any breach, or suspected breach, of this policy will be investigated and appropriate disciplinary action taken as necessary, which may include reporting to appropriate authorities.
- **Disciplinary action** – any breach of this policy may result in disciplinary action being taken in line with the Delta Disciplinary Policy, and may lead to dismissal if it constitutes gross misconduct. The Trust will support any employee or officer who makes such a report and will ensure that the report is treated appropriately. No disciplinary action may be taken against any person who makes a legitimate report, even if the suspicions reported turn out to be incorrect. Disciplinary action may be taken against any person who attempts to victimise or discriminate against a person making such a report.

4. Rewards/incentives to staff

Rewards/incentives to staff may attract PAYE tax and National Insurance contributions (NICs) and form part of an employee's pay. There are different rules depending on what the reward/incentive is.

Delta Academies Trust have a PAYE settlement agreement in place to deal with rewards/incentives to staff under the 'After School Activities Policy', however this does not deal with rewards made to individual members of staff.

The Trust recognises that rewards/incentives may be given to individuals. These include:

- Gift vouchers
- non-cash items like goods
- prizes for employer-run competitions

Gift Vouchers exchangeable for goods and services

The cost of the voucher must be added to the employee's earnings. For Example: If a voucher with a face value of £50 is given to an employee. This will be included on the employee's payslip, grossed up so that the Trust/Academy can pay the tax and NI due on this award. Full details of the employee and the reward/incentive given will need to be provided to Core Finance (Email corefinance@deltatrust.org.uk) within the month that the amount is awarded.

Other non-cash awards

Non-cash awards to an individual, can also be subject to Tax and National Insurance, however HMRC has set out statutory exemptions for trivial benefits. Under this exemption, if an employer provides a benefit to its employees, the benefit is exempt from tax as employment income if all the following conditions are satisfied:

- the cost of providing the benefit does not exceed £50
- the benefit is not cash or a voucher (see above)

If another organisation provides a non-cash award to an employee of the Trust it is up to the employee to report this to HMRC - you don't have to report or pay anything to HMRC.

Action

Please ensure any payments of rewards/incentives that fall under the above are notified immediately to Corefinance@deltatrust.org.uk. We can then ensure any payments/rewards are appropriately dealt with for Tax and NI purposes.

5. Role of the Finance Office

The Role of the Finance Office within the Trust/Academies in relation to the above policies:

- Responsible for ensuring that any offer or receipt of gifts, hospitality or donations received by staff are recorded in Delta's or in the individual academy's Register of Gifts and Hospitality.
- To Report any possible conflict of interests arising from the offer or receipt of gifts and or hospitality to Delta Core Finance
- To ensure any entertaining expenditure is recorded within the Entertaining Expenditure Register with appropriate details.
- Return on a termly basis to Core Finance at Delta a copy of the Gifts and Hospitality Register and the Entertaining Expenditure Register (Dec, March, Aug). This must be notified even if no transactions are included.
- Notify to Core Finance any Rewards/Incentives awarded to individual employees which are not covered by the 'After School Activities Policy' and therefore under the current PAYE Settlement Agreement.

6. Review

This policy will be reviewed every three years, or when there are changes to relevant legislation.

ANNEXE P – REGISTER OF BUSINESS INTERESTS TEMPLATE

Register of Business Interests									
Name	Role/Post	Name of Business	Nature of Business	Nature of Interest	Date of Appointment / Acquisition	Date of Cessation of Interest	Date of Entry	Trading in Year	Disclosed in Accounts?
AAB									
SLT									
Finance									

SECTION 4 – ACADEMY GOVERNANCE

Academy Advisory Bodies

Each individual Academy within the group has an Academy Advisory Body (AAB), which is a sub-committee of the main Trust Board.

The Academy Advisory Body (AAB) plays a key role in the life of each Academy. The AAB is responsible for working with the Academy Senior Leadership Team to improve the whole life of the Academy and its impact on its community. The AAB's main functions are to:

- Provide scrutiny and constructive challenge in key focus areas to the Principal and Academy Leadership Team;
- Scrutinise the use of resources within the Academy to improve the impact for pupils and staff;
- Act as a key link between the Academy, parents and local community and champion the work of the Academy;
- Act as a panel for student disciplinary, attendance and exclusion matters
- Oversee the implementation of, and ensure compliance with, Delta policies locally and provide assurance of safeguarding processes; and
- Refer areas for further review to the Trust.

In order to perform these functions there is an expectation that each AAB member is responsible for monitoring a key element of Academy performance and attends the Academy on a regular, at least termly, basis. This is in addition to attendance at AAB meetings.

As a minimum, the Trust requires that designated AAB members are appointed to scrutinise the following areas of focus at Academy:

1. Standards
2. Behaviour and attendance
3. Safeguarding
4. Special Education Needs and Disability (SEND) /Looked After Children (LAC) /Pupil Premium (PP)
5. Health and safety, premises
6. Finance, compliance and Value for Money (VfM)
7. Community

Academies may nominate additional link members to suit the particular development or focus areas of their school.

In the following Annexes we have provided documents to support local Academy Advisory Bodies in carrying out their role and in providing evidence of their scrutiny activities.

Standard forms are included as well as a calendar of events and template agendas for each of the meetings of the Academy Advisory Body throughout the academic year.

Additional items can be added to the standard templates in order to reflect local circumstances, but all included items must be considered. Chairs have discretion as to how this information is presented at meetings. This could take the form of a Head of Academy/Principal's report, a presentation, or a workshop. The key is that information is provided to all Members, in a format that has been agreed. We would suggest that Chairs and Heads of Academy/Principals consider the efficacious use of time and resources in determining the format to be used. If any matters in the standard agendas do not apply to your Academy, please discuss this with the Delta Governance section.

Members will provide feedback on their scrutiny work in their focus area to each AAB meeting. The method used will be determined by individual AABs but could be a short written report, a verbal report or completion of a member academy visit form ([Annexe Q](#)). Agreed feedback should be provided following each visit to the Academy and at every meeting.

The focus should remain that all items are subject to scrutiny by the AAB and any action points, whether these are for the Academy leadership or the Trust are recorded, implemented and tracked. Following discussion at the AAB meeting, feedback to the Trust can be provided via DeltaELT@deltatrust.org.uk.

Support and Training

In order to support nominated AAB members in their areas of focus, a brief overview of each area is provided at [Annexe R](#). The information is for guidance only.

Delta will be offering training to AAB members to support them in their role and areas of responsibility. A programme will be developed based upon the seven main functions of scrutiny, in addition to induction of new members. The programme will include bespoke training events and the opportunity to share knowledge and experience with other members.

In order to allow the reproduction of this section as a discreet handbook for local AAB members, links to some items from the overall Trust framework, which apply to all those involved in Trust governance, have been included here.

Local governance annexes contents

Annexe M	AAB Terms of Reference
Annexe G	Trust Scheme of Delegation
Annexe E	Policies
Annexe I	Trust Declaration of Business interests form
Annexe H	Trust Code of conduct
Annexe Q	Note of AAB Member visit
Annexe R	Scrutiny area overview
Annexe S	Termly calendar
Annexe T	Academy Advisory Body – Agenda templates
Annexe U	Academy Advisory Body – Safeguarding checklist
Annexe V	Academy Finance and Resources Committee terms of reference
Annexe W	Member Panels
Annexe X	Skills audit
Annexe Y	Self-evaluation form
Annexe Z	Glossary of terms

Please note that expected standards of conduct apply throughout the Trust. AAB members will also need to be familiar with the Trust policies in terms of connected parties, and gifts and hospitality. Links are therefore provided to these documents.

Link [Annexe N](#) Connected party policy

Link [Annexe O](#) gifts and hospitality policy

To provide an overview of an Academy for a new member, the following items are suggested as briefing items:

- Academy development plan
- Pupil premium strategy
- OFSTED report / action plan
- Analyse School Performance summary report
- Academy staff list and staffing structure
- Academy budget for current financial year

ANNEXE Q – NOTE OF AAB MEMBER VISIT FORM

Academy visits – an Aide-Memoire

- What is the purpose of the visit?
- What has prompted my decision to visit?
- Who has prompted my decision to visit?
- Is the reason specific or general?
- What are my/other people's expectations?
- How can my visit benefit the Academy staff?
- How shall I carry it out?
- Which particular areas of the Academy am I interested in?
- Which particular activities am I interested in?
- Which particular age-group(s) am I interested in?
- Are there any questions that can be answered by observation?
- What questions should I ask?
- Who should I ask?
- Did I achieve my aim?
- To what extent did I address the reason for my visit?
- Which of my questions did I answer?
- To what extent did I fulfil my own/other people's expectations?
- What difficulties did I meet and why?
- Is there any follow-up?
- Have I recorded my experiences?
- Did I 'report back' to the Principal and staff?
- Have I prepared a short report for the next AAB meeting?
- How can I build on this for the next visit?

	Always	Never
Before	<ul style="list-style-type: none"> • Arrange details of visit. • Agree purpose of visit. 	<ul style="list-style-type: none"> • Turn up unannounced.
During	<ul style="list-style-type: none"> • Keep to the role agreed. • Keep any questions for teaching staff until after the visit is over. • Please remember confidentiality. • Stick to the times and purpose agreed. • Be sensitive to the mood in the classroom and the expectations of the children. 	<ul style="list-style-type: none"> • Assume a different role • Walk in with a clipboard, unless carrying out a site visit as part of the premises review • Distract the students from their task.
After	<ul style="list-style-type: none"> • Thank the teacher and the students. • Discuss the visit with the teacher at their convenience. • Feedback to the AAB. • Retain visit form on file. 	<ul style="list-style-type: none"> • Leave without acknowledgement. • Break rules of confidentiality.
Review	<ul style="list-style-type: none"> • Are our visits proving useful? • Have there been benefits from our visits? 	

AAB Member Visit Report

Name:	Date:
Focus of visit	Classes/staff visited
Summary of activities eg talking to staff and students, looking at resources, had lunch etc.	
What have I learned as a result of my visit?	Positive comments about the visit
Aspects I would like clarified/questions that I have:	
The impact of my visit on the Academy / my link Member role:	
Feedback for the AAB / Ideas for future monitoring activities:	
Signed _____ Signed _____ (AAB Member) Academy staff member	

Please note the above form is intended as a record of an AAB Member visit. All forms should be shared with relevant Academy staff, reported to the AAB and retained on file at the Academy.

ANNEXE R – AAB SCRUTINY OVERVIEW

1. AAB roles and responsibilities

The Academy Advisory Body's main functions are to:

- Scrutinise the work of the Academy and its leadership team in the following areas:
 - Standards
 - Behaviour and attendance
 - Safeguarding
 - SEND/LAC/disadvantaged
 - Health, safety and site
 - Finance compliance and Value for Money (VfM)
 - Community engagement.
- Act as a key link between the Academy, parents and local community and champion the work of the Trust and the Academy.
- Provide constructive challenge to the Principal and Leadership Team.
- Ensure that the Academy is proactive in collaboration across the Trust.
- Oversee the implementation of and ensure compliance with Trust policies.
- Report risks and issues within its terms of reference, or which come to its attention, to the Trust.

AAB Members have a very distinctive role in supporting the Academy and in scrutinising the work of the Academy/School and its leadership. AAB members should always remember that they are not acting as a teacher or inspector and that professional accountability is in place alongside their role. This professional accountability takes the form of the Academy/School line management arrangements via Key Stage Leaders, Heads of Department and Academy / School Senior Leadership Teams and also via the Trust network of Executive Principals, Learning Directors, Subject Directors and Directors of Education, reporting to the Chief Executive Officer.

AAB Members should:

- Work as a member of a team.
- Attend meetings (including AAB meetings, committees and working groups).
- Speak, act and vote in the best interests of the Trust and the Academy at all times.
- Respect all AAB decisions and support the Academy and the Trust in public.
- Act within the framework of the policies of the AAB and legal requirements.
- Commit to training and development opportunities.
- Understand the Academy its needs, strengths and weaknesses.

Role of the Chair:

- See that the business of the AAB is conducted properly, in accordance with the Trust Governance Handbook
- Run effective meetings, based on guidance within the Handbook, focusing on priorities.
- Ensure that all Members have an opportunity to participate in discussion and decision-making.
- Help Members work as a team by recognising and using people's strengths,
- Use their own and other people's time effectively, including planning the year's cycle of meetings, in conjunction with the Head of Academy/ Principal.
- Ensure that the agenda and all relevant paperwork is circulated, by the Clerk, to Members in advance of the meeting date.
- Ensure minutes are clear, factual and objective and filed as required by the Academy and on the Trust VLE.

Making decisions

- Every question to be decided at an AAB or a committee shall be determined by a majority of the votes of the members of the committee present and voting on the question.
- Where there is an equal division of votes the person who is acting as Chair for the purposes of the meeting shall have a second or casting vote, provided that such person is a member.
- Associate Members cannot vote at meetings.

Signing of minutes

- AAB minutes and committee minutes shall be drawn up by the Clerk or by the person acting as the Clerk for the purposes of the meeting; and shall be signed (subject to the approval of the body/committee) by the Chair at the next meeting.

Role of the Vice Chair:

The main role of a Vice Chair is to deputise in the absence of the Chair.

Acting as a Clerk to the committee

Any member of the committee (except the Principal) may act as a Clerk for committee meetings.

Standards

Background information

1. Analyse school performance – overview reports
2. DfE performance tables
3. Trust metrics
4. OFSTED reports and action plans
5. SEF
6. ADP

It is important to retain professional confidence, the AAB member is not to make a judgement on the quality of teaching. This means that all information relating to individual teachers and pupils/students must not be shared with, or come to the attention of, any Member.

Possible questions:

- What has been the impact of work done to address the Academy's strengths and weaknesses in teaching and learning?
- How does the Academy data compare to national?
- What are the barriers to progress and attainment, which need to be overcome?
- How does the progress and attainment of boys compare to that of girls?
- How is the Academy addressing the needs of vulnerable children/pupils/students with special educational needs (SEND)?
- How is the Academy addressing the needs of those eligible for additional funding?
- How does the Academy encourage parents to support their children's learning at home?
- How is cross-curricular literacy and maths addressed and monitored?
- How is the impact of CPD monitoring and assessed?
- Have there been any external reviews/inspections?

Post 16

- Which subjects contribute to post 16?
- What is the level of recruitment and retention at post 16?
- What is the results profile of subjects at post 16?
- How are Y11 informed about their choices post 16?

CEIAG

- How is Careers Education Information and Guidance (CEIAG) addressed in the Academy?
- What CEIAG initiatives are currently running?
- What areas have been identified for further development?
- Has the provider access policy been agreed and published on the academy website?

Behaviour and attendance

Background information

1. Trust behaviour policy
2. DfE guidance on exclusions
3. Analyse school performance – overview reports
4. DfE performance tables
5. Academy data
6. OFSTED reports and action plans

Key responsibilities

It is important to retain professional confidence in how behaviour and attendance are managed within the Academy. This means that all information relating to individual pupils/students must not be shared with, or come to the attention of, any Member.

Possible questions

- What has the Academy identified as their strengths and weaknesses in attendance, behaviour and exclusions data?
- What has been the impact of work done to address the Academy's strengths and weaknesses in behaviour and attendance?
- What is current attendance and how does this compare to the same period in the previous year/ national?
- What is the attendance of vulnerable groups? How is the Academy addressing the needs of vulnerable children/pupils /students with special educational needs (SEND)?
- What procedures are in place for addressing poor attendance?
- How are pupil absences reported and escalated as necessary?
- What procedures does the Academy follow if a pupil/ student does not attend?
- How many students fall into the persistent absence (PA less than 90%) category and how are these pupils/ students monitored and supported?
- What are the barriers to attendance, which need to be overcome?
- How does the Academy communicate behaviour and attendance expectations to pupils/ students and their parents?
- Are pupils/ students aware of their current attendance and the academy targets for attendance? How is this achieved?
- How does the behaviour and attendance of boys compare to that of girls?
- How does the Academy encourage parents to support their behaviour and attendance?
- How does the provision change for children returning from exclusion?
- What rewards systems are in place? How is success celebrated?
- What does the data analysis around exclusions tell us?
- What steps does the Academy take to avoid a child being permanently excluded?

Background information

1. DfE guidance - Keeping Children Safe in Education
2. Local children's Safeguarding Board guidance
3. Child protection/ safeguarding policy
4. Safer recruitment policy
5. OFSTED reports and action plans

Key responsibilities

- Have knowledge of the child protection and safeguarding policies.
- Have knowledge of the procedures the Academy/School has in place for recording, referring and progressing child protection and safeguarding issues.
- Ensure the Trust safeguarding checklist is completed on at least a termly basis and submitted to the AAB for scrutiny

It is vital to retain parental and professional confidence in how safeguarding matters are managed in the Academy. That means that all information relating to the identification of individual children and their needs must remain confidential to the staff of the Academy and must not be shared with, or come to the attention of any Member, including the safeguarding link.

Use [Annexe U](#) to establish and report on the Academy's arrangements.

Possible additional questions

- Follow up findings arising from completion of [Annexe U](#)
- What is being done to create a culture of safeguarding throughout the Academy?
- Has the Academy adopted an Academy specific policy on educational visits? When was this last reviewed?
- When did the Education Visits Co-ordinator (EVC) last complete Trust training?
- How many members of Academy staff lead visits?
- When did Visit Leaders last complete Trust training?
- What benefits have been identified from the review of the impact of learning outside the classroom for pupils/students?

SEND/LAC/Disadvantaged pupils

Background information

1. Academy data on pupil profile.
2. Academy local offer
3. Academy SEN report
4. Academy Pupil premium funding allocation
5. Academy Pupil premium strategy

It is vital to retain parental and professional confidence in how SEND/LAC/disadvantaged matters are managed in the Academy. That means that all information relating to the identification of individual children and their needs must remain confidential and must not be shared with, or come to the attention of any Member, including the link. This means that the link role is about strategic and general issues, and not operational and specific ones.

Possible questions

- What percentage of students is on the SEND register? Under different categories?
- How does the attainment and progress data of SEND pupils/ students compare with other pupils/students at the Academy and national?
- How does the Academy identify pupils/ students with SEND?
- What support is available to pupils/ students and to their parents /carers?
- How are pupils and parents involved in the annual review process?
- What arrangements are in place for SEND pupils/ students and their parents / carers to raise comments, queries or concerns with the Academy? What actions have been taken as a result in the last term?
- How many LAC s are there in the Academy? How does the attainment and progress data of LAC pupils/students compare with other pupils/students at the Academy and national?
- What support is available to LAC pupils/ students and to their parents /carers?
- What arrangements are in place for LAC pupils/ students and their parents / carers to raise comments, queries or concerns with the Academy? What actions have been taken as a result in the last term?
- What percentage of the pupils/students are identified as disadvantaged at the Academy?
- Does the overall percentage of eligible pupils vary between year groups?
- What impact has universal credit had on FSM take up? What has the Academy done to ensure pupils are receiving appropriate additional funding?
- How does the attainment and progress data of disadvantaged pupils/ students compare with other pupils/students at the Academy and national?
- What was the impact of the previous year's allocation of targeted funding?
- How has the pupil premium strategy been developed? How is the impact of the pupil premium strategy monitored by the Academy?

Health, safety and site

Background information

1. Trust Health and Safety Policies
2. Every activities report

All Academies are required to log their completion of key activities on the EVERY system. The key activities, which have required frequencies set depending on the nature of the activity, are listed below. **Please note it is the responsibility of Academy staff (Site Manager and staff or local Finance staff as appropriate) to complete these checks and record them on the Every system. The AAB member role is to scrutinise the completion and recording of these checks and report on progress to the AAB.**

1. Audible fire alarm test
2. Fire Drill
3. Fire Risk Assessment
4. Emergency lighting
5. Legionella Periodic testing and Legionella Risk Assessment
6. External Safeguarding Inspection
7. Portable fire equipment
8. Fire Alarm test/service
9. Fire safety training
10. Gas boiler service and Gas appliance checks
11. Heating system - boilers, pumps/controls, etc.
12. Fume cupboards
13. D&T/Science dust and fume extraction
14. Asbestos records
15. Sports / gym / play equipment
16. Fixed outdoor equipment
17. Kitchen equipment & ventilation
18. Intruder system
19. Potable Appliance Testing
20. Emergency lighting
21. Security Systems
22. Display Energy Certificate
23. Fixed electrical wiring (5 year)
24. Air Conditioning
25. Lightning conductor
26. Powered doors
27. Local exhaust ventilation
28. Kilns
29. D&T machinery/equipment
30. Other activities - (including lifts / powered stairs as applicable)

Possible questions

- Have all checks been completed within the scheduled time-frames?
- Have all completed checks been recorded?
- What progress is being made between termly reviews of activities?
- Who has responsibility for monitoring the Every system in the Academy?

Finance, Compliance and Value for Money (VfM)

Background information

1. ESFA funding statement
2. HCSS five-year academy budget
3. Management accounts and variance analysis
4. Academy projected capital spend/actual projects
5. Academy Financial Risk Rating (Red/ Amber/Green)
6. Minutes of Academy Finance and Resources sub-committee

Key responsibilities

All Academies are required to submit monitoring information covering budgets, staffing and certain elements of compliance on a monthly basis to Delta Finance. **Please note it is the responsibility of Academy staff to complete these returns and submit them to Delta. The AAB member role is to scrutinise the completion and submission of these returns and report on progress to the AAB.**

Possible questions

- What capacity is available in the Academy in terms of pupil places? Does the PAN reflect current Academy needs?
- Is there a variance in pupil numbers against predictions? What is the impact of any variance on the academy budget?
- Is the SEN/ nursery funding received from the LA in line with predictions? What is the impact of any variance on the provision in the Academy?
- Is the allocation against broad budget headings compatible with the development priorities set out in the Academy Development Plan?
- Is the level and planned use of any contingency funds or balances in line with the development priorities set out in the Academy Development Plan?
- What variances are highlighted by the monthly monitoring of Academy income and expenditure?
- Have financial schemes of delegation been followed? Have any instances of non-compliance been reported to Delta Finance on monthly returns?
- Has the Finance and Resources Committee received details of budget virements and adjustments?
- Have financial returns to Delta Finance been submitted on a timely basis?
- Have the gifts and hospitality returns and register of business interests returns been completed, updated and submitted to Delta Finance on a timely basis?
- Has the information relating to the interests of AAB members been added to the statutory page of the Academy website?
- Is the staffing percentage in line with expectations (68-73%)?
- What is the impact of Academy staffing absence on teaching and learning?
- Have Trust performance management processes been followed?
- Are the in-year surplus and level of reserves carried forward in line with Delta expectations?
- Have there been any internal or external audit visits to the Academy? What were the findings and what action has been taken?
- Have processes at the Academy been reviewed in light of recommendations from Trust internal and external audit visits? What actions have been taken as a result?

Background information

1. OFSTED Parent voice for the Academy
2. Academy parent voice information
3. Pupil voice feedback
4. Trust complaints policy
5. Website

Key responsibilities

The AAB plays an important role in the life of the Academy and has responsibility to act as a link between the Academy, parents and local community and to champion the work of the Trust and the Academy. The community engagement link member will lead this work and will also review the Academy's approach to gathering the views of pupil/ student representatives on life in the Academy.

Possible questions

- Does the Academy routinely use Parent View group logins to ensure they know what parents think? What actions have been taken as a result?
- Is there a Pupil/ Student Council or Pupil/Student Voice group at the Academy?
- How are pupil/student views collected? Over the past term, have any actions been taken as a result?
- How are the views of parents/ carers collected? Over the past term, have any actions been taken as a result?
- Does the Academy have any pupil/ student friendly policies? How have these been developed?
- How does the Academy communicate key issues or changes with pupils/students?
- How does the Academy communicate key issues or changes with parents and carers?
- Have any changes been introduced in to the Academy's processes and procedures as a result of feedback received?
- How many complaints are at informal, formal, stage one, stage two and stage three of the complaints process?
- What types of issues have been raised in formal complaints received by the Academy? Is there a pattern of complaints around particular issues?
- Have any changes been introduced into the Academy as a result of the consideration of complaints?
- What were the results of the website audit completed by Academy staff? Have all the action points been implemented?
- How does the Academy engage with the wider community? What has been the impact of this community engagement?

ANNEXE S – ACADEMY ADVISORY BODY – TERMLY CALENDAR

Autumn Term 1

Election of officers. Agree lead members by focus area.

Adopt Academy Child Protection and Safeguarding policy and Staff Code of Conduct

Sign Code of Conduct and declaration of interests.

Review admission arrangements Agree meeting dates for year. Update on policy adoption / review cycle. Receive reports from Sub-committees

Standards	Behaviour Attendance	Safeguarding	SEND/LAC/ Disadvantaged	Health, safety and site	Finance, compliance and VFM	Community engagement
Review last year's results and achievement against targets and predictions	Attendance data and impact of strategies	Update on SCR completion	Review impact of previous year allocation of targeted funding (PP/Sports/ Yr7)	Premises update – planned expenditure and impact on learning	Note final outturn of previous academic year	Update on comments, complaints, suggestions received
Note agreed targets and planned strategies to raise standards including for vulnerable groups.	Exclusions data and impact of strategies	Approve academy specific educational visits policy	Future strategy (PP/Sports/Yr7)	Health and safety report	Note budget for current academic year	Review of website content
SEF judgements		Summary of educational visits planned for term	Share SEN local offer		Note planned use of balances / contingencies	
Academy development plan		Safeguarding training update			Staffing update	Update on community engagement activity

Autumn Term 2

Declarations of interest

Reports from sub committees

Note new Delta policies issued since last meeting. Adopt new academy policies

Review of AAB members training needs, requests and plans based on annual audit

Standards	Behaviour Attendance	Safeguarding	SEND/LAC/ Disadvantaged	Health, safety and site	Finance, compliance and VFM	Community engagement
Review of validated data, current targets / predictions	Attendance data and impact of strategies	Report on new staff induction	Report on impact of strategies	ICT update – planned expenditure and impact on learning	Update on academy budget and impact on teaching and learning	Update on comments, complaints, suggestions received
Review of Analyse School Performance (ASP) report	Exclusions data and impact of strategies	Summary of educational visits planned for term		Health and safety report	Report on staff absence and impact on teaching and learning	Review of local events and academy contribution
ADP implementation update		Annexe U			Receive value for money statement.	
					Agree Academy equality and diversity objectives for the year	Feedback from pupil voice
					Update on performance management arrangements	
					Staffing update	

Spring term

Declarations of interest

Reports from sub committees

Note new Delta policies issued since last meeting. Adopt new academy policies

AAB training and actions. Complete skills audit

Standards	Behaviour Attendance	Safeguarding	SEND/LAC/ Disadvantaged	Health, safety and site	Finance, compliance and VFM	Community engagement
Review targets and predictions	Attendance data and impact of strategies	Update on SCR completion	Review impact of strategies	Premises update – expenditure and impact on learning	Staffing update Discuss proposed bids for capital funding	Update on comments, complaints, suggestions received
Academy development plan	Exclusions data and impact of strategies	Review summary of educational visits planned for term		Health and safety report		
SEF		Feedback on safeguarding audit (peer review)		ICT update – planned expenditure and impact on learning		
Update on curriculum provision, including SMSC		Annexe U				

Summer term

Declarations of interest
 Reports from sub committees
 Note new Delta policies issued since last meeting. Adopt new academy policies
 Complete AAB self-evaluation.
 Approve publication of Academy report on progress against equality objectives for year

Standards	Behaviour Attendance	Safeguarding	SEND/LAC/ Disadvantaged	Health, safety and site	Finance, compliance and VFM	Community engagement
Update on targets and predictions (actuals where available)	Attendance data and impact of strategies	Update on SCR completion	Review impact of strategies	Premises update – expenditure and impact on learning	Update on Finance and impact on teaching and learning	Update on comments, complaints, suggestions received
Impact of Academy development plan and initial priorities for next academic year	Exclusions data and impact of strategies	Review summary of educational visits planned for term		Health and safety report	Staffing report	Review website and Academy publications/ literature
SEF evaluated and judgements reviewed for next academic year		Report from DSL		ICT update – planned expenditure and impact on learning		Feedback on parent voice
Report on continuous professional development		Annexe U				
Review staffing/ timetable for next academic year						

6. **Agree sub-committee organisation for year** (NB Finance and Resources required)
7. **Adopt Academy Child Protection and Safeguarding policy and Staff Code of Conduct**
8. **Link member to feed back within relevant section of the Principal's report.**

Principal's report to include:

Standards

- Review last year's results and achievement against targets and predictions
- Note agreed targets and planned strategies to raise standards including those for vulnerable groups
- Self-Evaluation judgements
- Academy Development Plan

Behaviour and attendance

- Attendance data and impact of strategies
- Exclusions data and impact of strategies

Safeguarding

- Update on SCR completion
- Approve Academy specific educational visits policy
- Summary of educational visits planned for term
- Safeguarding training update

SEND/LAC/Disadvantaged pupils

- Review impact of previous year allocation of targeted funding (PP/ Sports/ Yr 7 catch up)
- Future strategy (PP/ Sports / Yr 7 catch up
- Share SEN local offer information (must be added to website statutory information page).

Health, safety and site

- Premises update – planned expenditure and impact on learning
- Health and Safety report

Finance, Compliance and VFM

- Note final outturn of previous academic year
- Note budget plan for current academic year
- Note planned use of balances / contingencies
- Staffing update

Community engagement

- Update on comments, complaints, suggestions received
- Review of website content
- Update on community engagement activity

12. Reports from Committee(s)

- Receive reports from sub-committee(s)

13. Any other business

- Review admissions arrangements, including PAN (Note some changes have associated information / consultation requirements)
- Update on policy adoption / review cycle

14. Meeting dates for academic year

Project:

Academy Advisory Body Meeting –
Autumn term 2

Chair:

XXXXXX

Academy:

XXXXXXX

Date, Time, Location:

XXXXX XXXX 201X

XXXXX

XXXXXX

Date and time of Next Meeting:

XXXX

Attendees:

XXXXX - Chair

XXXXX – Head of Academy/ Principal

XXXXXX– Vice Chair

XXXXX – Clerk

XXXXX

Apologies:

XXXXXX

1. **Welcome, Update and Apologies** **Chair**
2. **Declarations of Interests** **All**
3. **Minutes of previous meeting – agree and sign**
4. **Link member to feed back within relevant section of the Principal's report.**
Principal's report to include:
 - Standards**
 - Review of validated data, current targets /predictions
 - Review of Analyse School Performance (ASP) report
 - ADP implementation update
 - Behaviour and attendance**
 - Review of Attendance data and impact of strategies
 - Review of Exclusions data and impact of strategies

Safeguarding

- Report on new staff induction
- Summary of educational visits planned for half-term
- [Annexe U](#)

SEND/LAC/Disadvantaged pupils

- Report on impact of strategies

Health, safety and site

- ICT update – expenditure and impact on learning
- Health and Safety report

Finance, Compliance and Value for Money (VfM)

- Update on Academy budget and impact on teaching and learning
- Report on staff absence and impact on teaching and learning.
- Receive value for money statement
- Agree Academy equality and diversity objectives for year
- Update on performance management arrangements

Community engagement

- Update on comments, complaints, suggestions received
- Review of local events and academy contribution
- Feedback from pupil voice

5. Reports from Committees

6. Any other business

- Review AAB Members training needs, requests and plans based on annual audit
- Note new Delta policies issued since last meeting
- Adopt new Academy policies

7. Next Meeting

Project:

Academy Advisory Body Meeting –
Spring term

Chair:

XXXXXX

Academy:

XXXXXXX

Date, Time, Location:

XXXXX XXXX 201X

XXXXXX

Date and time of Next Meeting:

XXXX

Attendees:

XXXXX - Chair

XXXXX – Head of Academy/ Principal

XXXXXX– Vice Chair

XXXXX – Clerk

XXXXX

Apologies:

XXXXXX

- | | |
|---|--------------|
| 1. Welcome, Update and Apologies | Chair |
| 2. Declarations of Interests | All |
| 3. Minutes of previous meeting – agree and sign | All |
| 4. Link member to feed back within relevant section of the Principal's report. | |

Principal's report to include:
Standards

- Review targets and predictions
- Academy Development Plan
- SEF
- Update on curriculum provision, including SMSC

Behaviour and attendance

- Review of Attendance data and impact of strategies
- Review of Exclusions data and impact of strategies

Safeguarding

- Update on SCR completion

- Review summary of educational visits planned for term
- Feedback on safeguarding audit (peer review)
- [Annexe U](#)

SEND/LAC/Disadvantaged pupils

- Review impact of strategies

Health, safety and site

- Premises update – expenditure and impact on learning
- Health and Safety report
- Note ICT update – expenditure and impact on teaching and learning

Finance, Compliance and VFM

- Staffing update
- Discuss proposed bids for capital funding

Community engagement

- Update on comments, complaints, suggestions received
- **Reports from Committees**
- Receive reports from sub-committees

6. Any other business

- Chair to report on AAB Member training and actions
- Complete skills audit
- Note new Delta policies issued since last meeting
- Adopt new Academy policies

7. Next Meeting

Project:

Academy Advisory Body Meeting –
Summer term

Chair:

XXXXXX

Academy:

XXXXXXX

Date, Time, Location:

XXXXX XXXX 201X

XXXXX

XXXXXX

Date and time of Next Meeting:

XXXX

Attendees:

XXXXX - Chair

XXXXX – Head of Academy / Principal

XXXXXX– Vice Chair

XXXXX – Clerk

XXXXX

Apologies:

XXXXXX

1. Welcome, Update and Apologies

Chair

2. Declarations of Interests

All

3. Minutes of previous meeting – agree and sign

All

4. Link member to feed back within relevant section of the Principal's report.

Principal's report to include:

Standards

- Update on targets and predictions (actuals where available)
- Impact of ADP and initial priorities for next academic year
- SEF evaluated and judgements reviewed for next academic year
- Report on continuous professional development
- Review staffing/ timetable for next academic year

Behaviour and attendance

- Review of Attendance data and impact of strategies
- Review of Exclusions data and impact of strategies

Safeguarding

- Update on SCR completion
- Review summary of educational visits planned for term
- Update from DSL
- [Annexe U](#)

SEND/LAC/Disadvantaged pupils

- Review of impact of strategies and planned priorities for next academic year

Health, safety and site

- Premises update – expenditure and impact on learning
- Health and Safety report
- Note ICT update – impact of expenditure and future priorities

Finance, Compliance and Value for Money (VfM)

- Update on Finance and impact on teaching and learning
- Staffing report

Community engagement

- Update on comments, complaints, suggestions received
- Review website and Academy publications/ literature
- Feedback on parent voice

7. Reports from Committees

- Receive reports from sub-committees

8. Any other business

- Complete AAB self-evaluation.
- Approve publication of Academy report on progress against equality objectives for year
- Note new Delta policies issued since last meeting
- Adopt new Academy policies

9. Next Meeting

ANNEXE U – ACADEMY ADVISORY BODY - SAFEGUARDING CHECKLIST

Safeguarding Children in Education AAB Compliance Checklist

Name of Academy:

Delta is monitoring compliance through a **termly** audit of Academy safeguarding arrangements to be completed by the nominated AAB safeguarding lead. Please complete the following checklist, report it to your AAB meeting and then return to governance@deltatrust.org.uk within two weeks of it being presented to your AAB.

CHECKLIST		Autumn	Spring	Summer
1	A member of the AAB has been nominated to take responsibility for ensuring the Academy discharges its duties in relation to safeguarding appropriately			
2	What training has the nominator AAB member undertaken to fulfil this role?			
3	The Academy has in place a child protection policy and safeguarding policy that has been agreed by the AAB Does the policy reflect local authority priorities and Local Children's safeguarding Board priorities?			
4	Is the policy available to parents on request and published on the statutory information page of the Academy website?			
5	The child protection policy, the safeguarding policy and the Academy's procedures are reviewed and updated annually			
6	There is a Designated Safeguarding Lead (DSL) to take lead responsibility for dealing with child protection issues, providing advice and support to other staff, liaising with the LA and working with other agencies. (The DSL must be a member of the leadership team or extended leadership team)			
7	A Deputy Designated Safeguarding Lead (DDSL) should be available to act in the DSL's absence, if the Deputy is not a member of the Academy's leadership team, the leadership team has in place a process for maintaining explicit oversight of the Academy's safeguarding arrangements, including relevant training and supervision			
8	The DSL and DDSL have undertaken relevant and appropriate training			

CHECKLIST		Autumn	Spring	Summer
9	<p>All Academy staff (teaching and non-teaching) have undertaken an annual update in child protection and safeguarding. Please record date of training</p> <p>Does the Academy have a complete up-to-date record of all staff safeguarding training, which includes new staff and those who join during the academic year?</p> <p>Does the Academy have a signed record that all staff have read the most up to date KCSIE part 1?</p> <p>Does the Academy have a signed record that the AAB safeguarding nominated member has read the most up to date KCSIE parts 1 and 2?</p>			
10	<p>Are temporary staff and volunteers who work with children made aware of the Academy's arrangements for child protection and their responsibilities for safeguarding?</p> <p>Have they all received child protection awareness training and been informed of the safeguarding arrangements in the Academy as part of their induction?</p>			
11	Are procedures in place for dealing with allegations against members of staff and volunteers that comply with both DfE Guidance and locally agreed LSCB Inter-agency procedures?			
12	Has a member of the AAB (usually the Executive Principal or the Chair) been nominated to be responsible for liaising with the LA and partner agencies in the event of an allegation being made against the Principal /Head of Academy?			
13	<p>Have any referrals been made to the LADO since the last monitoring visit?</p> <p>What was the outcome of these referrals?</p>			
14	Does the Academy operate within safer recruitment procedures, ensuring that all appropriate checks, including those defined by the Disclosure and Barring Service and the Delta Safer Recruitment Policy, are completed prior to appointment?			

CHECKLIST		Autumn	Spring	Summer
	<i>This must be evidenced through the maintenance of a Single Central Record (SCR) which confirms all such checks have been completed</i>			
15	<p>Safer Recruitment Training has been completed by Executive Principal/Principal/ Head of Academy on-line/attended course (please indicate)</p> <p>Nominated AAB Member on-line/attended course (please indicate)</p> <p>Other staff / AAB members on-line/attended course (please indicate)</p> <p>Do all interview panels include at least one member with current safer recruitment training?</p> <p><i>All interview panels have completed Delta interview template and scoring matrix (Appendix 2 to Delta safer recruitment policy)</i></p>			
16	<p>Is the SCR maintained on the Delta template?</p> <p>Has the SCR been checked at least termly by the nominated AAB member?</p> <p>Please record date of check</p>			
17	<p>Does the Academy have a named Anti-bullying co-ordinator?</p> <p>Has the Academy developed and implemented an Anti-bullying policy.</p> <p>Is the policy available to parents on request and published on the statutory information page of the Academy website?</p> <p>Does the Academy records incidents on CPOMS, monitors bullying and provide a termly update to the AAB?</p>			
18	<p>Has the AAB received an update at least termly covering safeguarding issues including:</p> <ul style="list-style-type: none"> • SCR changes/ checks • All staff (teaching and non-teaching) training details • Educational visits 			

CHECKLIST		Autumn	Spring	Summer
	<ul style="list-style-type: none"> • Health and safety • Bullying incidents • Behaviour incidents • Any incidents recorded in the bound and numbered book 			
20	Does the Academy have a named teacher with responsibility to promote the educational achievement of children who are looked after?			
21	Does the Academy include Child Sexual Exploitation (CSE), Peer on Peer abuse, LGBT and Prevent agenda at the appropriate level within the PHSE curriculum?			
22	<p>Has the Academy adopted the following policies? Child Protection</p> <ul style="list-style-type: none"> • Safeguarding • Delta E-safety • Delta Health & Safety • Delta Whistleblowing • Delta Complaints • Staff Code of Conduct • Physical intervention • Delta Intimate care • Delta supporting students with medical conditions <p>Has the Academy communicated all policies to all staff, including all new starters who may begin within the academic year?</p> <p>Does the Academy have evidence of staff acceptance?</p>			
23	Has the Principal / Head of Academy attended PREVENT training and has disseminated this training to Academy staff?			
25	<p>Does the Academy (secondary) have in place:</p> <ul style="list-style-type: none"> • A designated member of staff who has overall responsibility for Work Related Learning (WRL) activities and procedures and undertakes appropriate training • WRL procedures are updated annually 			

CHECKLIST		Autumn	Spring	Summer
	<ul style="list-style-type: none"> All Academy staff, including volunteers who work with WRL learners, are made aware of their responsibilities through training and maintain up to date practices Arrangements to report to the AAB on WRL within the Academy including curriculum, careers guidance and employability? 			
Please provide the name and job title of the Designated Safeguarding Leads within your Academy				
Designated Safeguarding Lead				
Deputy Designated Safeguarding Lead				

Name of Nominated Safeguarding AAB Member (please print)..... Signed.....

Chair of AAB Name (please print).....SignedDate.....

Please submit to governance@deltatrust.org.uk and retain a copy for Academy records

ANNEXE V – TERMS OF REFERENCE ACADEMY FINANCE AND RESOURCES COMMITTEE

1. To consider the Academy's indicative funding, notified annually by the Delta, and to assess its implications for the Academy, in consultation with the Principal, in advance of the financial year, drawing any matters of significance or concern to the attention of AAB.
2. To receive and make recommendations to the AAB on the broad budget headings and areas of expenditure to be adopted each year, including the level and use of any contingency fund or balances, ensuring the compatibility of all such proposals with the development priorities set out in the development plan.
3. To monitor and review expenditure on a regular basis and ensure compliance with the overall financial plan for the Academy.
4. To monitor and review and ensure compliance with the financial regulations of Delta and the ESFA, drawing any matters of concern to the attention of the AAB.
5. To monitor and review procedures for ensuring the effective implementation and operation of financial procedures, on a regular basis, including the implementation of bank account arrangements and, where appropriate to make recommendations for improvement.
6. The Chair of the Finance and Resources Committee should also note the Financial Regulations Manual.
7. To receive staffing reports prepared by the Principal, on at least a termly basis, and consider the impact on Teaching and Learning and on the delivery of Academy Development Plan priorities.
8. To receive reports prepared by the Principal in respect of the leadership pay spine and the contributions made by the Academy Leadership Team towards the delivery of the Academy Development Plan priorities.
9. To receive reports prepared by the Principal in respect of increments and consider the impact on Teaching and Learning at the Academy.
10. To monitor the implementation of all relevant Internal and External Audit recommendations.

ANNEXE W – MEMBER PANELS

Student Welfare and Inclusion Panel

Academies must promote inclusion. Academies should only use exclusion as a last resort but should also ensure that exclusion is used where necessary, recognising the need to prevent the behaviour of the minority damaging the education of the majority. However, on the rare occasion that a permanent exclusion is the only option, the Head of Academy/Principal must consult their ELT Education Lead. This must happen before convening a Student Welfare and Inclusion Panel. Where the student is a Looked After Child (LAC), all efforts must be made to work with the Local Authority and Virtual Head to avoid or mitigate a permanent exclusion. If there are any circumstances where a LAC is being considered as a permanent exclusion, the ELT Education Lead and or Head of Academy/Principal must contact the CEO.

Membership: Up to three members not employed at the Academy and either the Chair or Vice Chair of the full AAB.

Terms of Reference:

- To review routinely all fixed term exclusions.
- To review, if asked to do so by the parents/carers of the child in question, all fixed-term exclusions.
- Where a student's behaviour is leading towards the possibility of serious incident and/or permanent exclusion, to form a welfare panel to discuss with the student, where appropriate, their parents/carers and relevant staff methods to try to resolve the situation.
- To consider in the light of experience any changes necessary to the student behaviour policy with the Principal and report to the full AAB.

Admissions Panel

All proposed changes to admission policies must be discussed with the appropriate ELT Education Lead and approved by Delta Board of Directors.

Membership: A panel of three Members should be formed, advised by the Principal, appropriate SLT members and the Delta Admissions Officer when required.

Terms of Reference:

- By September of each year, to review the Admissions Policy for the September of two years following against the existing policy and any changes in other local policies, to ensure it complies with current national guidelines and to advise the AAB whether to change or retain the existing policy. Current DfE guidance can be found at <https://www.gov.uk/guidance/academy-admissions>.
- If a change is agreed by the AAB and endorsed by the Delta BoD, oversee the arrangements for consultation and final approval by the AAB.
- Oversee the procedure for the granting of places and agree the priority listings in accordance with the agreed policy before places are offered.
- Ensure that proper arrangements, including an Academy statement of case, are in place for independent review of any appeals made against the refusal to grant a place at the Academy.

Note:

AABs should be aware of the coordinated admissions procedures for their locality and comply with any local requirements.

AABs should make arrangements for Admissions Appeals to be handled independently in accordance with the statutory guidance.

In most Local Authorities, there is the opportunity for Appeals Panels to be convened and serviced by a discrete part of the Local Authority as part of the Co-ordinated Admissions Procedures and AABs may need to enter in to a Service Level Agreement with the LA or a third party for the delivery of these services.

PUPIL EXCLUSION COMMITTEE

Membership: Up to three members not employed at the Academy and not previously involved in actions of the Student Welfare and Inclusion Panel. Members must have completed training on Exclusions.

Terms of Reference:

- To consider the reinstatement of any excluded pupil in accordance with statutory guidelines and requirements. Current DfE statutory guidance can be found at <https://www.gov.uk/government/publications/school-exclusion>.

All documents, including the Head of Academy/ Principal's report and any other written statements should be provided to Exclusion Committee members and the pupil's parent/ representative at least five school days' prior to the meeting.

A Chair for the meeting must be agreed.

Agenda

1. Welcome and Introductions
2. Presentation of the case by the Head of Academy/Principal or representative (staff member)
3. Questions by the parent(s) and members of the AAB on matters of factual accuracy
4. Statement by the parent(s)
5. Questions by the AAB and Head of Academy / Principal (or member of staff) on matters of factual accuracy
6. Opportunity for Head of Academy/ Principal (or member of staff) to make a final statement.
7. Opportunity for the parent(s) and/or representative to make a final statement.
8. Withdrawal by the Head of Academy/ Principal (and any representative), the parents (and any representative) and pupil (if present).

Everyone, apart from the AAB Members and Clerk, must leave the room.

9. Consideration of the matter by the AAB members

Exclusion Committee members have two options available to them:

- to decline to reinstate the pupil or
- to direct reinstatement of the pupil.

AAB members must be satisfied that the exclusion is lawful, reasonable and procedurally fair. All AAB members who take part in an exclusion meeting take into account the DfE statutory guidance, <https://www.gov.uk/government/publications/school-exclusion>.

If the pupil is not reinstated the Chair of the meeting should be prepared to explain factors that were taken into account in reaching the decision. The reasons should also be clearly recorded in the minutes.

After the meeting, the Clerk will notify the parent(s) and the Local Authority of the decision (including reasons) within one school day of the meeting.

A note of the Committee's decision will be added to the pupil's record.

ANNEXE X – AAB SKILLS AUDIT

KNOWLEDGE	Teaching and Learning	Pupil achievement	Ofsted	All AAB members to have/ work towards knowledge of all areas included in green boxes. Options for addressing gaps include using local Academy expertise, mentoring of new members, Trust regional expertise, AAB peer support or via Trust centrally provided training. AAB responsibility to identify needs and request support to address as appropriate.
	Academy development planning	Governance	Teacher standards and performance management	
	Early Years Foundation stage	Primary curriculum	Secondary curriculum	Each AAB member to have or be actively seeking via training/ peer support knowledge of curriculum area(s) appropriate to the Academy.
		Post 16		
				Each AAB member to have or be prepared to seek experience or knowledge of at least one education and one non education area (as appropriate to the Academy) to allow committees/ panels to be formed as required.
	SEN, inclusion and pupil premium	Child protection and safeguarding	Admissions	
	Equality, diversity, community cohesion	Human Resources/ Recruitment	Finance	

SKILLS				Aim for balance of these skills across full AAB membership. Experience of applying these skills in non AAB context forms part of new AAB Member nomination process.
	Data analysis and interpretation	Strategic Planning	Action planning	
	Stakeholder engagement	Chairing	Mentoring	
	Succession planning	Self-evaluation	Quality assurance	

ANNEXE Y – SELF-EVALUATION FORM

Key Questions	Yes/ No	Evidence	Actions
Skills – Do we have the right skills on our Academy Advisory Body?			
1. Have we completed a skills audit of our Academy Advisory Body?			
2. Do we appoint on the basis of skills and do we know how to find people with the necessary skills?			
Effectiveness – Are we as effective as we could be?			
3. Do we understand our roles and responsibilities?			
4. Do we have a professional clerk and run meetings efficiently?			
5. Does every AAB member receive the training and support they need to carry out their role effectively?			
6. Do we know about good practice from across Delta/ across the country?			
7. Is the size and composition of our Body conducive to effective working?			
8. Does every member of the Body make a regular contribution and do we carry out an annual review of our performance?			
Strategy: Does the Academy have a clear vision?			
9. Have we contributed to the development of the long- term aims for the Academy?			
10. Does the Academy Development Plan have clear, ambitious priorities?			
11. Is it regularly monitored and reviewed – what did we influence?			

Key Questions	Yes/ No	Evidence	Actions
Accountability of the Executive: Do we hold Academy leaders to account?			
12. Do we understand the Academy's performance data well enough to hold leaders to account?			
13. Do we monitor financial management systems and ensure best value for money?			
Engagement: are we properly engaged with our Academy community, the wider Delta group and the outside world?			
14. How do we listen to and understand our students, parents and staff?			
15. How do we report to our parents and local community regularly?			
16. What benefit do we draw from collaboration with other Academies, schools and sectors, locally, within Delta and nationally?			
Role of Chair: Does our Chair show strong and effective leadership?			
17. Do we carry out a regular 360 review of the Chair's performance?			
18. Do we engage in good succession planning?			
19. Is the Chair re-elected each year?			
Impact: Are we having an impact on outcomes for students?			
20. How much has the Academy improved over the last year and what has our contribution been to this?			

ANNEXE Z - GLOSSARY

Glossary of Terms

Terms are listed alphabetically. Please let us know by emailing governance@deltatrust.org.uk if we have missed a term you think should be included in the next version of the Handbook.

Academies Funding Handbook (AFH) – Guidance issued by the Education Funding Agency covering finance and governance. The CEO must ensure that Delta complies with the AFH. It offers advice on the financial systems and controls that academies must and should have in place to meet the expected standards of accountability.

Academy Development Plan (ADP) - The ADP is a strategic plan for improvement. It should bring together, in a clear and simple way, the Academy's priorities, the main measures it will take to raise standards, the resources dedicated to these, and the key outcomes and targets it intends to achieve. The ADP is developed with the SLT and Academy Advisory Body.

Advanced Skills Teacher (AST) - Teachers who have been judged against external assessment to demonstrate excellent classroom teaching practice. ASTs are used to support teaching within their own school and other schools in the area.

Board of Directors (BoD) - Sets Delta group strategy.

Chief Executive Officer (CEO) - Responsible to Parliament as Accounting Officer for the Delta.

[Clerking competency framework.pdf](#) (DfE) – summarises the knowledge, skills and behaviours required for effective clerking.

[Competency framework for governance](#) (DfE) - summarises the knowledge, skills and behaviours needed for effective governance.

Continued Professional Development (CPD) - The maintenance of skills throughout a working life. CPD may be structured, formal or self-taught.

Core Improvement Team (CIT) - Provides Support and Improvement for all Academies within the Trust.

Criminal Records Bureau (CRB) - Is now known as Disclosure and Barring Service (DBS), used to reduce the risk of employing convicted criminals as a safeguard for vulnerable children.

Curriculum Bonus – If all classes were taught in class sizes of 27 the bonus would be zero. If you put in extra classes to reduce class sizes this is known as curriculum bonus.

Curriculum Led Financial Plan (CLFP) – the tool used to model curriculum and finance. It gives a synaptic view and is especially useful in secondary academies where the aim is a 0.79 contact ration and curriculum bonus of less than 8%.

Data Protection - The Data Protection Act controls how organisations, businesses or the government uses your personal information. Everyone who is responsible for using data has to follow strict rules called 'data protection principles'.

Delta Academies Trust (Delta) - Group of Academies mainly in Yorkshire and Humberside. Charity operates as a Multi Academy Sponsor and acts as a single employer across all its sponsored academies.

Department for Education (DfE) - Central government department with responsibility for education.

Director of Finance (DoF) - Responsible for the financial management of the Multi Academy Trust.

Disclosure and Barring Service (DBS) - Formed by the merger of CRB and Independent Safeguarding Authority, DBS is responsible for barring individuals and completing criminal record checks.

Academy Advisory Body (AAB) – Sub-committee of the Delta BoD in each Academy, responsible to the Board of Directors and CEO for oversight, quality assurance and monitoring within the Academy.

Education and Skills Funding Agency (ESFA) - The DfE's delivery agency for funding and compliance, providing revenue and capital funding for education for learners between the ages of 3 and 19. The ESFA also supports the delivery of building and maintenance programmes for schools, Academies, Free Schools and sixth-form colleges.

FOI - Freedom of Information Act 2000 is an Act of Parliament that creates a public "right of access" to information held by public authorities. All FOI requests are dealt with by Delta on behalf of its Academies.

Funding Agreement (FA) - The Funding Agreement is the contract between the Secretary of State for Education and the Academy and sets out the terms on which the Academy is funded.

Human Resources (HR) - The Department which deals with employment contracts and issues.

ICT - Information and Communications Technology.

Independent Safeguarding Authority - Disbanded 1st December 2012. See DBS.

KS4 - The majority of students are aged 15 to 16. GCSE's are normally taken in this Key Stage.

Local Authority (LA) - Administration Offices for a particular geographic area. Overseen by elected councillors.

PSHE - PSHE education can be described as 'learning to live life well'. PSHE deals with real life social and economic issues affecting children & young people, their families and communities. PSHE develops the knowledge, understanding and skills young people need to manage their lives, now and in the future.

Official Journal European Community (OJEC) - Daily publication, official source of European legislation, public sector contracts and procurement. All public tenders over a certain threshold must be advertised in the OJEC.

OFSTED (OFSTED) - Office for Standards in Education, Children's Services and Skills arranges and sets standards for school inspections.

Private Finance Initiative (PFI) - Public private partnerships. Used to fund public infrastructure projects Schools, hospitals by using private finance. Private companies build the structures and lease back for an annual fee for the length of the contract.

Schools Teacher Pay Conditions Document - Contains the statutory requirements for teachers' pay and conditions that maintained schools and local authorities in England and Wales must abide by. Commonly known as the "Blue Book".

Secretary of State (SoS) - Member of Cabinet with overall responsibility for education policy.

Senior Leadership Team (SLT) - Team comprising the Principal, Vice Principal, Assistant Principals, Finance Manager and other senior members of staff which is responsible for the day-to-day running and direction of the Academy. Responsible through the Principal to the Academy Advisory Body.

Special Educational Needs (SEN) - Some children have needs or disabilities that affect their ability to learn, e.g.:

- behavioural/social (difficulty making friends)
- reading and writing (dyslexia)
- understanding things
- concentrating (Attention Deficit Hyperactivity Disorder)
- physical needs

Specialist Leader in Education (SLE) - Outstanding middle and senior leaders who are used to support individuals or SLTs in other schools. They promote excellent leadership across an area.

Virtual Learning Environment (VLE) – Internal intranet containing policies, procedures and essential documentation.

SECTION 5 – RESOURCES FOR CLERKS

Resources for Clerks

Clerks to Academy Advisory Bodies perform a vital role in delivering governance in practice in individual academies. Working alongside the Chair and the Academy leadership, Clerks are pivotal in supporting the AAB in its role of providing a balance of challenge and support to leaders. Clerks are also fundamental to the provision of information to the AAB members to allow them to understand the strengths and areas needing improvement at the Academy. An organised and efficient Clerk is vital for every AAB to be effective.

The Clerk provides important advice on procedural matters as well as being responsible for taking accurate and concise minutes at meetings. These minutes are one of the ways in which the AAB can demonstrate how it is providing constructive challenge to Academy leadership while holding them to account for the provision of education and the management of resources within the Academy.

The Clerk must also keep records of AAB membership and advise on vacancies when they occur, and must ensure declarations of business interests are made and recorded at each meeting of the AAB. To support this important role we have provided a number of documents we hope will be useful to Clerks. These are to be used alongside the guidance and templates provided in the wider Governance Handbook. We hope you find these resources useful – if you have any queries, or suggestions for additional templates, please contact governance@deltatrust.org.uk.

In order to allow the reproduction of this section as a discreet handbook for local Clerks, links to items from the overall Trust framework, which apply to this role, have been included here.

Clerk Resources

1. Procedural guidance for Clerks
2. AAB member nomination form
3. AAB member eligibility form
4. Website summary of Academy governance template
5. Minutes template
6. Minutes guidance
7. [Link to ANNEXE P – Register of business interests template](#)
8. [Link to Annexe S - Academy Advisory Body - termly calendar](#)
9. [Link to Annexe T - Academy Advisory Body - Agenda templates](#)
10. [Link to Annexe G - Scheme of delegation](#)
11. [Link to Annexe H – Code of conduct](#)
12. [Link to Annexe I – Declaration of pecuniary and personal interests](#)

ITEM 1 – PROCEDURAL GUIDANCE FOR CLERKS

1. Roles of the AAB and the Principal

The role of the AAB is laid down in the Delta Governance Handbook. The AAB is responsible for the following core functions:

- Acting as a key link between the Academy, parents and local community and championing the work of the Academy.
- Providing constructive challenge and strategic direction to the Head of Academy / Principal and Leadership Team as they plan the future development of the Academy, ensuring that they focus on Academy Improvement.
- Offering the views of different parts of the Academy and local communities to influence decision-making.
- Continually reviewing the overall impact of the Academy amongst the people it exists to serve and making plans for improvement.
- Ensuring that the Academy plays a full role in cooperating and working together with other academies in the group and contributing to the work of the Trust

In practice, this role is centred on the approval and monitoring of the following in line with Delta ethos and expectations:

- Academy Development Plan;
- its Self-Evaluation processes; and
- any post-Ofsted action plans.

In exercising their functions, members of the AAB must:

- Act with integrity, objectivity and honesty in the best interests of the Academy; and
- Be prepared to explain decisions and actions to interested parties.

The AAB must appoint a Clerk to ensure the efficient functioning of the AAB and must have regard to advice from the Clerk as to the proceedings of the AAB.

The Principal's responsibilities include:

- the internal organisation, management and control of the Academy; and
- the educational performance of the Academy.

2. AAB Member Appointments

The AAB should comprise at least five and up to nine members and include at least one parent member. The Chair and Head of Academy / Principal, supported by the Clerk is responsible for ensuring an effective AAB is in place and effectively discharging the roles and responsibilities of the body.

Trust members – The Delta Board of Directors may recommend the appointment of some Delta members; others may be recommended locally, but are subject to approval by the Board of Directors of the Trust. All members must be appropriately DBS checked and must complete a skills audit prior to taking up an AAB position.

Parent Members - AABs will seek written nominations (either self or by others) of parents to act as AAB members. The AAB will review applications against the role and values set out in this handbook, holding informal interviews if necessary. Supported nominations are then referred to Delta Governance for approval.

Associate Members - AABs may appoint Associate Members to both the full AAB and any committees that it sets up for periods of office that they see fit. These members will not have voting rights.

Where election and nomination arrangements apply, the responsibility for organising these procedures rests with the Principal in consultation with the Clerk, Chair and Vice Chair as required.

AAB Members will normally be appointed for a term of no less than two years and no more than four years. Subject to remaining eligible, a Member may be re-appointed.

Members should attend all Academy Advisory Body meetings wherever possible. If they cannot attend they should submit their apologies for acceptance by the AAB. Where a member does not attend for three consecutive meetings, excluding any meetings where their apologies have been accepted by the AAB, this will result in them being asked to step down. If exceptional circumstances apply, the Chair and Vice Chair will review these with the Member concerned and advise the AAB accordingly.

A Member may resign by giving written notice to the Clerk of the AAB and to governance@deltatrust.org.uk

A Member may be removed by those responsible for his or her appointment.

AABs may, by resolution, suspend a Member for up to six months if one or more of the following matters arises:

- For any employee of the Academy, if they are the subject of work-related disciplinary proceedings;
- If they have acted in an way inconsistent with the ethos of the Academy or have brought the Academy into disrepute;
- If they have breached the duty of confidentiality to the Academy or to any member of staff or pupil of the Academy.

A resolution to suspend a Member must be specified as an item of business on the agenda for a meeting and must be separately raised with the Delta governance service via governance@deltatrust.org.uk.

3. **Chair and Vice Chair**

The Chair and Vice Chair will be elected by the whole AAB from Delta nominated AAB Members and will serve for one year.

No Chair or Vice Chair may serve for more than two consecutive years without the approval of the Delta BoD.

Members of the Delta Board of Directors may not serve as Chairs or Vice Chairs of AABs.

Employees of the Academy may not be Chairs or Vice Chairs. The Chair or Vice-Chair may resign by giving written notice to the Clerk of the AAB and to governance@deltatrust.org.uk

A resolution to remove the Chair or Vice-Chair from office must be specified as an item of business on the agenda for a meeting and must be separately raised with the Delta governance service via governance@deltatrust.org.uk at least two weeks prior to the meeting at which the resolution is to be discussed.

4. **Appointment and removal of Clerk**

The Clerk must attend meetings of the AAB and ensure that minutes of proceedings are produced in accordance with Delta timescales.

The Clerk is also responsible for maintaining a register of the Members of the AAB and of any Associate Members and for reporting any vacancies to the AAB and to governance@deltatrust.org.uk.

The Clerk is not a Member of the AAB. The Principal may not act as Clerk.

If the Clerk does not attend an AAB meeting, one of the AAB members, but not the Principal, may act as Clerk for the meeting.

5. **Meetings**

AABs must meet at least once per term with an additional business meeting at the start of the academic year.

The Principal must publish a calendar of meetings for each academic year in consultation with the Chair and Chairs of any sub-committees.

The Clerk is responsible for convening AAB meetings.

The agenda for each meeting should be agreed with the Chair and Head of Academy/ Principal/HoA. Suggested agendas and a termly calendar are provided. AAB Members should have a standing invitation to submit any items they have for the agenda to the Chair three weeks prior to the meeting.

Agendas, minutes of previous meetings and any supporting papers must be sent to members and uploaded to the Academy folder on the VLE at least two weeks prior to the meeting.

Head of Academy / Principals Report

The Head of Academy / Principal is responsible for providing information to enable the AAB to undertake its role in supporting and challenging the academy senior leadership team. This includes highlighting areas for discussion and data analysis and interpretation.

The report should follow the agenda and can be a mix of a written report, PowerPoint presentation, other document or verbal input.

Quorum

The quorum for an AAB meeting and for any vote is one half, excluding any vacancies, (rounded up to a whole number) of the membership of the AAB, provided Delta appointed members present a majority. For these purposes, Academy employees do not count as Delta appointed members. If Delta Members do not represent a majority at any meeting, this should be recorded in the minutes and reported to governance@deltatrust.org.uk. The meeting may proceed to receive termly monitoring reports and routine business but no votes or binding decisions may be taken if the meeting is not quorate.

Any question to be decided by a vote is to be determined by a majority of the votes of the members present and eligible to vote on the question.

Where there is an equal division of votes, the person acting as Chair for the meeting will have a second or casting vote.

6. Special Meetings

Additional meetings may be convened by at least three Members giving notice in writing to the Clerk and governance@deltatrust.org.uk.

Written notice of any special meeting must be provided to each Member. Agendas and supporting papers provided to all those entitled to attend the meeting at least two weeks prior to the meeting and uploaded to the relevant section of the VLE.

7. Minutes and papers

The Clerk must ensure that the minutes of the meeting of the AAB are prepared and signed, subject to the approval by the Chair, at the next meeting.

Draft AAB minutes must be uploaded the Academy folder on the VLE as soon as possible after the meeting and in any event no less than two weeks after the date of the meeting.

AABs and Clerks should note that any interested party is permitted to request a copy of:

- The agenda for every meeting;

- Signed minutes of every meeting; and
- Any report considered at the meeting.

In preparing reports and minutes, AABs and Clerks should consider whether it is necessary to include information identifying named students or staff members. Where this is necessary, it must be excluded from the information made available to any interested person.

Any requests received from interested parties should be forwarded immediately to governance@deltatrust.org.uk before any response is sent. Delta CIT will discuss the request with the Principal and Clerk before agreeing a response.

8. Conflicts of Interests

A register of the business interests of each AAB Member and member of staff with significant financial responsibilities must be maintained by the Clerk. This will be reviewed/ be available for inspection at each meeting of the AAB. All business interests must be updated at the first AAB meeting of each academic year and whenever there are any changes to interests.

The register will include all business interests, including Directorships, shareholdings or other appointments of influence within a business or organisation, which may work with the Academy. These disclosures should also include business interests of close relatives, such as spouse, sibling or parent or business partner where influence could be exerted on an AAB Member or member of staff by that person.

Any interest must also be raised in meetings where a potential conflict of interest could occur. Where an interest has been declared, the Member concerned must not attend the associated part of the meeting and may not vote on any related decision.

AAB Members and members of staff must not accept any offer of service or gift or hospitality, which may influence them in any way and must abide by legislation and Delta guidance on this issue. This is contained in the Governance Handbook.

More detailed information around conflicts of interest and gifts and hospitality can be found within the Delta policies and in the Academies Financial Handbook, which is available at <https://www.gov.uk/government/publications/academies-financial-handbook>

The Clerk is responsible for providing the relevant declarations (at [Annexe H - Code of Conduct](#) and [Annexe I – Declaration of pecuniary and business interests](#)) to all members, including new members. AAB members retain a personal responsibility for ensuring their declarations are completed and kept up to date.

9. Committees

AABs must appoint a Finance and Resources Committee. Outline Terms of Reference are provided at [Annexe V – Terms of reference Academy Finance and Resources Committee](#)

In all other areas, individual AABs have discretion on the split of workload and responsibility between the main Body and committees/panels as they see fit locally, as long as those arrangements are documented and submitted to the ELT Education Lead for approval.

Any sub-committees must appoint a Chair annually.

Any sub-committees must appoint a Clerk and arrange their own meetings. The Principal cannot act as Clerk to a sub-committee. Sub-committees must agree and publish minutes and report these to the full AAB.

10. Code of Conduct for the AAB

At its first meeting each academic year, the AAB must adopt the Delta Code of Conduct document. Signed copies of the annual declaration completed by each member must be uploaded to the Academy folder on the VLE within two weeks of this meeting.

11. Student Views

Delta is committed to the principle of “Student Voice” in relation to student representation. Where practical, the input of students into the decision making process should be sought by AABs. Each AAB and Principal will determine the formal and informal mechanisms suitable for each local context. Where appropriate, students will be invited to make regular presentations to the AAB as part of their student council/house process.

12. Induction and AAB Member Development

The Clerk, working with the Chair and Head of Academy / Principal, will arrange a programme of induction for all new AAB Members. Following completion of the annual skills audit and AAB self-evaluation, the Chair is responsible for seeking opportunities for training and development for members of the AAB to support the development of the overall effectiveness of the AAB.

Please contact your ELT Education Lead or governance@deltatrust.org.uk if you would like to discuss local or regional Delta training opportunities.

ITEM 2 – ACADEMY ADVISORY BODY MEMBER NOMINATION FORM

Appointment of Member to the Academy Advisory Body

_____ Academy

Full Name of NOMINEE (BLOCK CAPITALS)

ADDRESS AND POSTCODE

Title (Mr/Mrs/Miss/Ms etc.)

Parent of:
(if applicable)

Class:

PLEASE STATE BELOW (USING NO MORE THAN 200 WORDS) YOUR REASON(S) FOR SEEKING TO BECOME AN AAB MEMBER AND ANY RELEVANT EXPERIENCE YOU WOULD BRING TO THIS ROLE FROM A COMMUNITY OR BUSINESS PERSPECTIVE.

SIGNED.....

DATE.....

THIS FORM MUST BE RETURNED TO THE ACADEMY BY:

ITEM 3 – ACADEMY ADVISORY BODY MEMBER ELIGIBILITY FORM

Name:

Role: Delta / Parent/Carer

Academy:

Principal:

AAB Chair:

Criterion	Answer Yes or No
Are you aged 18 or over at the date of this election or appointment?	
Have you been disqualified as a governor at this academy for failing to attend AAB meetings for a continuous period of six months, beginning with the date of the first meeting missed, without the consent of the AAB? <i>Note: This does not apply to Principals</i>	
Has your estate been sequestrated (temporarily repossessed) and the sequestration not been discharged, annulled or reduced?	
Are you the subject of a bankruptcy restrictions order or an interim order: debt relief restrictions order or interim order?	
Are you subject to: a disqualification order or disqualification undertaking under the Company Directors Act 1986; a disqualification order under the Companies (Northern Ireland) Order 2002; a disqualification undertaking accepted under the Company Directors Disqualification (Northern Ireland) Order 2002 or an order made under Section 492(2)(b) of the Insolvency Act 1986 (failure to pay under a County Court administration order)?	
Have you been removed from the office of a trustee for a charity by an order made by the Charity Commission or Commissioners or the High Court on the grounds of any misconduct or mismanagement in the administration of the charity for which you were responsible or to which you were privy or to which you contributed or to which you facilitated by your conduct?	
Have you been removed, under section 34 of the Charities and Trustee Investment (Scotland) Act 2005, from being concerned in the management or control of any body?	
Are you included in the list kept under section 1 of the Protection of Children Act 1999 (list of those considered by the Secretary of State as unsuitable to work with children)?	
Are you subject to a direction of the Secretary of State under section 142 of EA 2002 (or any other disqualification, prohibition or restriction which takes effect as if contained in such a direction)?	
Are you disqualified from working with children under sections 28, 29 or 29A of the Criminal Justice and Court Services Act 2000?	

Criterion	Answer Yes or No
Have you , in the five years prior to becoming an AAB member, or since becoming an AAB member, been sentenced to three months or more in prison (whether suspended or not) without the option of a fine?	
Are you barred from regulated activity relating to children in accordance with section 3(2) of the Safeguarding Vulnerable Groups Act 2006?	
Have you , in the twenty years prior to becoming an AAB member, received a prison sentence of two and a half years or more?	
Have you , at any time, received a prison sentence of five years or more?	
Have you been fined, in the five years prior to becoming a governor or since becoming a governor, for causing a nuisance or disturbance on school or education premises?	
Are you employed to work at the Academy or on a contract for services at the academy and work for more than 500 hours a year?	
Have you completed the Trust Childcare (Disqualification) regulations disclosure declaration (Infant / primary only)?	

Signed: _____

Date: _____

ITEM 4 – AAB WEBSITE SUMMARY TEMPLATE

The Academies Financial Handbook (s2.5.2) requires the publication on the academy website of certain information about governance in academies.

This must include:

- the structure and remit of ... local governing bodies, and the full name of the chair;
- for each ... local governor who has served at any point over the past 12 months, their full names, date of appointment, term of office, date they stepped down (where applicable), who appointed them, and relevant business and pecuniary interests including governance roles in other educational institutions;
- for each local governor their attendance records at local governing body meetings over the last academic year.

Academy name Academy Advisory Body

Full Name	Committee Membership	Appointed by Date of Appointment	Term	Declared Business and/or Pecuniary Interest	Attendance at Meetings in last academic year (2014/15)	Other AABs/Governors / educational institutions
Rory Williams	AAB, Finance & Resources	Principal 01/09/2013	N/A – Ex officio	None	4 out of 4 AAB 4 out of 4 Finance and Resources	None
River Song	AAB (Chair) Standards	Delta appointed 01/12/2014	4 years	Director of Gallifrey Futures - training company	3 out of 4 AAB 3 out of 4 Standards	None
Robert Builder	AAB	Delta appointed 01/09/2013	4 years	Owner BTB Supplies Ltd	2 out of four AAB	Governor at Wendy Bank School, Pontypandy
Clara Oswald	AAB	Parent Representative 01/05/2014	4 years	None	4 out of 4 AAB	None

ITEM 5 – AAB MINUTES TEMPLATE

Minutes

Subject:
Full AAB Meeting

Chair:
XXXXXX

Academy:
XXXXXXXXXX

Date and time:
XXXXXX
XXXXXX

Location:
XXXX

Next Meeting:
XXXX

Attendees:
XXXXXX
XXXXXX
XXXXXX
XXXXXX
XXXXXX
XXXXXX

Apologies:
XXXXXX

Distributed to:
XXXXXX

Actions and Outcomes: A = Action, I = Information, C = Complete, O = Outstanding, CF = Carry Forward, OG = On-going

Date of Meeting:	A/I	Agenda Item:	Action items:	Responsible	To be completed by	Complete:
05/09/13			– This is an example. For your information	LB	12/09/11	OG

Please upload your AAB minutes to your Academy folder on the Governance section of the VLE within two weeks of each meeting or email to governance@deltatrust.gov.uk

ITEM 6 – AAB MINUTES GUIDANCE

Minutes Checklist

Minutes are the permanent record of the proceedings of a meeting and need to be clear, accurate, brief, and objective. Minutes must include the basic following items:

- Date, time, and place of the meeting.
- Name of the person who chaired the meeting
- Names of the members present, apologies, and absent without notification.
- Existence or absence of a quorum.
- Results of all votes taken.
- List of all reports and documents provided in advance or introduced during the meeting (copies of reports attached to the official minutes.
- Summary of significant points raised during discussion but not a verbatim record.
- Any agreed actions and timescales.
- Sometimes minutes include a brief addendum showing required follow-up activities, which also identifies the person responsible for the action and the date by which it will be completed.

No.	Question	Y/N	Comments
1	Do the minutes match the agenda (are all agenda items covered in the minutes)?		
2	Do the attendees match the AAB contact list?		
3	Is the meeting quorate (Delta members need to be a majority)?		
	If the meeting is not quorate - is this recorded in the minutes?		
4	Has an election of Chair/Vice Chair taken place?		
5	Are declarations of interest minuted?		
6	Is discussion of Standards minuted?		
7	Is discussion of Behaviour and attendance minuted?		
8	Is discussion of Safeguarding minuted?		
9	Is discussion of SEND/LAC/disadvantaged minuted?		
10	Is discussion of Health, safety and site minuted?		
11	Is discussion of Finance, compliance and VFM minuted?		
12	Is discussion of Community engagement minuted?		
13	Did each sub-committee report back to the AAB?		
14	If any policies were noted / adopted at the meeting, are they individually minuted?		
15	Are any link member visits/ feedback provided?		
16	Is there evidence of questions/ constructive challenge of the Principal in the minutes?		