



Governance Handbook and Scheme of Delegation 2024-2025

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About this Handbook

This Handbook is designed to give general advice on Academy Governance, advice, and information specific to **The Khalsa Academies Trust (TKAT)**. It should be read in conjunction with the Articles of Association of our Trust and the Scheme of Delegation. It may be supplemented by guidance published from time to time by the Department of Education or Ofsted and by the NGA Code of Conduct for Governance, which each individual Local Advisory Board should adopt. The Scheme of Delegation, available on the Trust's website and as a separate document, supports the Handbook.

Many of those involved in our Governance are experienced Governors, Leaders, and staff at Academies and are familiar with Governance, but perhaps not with the specific requirements of being a Member of a Local Advisory Board within a MAT, a MAT Trustee or Member. This Handbook is intended as an introduction and a reference guide whatever your current role and level of experience. The DfE's Governance Handbook, Role Descriptors, and the Academy Trust Handbook 2024 (formerly known as the Academies Financial Handbook) underpin it.

At The Khalsa Academies Trust, we believe that effective Governance should consider the knowledge of the whole community in which the academy is based. Therefore, the delegation of responsibilities to Local Advisory Boards is focused on what matters most: pupil outcomes, the quality of teaching, and the curriculum; Quality of Education as well as local community engagement.

1. Welcome

Dear Governors, Trustees, and Members,

Thank you for putting your time and expertise to good use as an Academy (LAB) Governor, A Board Trustee or Member. The Trust and its Academies really could not exist without your commitment to the role.

As a Trust, we aim to become the leading provider of inclusive Sikh schools with an enviable reputation for academic achievement, personal development and breadth of enrichment opportunities set within a spiritual and caring environment.

The Trust provides support to local academies in many ways. Still, foremost for education, it is fitting that at the heart of what we do is a focus on academy improvement, staff development, and enabling our young people to excel. Secondly, the Trust takes responsibility for financial and resource management that delivers efficiency, effectiveness, and economies of scale so that our academies can concentrate on what matters: the education and welfare of young people. Thirdly, all our academies are based on the Sikh ethos and universal Sikh values. We support our academies in nurturing the distinctive ethos of "Together As One" family, one family of academies.

This ethos and our universal Sikh values will ensure that our young people will be poised to make a positive contribution in multi-cultural Britain.

All successful Academies share the presence of effective governance; it is a vital ingredient in the long-term achievement of an Academy and a Trust. We hope the information contained within this Handbook will be helpful to you. Throughout the year, we encourage you to share your thoughts and experiences.

Thank you once again for your ongoing commitment to our Academies and the educational experience our children receive.

Mrs. Shaminder Kaur Rayatt
Chair of Trustees; The Khalsa Academies Trust

Mrs Anita Kaur Notta
Executive Principal/CEO; The Khalsa Academies Trust

2. Our Mission

Our mission is to provide our family of schools with exceptional opportunities for our pupils, staff and leaders and develop a strong culture of excellence and standards. As lifelong learners we have placed our universal Sikh and British values at the very foundation of our schools. This in turn will inspire our pupils to excel academically, as well as spiritually to become well rounded citizens, who consider sustainability and their digital footprint whilst impacting their local and national communities.

3. Our Vision

Our vision is to provide inclusive exceptional schools, led by fearlessly motivated and driven leaders, who command the highest standards of themselves and others. This level of accountability and consistency, is seen across all aspects of school life, especially in the quality of education, resulting in high performing, well rounded and world ready individuals. We care about our pupils and want to ensure that they are happy and safe. Personal development is at the core of our schools, where we provide impactful experiences and opportunities that will develop our pupils to become future leaders.

4. Our Shared Ethos

We pride ourselves in the strong community ethos that exists within our schools, allowing all stakeholders to have the opportunity to flourish. Our ethos is based on the following principles:

Kirat Karna means to live an honest life and be hardworking.

At TKAT we have translated this into

TOGETHER AS ONE, WE WILL WORK HARD TO EXCEED EXPECTATIONS

through examples of; Sat, Santokh and Dharam

Naam Japna means to meditate and recite God's name.

We have translated this into

TOGETHER AS ONE WE WILL DISCOVER OUR PERSONAL SPIRITUAL JOURNEY

through examples of; Pyaar, Chardi kala and Daya

Vand Chakna means to contribute and share within our wider community.

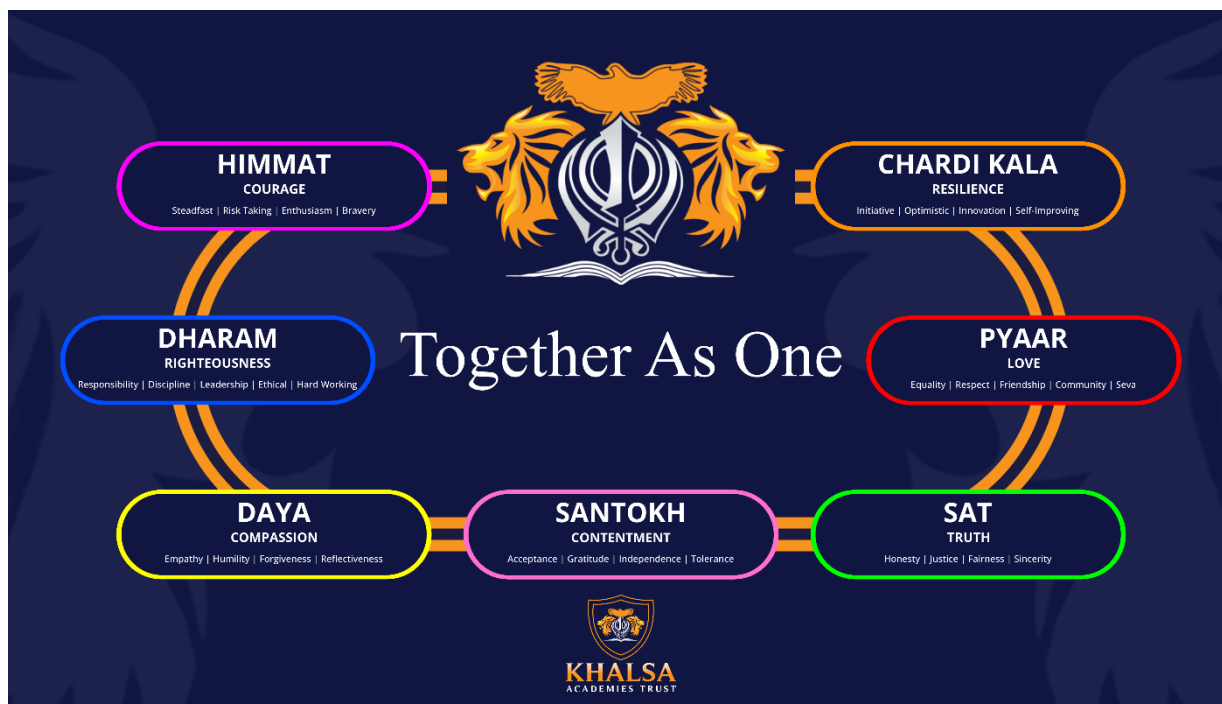
We have translated this into

TOGETHER AS ONE, WE WILL LIVE LIFE IN HARMONY WITH ALL OTHERS

through examples of; Pyaar, Himmat and Daya

5. Our Universal Sikh Values

Our values are the foundation of our schools. They are woven in all aspects of school life, whether that be through our strong pastoral provision or our broad and balanced curriculum offer.



6. Purpose of the Trust

The purpose of our Trust is:

- To serve the Sikh and other communities in England by establishing and running inclusive exceptional academies that meet the needs of Sikh/parents and are based on inclusive Sikh values, which are attractive to non-Sikh families.
- To contribute to the wider sector to improve the quality of provision for all children through service leadership.
- To run and maintain academies in a professional way where leaders strive to achieve exceptional Quality of Education and welfare provision for our pupils.
- To ensure the rapid improvement of academies through our Academy Improvement framework.
- To act as a vehicle for enabling the sharing of best practices and the economies of scale to be achieved across our academies through our strong educational focus and teams.
- To support other Sikh and/or non-Sikh schools where we work in partnership based on a model that appeal to both parties.

The Trust will act as the lead sponsor for any Sikh or non-Sikh school that wishes to become an Academy or for schools being directed to become sponsored academies by the Department of Education, subject to a due diligence process.

Our expectation of the Trust and our academies are:

- Strong and capable leaders who lead by example
- Commitment to exceptional education and opportunities for all by all
- Excellent working relationships with colleagues, based on mutual respect and trust
- Demonstrating our Universal Sikh values in our daily behaviours and interactions with all stakeholders of the Trust.

As a Trust, the way we wish to grow is to:

- Ensure solid success in each of our current academies, a Good or Outstanding Ofsted rating, and a robust TKAT infrastructure before opening any other academies.
- Support and develop our staff to ensure the highest possible teaching and learning standards across all our academies. We will develop and nurture our staff through CPD and well – being.
- Develop partnerships with other Sikh schools and non-Sikh Schools to form hubs around the UK that can be stronger together.

We have identified a set of Trust priorities for Growth within our Strategic Objectives for the next 3 years:

- To explore the growth of our Trust, as a small-sized Trust. To take on opportunities to grow with the right schools in the right area.
- To focus on our current partnership schools for growth and consolidation, based around the development of two existing schools (Midlands and London region)
- To establish 2 Hub structures, basing growth firmly around our current geographical locations and setting up clusters of schools that can support each other.
- To remain focused on our Universal Sikh values as the foundation of our growth, considering a 2 phase model of Sikhs schools and non-Sikh schools.
- To strengthen our central services team in order to increase efficiencies and economies of scale

We run the Trust on the following principles:

- Openness and transparency, building trust, respect and integrity with all members of the Trust family.

- Ensuring we lead by example at every aspect of leadership, demonstrating our universal Sikh values.
- Operate an effective and efficient organisation that is accountable at all levels.
- Seek continuous improvement and innovation.
- Operate an effective governance framework that ensures our long-term success.

7. Excellence and Equity for All Children in A Sikh Context

Education or Vidyaa (Knowledge) is inevitably a process of change; it is self-evident that no child starting school will be the same when they leave. What is essential is that the change is for good and that the guiding principles of that change are based on sound educational, moral, and humanitarian values.

To achieve that state, children must be highly literate and numerate to access all that the world has to offer. In addition, they must be able to confidently and competently use technology to help them on that journey. Life's fullness also requires each child to know about the world and its history, to be able to appreciate nature, meditation, art, and music in their many forms, and to have healthy, active minds and bodies.

A person who can truly be described as educated does not just have a vast bank of knowledge; they have the ability to use that knowledge for their own good and the good of humanity. Therefore, developing a strong spiritual and moral framework based on Universal Sikh values is an essential part of the education that we offer.

The Three principles of Sikhi, Naam Japna, Vand Chanka and Kirat Karna, form our ethos, which in turn drive our Universal Sikh values that are the foundation of the Trust and its academies. This ethos and values should be evident in the whole life of the academy, in the relationships between all members of the academy community, pupils, staff, and parents, and how we treat each other with kindness, respect, and compassion. For the same reason, we want our academies to be inclusive and work with local religious organisations and serve their local community by welcoming those of all faiths and none, nourishing and cherishing every child.

There should be explicit evidence of fulfilment in the academy's worship (for faith academies) and in high-quality Religious Education where children will learn about the Sikh faith and other world religions so that they can understand other people's points of view and learn to live in harmony with those about them.

Every child is unique and precious and must be given a chance to flourish in a healthy, safe and secure environment and have their individual skills, talents, and spiritual development nourished so that they bloom and prosper. Personal Development forms part of the Trust's commitment to ensure that our pupils will have every opportunity to demonstrate service to others, leadership and values, which in turn will allow them to develop into world ready citizens who have a positive impact on their local, national and international communities.

The Board and its committee members recognise their responsibility towards the common good, not just of the Academies for whom the Trust is responsible, but of all the families and communities in the areas served by the Trust.

8. Strategic Objectives 2023-2026

We will achieve this by working towards the following strategic priorities and goals:

STRATEGIC PRIORITY 1: Highest standards of academic excellence through the Quality of Education

Our educational strategies are defined by the highest standards of academic excellence and will focus on providing a stimulating, broad, and inclusive education for all.

- A culture of honest self-evaluation and development, which prioritises student success, is at the heart of every action and initiative taken in our schools
- Teaching and learning is stimulating, inspirational, individualised for ALL learners and challenges the student beyond their independent ability
- Assessment strategies focus on developing learning through a refined understanding of student's voice and interactive feedback
- Excellent use is made of the data collected to monitor progress, outcomes and implement school wide improvements
- Continued Professional Development programmes are personalised and designed to develop and nurture highly skilled teachers and encourage innovation within a collaborative culture
- The curriculum design is broad, contextualised, taking into account careers and destinations and extends beyond the classroom into the school environment, where a culture of good behaviour, strong personal development, curiosity, and participation in extracurricular learning is a normal way of life for the "Khalsa Student"
- Staff and students and parents feel valued for their contribution to school. Their unique personal qualities and abilities are recognised and appreciated, yet they are professionally challenged and held to account by Leaders.
- Leaders, Trustees, and Governors recognise and reward success

STRATEGIC PRIORITY 2: sustainable, strong Governance and leadership capacity at all levels

Ensuring leadership at all levels have the highest expectations of themselves and others in order to develop a strong culture of excellence and standards.

Goals:

- Trustees, Governors, and Leaders have a clear and ambitious vision for providing high-quality, inclusive education for all students and especially the disadvantaged and SEND students

- Trustees, Governors, and Staff have strong shared values based on the Sikh ethos and practice as defined by the supreme temporal and spiritual authority, the Akaal Takhat, in Amritsar
- A strong culture of safeguarding is driven by the leadership of the Board across all its schools
- Trustees continue to provide robust oversight and strong leadership to challenge and performance manage the CEO and executive team across educational outcomes, financial performance, risk management, and the wellbeing and safety of staff, and students in readiness for Trust growth.
- Those in positions of Governance at all levels of the Trust continue to be knowledgeable, experienced, fully trained, and confident in performing their roles successfully
- A highly robust risk and control policy and framework covering the full range of strategic risks, including operational and financial, underpins strategic decision making
- Clear and consistent systems support the Trust in carrying out forensic data analysis and using data and assessment efficiently and effectively to inform each school's improvement strategy and actions.

STRATEGIC PRIORITY 3: SAFEGUARDING AND WELLBEING

Embedding an organisational culture that prioritises safeguarding and wellbeing focusing on efficient systems, effective practice, and meaningful engagement

Goals:

- Trustees and school leaders ensure that robust policies and procedures are in place following statutory guidance, good practice guidance, and legislation and that these are rigorously implemented and embedded in practice by all staff
- Protecting children from harm is central to the culture of our schools, and clear systems are in place for safer recruitment and for referring or reporting to relevant organisations as soon as concerns are identified
- Safeguarding information is communicated, displayed, posted in all appropriate places, and proactive awareness raising is underpinned by proper and accessible staff training continuously
- Enhanced safeguarding risks at certain points of practice and organisational interface are understood, as is the need for safeguarding to be increasingly responsive to the context of our students' lives
- Health and wellbeing are an integral element of the Trust's educational philosophy and vision, and this is recognised in the appointment of a Trustee to champion staff and student wellbeing across the Trust
- The schools provide a holistic education which balances academic achievement with social, physical, emotional, and mental wellbeing **as**

well as providing an extensive personal development programme consisting of a wide, rich set of experiences.

- A robust curriculum includes rich experiences that develop students' character and fosters personal growth, citizenship, and sustainable patterns of living

STRATEGIC PRIORITY 4: strengthen stakeholder engagement

Schools are anchored institutions in the community engendering a sense of pride in pupils, parents/carers and the local communities of our schools.

Goals:

- Trustees, Governors, and Leaders ensure that mechanisms are in place to engage meaningfully with all students, parents/carers, and staff to create a sense of trust and shared ownership of the organisation's strategy, vision, and operational performance
- Leaders, governors and Trustees have a deep, accurate understanding of the school's effectiveness informed by the views of students, parents/carers, and staff
- Strong and robust relationships with parents/carers, staff, students, and local communities exist in all schools, and everyone knows that their opinion matters
- Active community representatives on the Local Advisory Boards reach out and engage with the local community
- Hold annual events that are well attended by the students, parents/carers, staff, local community and professional organisation representatives
- Build positive and constructive relationships with ALL stakeholders such as the local communities that serve our schools, the Local Authorities, the Department for Education, MPs etc.
- Build strategic partnerships and links with other Sikh schools, Trusts and national organisations to collaborate on joint initiatives, such as school improvement.

STRATEGIC PRIORITY 5: ACCOUNTABILITY AND FINANCIAL PERFORMANCE

We want to manage finances in the best way to ensure the best outcome for our pupils and ensure strong financial stability.

Goals:

- Trustees and Leaders maintain robust and effective Governance to ensure the ongoing viability and efficiency of the Trust through effective business and financial planning
- Ongoing financial scrutiny and oversight by the Trustees and Leaders to ensure optimal financial performance and the Trust continues to remain in a good financial position.

- Efficient use of resources to maximise the outcome for pupils and public money is well spent adhering to the “value for money” principle.
- Capital projects are well designed, financially viable, and executed without introducing additional risk to the Trust and its schools.
- Internal controls and risk management is continually managed by Trustees, Executive Team and school Leaders to ensure it is operating effectively
- Ensure we have robust systems and control processes in place to ensure compliance with relevant regulatory requirements including but not limited to HSE, Data protection, safeguarding, Accounting requirements and regulatory registers and submissions (GIAS & Annual Accounts).

Transparency and assurance to stakeholders through independent external financial and internal control audits

STRATEGIC PRIORITY 6: STRATEGIC PARTNERSHIPS AND GROWTH

We want to explore the growth of our small-sized Trust. To take opportunities to grow with the right schools in the right areas.

Goals:

- To explore the growth of our Trust, as a small-sized Trust. To take on opportunities to grow with the right schools in the right area.
- To focus on our current partnership schools for growth and consolidation, based around the development of two existing schools (Midlands and London region)
- To establish 2 Hub structures, basing growth firmly around our current geographical locations and setting up clusters of schools that can support each other.
- To remain focused on our Universal Sikh values as the foundation of our growth, considering a 2 phase model of Sikhs schools and non-Sikh schools.
- To strengthen our central services team in order to increase efficiencies and economies of scale

9. Trust Governance Structure



Our approach to Governance is;

1. Single Line of Accountability
2. No duplication or overlap of functions
3. Underpinned by effective communication

10. Governance Roles & Responsibilities

10.1 Members

Members play a limited but crucial role in safeguarding Academy Trust Governance and hold the Trust Board to account for the effective Governance of the Trust but have a minimal role in the actual running of the Trust. It is the Trust Board (Trustees), not the Members, who are the organisation's key decision-makers. Originally, they will have been the signatories to the memorandum of association and agreed to the Trust's first Articles of Association (the legal document which outlines the governance structure and how the Trust will operate). Our Articles of Association also describe how Members are recruited and replaced and how many of the Trustees the Members can appoint to the Trust Board. Accordingly, the Trust Board submits an annual report on the performance of the Trust to the Members. Members are also responsible for approving any amendments made to the Trust's Articles of Association.

While Members are permitted to be appointed as Trustees, in order to retain a degree of significant separation of powers between the Members and the Trust Board, and in line with DfE expectations, not all Members should not be Trustees. Members are not permitted to be employees of the Academy or Trust. There should be five Members appointed at any one time. The Department for Education's strong preference is that Trusts should have at least five Members. There should also be a significant separation between the individuals who are Members and those who are Trustees. This is because if Members sit on the Board of Trustees, this may reduce the objectivity to exercise their powers. The Department's strong preference is for most Members to be independent of the Board of Trustees.

10.2 Trustees

The Trust is a charitable company, so Trustees are both charity Trustees (within the terms of section 177(1) of the Charities Act 2011) and company directors. Because Trustees are bound by both charity and company law, the terms 'Trustees' and 'directors' are often used interchangeably. For example, the National Governors Association (NGA) uses the term Trustee to avoid the possible confusion caused when executive leaders are called directors but are neither company directors nor Trustees.

The Trustees are responsible for the general control and management of the administration of the Trust, and in accordance with the provisions set out in the memorandum and articles of association and its funding agreement, it is legally responsible and accountable for all statutory functions, for the performance of all schools within the Trust, and must approve a written scheme of delegation of financial powers that maintain robust internal control arrangements

The Board of Trustees has the right to review and adapt its governance structure, including removing delegation.

The Board of Trustees consists of up to 10 Trustees, and the Members appoint the majority of the Trustees (six). In addition, up to 2 members of the senior management team can be appointed (e.g., CEO and another). In addition, up to 2 Academy Directors are drawn from the academies.

10.3 Trust Board Committees

The Trustees may establish committees to carry out some of its governance functions, including making decisions. However, any decisions will be deemed the Trust Board's decisions. The membership and responsibilities of Board committees are set out in the Committee's terms of reference. It is usual for the Trust Board to appoint Board committee chairs and committee members according to their skills. The Academy Trust Handbook clarifies that the Board of Trustees must establish an audit and risk committee appointed by the Board. This can be combined with the finance committee, where income is above a certain level. Trustees have a responsibility to ensure that the Trust remains on going concern.

10.4 Annual Requirements:

On an annual basis all Trustees must complete, declare and sign the following documents:

- Code of Conduct
- Register of business interest form
- Declaration of interest form

10.5 CEO /Executive Principal/ and Executive Committee

The CEO /Executive Principal has the delegated responsibility for the operation of the Trust, including the performance of the Trust's academies. The CEO performance manages the academy Principals. The CEO is also the Accounting Officer, has overall responsibility for the operation of the Academy Trust's financial commitments, and must ensure that the organisation is run with financial effectiveness and stability, avoiding waste and securing value for money.

The CEO leads the Executive Team of the Academy Trust. The CEO will delegate executive management functions to the executive team and is accountable to the Trust Board for the performance of the team. The Executive Committee includes the CEO, Principal, Director of Education, Director of Finance, Director of Projects and Buildings Compliance, and the Senior HR Manager.

10.6 Local Advisory Boards (LABs)

Local Advisory Boards are constituted to provide local scrutiny and challenge for Principals and Senior Leadership Team within the individual academies.

The LAB exercises the powers and responsibilities delegated to them by the Trust Board. Details of these powers and duties are set out in the Scheme of Delegation and other key policies.

According to the National Governance Association ([here](#)), the general trend in MATs is that the traditional Local governing bodies are changing to Local Advisory Boards due to the role of MAT Trustees. The Local board functions are focused on the importance of monitoring educational standards and school life as well as local community engagement and accountability to stakeholders.

11. Responsibilities of the Local Advisory Board

The duties of LAB Governors include:

For further details – see Annex 3 Role Description:

- Ensuring good Governance of the Academy, using the agreed level of delegation and reporting accordingly
- Representing the Academy's vision and aims per TKAT vision and Ethos while ensuring individual academies aims and objectives are relevant to local needs
- Supporting the Principal and Senior Leadership Team Head of the Academy while managing a positive relationship based on challenge and support (also known as being a critical friend) and monitoring
- Positively engage with key stakeholders, including parents/carers, pupils, staff, and the wider community. LAB Governors should work collaboratively and not act independently when representing the Trust or academy
- Establishing and reviewing Academy-level policies and procedures, reflecting TKAT expectations and values, and bringing them to the attention of the CEO if any doubt exists.
- Working within the expectations of the Terms of Reference (ToR) between TKAT and LAB.

11.1 Our LAB Governors monitor:

- The achievements, quality of teaching and learning and behaviour within the Academy by reviewing pupil outcomes and curriculum offer, ensuring that all pupils needs are catered for, including the compliance of the academy website
- The School Development Plan (SDP) and Self Evaluation Form (SEF)
- Attainment and progress reports, including Pupil Premium and Sports Premium, and challenging where needed
- LAB Governors should engage with the local community and build positive relationships with all stakeholders, including coordinating and supporting activities and forums. LAB Governors must inform the Principal in advance if they plan to engage, with community members during an event in the community. LAB Governors should work collaboratively and not act independently when representing the Trust or academy.

11.2 Skills and Characteristics of Governors of the LAB

- The Trust Board requires all appointed LAB governors to demonstrate the commitment and a willingness to support the aims of Trust as a whole.

- The skills required to contribute to the effective Governance and the success of the Academy
- A solid commitment to the values of TKAT and the individual Academy
- The inquisitiveness to question, analyse and challenge
- A willingness to learn and undertake training as required and appropriate.
- The ability to listen and reflect
- A willingness to devote the necessary time and effort to the Academy's business, including reading papers, attending meetings, attending training sessions and other relevant events
- An understanding and acceptance of the duties and responsibilities set out in the Scheme of Delegation and Trust policies
- Effective communication skills and a willingness to ensure effective communication between the LAB and the Trust Board
- An ability to hold others to account for their professional practice
- Good independent judgement
- Experience of schools (as a former governor, a parent, or a member of staff) or the relevant skillset from the local or broader community
- Governors of a LAB need to take a full and active role in fulfilling the role assigned to them by the Trust Board. This will include regular visits to the Academy and developing the connections to ensure Governance is effective.

11.3 Local Advisory Boards Structure

The proposed structure of the LAB is very similar to a traditional LGB and is detailed below:

Elected Parents	Elected Staff	Appointed by the Trust (LAB Governors)	Principal	Total
2	1	6	1	10

The following is the minimum number of governors appointed by the Trust on each LAB for the academies (where possible):

Governor Profiles	Keys Skills and Experience
A minimum of two educationalists, one of whom should have experience of SEND provision	Qualified teacher and or SENDCO

<p>A minimum of three representatives from the local faith and or community organisations</p>	<p>Representatives from the local Sikh and non-Sikh faith communities</p>
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Additional governors with different skills can be appointed by the Trust based on the needs of the school and the scheme of delegation.

11.4 Principal

The Academy Principal is responsible and accountable for the day-to-day management of the Academy for all aspects of school life, from safeguarding, educational performance, health and safety, premises management and they are line managed and accountable to the Executive Principal/CEO but report to the LAB or TKAT standards Committee on matters that have been delegated to it, including an element of monitoring and scrutiny of the school's educational and management processes.

11.5 Parent Governors

Parent Local governors bring an essential perspective but have the same responsibilities to the Trust as other Local governors and need the same skills. Their role is to support the Trust and school the LAB to which they are elected too and affiliated, rather than act as parent representatives. Having parents on LAB is not a replacement for engagement with parents more broadly. TKAT places considerable emphasis on engaging with the parent and faith community.

11.6 Appointment and Removal of Governors

Without prejudice, the Trustees' have the rights to amend the LAB terms of reference at any time, where the Trustees have concerns about the performance of a LAB, the following action may be taken via a process;

- require the relevant LAB to adopt and comply with a governance action plan in such form as determined by the Trustees;
- suspend or remove any or all of the matters delegated to the LAB;
- suspend or remove any or all of the governors of the relevant LAB;

Further details of appointment and removal are covered in Annex 1 and LAB Terms of Reference.

12.0 Terms of Reference.

Our terms of reference are reviewed regularly. The key tasks for each Committee are set out below. Please see the Trust' Terms of References for further details.

12.1 Membership of the Trust's Committees

- The Trust Board shall appoint members, and one member of the Trust Board will chair the meeting and have the necessary background and/or qualifications to undertake the role effectively.
- Each Committee shall consist of not less than three members.
- Committee Members are appointed to the Committees according to their skills.
- The Committee Chairs will be elected on an annual basis.

12.2 Quorum

A quorum shall be three Trustees.

12.3 Attendance at Meetings

- The Chief Executive, The Chief Financial Officer, and other executive leads such as the Director of Education and the Principal of the respective academies shall typically attend meetings, or parts thereof, at the Committee's invitation.
- The Chair of the Trust, other Board members, and senior officers may also attend if invited by the Committee's Chair. The Chair of Trustees retains the right to participate in any meeting.
- Meetings are not open to the public.

12.4 Frequency of Meetings

Meetings shall be held not less than three times a year.

12.5 Purpose

The Trust Board authorises the Committees by virtue of the Scheme of Delegation to:

- Investigate any activity within its terms of reference; and
- Seek any appropriate information required from any officer within the Trust. All officers shall be directed to co-operate with any request made.
- Fulfill the Academy Trust Handbook requirements and any updates; any directions from the ESFA and Regional Schools Commissioner.

12.6 Minutes

- Committees are required to provide a record of their meetings for inspection by the Trust Board and others in line with the Trust's publication guidance. Minutes are to be kept up to date and held within the secure digital area.
- Meetings will be professionally clerked.

12.7 Ethos, Vision, and Values

Trustees are accountable and responsible for setting and developing the Trust's strategic objectives and the character, mission, and ethos of both the Trust and the individual academies. In addition, committees are required to support the delivery, implementation, and monitoring of the Trust's values both across the Trust and within the individual school communities.

12.8 Key Governance Activities

The aspects overseen by each layer of Governance is set out below;

Trust Board

- Admissions – Trust-wide policy.
- Curriculum – Trust-wide approach and oversight
- Faith, Ethos & Values
- Finances
- Growth and change management
- Governance
- Marketing & PR
- Parent & Stakeholder Complaints Appeals
- Safeguarding
- Vision and Strategy
- Whistleblowing
- Stakeholder engagement

Trust Finance, Audit & Risk Committee

- Asset Management
- Audit – external and internal
- Compliance including Financial Governance
- Compliance – Trust Policy & Statutory
- Financial reporting and planning
- GDPR, Data and information management Trust Finance Strategy.
- Health & Safety and Estates
- Risk Register
- Risk Management
- IT Strategy systems Value for Money
- Trust Risk Strategy and Risk Management
- Trust Digital Strategy

The Committee must ensure it follows the requirements set out in the Academy Trust Handbook and any direction from the ESFA, including but not exclusively

- Overseeing and approve the Trust's program of internal scrutiny
- Ensuring that risks are being addressed appropriately through internal scrutiny

- Reporting to the Board on the adequacy of the Trust's internal control framework, including financial and non-financial controls and management of risks.
- Agreeing on a program of work annually to deliver internal scrutiny that provides coverage across the year.
- Review the ratings and responses on the risk register to inform the work program, ensuring checks are modified as appropriate each year.
- Undertaking a program of internal scrutiny and ensuring all Trustees are informed of outcomes and recommendations promptly.

Trust Education & Standards Committee

- The performance of individual academies against agreed Key Performance indicators
- The quality of leadership in each Academy, to account for academic performance and the quality of teaching and learning
- Trust Safeguarding Report from Principal
- Trust School Improvement Strategy
- Trust-wide assessment, attainment and progress.
- Trust-wide curriculum
- Trust-wide assessment system
- Leadership Development and succession planning
- Professional Development
- Ensure that the Trustees are adequately prepared for Ofsted.
- Taking a Trust-wide view on the outcomes and aspirations of all pupils but specifically, SEND Pupil Premium and Vulnerable Groups

Trust Personnel Committee

- Staff voice
- HR
- Employment & industrial relations
- Staff performance
- Leadership Development & Succession Planning
- Professional Development
- Trust People Strategy and Staffing
- Staff wellbeing

Trust Faith & Ethos Committee

- Trust Values
- Faith Strategy
- Faith & Ethos Curriculum
- Teaching & Learning
- Assessment, Attainment & Progress
- Inclusivity
- Sikh Traditional Music Sikh Traditions
- Trust-wide Faith Events

12.9 Avoiding Duplication

It is the Trust's stated intention to ensure that

1. There is no duplication between the governance layers; a strong recommendation from the DfE
2. There is no duplication of effort between the layers of Governance, but clear lines of communication are monitored and recorded in the minutes.

12.10 Trustee Monitoring Visits

Trustee monitoring visits are visits where an individual Trustee or LAB Governors or groups visit the academy, the visits are not an inspection. Visits are designed to;

- Find out about how a specific aspect of the school works in practice, e.g., Progress of SEND pupils in a mainstream school or a talk about a new intervention and to see it in practice; or to discuss Pupil Premium, Health and Safety, ethos, faith etc
- Discuss specific objectives from the School Development Plan, Rapid Action Plan, or Ofsted Improvement Plan with staff and leaders,
- Check that progress is being made towards the school's strategic objectives or visit a class for a specific purpose based on finding out more about the objectives in practice,
- Discuss safeguarding, finance, or health and safety matters for audit purposes.

12.11 Local Advisory Boards

LABs are required to have oversight and understanding of two key aspects

- 1. Educational provision**
- 2. School Life**

LAB Governors are reminded that their role is strategic and not operational. Below is a list of the types of activities in which LAB Governors will be expected to have knowledge. Further information can be found in the DfE Competency Framework for Governance 2017.

12.12 Recommended Model Local Advisory Board Agenda

The Trust Executive Team will provide the LAB Clerk and Principal with a model agenda each term.

1. Apologies for absence
2. Declaration of Interests
3. Confidentiality
4. Minutes of the last meeting & matters arising
5. Chair's Termly Update
6. Principal Report (distributed before the meeting) to include:
7. Self-Evaluation Statement
8. School Improvement Plan
9. Curriculum
10. Safeguarding
11. Achievement (attainment & progress)
12. Attendance
13. Behaviour, discipline & exclusions
14. Disadvantaged Children Report – including use of the Pupil Premium
15. Other elements of the LAB's Oversight Responsibility
16. External Monitoring & Evaluation
17. Staff wellbeing
18. To receive reports
19. Reports from Link Governors for:
20. Pupil Voice (including updates from School Council and other pupil representative bodies)
21. Training Governor (including training records)
22. TKAT Policies for noting
23. Local School Policies for approval
24. Dates of next meetings
25. AOB (to be notified in advance to the Clerk and/or LAB Chair)

LAB may also take the opportunity to use the minutes of their meeting to inform and update Trustees on items of a strategic nature that they wish to bring to the attention of the Trust Board.

They may also wish to review meeting impact, identify next steps and confirm actions.

12.13 Clerking Arrangements

The Trust Board will appoint a Governance Professional to service and support the Trust Board and its committees in line with the requirements of the Academy Trust Handbook 2021 (para 1.49).

The Trust Executive Team may recommend to the academy Principal the appointment competent and professional Clerks to the LABs who should be confident in meetings and advise LAB where appropriate.

Agenda:

- The Principal must send all papers, including the finalised agenda, to the clerk 10 working days before the agenda is distributed.
- The clerk must send a first draft agenda must be sent to the Chair two weeks before the scheduled meeting for consideration and approval
- The clerk should send the agenda and papers out to LAB Governors within 7 days of the meeting.

Minutes:

- Draft minutes must be finalised and circulated to the Chair and the Principal / Chair within 10 working days after the meeting.
- The Chair should approve the minutes for factual accuracy.

Additional annual activities:

The Trust Board and schools should expect the following activities to be carried at least annually:

- Advise on agenda and minutes layout and clarify the expectations of each Local Advisory Board as discussed at the initial meeting;
- Carry out an annual website review for each Local Advisory Board;
- Carry out a yearly governance skills review for each Local Advisory Board and the Trust Board, coordinating a 360 review of each Chair alongside this;
- Advise the Chair of the Local Advisory Board, Trust Board, and Trust Committees of Annual Work Plan activities which should be undertaken each term;
- Brief the Chair and the governing body each term on announcements from the DfE and Ofsted of relevance to school governance;

Governors must complete, declare and sign the following documents:

- Code of Conduct
- Register of business interest form
- Declaration of interest form

12.14 Recommended Governance Annual Work Plan

Autumn Term

- Apologies
- Declarations of Interests
- Confirm LAB membership, Terms of reference, delegated powers, sign code of conduct, and complete annual skills audit,
- Chair of the LAB chosen
- Appoint Link Governors
- Review the Academy's exam results, and pupil progress data and actions are taken to date in response to results
- Receive/approve Academy Development Plan and confirm monitoring arrangements
- Principals written Report including safeguarding update
- Staffing update
- SEND update
- Admissions – to determine admissions policy or agree to consultation

- Consider staff and pupil wellbeing needs
- Receive external monitoring reports or reports individual governors and updates from the Trust Board
- Policies for approval
- Consider individual pay awards
- Dates of meetings

Spring Term

- Declarations of Interest
- Membership changes
- Receive pupil progress data and predictions and Inspection Data Summary Report (IDSR)
- Progress on Academy Development Plan targets
- Principals written Report
- Staffing update
- Approval of overseas or overnight educational visits
- SEND update
- Receive updates from TKAT, external monitoring reports, or individual governors
- Policies for approval
- Consider admission applications
- Date of next meeting
- Recommend proposals/changes on admission arrangements to the Trust Board

Summer Term

- Declarations of interest
- Membership changes
- Receive pupil progress data and predictions
- Progress on Academy Development Plan targets

- Principal's written Report
- Staffing update
- SEND update

- Receive reports from TKAT, external monitoring reports, or individual governors
- Ensure all policies are reviewed and approval
- Receive Report from the Chair on the impact of the Local Advisory Board
- Confirm dates for the governing body and committee meetings for the forthcoming academic year
- Date of next meeting

Standing Items at Each Meeting

- Attendance and confirmation of quorum
- Declaration of interests
- Membership Change
- Confidentiality
- Update on pupil progress and targets
- Written Report from the Principal
- Progress on Academy Development Plan
- School Risk Register
- Governor feedback from academy visits

- Governor Training

Annex 1 – Appointment and Removal of Governors

Please see the Recruitment of Governors for further details on the appointment and removal of Governors

Staff governors

- The Trustees shall invite nominations from all staff employed under a contract of employment or a contract for services or otherwise engaged in providing services to the Academy and, where there are any contested posts, shall hold an election by a secret ballot.
- The Trustees shall determine all arrangements for the calling and the conduct of the election and resolution of questions about whether any person is eligible. The Trustees may delegate the running of the election to the LAB.

Parent governors

- Parents of registered pupils at the Academy shall elect parent governors of the LAB. They must be a parent of or have parental responsibility for a pupil at the Academy at the time when they are elected.
- The Trustees shall make all necessary arrangements for and determine all other matters relating to the parent governors' election. The Trustees may delegate the running of the election to the Academy.
- Where a vacancy for a Parent Governor is required to be filled by-election, the Trustees shall take such steps as are reasonably practical to secure that every person who is known to them to be a parent of a registered pupil at the Academy is informed of the vacancy and that it is required to be filled by election, informed that he is entitled to stand as a candidate, and vote at the election, and allowed to do so.
- Any election of persons who are to be the parent governors contested shall be held by secret ballot. The arrangements made for the election of the parent governors shall provide for every person entitled to vote in the election to have an opportunity to do so by post or, if he prefers, by having his ballot paper returned to the Academy by a registered member pupil at the Academy.
- Where the number of parents standing for election is less than the number of vacancies, the Trustees may appoint a person who is the parent of a registered pupil at the Academy or, where it is not reasonably practical to do so, a person who is the parent of a registered pupil of another Academy run by the Trust.

LAB Governors

The Trustees shall appoint LAB Governors based on their skills and experience. They must be:

- a person who lives or works in the community served by the Academy; or
- In the opinion of the Trustees, a person has the necessary skillset and is committed to the Governance and success of the Academy.
- The Trustees may not appoint an employee of the Trust as a LAB Governor.

Terms of office

- The term of office for any Governor shall be 4 years, the Principal of the Academy, who shall remain a Governor until they cease to work at the Academy.
- Subject to remaining eligible to be a particular type of Governor, any person may be re-appointed or re-elected to the LAB.

Resignation and removal

A person serving on the LAB shall cease to hold office

- by giving notice in writing to the clerk of the LAB.
- if the Principal or a staff Governor cease to work at the Academy
- The Trustees terminate the appointment of a Governor whose presence or conduct is deemed by the Trustees, at their sole discretion, not to be in the Trust's best interests or the Academy.

To avoid doubt, a parent Governor shall not automatically cease to hold office solely because their child ceases to be a pupil at the Academy.

Disqualification of governors of the LAB

A person shall be disqualified from serving on the LAB if he does not serve as a Director per Articles 68-80.

Appointment and removal of Chair and Vice-Chair

- The Chair and Vice-Chair of the LAB shall be appointed by the Trustees and may be removed from office by the Trustees at any time. The appointment is based on skills and experience.
- The term of office of the Chair and Vice-Chair shall be 1 year. Subject to remaining eligible to be a governor, any Governor may be re-appointed as Chair or Vice-Chair of the LAB.

The Chair and Vice-Chair may at any time resign their office by giving notice in writing to the Trustees. The Chair or Vice-Chair shall cease to hold office if:

- They cease to serve on the LAB;
- They are employed by the Trust whether or not at the Academy; or in the case of the Vice-Chair, they are appointed to fill a vacancy in the Chair's office.

Where the Chair is, absent from any meeting or a vacancy in the Chair's office, the Vice-Chair shall act as the Chair for the meeting. Where the Vice-Chair is, also absent from the meeting or there is at the time a vacancy in the office of Vice-Chair, the governors of the LAB shall elect one of their number to act as Chair for the purposes of that meeting.

Annex 2 – Proceedings of the LAB

Meetings

The LAB shall meet at least once every term and hold such other meetings as necessary.

The clerk shall convene the LAB meetings to the LAB, sending the Governor's written notice of the meeting and a copy of the agenda at least seven clear days before the meeting. Where matters are demanding urgent consideration, the Chair or, in their absence, the Vice-Chair, may waive the need for seven days' notice of the meeting and substitute such notice as they think fit. The clerk will send all notices of meetings to the Trust Leader. Trustees and members of the Trustees Executive Committee have the right to attend any meeting of the LAB.

Any Governor shall be able to participate in the governors' meetings by telephone or video conference provided that he has given reasonable notice to the LAB clerk and that the governors have access to the appropriate equipment.

The convening of a meeting and the proceedings conducted thereat shall not be invalidated by reason of any individual not having received written notice of the meeting or a copy of the agenda thereof or any defect in the election, appointment, or nomination of any person serving on the LAB.

Quorum

The quorum for a meeting of the LAB, and any vote on any matter at such a meeting, shall be any three of the governors of the LAB, or, where greater, and one third (rounded up to a whole number) of the total number of governors of the LAB at the date of the meeting, which must include at least one Governor appointed by the Trust.

Voting

Every matter to be decided at a meeting of the LAB shall be determined by a majority of the votes of the governors present and entitled to vote on the matter. Every Governor shall have one vote. Where there is an equal division of votes, the Chair of the meeting shall have the casting vote.

LAB Governors may vote by proxy.

Any Governor who is also an employee of the Trust shall withdraw from that part of any meeting of the LAB at which their remuneration, conditions of service, promotion, conduct, suspension, dismissal, or retirement are to be considered.

A resolution in writing, signed by all the governors, shall be valid and effective as if it had been passed at the governors' meeting duly convened and held. Such a resolution may consist of several documents in the same form, each signed by one or more governors.

Conflicts of Interest

Any Governor who has or may have any direct or indirect duty or personal interest (including but not limited to any Personal Financial Interest (as defined below)

Which conflicts or may conflict with his responsibilities as a Governor of the LAB shall disclose that fact to the LAB as soon as he becomes aware of it. A person must absent themselves from any discussions of the LAB in which a conflict may arise between their duty to act solely in the Academy's interests and any duty or personal interest (including but not limited to any Personal Financial Interest).

A Governor of the LAB has a Personal Financial Interest if s/he, or any child, stepchild, parent, grandchild, grandparent, brother, sister or spouse of the Governor any person living with the Governor as their partner, is in the employment of the Trust or receives remuneration or the provision of any other benefit directly from the Trust or in some other way is linked to the Trust or the Academy.

Minutes of meetings

At every LAB meeting, the minutes of the last meeting shall be taken as the first agenda item after any apologies and, if agreed to be accurate, shall be signed as an actual record.

The clerk to the LAB shall ensure that a copy of the agenda for every meeting of the governors, the draft minutes of every such meeting (if the Chair has approved them of that meeting), the signed minutes of every such meeting and any report, document or other paper considered at any such meeting is, as soon as is reasonably practicable, made available to the Company Secretary of the Trust.

Role Descriptors

Chairing Meetings

- The Board and a Trustee shall appoint the Chair of the Trust Board and its constituent committees annually. If the Chair is absent from a meeting, the members shall choose one of their number to act as Chair for that meeting.
- Chairs will be appointed for their skills and experience. In addition, succession planning will be developed.
- Chairs will report the key decisions taken at the committee or Scrutiny Boards to the Trust Board at the first available opportunity.
- Chairs will ensure that the Trust Board and committees comply with the requirements of the Scheme of Delegation.
- The Chair will participate in the setting of the agenda for the Trust Board committee

Annex 3 Local Advisor Board Governor Role Description

LAB Governors work together to carry out their core functions:

1. ensuring there is clarity of vision, ethos and strategic direction
2. holding executive leaders to account for the educational performance of the organisation and its pupils and the performance management of staff
3. making sure its money is well spent
4. ensuring the voices of stakeholders are heard.

LAB Governors must also ensure that the Local Advisory Board complies with the scheme of delegation and all legal and statutory requirements. LAB Governors should seek the advice of the Clerk, Governance Professional and other professional advice as appropriate.

Local Advisor Board Governor role description strategic responsibilities:

Local Advisor Board work closely with Principal and senior leaders. Principals are responsible for day-to-day management whereas the role of the Local Advisor Board is strategic. As such, LAB Governors are responsible for:

- upholding the mission, values and long-term ambitious vision for the Trust
- deciding the principles that guide academy policies and approving key policies (delegated as per the scheme of delegation)
- working with Trust Board to develop a strategy for achieving the vision
- ensuring that parents, pupils, staff and the wider community are involved, consulted and informed as appropriate
- ensuring that all pupils have access to a broad and balanced curriculum such that pupils are well prepared for the next stage of their education and adult life
- ensuring robust risk management procedures are in place and that risk control measures are appropriate and effective
- Working within the expectations of the LAB Terms of Reference (ToR).

Monitoring and evaluating academy performance

LAB Governors must monitor the priorities that have been set to ensure progress is being made by:

- measuring the academy's impact and progress towards its strategic objectives
- ensuring the required policies and procedures are in place and the academy is operating effectively in line with these policies

- evaluating relevant data and feedback provided by academy leaders and external reporting on all aspects of school performance
- asking challenging questions of academy leaders in order to hold them to account
- holding the Principal to account for standards and compliance with agreed policies
- visiting the academy to monitor implementation of the strategy and reporting back to the board (this could be in a link governor capacity)
- ensuring that there are policies and procedures in place to deal with complaints effectively

Panels and committees

When required, LAB Governors are expected to serve on panels or committees in order to:

- hear staff grievances and disciplinary matters
- review decisions to exclude pupils
- deal with formal complaints

Contribution to the Local Advisor Board

LAB Governors should ensure that they are making a positive and meaningful contribution by:

- attending meetings reading papers and preparing questions for senior leaders in advance
- establishing and maintaining professional relationships with senior leaders and colleagues on the board
- getting to know the academy, including visiting the academy occasionally during academy hours
- undertaking induction training and developing knowledge and skills on an ongoing basis.

Expenses

LAB Governors can apply to receive out of pocket expenses incurred as a result of fulfilling their role as governor, a copy of the expenses policy is available on the Trust website.



Scheme of Delegation 2024/25

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1. Introduction and Purpose of the Scheme of Delegation

The Board of Khalsa Academies Trust (TKAT) is accountable in law for all decisions about the Trust and its schools. It is vital to ensure there are systems in place so the Board is assured of the quality of education as well as the safety and good practice of activity within the Trust. However, this does not mean the Board is required to undertake all tasks or make all the decisions itself. This Scheme of Delegation sets out the functions that are delegated within the governance structure of TKAT and as agreed by the Trust Board.

The intention of this document is to:

1. Set out delegations for specific areas of activity or decision making in a clear, usable format,
2. Provide clarity, consistency and avoid duplication or overlap in governance,
3. Seek to place governance decision making as close as possible to the point of impact.

This document, together with the committee structure and their Terms of Reference, will be reviewed at least annually by the Board to ensure it remains aligned to organisational strategy and need. This document should be read alongside the Trust's terms of reference and the annual agenda planner. It covers governance delegations but is in addition to documents setting out the Trust's financial and HR delegations, and is underpinned by our policy approval schedule. The delegations have been informed by an assumption that functions are carried out in line with agreed Trust policies or approaches. In addition, where there are significant concerns or issues that arise and including in line with Trust policies, it is recognised that these may be raised, by exception, with the Board or other Trust stakeholders.

TKAT's approach to governance allows it to adapt to the different needs of the academies. There may be circumstances when the Board will need to intervene and choose to withdraw specific delegated authorities although these are expected to be the exception rather than the rule. Possible examples where this may be required include, but are not limited to, significant concerns within a school which may relate to safeguarding, finance, educational performance or an adverse Ofsted inspection.

2. Definitions

2.1 The key tiers of governance of the Trust are:

Board: the legal accountable body for TKAT. The Board is responsible to the Secretary of State for Education for the effectiveness of each of the TKAT schools. Members of the Board fulfil the duties of company directors, trustees and governors; they are referred to within TKAT as trustees. It is recognised that, whilst the Board can choose to delegate some of its functions, it cannot delegate its responsibilities.

Committees: the Board has established one Local Advisory Board for each school, with a key role to provide local support and to offer a community dimension into school plans, the schools standards and achievements, community and stakeholder engagement as well as the schools ethos and values. In addition, there are Trust Board Finance Audit & Risk, Remuneration and Standards committees which have been established to enable review, scrutiny and discussion of key areas to ensure the Board has sufficient understanding and oversight. Detailed committee roles are set out in the terms of reference.

CEO / Executive Principal: responsible for delivering the educational and operational outcomes for TKAT as set by the Board. The CEO /Executive Principal is included to reflect their role as the Accounting Officer and their personal responsibility to the ESFA and DfE.

Principal: the individual who has ultimate responsibility for a school in line with TKAT strategy, approach, ethos and values. Individual schools may have alternative titles for this position such as Executive Principal or Principal.

Members: It is recognised that TKAT also has Members. The purpose of this document is to set out delegations from the Trust Board to other governance stakeholders and as such it does not detail the role of the Trust's Members.

The Academy Trust Handbook 2024 and the Trust's Articles of Association, together with relevant legislation and the DfE's Governance Handbook 2020, contain key information on Members. Members are the custodians of governance, playing an 'eyes on, hands off' role. The Academy Trust Handbook 2024 sets out that "there should be significant separation between the individuals who are Members and those who are trustees".

Members have specific roles which can include (subject to Trust documents and relevant legislation):

- Amending the articles of association
- Appointing or removing Members or trustees
- Appointing the Trust's auditors and receiving the audited annual accounts

For clarity, it is noted that a 'school' is defined as an individual school within the Trust, as denoted by their Unique Reference Number. As such a 'school' may span one or several phases of education.

3. The main approval levels used in this document are:

Approve	Responsible for approving a document or process and, where appropriate, determining how the task will be undertaken including defining appropriate milestones and targets to be reported against
Consulted	Will be consulted as part of the process of completing a task. Their contributions may inform the approach or decision
Deliver	Operationally responsible for undertaking a task and reporting on its delivery at suitable intervals
Informed	Will receive one way information on decisions or approaches
Monitor	Will consider actions being planned or taken or progress made as part of the process of completing a task. Where required, this monitoring role may include suggesting action to be taken to contribute to the task being delivered appropriately.
Prepare	Responsible for developing documents or information, processing and collating information for approval or review
Recommend	Will make recommendations as to how a task, decision or approach should be undertaken or completed. The recommendation will usually inform the approach or decision
Report	Responsible for reporting on the delivery of tasks, in some cases after a review of delivery undertaken by others. The document refers to internal reporting, for example from the Executive Principal/CEO to the Board, but does not seek to capture external reporting, for example to the ESFA or Companies House
Review	Responsible for reviewing whether a task is being carried out satisfactorily and, where appropriate, requiring action to be taken to ensure task is delivered appropriately.

4. Overarching Principles

It was agreed that a series of overarching principles would inform the review of the scheme. These are:

- No duplication or overlap of governance.
- Clear responsibility and clear accountability
- Delegations should be informed by what is right rather by personalities or than what has been done historically.

- That decisions are ethical and legal and in line with the Nolan Principles, government guidance and are underpinned by what is right for our school communities.

5. The following acronyms are used in this document:

AFH Academies Financial Handbook – now the Academy Trust Handbook

Articles	TKAT Articles of Association, dated 15th August 2015
DfE	Department for Education
DSL	Designated Safeguarding Lead
DBS	Disclosure & Barring Service checks
ESFA	Education and Skills Funding Agency
EYFS	Early Years Foundation Stage
H&S	Health & Safety
HT	Headteacher
KCSIE	Keeping Children Safe in Education
KPIs	Key performance indicators
LAC	Looked after children
SEF	Self-Evaluation Form
LAB	Local Advisory Board (referred to in the Articles as Local Governing Bodies)
SEND	Special Educational Needs and Disability
SIP	School improvement plan
TIP	Trust Improvement Plan
TKAT	The Khalsa Academies Trust

1. Vision and Strategy (Governance and Leadership)

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
1.1	Determine trust's vision, strategy and key priorities including any plans for growth or significant change	Prepare (i.e. develop high level thinking and approach/consultation for any significant review) and approve	Committees: informed . May be consulted as part of significant review	Prepare (i.e. develop detail and documentation including consulting), then recommend . Deliver and review to ensure vision and strategy inform including at school level	Expect to be consulted for significant review. Informed on approved approaches	Expect to be consulted for significant review or change. Informed on approved approaches and Deliver .	1.1
1.2	Determine Trust faith ethos, culture and values	Prepare (i.e. develop high level thinking and approach/consultation for significant review) and approve	Committees: informed on approved approach	Prepare (i.e. develop detail and documentation including consulting), then recommend . Deliver and review to ensure ethos and values reflected across Trust and schools	Expect to be consulted for significant review. Informed on approved approaches	Expect to be consulted for significant review. Informed on approved approaches Deliver for school. Report to CEO on implementation.	1.4
1.3	Trust Improvement Plan including key priorities, KPIs, input from school improvement plans	Approve and review	Committees: review and monitor areas relevant to each committee	Prepare and deliver in line with vision and strategy, meeting external expectations or requirements	Contribute through school plans which inform Trust plan. Informed on Trust Plan	Contribute through school plans which inform Trust plan. Informed on Trust Plan and Deliver .	1.2
1.4	Risk Management and control	Approve Risk Management Policy. Review and approve risk	Audit & Risk: review and monitor regular reports from CEO.	Prepare, deliver, review and report on risk management, risk	Informed on key risks and related issues within school. Review key school	Review and deliver risk register for school, update and report to CEO Report to Local Advisory	1.7 1.8

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
		register informed by Audit & Risk Committee and CEO reports	Recommend Risk Management Policy to Board Committees: review key risks relevant to committee	register and controls for Trust and schools. Recommend Risk Management Policy to Audit & Risk Committee	risks	Board on key risks and issues for school	
1.5	Potential new schools to join the Trust Note: Board will confirm specific approach for each school	Approve in line with Trust vision and strategy. Approve timeline, due diligence and delivery plan for any new school being considered	Audit & Risk: review and monitor due diligence for any new school and make recommendations to Board FARCOM and Standards Committee: review relevant information, report to Audit & Risk Committee	In line with vision and strategy, review and recommend possible schools to join Trust to Board or report information to Audit & Risk Committee. Deliver decisions made	Consulted on potential new schools. Informed on decisions. May have role working with new schools as identified by Board or CEO	Consulted on potential new schools. Informed on decisions. Expected to have role working with new schools as identified by Board or CEO	1.9

2. Board Business (Governance and Leadership)

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
2.1	Trust Governance structure, delegations incl. terms of reference	Approve annually	Committees: consulted and deliver for committee; informed on overall approach	Prepare, review and recommend proposed approach informed by consultation, compliance and Trust practice. Deliver delegations for CEO	Consulted and deliver Local Advisory Board delegations; informed on overall approach	Consulted on Principal and Local Advisory Board delegations; informed on overall approach. Deliver at Principal level	2.5 2.17
2.2	Recruitment and skills audits of Trustees	Review CEO reports and review need for future reports, audits or recruitment Approve process and timeline to seek potential new co-opted Trustees	Committees: consulted on skills gaps for committee	Prepare periodic skills audits to identify gaps including in finance and deliver induction/training. Consulted on Trust needs and gaps Deliver support and report to Board (and Members or partners) on Trustee recruitment and eligibility. Responsible for the delivery	Informed	Informed	2.21

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
2.3	Appointment or removal of Trustees in line with Articles	Appoint co-opted Trustees Approve any decision to suspend or remove Trustees in line with Articles Contribute to appointment process, subject to approach		Deliver support and report to Board (or Members) regarding any possible need to suspend or disqualify a trustee in line with Articles	Informed	Informed	2.2
2.4	Appointment of Board Chair, Vice-Chair and lead trustee roles	Appoint in line with Articles Appoint lead trustees for safeguarding and SEND	Standards Committee: Trustees on Committee to be appointed as lead trustees for safeguarding and SEND	May be consulted to make recommendations to Board	Informed	Informed	2.3
2.5	Appointment / removal of trust committee and Local Advisory Board chairs	Appoint	Committees: consulted and may recommend for committee	Consulted. May be asked to make recommendations to Board	Consulted and may recommend for Local Advisory Board. Informed on committee chairs	Consulted and may recommend for Local Advisory Board. Informed on committee chairs	2.9 2.10

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
2.6	Appointment of trust committee members and Local Advisory Board Governors	Approve Committee memberships Consulted on Local Advisory Board memberships Approve and informed on process for election/ appointment of parent and staff Local Advisory Board members	Committees: consulted and may recommend for committee	For Audit & Risk, Resources & Standards Committee committees: consulted Prepare induction/ training programme, deliver programme requesting Local Advisory Board and Principal contributions	For Local Advisory Board: review membership and skills needs/ gaps. Appoint co-opted members to the Local Advisory Board and consult the TB on appointments. Monitor elections and approve confirmation of (re)appointments of parent and staff Local Advisory Board members and inform TB regarding adherence to process Deliver induction/ training in line with CEO plans	For Local Advisory Board: deliver skills audit to identify gaps. Deliver process for election/ (re)appointment of parent and staff Local Advisory Board members. Report to Local Advisory Board and CEO on process/ election Deliver induction/ training in line with CEO plans	2.11
2.7	Appointment of Clerk to Trust Board, and committees	Appoint Clerk to the Board Informed on appointments of Clerks to committees and Local Advisory Board	Informed on clerking arrangements	Consulted and usually recommend Clerk to Board Responsible to Deliver and approve appointments of Clerk.			2.13

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
2.8	Appointment of Clerk to Local Advisory Board	Inform on recommendation	Informed on clerking arrangements	Consulted and usually recommend Clerk to Board Deliver and approve appointments of Clerks to committees and Local Advisory Board	Consulted on appointment of Clerk for Local Advisory Board	Consulted on appointment of Clerk for Local Advisory Board. Principal is Responsible to Deliver on managing and prepare Local Advisory Board meetings	2.14
2.9	Review of Board and committees and Local Advisory Boards	Approve approach and any changes – likely to be involved in delivery of any. review	Committees: expect to be consulted from committee perspective	Where requested by Board, prepare , deliver and report to Board	Expect to be consulted from Local Advisory Board perspective	Expect to be consulted from school perspective	2.20 2.22
2.10	Annual schedule of Board and committee meetings and business	Approve schedule and priorities across governance operation	Committees: informed priorities, business and dates for committee in line with Trust schedule	Prepare and recommend to committees and deliver in line with Trust schedule	Approve any individual school priorities, business and dates for Local Advisory Board to fit with Trust schedule	Prepare and recommend to Local Advisory Board and deliver in line with Trust schedule	2.15
2.11	Commission Governance reviews	Approve approach Review Audit & Risk Committee report and approve actions or recommendations. Provide report to Members	Audit & Risk: review and monitor CEO report and recommend to Board FARCOM & Standards Committee: consulted from committee perspective, where required	Prepare and deliver approved approach for review, drawing on external expertise where required, and report to Audit & Risk Committee	Consulted – expect to contribute from Local Advisory Board perspective, where required	Consulted – expect to contribute from school perspective, where required	2.27
2.12	Trust policies and procedures	Consulted, deliver, informed, prepare, recommend, report or review in line with policy schedule approved by Board. The policy schedule will set out specific roles and responsibilities including for review and approval of individual policies					2.30

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
2.13	Governance policies & procedures	Approve policies or actions informed by Audit & Risk Committee report Inform CEO where relevant, e.g. register of interest and related party transactions	Audit & Risk: review and monitor reports from CEO on compliance with policies and processes and make recommendations , including changes needed in policies or approach, to Board	Prepare, Responsible to Deliver and review policies and procedures and their implementation and report to Audit & Risk Committee	Informed on policies and procedures. Monitor compliance of policies for school	Consulted on policies & procedures. Deliver in own school	2.29
2.14	Appoint a Governance Professional	Approve appointment	Informed on appointment	Responsible to deliver. Does the work to achieve the task.	Informed on appointment	Informed on appointment	2.12

3. Education (High-Quality and Inclusive Education and School Improvement)

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
3.1	School Improvement Plans	Approve overall approach and template for SIPs	Standards Committee: review and monitor CEO reports on SIPs and actions/ progress	Responsible to Prepare overall approach and template, consulting with schools. Approve and review each SIP - likely to contribute to Principal s preparation. Review and monitor progress incl. from Principal reports and report to Standards Committee	Consulted on SIP. Monitor progress Approve school specific lead roles and appoint Local Advisory Board members	Consulted on approach and template. Prepare and Responsible to deliver SIP in line with Trust approach, consulting with Local Advisory Board and CEO. Report progress to Local Advisory Board and CEO	3.5
3.2	Trust and school academic targets	Informed and consult on Trust academic targets and progress	Standards Committee: review and monitor Trust and school targets and actions/ progress	Responsible to Prepare overall approach and template, consulting with schools. Approve and review Trust and school targets - likely to contribute to Principal s preparation for school Receive termly reports from Principal on progress/ plans and report to Standards Committee	Consulted on school targets and monitor progress	Consulted on approach and template. Prepare and Responsible school targets, consulting with Local Advisory Board, consultation for CEO review. Deliver approved targets and report to CEO and Local Advisory Board on progress/ plans	3.4

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
3.3	Self-Evaluation Form	Approve overall approach and template for SEFs	Standards Committee: review and monitor summary of each SEF and actions/ progress	Responsible to Prepare overall approach and template, consulting with schools. Approve and review cycle for SEF cycle, each school SEF and actions/ progress - likely to contribute to Principals preparation	Consulted on school SEF. Monitor actions/ progress	Consulted on approach and template. Prepare and responsible to deliver , including Local Advisory Board consultation, and report to CEO and Local Advisory Board on SEF actions/ progress	3.6
3.4	Ensuring Trust and each school's readiness for inspection including Ofsted	Approve summary paper on governance structure setting out roles and deliver with involvement in inspections Review reports from Standards Committee	Standards Committee: review and monitor reports from CEO on readiness for inspection and report to Board	Recommend to Board summary paper on governance structure Prepare, responsible to deliver Trust plans. Approve, review and support school plans. Report to Standards Committee	Consulted on school plans. Monitor actions/ progress Local Advisory Board role for plans or inspections	Prepare and responsible to deliver plans including Local Advisory Board consultation Report to CEO and Local Advisory Board on plans, inform and support Local Advisory Board on their role	3.7
3.5	Trust intent including Sikh curriculum provision studies, SRE, Panjabi, EYFS and 6th form.	Approve recommendation from Standards Committee	Standards Committee: review, monitor and recommend to Board	Responsible to Prepare and deliver in line with Trust vision and recommend to Standards Committee	Informed including to inform school approach	Consulted on Trust curriculum intent. Responsible to deliver plans	3.8

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
3.6	School Quality of Education and Curriculum intent and provision incl. EYFS and 6th form	Approve recommendation from Standards Committee	Standards Committee: review and monitor CEO reports on implementation in schools and actions/ progress	Responsible to Prepare overall approach and template, consulting with schools. Approve, monitor and review in each school-likely to contribute to Principals preparation. Provide report to Standards Committee on implementation in schools	Consulted as Principal develops school approach. Informed on implementation	Consulted on approach and template. Prepare and Responsible to deliver in line with approved approach and report to Local Advisory Board and CEO	3.9
3.7	Policies and practice for teaching, learning and pedagogy	As per policy schedule, approve relevant Trust wide approaches and practices Review reports from Standards Committee	Standards Committee: review and monitor approach, effectiveness and reports on implementation or changes required. Recommend to Board including relevant policies	As per policy schedule, Responsible to prepare, recommend/ approve policies and practice across Trust, consulting with schools. Deliver on Trust wide basis. Review implementation and report to Standards Committee	Review and approve school-based policies within the envelope of the Trust approach and practices Review and monitor implementation of relevant policies for school	Consulted on Trust wide approach. Responsible to Deliver for school in line with approved approach. Report to CEO and Local Advisory Board including note any issues with policies or implementation	3.10

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
3.8	Strategy for Pupil Premium and other grants; admissions, Behaviour and pastoral care, attendance, complaints, equalities and exclusions	Approve Trust wide approach and relevant policies and practice Review reports from Standards Committee	Standards Committee: review and monitor approaches, effectiveness and reports on implementation or changes required. Recommend to Board	As per policy schedule, Responsible to prepare, recommend/ approve policies and practice across Trust, consulting with schools. Deliver for Trust. Approve school approach informed by Trust strategy. Review implementation and report to Standards Committee	Review and monitor school implementation. Review and approve school elements or recommend change to Trust approach Appoint lead Local Advisory Board member for Pupil Premium; Local Advisory Board represented on school Pupil Premium audits or reviews	Consulted on Trust wide approach. Responsible to Prepare and deliver for school informed by Trust strategy Deliver any recommendations from audits or reviews. Report to Local Advisory Board and CEO	3.11
3.9	Safeguarding oversight, policies and procedures	Review and approve Trust policies and procedures. Approve DSL & LAC designated teachers. Review reports from Standards Committee or CEO on implementation and compliance	Standards Committee: review and monitor reports from CEO on implementation, compliance or changes required. Make recommendations to Board	Responsible to Prepare and make recommendations to Standards Committee on Trust policies and procedures, DSL and LAC designated teachers. Consult with schools. Deliver on Trust wide basis Review implementation (consulting DSL), report to Standards Committee	Review and monitor school implementation. Approve school elements and appoint lead Local Advisory Board member for safeguarding. Represented on school safeguarding audits/ reviews Informed on DSL & LAC teachers for school	Consulted on Trust wide approach. Responsible to Deliver in own school, compliant with Trust approach. If requested by CEO, recommend school DSL and LAC teachers. Deliver any recommendations from audits or reviews Report to CEO and Local Advisory Board	3.12

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
3.10	Strategy for SEND provision and relevant policies and practice Note: lead trustee roles included under 'Governance'	Review and approve Trust policies and procedures Review reports from Standards Committee or CEO	Standards Committee: review and monitor approaches and progress. Make recommendations to Board	Responsible to Prepare and make recommendations to Standards Committee on policies and procedures. Deliver on a Trust wide basis. Informed on school approach Review implementation and report to Standards Committee	Consulted and monitor for school. Approve school elements and appoint lead Local Advisory Board member for SEND. Member of Local Advisory Board represented on school SEND audits or reviews	Consulted on Trust wide approach. Prepare and responsible to deliver options for school approach informed by Trust strategy. Deliver recommendations from audits or reviews. Report to CEO and Local Advisory Board	3.13
3.11	Policies and practice relating to pupils' confidence, leadership, voice and extra-curricular/ enrichment opportunities	As per policy schedule, approve policies and practice across the Trust Review reports from Standards Committee	Standards Committee: review and monitor Trust approach and effectiveness Review CEO reports on implementation. Make recommendations to Board	As per policy schedule, responsible to prepare, recommend/ approve policies and practice across Trust Deliver on a Trust wide basis. Approve school approach. Review implementation and report to Standards Committee	Review and monitor school implementation	Consulted on Trust wide approach. Responsible to Deliver in school in line with Trust approach. Report to CEO and Local Advisory Board	3.14

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
3.12	Policies and practice relating to external education support and provision, post-16 education and students' destinations	As per policy schedule, approve policies and practice across the Trust Review reports from Standards Committee	Standards Committee: review and monitor Trust approach and effectiveness. Review reports. Make recommendations to Board	As per policy schedule, Responsible to prepare, recommend/ approve policies and practice across Trust. Deliver on a Trust wide basis. Approve school approach. Review implementation and report to Standards Committee	Review and monitor school implementation	Consulted on Trust wide approach. Responsible to Deliver in school in line with Trust approach. Report to CEO and Local Advisory Board	3.15

4. Finance (Finance and Operations Including Premises, Health and Safety and ICT)

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
Note These areas of delegation will be delivered in line with the Trust's financial delegations which will be set out in a separate document							
4.1	Financial Regulations, financial and asset management policies and procedures to ensure compliance across Trust & schools	Approve policies and practice across the Trust Review reports from Resources and Audit & Risk committees	Resources: review and monitor CEO reports on financial and asset management and make recommendations to Board Audit & Risk: review CEO reports on compliance and make recommendations to Board	Responsible to Prepare and recommend approach informed by consultation, compliance requirements and Trust practice Review implementation and provide relevant reports to Resources and Audit & Risk committees	Informed on and may be asked to monitor any material issues or non-compliance and actions/ progress	Responsible to Deliver compliance in school. Report any material issues or non-compliance to CEO and Local Advisory Board and, where required, actions/ progress	4.1

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
4.2	Setting budgets within the Trust	Approve annual and longer-term budgets for Trust and schools	Resources: recommend budgets for Trust and schools to Board	Prepare budget for Trust and schools. Recommend to Resources Committee. Expect iterative process with Principals to prepare school budgets	Consulted on school budget	Prepare budget for own school - with discussion and support from CEO	4.9
4.3	Monitoring and reporting on Trust and school budgets	Review and approve management accounts and monitoring reports on performance against budget from Resources Committee Review reports from Standards Committee	Resources: review and monitor management accounts and reports on central services; report to Board on key issues or deviation from budget Standards Committee: review use of Pupil Premium, report to Board on key issues and budget	Responsible to Prepare and report to Resources Committee for Trust and schools with management accounts circulated to Board & Chair of Board Deliver and report on Trust/ central budget. Report to Standards Committee	Informed on delivery of school budget monitoring - to inform understanding of resources and delivery of school plans	Responsible to Deliver approved school budget and report to Local Advisory Board and CEO or, for any deviation from budget, in line with financial delegations	4.11
4.4	External auditors and audit; internal auditors, audit and controls; and bankers for the Trust	Approve: appointment of bankers; policies and procedures and any appointments or reports for internal controls and audit; internal audit plan May recommend , will be informed on appointment of external auditors. (Note: appointment is by Members)	Audit & Risk: review and monitor reports on external auditors and bankers, report or recommend to Board. Review reports and recommend to Board on policies and procedures, appointments, or internal audit	Report to Audit & Risk Committee on actions to: review performance of internal or external auditors; deliver process for auditors' appointment, for external auditors report to Members; prepare and recommend policies, procedures, appointments, reports for internal controls/ audit, report information	Informed on and may be asked to monitor any reports of internal non-compliance in school in line with internal controls	Deliver in school (for example meeting requests from auditors or bank requirements). Report on progress, including highlighting any concerns to CEO. Report any material non-compliance in line with internal controls and, where required, actions/ progress	4.15

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
				from internal auditors/ third parties. If required, recommend change in Report any material non-compliance to Audit & Risk Committee and Board			
4.5	External audit reports, annual report and accounts	Review external audit reports Review and approve annual report and accounts. Informed on completion of process with Members	Resources: review and monitor annual accounts including against budgets and monitoring Audit & Risk: review reports from auditors and CEO, review annual report and accounts and recommend to Board	Report information from auditors and progress of actions/ reports to Audit & Risk Committee. Responsible to Prepare info for audit and annual report with schools' and external input. Recommend to Audit & Risk Committee and once approved by Board, deliver accounts for Members	Informed on and monitor any areas of internal non-compliance in school	Responsible to Prepare any detail required for school Informed on any actions from audit reports relevant for school, deliver identified actions and report on progress to CEO	4.16

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
4.6	Trust policies and, property strategy, estate improvement plans, priorities for premises maintenance and development incl. accessibility plan	Approve Trust wide policies, plans, priorities and associated budgets Review reports from Resources Committee	Resources: review and monitor policies, plans, priorities, delivery incl. major capital projects make recommendations to Board. Review reports on implementation	Responsible to Prepare and deliver Trust policies, plans, priorities and associated budgets, make recommendations to Resources Committee and report on progress towards implementation	Consulted on priorities for school in line with Trust policy and budgets. Monitor delivery of school priorities and consulted on capital projects delivered by Trust	Prepare school priorities, report to CEO and Local Advisory Board; where required by CEO, contribute to development/ delivery For capital projects delivered by Trust, consulted for school	4.17
4.7	Health & Safety	Approve Trust wide policies, plans, priorities and associated budgets Review reports from Resources Committee	Resources: review and monitor policies, plans, priorities, reports and recommend Boarding	Responsible to Prepare and deliver Trust policies, plans, priorities and actions, review reports from Principals on schools, monitor Trust and school action plans and make recommendations to Resources Committee	Informed on any action plans for school and monitor	Prepare any detail or Responsible to deliver action plans for school as required by CEO	4.18

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
4.8	Trust events Ensure that all necessary health and safety measures are in place, securing adequate insurance coverage, and comprehensive event risk assessments.	Approve Trust wide policies, plans, priorities and associated budgets Review reports from relevant committee	Relevant committee: review and monitor policies, plans, priorities, reports and recommend Board Responsible to review event proposal and confirm that all requirements have been met to the Trust's satisfaction in line with policy.	Responsible to Prepare and deliver all necessary event plans/ priorities health and safety measures, securing adequate insurance coverage, and comprehensive event risk assessments in line with budget and tasks directed by Trust Board CEO is responsible for maintaining clear communication with the Trust throughout the planning process to ensure alignment with Trust policies and procedures.		Responsible to Prepare and deliver tasks directed by the CEO	4.19
4.9	Academy events Ensure that all necessary health and safety measures are in place, securing adequate insurance coverage, and comprehensive event risk assessments.	Approve Trust wide policies, plans, priorities and associated budgets Review reports from relevant committee	Relevant committee: review and monitor policies, plans, priorities, reports and recommend Boarding	Responsible to review event proposal and confirm that all requirements have been met to the Trust's satisfaction in line with policy. Monitor Trust and academy action plans and make recommendations to relevant Committee	Informed on any plans for academy and monitor	Responsible to Prepare and deliver all necessary event plans/ priorities health and safety measures, securing adequate insurance coverage, and comprehensive event risk assessments in line with budget and tasks directed by Trust Board Principal is responsible for maintaining clear communication with the Trust throughout the planning process to ensure alignment with Trust policies and procedures.	4.20

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
4.10	ICT services and resources	<p>Informed on delivery plans and routine/ replacement ICT in line with budgets</p> <p>Approve major ICT projects within approved budgets</p> <p>Approvals as required in line with delegations</p>	<p>Resources: review reports from CEO and monitor and report to Board on plans and progress</p> <p>Recommend plans/ priorities to Board for major projects</p> <p>Approvals as required in line with financial delegations</p>	<p>Prepare, recommend and responsible for deliver plans for routine/ replacement ICT and major investment informed by school priorities and budgets In line with delegations, approve/ recommend projects and report to Resources Committee. May monitor Trust or school projects</p>	<p>Informed on major projects delivered by Trust and may be asked to monitor any actions in school</p>	<p>Prepare detail on school priorities and report to CEO In line with financial delegations, approve and deliver or, where delivered by Trust, informed and expect to be consulted for school perspective</p>	4.21

5. Human Resources (Workforce)

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
Note These areas of delegation will be delivered in line with the Trust's HR and financial delegations which will be set out in separate documents							
5.1	HR policies & practice	As per policy schedule, review and approve HR policies to ensure compliance including with statutory requirements	Remuneration and Resources: review and monitor reports and recommend HR policies and practice to Board	As per policy schedule, prepare, recommend/ approve policies and practice across Trust. To include links to local authority approaches or consultation with Principals. Deliver across Trust and report to committees	Monitor implementation in school. In line with policies, may be consulted for specific elements, for example sitting on panels	Where required by CEO, consulted on policies and practice. For school, deliver and inform CEO on issues to inform development of policies and practice	5.17
5.2	Staff structure and proposals for restructuring or redundancy	Approve central Trust staff structure. Review and approve proposals for restructuring or redundancy for Trust and schools in line with Trust delegations	Resources: review and monitor reports from CEO and report to Board on plans and progress Recommend proposals to Board as relevant in line with delegations	Prepare, recommend to Resources Committee and deliver central Trust staff structure in line with budget. Review Principal reports on delivery of schools' staffing structure. Approve/ recommend to - for school changes, informed by consultation with Principals	For any material changes in staff structure, consulted for school and informed for Trust.	In line with budgets, structure and HR delegations: approve and deliver school staffing; recommend to CEO proposals for restructuring or redundancy	5.9
5.3	Appointment and dismiss Trust Leader and Accounting Officer	Deliver and approve drawing on external expertise as considered necessary	Committees: informed of decision Remuneration: review and monitor succession plan; may make recommendations on pay and		Informed of decision	Informed of decision	5.1

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
			conditions				
5.4	Appointment of central Trust staff including the Chief Financial Officer	Executive Team: approve appointments - expect Chair (or their delegated trustee) to be involved in process as part of panel Staff not on Executive Team: Informed by CEO of decisions	FARCOM & Standards Committee: informed of appointment decisions Resources: may be involved in appointment process	Executive Team: responsible to deliver recruitment process including sit on panel and make recommendations to Board Staff not on Executive Team: deliver and approve appointments in line with policy, budget and approved staffing structure	Informed of appointment decisions	Informed of appointment decisions	5.18
5.5	Appointment and dismiss of Principal	Approve appointment Consulted on process - expect Chair of Board (or their delegated trustee) to be informed by CEO and involved as part of panel	FARCOM & Standards Committee: informed of decision	Responsible to Deliver process for appointment and recommend appointment to Board	Informed on process and appointment decision Consulted – expect Local Advisory Board Chair (or their delegated Local Advisory Board member) to sit on panel		5.10
5.6	Appointment of school senior leadership and other staff	Approve appointment of senior leaders (STPCD – Leadership Scale) and UST School Based Leaders	FARCOM & Standards Committee: informed of decision	In line with budgets, structure and HR delegations: will responsible to approve appointments OR review recommendations from Principal and recommend to Board for approval	Informed of decisions. Consulted for deputy Principal appointments, expect Local Advisory Board Chair (or their delegated Local Advisory Board member) to sit on panel. May be consulted for other senior roles	In line with budgets, structure and HR delegations: will be responsible to deliver and approve OR recommend appointments to CEO	5.19

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
5.7	Conduct performance management for CEO	Approve performance management and pay, drawing on external expertise as required	Remuneration: for CEO, deliver process; for Executive Team, review and monitor CEO report and make recommendations				5.2
5.8	Conduct appraisal and performance management for and Executive Team and all other central team staff	May be involved to review or approve any appeals in line with policy	Remuneration: review and monitor CEO report on process and consistency of approach	Executive Team and central team: responsible to deliver performance management and make recommendations to Remuneration Committee			5.4
5.9	Performance management of Principal	Approve performance management and pay May be involved to review or approve any appeals in line with approved policy	Remuneration: review CEO report and recommendations	Responsible to deliver performance management, including drawing on any external expertise as required, and make recommendations to Remuneration Committee	Consulted – Local Advisory Board Chair (or their delegated Local Advisory Board member) on panel and informed of decision. Local Advisory Board informed on completion of process		5.5
5.10	Appraisal and performance management for all other school staff	May be involved to review or approve any appeals in line with policy	Remuneration: review and monitor CEO report on process and high-level outcomes	Informed on process, and monitor completion and summary of Principal decisions. Report across all schools on process, completion and high-level outcomes to Remuneration Committee	Informed on process, completion and high-level outcomes. Local Advisory Board Chair may be consulted May be involved in review or approve appeals	Responsible to Deliver and approve in line with policy. Report on process, its completion and high-level outcomes to Local Advisory Board and CEO	5.21

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
5.11	Staff development	Approve Trust wide policy and approach In line with financial delegations, budget and policy, approve expenditure	Personnel: review and monitor Trust wide policy and approach, recommend to Board. Review report from CEO on staff development plans across the Trust	In line with delegations, budget and policy: approve opportunities OR recommend opportunities or expenditure to Board Prepare, deliver and report to Resources Committee	Informed by Principal for school	In with delegations, budget and policy: approve opportunities for school staff OR recommend to CEO Report on plans and delivery to Local Advisory Board	5.20
5.12	Overseeing staff wellbeing, workload and working conditions	Approve Trust wide policy and approach	Personnel: review and monitor Trust wide policy and approach,	Responsible to deliver Trust wide policy and approach	Informed by Principal for school and monitor	Responsible to Deliver in school in line with Trust approach.	5.22

6. Stakeholder Engagement (Governance and Leadership)

Ref	Area	Trust Board	Trust Committees	CEO	Local Advisory Board	Principal	Matrix Ref
6.1	Publication of information on Trust and school websites	Informed and approve Trust requirements are met across Trust	Audit & Risk: informed and monitor Trust and school requirements are met and any related issues	Prepare, responsible to deliver information and its publication in line with requirements. Report to Local Advisory Boards and Board requirements are met	Informed requirements are met for school. Consulted by CEO on stakeholder perspective on information	If required by CEO, deliver for school and report to CEO	6.3
6.2	Trust branding and PR	Approve Trust branding		Prepare and recommend to Board. Responsible to deliver on Trust wide basis implementing approved approach		Consulted by CEO on school perspective. Deliver for school	6.4
6.3	Stakeholder engagement including partners, parents, pupils and local communities	Approve approach. Review reports on implementation of approved plans including feedback Expected to have role to deliver including Trust partners, and liaise with CEO	Standards Committee: review and monitor reports and make recommendations , including changes needed in policies or approach, to Board	Prepare, recommend and responsible to deliver Report to Standards Committee on implementation of plans including feedback received, in line with approved approach	Subject to approved approach, expected to have role to deliver or monitor communication local school stakeholders, including parent community, and report to CEO and Principal	Subject to approved approach, responsible to deliver for school and report to CEO	6.5

Academy Trust Handbook 2024 Checklist for Trustees

These are the requirements in the Academy Trust Handbook brought together into one list: the 'musts'. It abbreviates these requirements and so cannot be used as a substitute for the full handbook. References to the relevant sections are included, which must be read in full. This is an entirely optional resource to help manage compliance.

Top 10 'musts' for chairs and other trustees	
Paragraph	Requirement
1.11 and 1.12	Apply highest standards of conduct and ensure robust governance, comply with charitable objects, with duties as company directors, with charity law and the funding agreement.
2.3	Ensure the board of trustees meets at least three times a year.
2.4	Approve a written scheme of delegation of financial powers.
2.10	Ensure the board approves a balanced budget for the financial year and minutes their approval
2.19 and 2.20	Share management accounts with the chair of trustees monthly and consider when the board meets, taking action to maintain financial viability
2.27 and 2.28	Ensure decisions about executive pay follow a robust evidence-based process reflecting the individual's role and responsibilities, and that the approach to pay is transparent, proportionate and justifiable.
3.6 to 3.13	Appoint an audit and risk committee (either dedicated or combined with another committee) to advise on the adequacy of the trust's controls and risks.
4.4	Submit audited accounts to ESFA by 31 December
4.14	Ensure an appropriate, reasonable and timely response to findings by auditors, taking opportunities to strengthen financial management and control
5.39 - 5.59	Manage conflicts of interest, be even-handed with related parties, and ensure goods or services provided by them are at no more than cost, beyond the limits in this handbook
Roles and responsibilities	
Paragraph	Requirement
	Adhere to The 7 principles of public life
1.1	Have the skills, knowledge and experience to run the trust
1.3	Have at least three members but should have five or more

1.4	Have suitability checks in place for members to ensure they are not subject to a direction under section 128 of the Education and Skills Act 2008
1.5	Not have members as employees, nor have members occupy staff roles on an unpaid voluntary basis
1.20, 1.37 and 2.7	Ensure regularity, propriety and value for money
1.20	Trustees to take ownership of financial sustainability and ability to operate as a going concern
1.23	Ensure committees contain a majority of trustees
1.24	Not have de facto trustees or shadow directors
1.26	Include a review of the trust's governance structure and board composition in the governance statement when producing audited accounts for the first time
1.27	Appoint a senior executive leader (should be principal or chief executive)
1.28 to 1.37	Appoint an accounting officer (the senior executive leader) with responsibility for regularity, propriety and value for money and for assuring the board about compliance with the funding agreement and handbook
1.34	Demonstrate in the governance statement how the trust has secured value for money
1.34 and 4.12	Include a statement on regularity, propriety and compliance, signed by the accounting officer, in the audited accounts
1.38	Appoint a chief financial officer to lead the finance department
1.39	Have appropriately qualified and/or experienced finance staff
1.41	Appoint a governance professional (clerk to the board)
1.42	Be transparent with governance arrangements
1.43 and 1.44	Publish the trust's governance arrangements in its governance statement and in a readily accessible form on its website
1.45	Ensure governance documents are available for public inspection
1.47	Arrange DBS checks as appropriate
1.3	Have at least three members but should have five or more
1.4	Have suitability checks in place for members to ensure they are not subject to a direction under section 128 of the Education and Skills Act 2008
1.5	Not have members as employees, nor have members occupy staff roles on an unpaid voluntary basis
Main financial requirement	
Paragraph	Requirement
2.1	Maintain robust oversight of the trust
2.2	Take responsibility for financial affairs, stewardship of assets and use resources efficiently
2.6	Have sound internal control, risk management and assurance processes

2.7 and 2.25	<p>Establish a control framework that includes:</p> <ul style="list-style-type: none"> ensuring delegated financial authorities are complied with, and segregation of duties maintained co-ordinating the planning and budgeting process discipline in financial management, including managing debtors, creditors, cash flow and monthly bank reconciliations planning and oversight of capital projects including those relating to estates safety management and oversight of assets including maintenance of a fixed asset register regularity, propriety and value for money reducing fraud and theft independent checking of controls, systems, transactions and risks a competitive procurement procedure
2.8 and 2.9	Prepare and monitor financial plans to ensure the trust remains a going concern and ensure rigour and scrutiny in budget management
2.11	Ensure budget forecasts are accurate, based on realistic assumptions and reflective of lessons learned from previous years
2.15 and 2.16	Submit a budget forecast return to ESFA
2.17	Notify ESFA within 14 days if proposing a deficit revenue budget for the current financial year which it cannot address after taking into account unspent funds from previous years, as this would be non-compliant with the funding agreement and this handbook
2.18	Prepare management accounts every month.
2.21	Manage cash position robustly and avoid becoming overdrawn
2.22	Have a cautious approach to investments in line with the handbook principles
2.24	Show that public funds have been used as intended by Parliament
2.29	Publish on trust's website the number of employees whose benefits exceeded £100k, in £10k bandings
2.30	Ensure senior employees' payroll arrangements meet HM Treasury's tax requirements
2.31	Obtain ESFA prior approval for EV schemes unless no liability falls on the trust if an employee does not fulfil their contractual obligations with the scheme provider
2.32	Not use trust's funds to purchase alcohol for consumption, except where it is to be used in religious services

2.34	Charge for boarding provision in line with this handbook
2.35 and 2.36	Manage risks, including contingency and business continuity planning and maintain a risk register. Board to retain oversight of risk and conduct a full review of risk register at least annually.
2.37	Have adequate insurance or be a member of DfE's risk protection arrangement
2.39	Implement reasonable risk management audit recommendations
2.40 to 2.44	Have published procedures for whistleblowing and respond properly and fairly
2.45	Provide ESFA or its agents with information of sufficient quality to meet funding requirements
2.46 to 2.50	Notify DfE via Get information about schools within 14 days of changes in information about members, trustees, local governors, chair of trustees, chairs of local governing bodies, accounting officer and chief financial officer

Internal scrutiny

Paragraph	Requirement
3.1 to 3.5	Check financial and non-financial controls and risks
3.13	Ensure information submitted to DfE and ESFA affecting funding is accurate and compliant
3.14 to 3.17	Ensure checks are conducted by someone independent, suitably qualified and experienced
3.14 and 3.15	Provide internal scrutiny reports to the audit and risk committee and make the findings available to all trustees promptly
3.19	Confirm in the governance statement which internal scrutiny option has been applied and why
3.20	Provide annual summary of internal scrutiny to ESFA by 31 December, and provide other internal scrutiny reports on request

Annual accounts and external audit

Paragraph	Requirement
4.1 to 4.4	Produce audited accounts, publish on the trust's website by 31 January and file with Companies House
4.5 and 4.6	Appoint an external auditor in writing, for the annual accounts
4.6	Put any additional services from the external auditor in a separate letter of engagement
4.7	Provide in the audit contract for the removal of external auditors
4.8	Notify ESFA immediately of the removal or resignation of external auditors, and the reasons
4.9	Prepare information, at DfE's request, for the sector annual report and accounts
4.13	Include a review of the accounting officer's statement on regularity, propriety and compliance within the external auditor's remit, and address the auditor's conclusions on regularity jointly to the trust and ESFA
4.15	Audit and risk committee to review the external auditor's plan, annual accounts, audit findings, management response and effectiveness of the external auditor and produce annual report of conclusions

Delegated authorities	
5.1 and 5.2	Obtain ESFA's prior approval for transactions beyond the trust's delegated limits
5.3 and 5.4	Make financial disclosures in the annual accounts in line with this handbook
5.6	Refer novel, contentious and/or repercussive transactions to ESFA for prior approval
5.9	For staff severance payments, consider the following before committing: whether the proposed payment is in the trust's interests whether payment is justified and value for money, based on a legal assessment review the level of settlement, which must be less than the legal assessment of what the relevant body (e.g. employment tribunal) is likely to award
5.11	Obtain ESFA's prior approval for the non-contractual/non-statutory element of a staff severance payment of £50,000 or more (gross, before deductions)
5.12	Not accept a settlement for a staff severance payment unless satisfying the conditions in this handbook
5.13	Obtain prior approval for special staff severance payments of £100k or more which include a non-statutory/non-contractual element, and/or where the employee earns over £150k
5.14	Ensure confidentiality clauses do not prevent an individual's right to make disclosures in the public interest
5.15	For compensation payments, base on appraisal, including legal advice, ensuring value for money
5.16	Obtain ESFA's prior approval for non-contractual/non-statutory compensation payments of £50,000 or more
5.18	Obtain ESFA's prior approval for ex gratia payments
5.19 and 5.20	Obtain ESFA's prior approval for writing off debts and losses, guarantees, letters of comfort and indemnities beyond limits in this handbook
5.23 and 5.24	Obtain ESFA's prior approval, before acquiring and disposing of fixed assets beyond limits in this handbook and ensure disposal achieves best price
5.26 to 5.28	Obtain ESFA's prior approval for leases beyond limits in this handbook
5.31	Consider the funding needs of individual academies if pooling GAG, and have an appeals mechanism
5.31	Not pool PFI funding
5.32	Ensure gifts by the trust have the decision documented, and have regard to propriety and regularity
5.33	Obtain ESFA's prior approval before borrowing, including finance leases and overdrafts, and only use credit cards for business expenditure

5.36	Ensure no member, trustee, local governor, employee or related individual or organisation uses their connection to the trust for personal gain
5.36	Ensure no payments to trustees unless permitted by the articles and comply with the terms of any agreement with the Secretary of State
5.36	Obtain Charity Commission prior approval for paying a trustee for acting as a trustee
5.38	Ensure the board chair and the accounting officer manage their relationships with related parties to avoid real and perceived conflicts of interest
5.39 and 5.40	Recognise that related party transactions may attract public scrutiny and require sufficient disclosure in annual accounts to support accountability and transparency
5.41	Report all contracts and other agreements with related parties to ESFA in advance
5.42 to 5.44	Obtain ESFA prior approval for contracts and other agreements with related parties beyond limits in this handbook subject to the exceptions in 5.42
5.45 and 5.46	Capture in an up to date register of interests the relevant business and financial interests of members, trustees, local governors and senior employees [5.45] and interests of other individuals as described in 5.46
1.44 and 5.48	Publish relevant business and financial interests of members, trustees, local governors and accounting officers
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The regulator and intervention	
Paragraph	Requirement
6.2	Arrange for letters to trusts' accounting officers from ESFA's accounting officer about the accountability framework to be discussed by the board and, where appropriate, strengthen the trust's systems
6.3	Provide DfE/ESFA with access to books, records, information, explanations, assets, premises and staff to assist with its audits

6.4	Provide DfE/ESFA with permission for any third party to provide requested information where there are concerns or an investigation is ongoing at a trust
6.5	Retain records for at least six years after the period to which funding relates
6.6	Send ESFA a financial management and governance self-assessment for new academy trusts, or constituent academies joining an existing trust
6.6	Submit school resource management self-assessment checklist to ESFA annually
6.9	Be aware of the risk of fraud, theft and irregularity and address with proportionate controls and appropriate action
6.10	Notify ESFA of fraud or theft over £5,000, individually or cumulatively, or of any value where unusual or systematic
6.14	Be aware of the risk of cybercrime and put in place proportionate controls and appropriate action where a cyber security incident has occurred
6.15	Obtain permission from ESFA before paying any cyber ransom demands
6.17	Comply with a Notice to Improve
6.18	Waive delegated authorities and obtain ESFA approval of certain transactions described in this handbook if the trust has an Ntl
6.19	Publish the Ntl on the trust's website until it is lifted
6.26	Cooperate with NAO and provide help, information and explanation
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