



Blessed Edward Bamber  
**Catholic Multi Academy Trust**

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Registered in England & Wales

## THE BLESSED EDWARD BAMBER CATHOLIC MULTI ACADEMY TRUST FINANCIAL REGULATIONS AND PROCEDURES

### Scope

These regulations and procedures apply to all staff employed by the Blessed Edward Bamber Catholic Multi Academy Trust and its academies. There are specific responsibilities for a range of staff detailed within these procedures. These controls must be applied in conjunction with the current Academies Financial Handbook.

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## **Governance**

1. The Board of Directors is responsible for setting the annual budget for all its academies. The budget should be used to enable the academies to fulfill their Mission and Vision and achieve their educational objectives as stated in the Articles of Association and the Academies' Development Plans.
2. The Chief Executive Officer is responsible for ensuring the agreed annual budget is submitted to the Education Funding Agency by the appropriate deadline.
3. The Board of Directors is responsible for ensuring the Finance, Staffing & Premises Committee has clear Terms of Reference and properly maintained minutes of all meetings.
4. The Finance, Staffing & Premises Committee is responsible for:
  - Reviewing an annual draft budget for each academy, following recommendations from the Chief Executive Officer, for consideration by the Board of Directors and this should be minuted.
  - Monitoring of the Academies' budgets on a quarterly basis and taking any necessary action to ensure that spending does not exceed the total resources available.
  - Receiving reports of budget virements in excess of £10,000 during the financial year.
  - Annually reviewing and setting the charges to be made for use of the Academies' facilities.
  - Ensuring that the Academies' delegated funds are audited as per the Academy year end procedures. This will include ensuring the production and submission of audited accounts to 31 December and publishing the accounts on the website by the end of January.

## **Financial Management**

1. The Accounting Officer or designated person with overall financial responsibility must:
  - Prepare an annual budget profile to recommend to the Board of Directors against agreed budget headings.
  - Monitor and report to the Finance, Staffing & Premises Committee on a quarterly basis, spending against the annual budget profile. Take the necessary action to ensure that the overall spending does not exceed the total resources available. This may include initiating budget virements, up to the value of £10,000. All budget virements over this value need to be agreed in advance by Directors.
  - Report all changes in an academy's budget to the Finance, Staffing & Premises Committee on a quarterly basis.
2. The Headteacher of each academy must:
  - Designate a named person (budget holder) for each academy budget heading.
  - In the event of an absence of a budget holder of two weeks or more re-designate the budget to another named member of staff.
  - Ensure all budget holders have read and signed an up-to-date copy of the academy's financial regulations and procedures.

## **Budget Holders**

1. Budget holders are responsible for:
  - Planning and monitoring their designated budgets in keeping with the Academies' Financial Regulations and Procedures.
  - Limiting spending to the total amount of resources available within their designated budget.
  - Completing the official online requisition form for all purchase of goods.
  - Ensuring an authorised purchase order has been raised on the academy's management information system and an order number received prior to any order being placed with a supplier. The ordering of inspection copies is an exception to this rule when authorised by the Headteacher.
  - Ensuring courses have been authorised by the Headteacher/CPD Lead as stipulated in the academy's procedures and an online requisition completed prior to booking on line or by telephone. The confirmation should be given to the academy's finance team/lead
  - Checking the goods received against the delivery note prior to signing and dating the delivery note and returning it promptly to the finance team/lead.
2. All budget holders must declare to the Headteacher any pecuniary interests.

## **Staff**

1. All staff must declare to the Headteacher any pecuniary interests.

## **Financial Administration**

1. The academy's financial management information systems will be set up:
  - To separate duties of raising orders from the authorising of orders.
  - To ensure an appropriate audit trail is available.
  - To include the changing of passwords each term.
2. The finance personnel will ensure that:
  - Orders are recorded on the academy's financial management information system.
  - Debts are raised on the academy's financial management information system.
  - An appropriate and secure system is in place for receiving of income including the issuing of receipts.
  - A list of approved suppliers Proper accounting records, including orders, delivery notes, signed invoices and receipts, are maintained.
  - The Academies' procedures/guidance for the month end procedures should be followed.
  - Income collections should not be used for the encashment of personal cheques. Invoices should be issued within 30 days when requested and the Academies' should have a system for chasing debtors who exceed the 30 day rule.
  - The Academies' will maintain a list of the names and the specimen signatories of all authorities for signing claim forms, official orders etc
  - All expenditure must be supported by receipts and the cashing of personal cheques is not permitted.
  - All individual payments exceeding a pre-determined limit should be signed by any 2 of the Board of Directors these limits are £50,000 for St. Mary's Catholic Academy and £20,000 for St. Cuthbert's and Christ the King Catholic Academies
  - The Headteacher should ensure that s/he authorises all appointments, changes to individuals' conditions or terminating the employment of staff.
  - The Headteacher has ensured that at least two people are involved in the process of completing, checking and authorising all documents and claims relating to appointments, terminations of employment and expenses.
  - The Headteacher has ensured that only authorised staffs have access to personnel files and that arrangement for staff to gain access to their own records are in place.
  - The Headteacher has maintained a list of staff employed. S/he must ensure that this list is updated promptly to reflect new starters and leavers.
    - The Senior Finance Officer has obtained regular reports on payroll transactions and check them against the Academies' documentation on staffing and pay to ensure that they match.

## **Segregation of Duties for Finance Staff**

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Internal Requisition Forms	Heads of Department, Operational Managers and Budget Holders
Official Purchase Order form	Finance Personnel
Authorise Orders	Trust Business Manager /Deputy Head and Headteacher
Input Invoices	Finance Personnel
Certification of Invoices	Finance Personnel
Authorise Payment	Trust Business Manager/Deputy Head and Headteacher

### Approved List

- An approved list of suppliers must be maintained on the Academies' management information system.
- Only approved suppliers may be added to the academy's list on completion of a New Supplier Form and where appropriate:
  1. A Health and Safety Policy.
  2. Contractor's Public Liability and Employer's Liability Insurance.
  3. CIS Tax Certificate.

## Resource and Asset Management

All staff are responsible for the safe custody and control of the academy's resources. A higher level of care is expected from all managers.

- Managers/Budget Holders are responsible for maintaining stock books/inventories of equipment where the individual cost of each item exceeds £1000. An annual check of resources and assets against stock books/inventories must be completed.
- Resources may be taken off-site by any member of staff with the permission of their Line Manager. The safe custody of these resources, during their time off-site, and ensuring that appropriate insurance arrangements are in place is the responsibility of the member of staff.
- All ICT hardware must be security marked on receipt and, where appropriate, other items should be security marked.
- The Headteacher has the authorisation to declare equipment surplus or obsolete up to a current value for a single item of £1000. The current value should be determined using the following rates of straight line depreciation:

Freehold land and buildings	2% per annum
Long leasehold land and buildings	2% per annum
Fixtures, fittings and equipment	20% per annum
ICT equipment	33% per annum
Motor vehicles	25% per annum

- A record of items declared surplus or obsolete should be maintained by the designated finance personnel.
- Where items of equipment are disposed of the designated finance personnel will issue a receipt and the income credited to the academy's budget.

# Fraud Policy and Procedures

## Summary

This policy and procedure defines the expected conduct of all staff, whether in paid or voluntary employment, in relation to deterring and/or detecting fraud and corruption, and who to report it to. It includes clear guidelines on what is acceptable in terms of gifts and hospitality and how these matters are declared.

Also, reference is made to other policies where appropriate.

### 1. Introduction:

- 1.1 We are committed to ensuring that we act with integrity and have high standards of personal conduct. Everyone involved with the Trust has a responsibility in respect of preventing and detecting fraud. All staff and directors have a role to play. The Trust also recognises the role of others in alerting them to areas where there is suspicion of fraud.
- 1.2 Recognising a potential fraud and being able to report it is just as important as the measures to prevent and detect.
- 1.3 It is the duty of all employees and Directors to take reasonable steps to limit the possibility of corrupt practices, and it is the responsibility of the Responsible Officer and Auditors to review the adequacy of the measures taken by the Trust to test compliance and to draw attention to any weaknesses or omissions.
- 1.4 Any investigation carried out in relation to alleged irregularities is linked to the Trust's Disciplinary Procedure.

### 2. Definitions:

#### 2.1 Fraud

Fraud is a general term covering theft, deliberate misuse or misappropriation of assets or anything that leads to a financial advantage to the perpetrator or others upon whose behalf he or she acts, even if these "others" are in ignorance of the fraud. Fraud is in fact intentional deceit and for this reason it cannot include negligence.

Fraud incorporates theft, larceny, embezzlement, fraudulent conversion, false pretenses, forgery, corrupt practices and falsification of accounts.

#### 2.2 Corruption

The term 'corrupt practices' is defined for the purpose of this code as the offering, giving, soliciting or acceptance of an inducement or reward which may influence the actions taken by the Trust, its staff or Directors.

#### 2.3 Gifts and Hospitality

Any gifts, rewards and benefits that are disproportionately generous or that could be seen as an inducement to affect a business decision should be declared.

The acceptance of gifts and hospitality is a sensitive area where actions can easily be misconstrued. Therefore, employees' actions should be such that they would not be embarrassed to explain them to anyone.

#### 2.4 Irregularities fall within the following broad categories, the first three of which are criminal offences –

- **Theft** - the dishonest taking of property belonging to another person with the intention of depriving the owner permanently of its possession;

- **Fraud** - the intentional distortion of financial statements or other records by persons internal and external to the Trust, which is carried out to conceal the misappropriation of assets or otherwise for gain;
- **Bribery and corruption (Gifts & Hospitality – see Point 4.)**- involves the offering or the acceptance of a reward, for performing an act, or for failing to perform an act, which leads to gain for the person offering the inducement;
- **Failure to observe**, or breaches of, Scheme of Delegation and Financial Regulations; Procedures which in some circumstances can constitute an irregularity, with potentially significant financial consequences.

2.5 Examples of what could constitute fraud and corruption are -

- theft of cash;
- non-receipt of income;
- substitution of personal cheques for cash;
- travelling and subsistence claims for non-existent journeys/events;
- travelling and subsistence claims inflated;
- manipulating documentation to increase salaries/wages received, e.g. false overtime claims;
- payment of invoices for goods received by an individual rather than the Academy;
- failure to observe, or breaches of, regulations and/or other associated legislation laid down by the Academy;
- unauthorised borrowing of equipment;
- breaches of confidentiality regarding information;
- failure to declare a direct pecuniary or otherwise conflicting interest;
- concealing a generous gift or reward;
- unfairly influencing the award of a contract;
- creation of false documents;
- deception;
- using position for personal reward.

The above list is not exhaustive and fraud and corruption can take many different paths. If in any doubt about whether a matter is an irregularity or not, clarification must be sought from the Senior Finance Officer.

2.6 Similarly, if there is concern or doubt about any aspect of a matter which involves an irregularity, or an ongoing investigation into a suspected irregularity, the best approach is to seek advice from the Headteacher.

3. Policy Statement:

3.1 This policy and procedure defines Anti-Fraud & Corruption and Gifts & Hospitality and offers guidance for all staff in the Trust.

3.2 The Trust aims to be an honest and ethical institution. As such, it is opposed to fraud and seeks to eliminate fraud by the way it conducts business. This document sets out the Trust's policy and procedures for dealing with the risk of significant fraud or corruption. In order to minimise the risk and impact of fraud, the Trust's objectives are, firstly, to create a culture which deters fraudulent activity, encourages its prevention and promotes its detection and reporting and, secondly, to identify and document its response to cases of fraud and corrupt practices.

3.3 This policy, in line with the Trust's corporate values of integrity, consistency, impartiality, fairness and best practice, provides both staff and management with mutually understood guidelines for the administration of this procedure.

3.4 The scope of this procedure extends to all Trust employees, permanent, voluntary and fixed term.

3.5 Time limits specified in this document may be extended by mutual agreement.

3.6 If requested, employees may be accompanied by a recognised trade union representative or work colleague, not involved in any part of the process, at any interviews.

#### 4. Gifts & Hospitality:

4.1 These guidelines will help you to judge what sort of gift, and what level of hospitality is acceptable.

4.2 The following general rules apply and must guide decisions on receipt of gifts and hospitality as an employee of the Trust:

- To accept gifts should be the exception. You may accept small 'thank you' gifts of token value, such as a diary, a coffee mug or bunch of flowers, not over £25 in value. You should notify the Senior Finance Officer of any gift or hospitality over this value for entry in the Register of Business Interests.
- Always say "no" if you think the giver has an ulterior motive. Be sensitive to the possibility that the giver may think that even small gifts or simple hospitality will elicit a more prompt service or preferential treatment.
- Never accept a gift or hospitality from anyone who is, or may be in the foreseeable future, tendering for any contract with the Trust, seeking employment with the Trust or is in dispute with the Trust, even if you are not directly involved in that service area.
- Where items purchased for the Trust include a 'free gift', such a gift should either be used for Academy business or handed to the Academy Business Manger to be used for charity raffles.
- If you are in doubt about the acceptability of any gift or offer of hospitality it is your responsibility to consult the Finance Director or Headteacher.

4.3 A gauge of what is acceptable in terms of hospitality is whether this Trust would offer a similar level of hospitality in similar circumstances.

- Occasional working lunches with customers, providers or partners are generally acceptable as a way of doing business provided they are not to an unreasonable level or cost.
- Invitations to corporate hospitality events must each be judged on their merit. Provided the general rules have been taken into account, it may be acceptable to join other company/organisation guests at:
  - a. sponsored cultural and sporting events, or other public performances, as a representative of the Trust;
  - b. special events or celebrations.

But, consider the number of these events, and always take into consideration what public perception is likely to be if they knew you were attending.

- Acceptability depends on the appropriateness of the invitations, in terms of the level of hospitality, the frequency and the status of the invited employee. In all such cases the Headteacher must be consulted or in the case of the Headteacher s/he must consult the Chief Executive Officer.
- Paid holidays or concessionary travel rates are not acceptable. Neither are offers of hotel accommodation nor the use of company villas/apartments.
- If you are visiting a company to view equipment that the Trust is considering buying, you should ensure that expenses of the trip are paid by the Trust. Acceptance of refreshments and/or a working lunch may be acceptable, but care must be taken to ensure that the Trust's purchasing and/or tender procedures are not compromised.
- Acceptance of sponsored hospitality that is built into the official programme of conferences and seminars related to your work are acceptable.
- Offers to speak at corporate dinners and social gatherings, or events organised by, for example, a professional body, where there is a genuine need to impart information or represent the Trust must be agreed in advance with a Headteacher. Where your spouse or partner is included in the invitation,



and approval has been given for you to attend, it will be acceptable for your spouse or partner to attend as well, but if expenses are incurred, these will be met personally.

- Any invitation you accept should be made to you in your professional/working capacity as a representative of the Trust.

## **5. Roles and Responsibilities:**

### **5.1 Staff and Directors**

The following measures have been adopted to demonstrate its commitment to anti-fraud and corruption:

- Finance & Audit Committees meets regularly;
- A requirement for all staff and directors to declare prejudicial interests and not contribute to business related to that interest;
- A requirement for staff and directors to disclose personal interests;
- All staff and directors are made aware of the understanding on the acceptance of gifts and hospitality;
- Clear recruitment policies and procedures.

Staff and directors also have a duty to report another member of staff or director whose conduct is reasonably believed to represent a failure to comply with the above.

### **5.2 Responsible Officer**

The Responsible Officer has specific responsibility for overseeing the financial arrangements on behalf of the Directors.

The main duties of the Responsible Officer are to provide the directors with on-going independent assurance that:

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

### **5.3 Senior Finance Officer**

The Senior Finance Officer has a responsibility for ensuring that effective systems of internal controls are maintained and will safeguard the resources of the Trust.

In respect of fraud it is therefore the responsibility of the Senior Finance Officer to ensure internal controls prevent and detect any frauds promptly. This includes:

- Proper procedures and financial systems;
- Effective management of financial records;
- Management of the Trust's financial position.

### **5.4 External Audit**

The Trust's Annual Report and Financial Statements include an Independent Auditors' Report. This report includes a view as to whether the financial statements give a true and fair view and whether proper accounting records have been kept by the trust throughout the financial year. In addition, it reports on compliance with the accounting requirements of the relevant Companies Act and confirms compliance with the financial reporting and annual accounting requirements issued by the Dept of Education.

## **6. Reporting a Suspected Fraud:**

- 6.1 All allegations of suspected fraud and irregularities are to be brought to the attention of the Finance Director and also referred to the Headteacher, unless this individual is involved in the irregularity in which case the Chair of Directors should be informed.

## **7. Response to Allegations**

- 7.1 The Headteacher will have initial responsibility for co-ordinating the initial response. In doing this he/she will consult with the Chief Executive Officer regarding potential employment issues. The Chief Executive Officer may also seek legal advice from the Academy's solicitors on both employment and litigation issues before taking any further action.
- 7.2 The Chief Executive Officer and Headteacher will ascertain whether or not the suspicions aroused have substance. In every case, and as soon as possible after the initial investigation, they will pass the matter on to the Chair of Audit Committee. Even if there is no evidence to support the allegation, the matter must be reported.
- 7.3 The Audit Committee will undertake the management of the investigation.
- They will, if appropriate, conduct a preliminary investigation to gather factual information and reach an initial view as to whether further action is required.
  - They will determine whether the findings, conclusions and any recommendations arising from the preliminary investigation should be reported to the Chair of Directors.
  - If further investigations are required, they will determine which outside agencies should be involved (police, auditors).
- 7.4 The Headteacher is required to notify the Chief Executive Officer of any serious financial irregularities. This action will be taken at the first opportunity following the completion of the initial investigations and will involve keeping the Chair of Board fully informed between directors' meetings of any developments relating to serious control weaknesses, fraud or major accounting breakdowns.
- 7.5 If evidence of fraud is forthcoming then the Board of Directors will inform the Education Funding Agency as required by the Funding Agreement and will consider whether or not to refer the matter to the police.

## **8. Confidentiality and Safeguards**

- 8.1 The decision to report a concern can be a difficult one to make, not least because of the fear of reprisal from those responsible for the alleged malpractice. The Academy will not tolerate harassment or victimisation and will do what it lawfully can to protect an individual when a concern is raised in good faith.
- 8.2 This does not mean that if the person raising the concern is already the subject of a disciplinary, redundancy or other procedure, that those procedures will be halted as a result of the concern being reported.
- 8.3 There is a need to ensure that the process is not misused.

# PROCEDURES FOR ENSURING VALUE FOR MONEY, OBTAINING COMPETITIVE QUOTES AND TENDERING

## 1. Introduction

1.1 This document is intended to function as a working manual for budget holders to ensure that minimum standards are met and quality is ensured as the Academy strives to achieve best value for money in acquisition of goods, materials, services or execution of any work.

1.2 The document covers three related areas:

- Ensuring Value for Money. This covers the acquisition of goods, materials, services or execution of any work below the value of £10,000 at a primary academy and £35,000 at a secondary academy.
- Obtaining Competitive Quotations. This covers the acquisition of goods, materials, services or execution of any work higher than the limit noted above up to the value of £50,000.
- Tendering. This covers the acquisition of goods, materials, services or execution of any work in excess of £50,000. If tendering procedures are required then the Headteacher, prior to any process being initiated, will seek professional support.

2. Ensuring Value for Money (Goods, Materials, Services or execution of any work up to the value of £10,000/£35,000)

2.1 Prior to any acquisition the budget holder must ensure that they are aware of the outcomes required of the goods, materials, services or execution of any work.

2.2 For goods, materials, services and execution of works likely to be in excess of £10,000 but less than £12,500 the budget holder must obtain permission from the Headteacher to proceed. The Headteacher may at his/her discretion decide to involve the procedures for "Obtaining Competitive Quotations" if s/he decides that the process may yield better value for money.

2.3 Once the budget holder is aware of the outcomes of her/his proposed acquisition then they should obtain costings either through a review of price lists/catalogues or by requesting quotes from a company, manufacturer, firm or individuals.

2.4 The budget holder must select the lowest costing/quote that meets the outcomes required. If the lowest costing/quote is not accepted the reasons must be formally evidenced and presented to the Headteacher prior to the ordering of process being initiated.

2.5 All requests for goods, materials, services or execution of any work must be placed on the academy's computerised financial management system prior to an order being placed with a company, manufacturer, firm or individual.

2.6 The purchase of goods, materials, services or execution of any work should not be artificially broken down into smaller packages to purposefully avoid the need to obtain competitive quotations or implement tendering procedures. There must be demonstrable operational advantage for the disaggregation of work.

2.7 Where a budget holder may be compromised through a conflict of interest the matter must be referred to the Headteacher.

3. Obtaining Competitive Quotations (Goods, materials, services or execution of any works between the limit in point 2 above and £50,000 in value)

3.1 For each contract a budget holder must approach the Headteacher for permission to proceed.

3.2 Where an Academy intends to only obtain quotations from a preferred supplier the contract should be agreed by the Board of Directors

3.3 The Headteacher is responsible for appointing a Lead Contract Officer for each contract who will have overall responsibility for:

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- Managing the production of a specification.
- Determining criteria and weightings for use in the evaluation process and producing a scoring matrix for use in the evaluation process.
- Organising the documentation to go out to the company, manufacturer, firm or individual.
- Receiving and ensuring safe storage of competitive quotations.
- Leading the evaluation of competitive quotations received.

The Lead Contract Officer is responsible for informing the Headteacher of any possible conflicts of interest as they arise in the process.

- 3.4 In managing the overall process the Lead Contract Officer should directly correlate the documentary detail and number of organisations involved in providing quotes to the likely cost of the goods, materials, services or execution of any works. The greater the likely costs the more detailed the documentation should be and the greater the number of organisations asked to provide quotes.
- 3.5 The Lead Contract Officer should manage the production of a specification that itemises the goods, materials, services or execution of any works needed to fulfill the contract. Care should be taken to ensure sufficient detail is included within the specification to allow a company, manufacturer, firm or individual to fully understand the requirements of the contract and allow the Academy to hold them accountable for the quality of goods, materials, services or execution of any work provided.
- 3.6 Under no circumstances must the Lead Officer use or allow a company, manufacturer, firm or individual who may provide a competitive quotation for the contract to assist with or have input into the drawing up of a specification.
- 3.7 Once a specification has been completed, the Lead Contract Officer should determine criteria and weightings for evaluating the competitive quotations received.
- 3.8 The Lead Contract Officer should identify, from the Academies' approved list, between three to six companies, manufacturers, firms or individuals to send the documentation to. The Lead Contract Officer must ensure that any companies, manufacturers, firms or individuals selected do not engage in activities that compromise the Catholic nature of the Academies.
- 3.9 If the contract is of a highly specialised nature and there are not three companies, manufacturers, firms or individuals who can provide the goods, materials, services or execution of work, permission must be sought from the Headteacher to proceed with the contract with fewer than three competitive quotations.
- 3.10 Documentation sent out should include:
- A letter inviting the company, manufacturer, firm or individual to submit a competitive quotation. (See Appendix A).
  - The specification for the contract.
  - The evaluation criteria and weightings for evaluating the competitive quotes received. See Appendix B).
  - Any conditions associated with the contract.
  - Instructions to companies, manufacturers, firms or individuals submitting competitive quotations. (See Appendix C).
  - Quotation Form. (See Appendix D & E)
- 3.11 On receipt of a quotation the Lead Contract Officer should place the unopened envelope in the ' safe or other locked storage or leave an email quotation unopened and in a specific quotations folder. The unopened envelopes, containing the quotations for the contract, should remain in the academy's safe until 24 hours after the closing date and time.
- 3.12 At an agreed date and time the Lead Officer should open the envelopes containing the competitive and print the email quotations in the presence of the Headteacher and one other person from the Board of Directors.
- 3.13 The quotations should then be evaluated using the previously devised criteria to ensure that the most economically advantageous quotation is accepted. Written documentation of this process should be

maintained to ensure an adequate audit trail. The quotation to be accepted should be agreed by two of the Board of Directors.

- 3.14 A copy of the documentation and recommendation of which quotation is most economically advantageous should be recorded by the Lead Contract Officer.
- 3.15 The Lead Contract Officer should then write to the successful and unsuccessful companies, manufacturers, firms or individuals to notify them of the Directors' decision.
- 3.16 The Lead Contract Officer must ensure all documentation relating to the process is retained and given to the bursar. The Finance/Assistant Finance/ Office Manager should ensure the safe storage of the documentation for a minimum period of six years.
- 3.17 The Lead Contract Officer should then proceed with the acquisition of the goods, materials, services or execution of the work ensuring that all requests are placed on the academy's computerised financial management system prior to an order being placed with a company, manufacturer, firm or individual.
- 3.18 The purchase of goods, materials, services or execution of any work should not be artificially broken down into smaller packages to purposefully avoid the need to implement tendering procedures. There must be demonstrable operational advantage for the disaggregation of work.

Letter of Invitation to Submit Quote

Dear .....

Ref : (Name of contract)

I have pleasure in inviting you to submit a quotation for the scheme and I enclose the following documents:-

- List of documents which are to be sent to contractor\*

Quotes should be submitted by email or post to the addresses below not later than 12 noon on.....

Email Address  
Postal Address

If you have any queries regarding this scheme please contact Mr(s)..... at the above address or telephone number.

The Academy does not bind itself to accept the lowest of any quotes that it receives or any quote that it receives.

Yours faithfully,

-----

Quote for: .....

Closing Date: .....

I/We confirm receipt of quote documents in respect of this contract.

Signed .....

On behalf of ..... (Capitals please)

### **Evaluation of Quotes – Method (Standard Paragraph)**

To be inserted as a standard paragraph in contract documentation when criteria other than cost will be used for evaluation:-

‘The academy will accept the tender that it considers to be the most economically advantageous, taking into account quality aspects of a quoter’s proposals. It may take any relevant factor into account and reserves the right not to award the contract to the lowest or any quoter.

Details of the evaluation criteria to be used in the assessment of each quote and the information required by the academy are contained in the attached schedule.

The academy’s assessment will be based on:

- a) Quoted prices, costs/credits that the academy would bear/realise in the event of awarding the contract to a particular quoter.
- b) Any method and quality statements or other documents submitted as part of the process and as per information requested in relation to the quality assessment criteria as per schedule
- c) Quoters responses (written or oral) to questions submitted by the Academy’s Directors during formal interviews or presentations (if any) or at any point during the process.
- d) References provided by third parties concerning the quoters experience/ performance in operating similar contracts. References may be written or oral
- e) Previous experience of the Academy in respect of any particular Quoter
- f) Any reports by consultants commissioned by the academy to support the evaluation.

Where insufficient information is provided in relation any specific evaluation criteria, no credit will be given for that aspect of quality.”

**Instructions to Quoters** (minimum requirement - further instructions/additional clauses may be required)

The Quotation Form, duly completed and signed must be enclosed with the quote and must be delivered to the Lead Contract Officer not later than 12 noon on.....

Any quote that is received after the last date and time specified will NOT be admitted for consideration and will remain unopened.

The Quote Form supplied herewith shall become a quote only when signed, and any alterations to the form and/or specification may invalidate the quote. The blanks in the Quote Form must be completed by the Quoter in ink.

Supporting information and appropriate documentation should be provided to assist the Academy in evaluating the quote. Reference should be made to the evaluation criteria to be used.

If the Quoter wishes to obtain any additional information to enable him to complete her/his quote, or with regard to the true intent and meaning of any clause forming part of the Conditions or Specification, s/he shall obtain this information, in writing, from the Lead Contract Officer before his quote is submitted.

Quoters should treat the contract documents as private and confidential. The Quoter should not communicate any of the information contained therein to any person except for the bona fide purpose of preparing her/his quote.

Key dates for the following are :

- (a) Quotation return.....
- (b) Quotation acceptance (approx.).....
- (c) Commencement.....
- (d) Completion.....

Unsuccessful Quoters will be notified in writing of the results when the contract has been let.

The Academy is not obliged to accept the lowest or any quote received.



**QUOTATION FORM**

TO: THE LEAD CONTRACT OFFICER, <NAME & ADDRESS OF ACADEMY>

I/We, the undersigned, do hereby undertake upon the terms and conditions and in the manner described in the Conditions of Contract and Specification which have been furnished to me/us, to execute complete and maintain the whole of the works included or implied in the said Specification to the entire satisfaction of the academy. I/We am/are willing to enter into a Contract incorporating the said Conditions of Contract and Specification and to execute, complete and maintain the whole of the works.

\*I/We further undertake to complete the whole of the works comprised in the Contract within ..... weeks from the date of possession to be agreed in accordance with the Appendix to the Conditions of Contract.

or

\*I/We further undertake to complete delivery of the whole of the goods comprised in the Contract within.....weeks from the date of the signing of the Contract.

This quote remains open for acceptance for a period of 12 weeks from the quotation return date.

We understand that the Academy is not bound to accept the lowest or any quote it may receive.

\* Delete as appropriate

**Quotation Form**

I/We the undersigned hereby agree and undertake to carry out, execute and complete the following work i.e ..... in accordance with the Specification prepared by the Lead Contract Officer and upon and subject to the General Conditions of Contract examined by me/us, for such sum as may be ascertained in accordance with the said Conditions of Contract/for the sum of :----- (in writing)

£ : p (in figures)

Signature and full name of Quoter .....

Date .....

Address .....

.....

Telephone Number ..... Fax No .....

Address of Registered Office (if Limited Company) - if not registered please insert full names of Quoters (ie full forenames)

.....

.....

Telephone Number ..... Fax No .....

Name and Address of Quoter's Bank

Address .....

.....

.....

Telephone Number ..... Fax No .....

## Quotation Checklist

To be completed by the Lead Contract Officer

Description of goods/services	
Specification produced? Copy to file	YES/NO
Criteria and weightings produced Copy to file	YES/NO
Suppliers to be approached (between 3 and 6)	
If less than 3, agreed with Board of Directors	DATE; MINUTED
Documentation send to suppliers	DATE
Deadline for return of quotes	DATE
Meeting for quote evaluation	DATE
Attendees Must include Headteacher and one Director	
Quotes received:	
Supplier 1	£
Supplier 2	£
Supplier 3	£
Successful supplier	
Reasons why	
<b>Signed by:</b>	
Lead Contract Officer	
Headteacher	
Director	
<b>Signed to agree by</b>	
Director 1	
Director 2	
Date	

## BEST VALUE STATEMENT

### Best Value

Directors will apply the four principles of *best value*:

- **Challenge** – is the academy’s performance high enough? Why and how is a service provided? Do we still need it? Can it be delivered differently? What do parents want?
- **Compare** – How does the academy’s pupil performance and financial performance compare with all schools? How does it compare with LA schools? How does it compare with similar Academics?
- **Consult** – How does the academy seek the views of stakeholders about the services the Academy provides?
- **Compete** – How does the academy secure efficient and effective services? Are services of appropriate quality, economic?

### The Board of Director’s Approach

- The Board/Academy will apply the principles of *best value* when making decisions about:
  - The allocation of resources to best promote the aims and values of the academy.
  - The targeting of resources to best improve standards and the quality of provision.
  - The use of resources to best support the various educational needs of all pupils.

Directors and the senior leaders will:

- Make comparisons with other/similar schools using benchmarking data provided e.g. RAISE, quality of teaching and learning, levels of expenditure.
- Challenge proposals, examining them for effectiveness, efficiency and cost, e.g. setting of annual pupil achievement targets.
- Require suppliers to compete on grounds of costs and quality/suitability of services/products/backup, e.g. provision of computer suite, redecoration.
- Consult individuals and organisations on quality/suitability of service we provide to parents and pupils and services we receive from providers, e.g. Sex and Relationships Education, pupil reports, assigned inspector, OFSTED.

This will apply in particular to:

- Staffing.
- Use of premises.
- Use of resources.
- Quality of teaching.
- Quality of learning.
- Purchasing.
- Pupils’ welfare.
- Health and Safety.

Directors and senior leaders:

- Will not waste time and resources on investigating minor areas where few improvements can be achieved.
- Will not waste time and resources to make minor savings in costs.
- Will not waste time and resources by seeking tenders for minor supplies and services.

The pursuit of minor improvements or savings is not cost effective if the administration involves substantial time or costs. Time wasted on minor improvements or savings can also distract management from more important or valuable areas.

### ***Staffing***

Directors and senior leaders will deploy staff to provide best value in terms of quality of teaching, quality of learning, adult-pupil ratio and curriculum management.

### ***Use of Premises***

Directors and senior leaders will consider the allocation and use of teaching areas, support areas and communal areas to provide the best environment for teaching and learning, for support services and for communal access to central resources, e.g. LRC.

### ***Use of Resources***

Directors and senior leaders/college managers will deploy equipment, materials and services to provide pupils and staff with resources which support quality of teaching and quality of learning.

### ***Teaching***

Directors and senior leaders will review the quality of curriculum provision and quality of teaching, to provide parents and pupils with:

- A curriculum which meets the requirements of the National Curriculum, RE Syllabus and the needs of pupils.
- Teaching which builds on previous learning and has high expectations of children's achievement.

### ***Learning***

Directors and senior leaders will review the quality of children's learning by cohort, class and group, to provide teaching which enables children to achieve nationally expected progress, e.g. setting of annual pupil achievements targets.

### ***Purchasing***

Directors and senior leaders will develop procedures for assessing need and obtaining goods and services which provide "best value" in terms of suitability, efficiency, time and cost. Measures already in place include:

- Competitive "quoting" procedures (e.g. for goods and services above £10,000).
- Procedures for accepting "best value" quotes, which are not necessarily the cheapest (e.g. suitability for purpose and quality of workmanship).
- Procedures which minimise office time by the purchase of goods or services direct from known, reliable suppliers (e.g. stationery, small equipment).

### ***Pupils' Welfare***

Directors and senior leaders will review the quality of the school/college environment and the college ethos, in order to provide a supportive environment conducive to learning and recreation.

## **Health and Safety**

Directors and senior leaders will review the quality of the Academy environment and equipment, carrying out risk assessments where appropriate, in order to provide a safe working environment for pupils, staff and visitors.

## **Monitoring**

These areas will be monitored for best value by:

1. In-house monitoring by the Senior Leadership Team and curriculum managers.
2. Annual target setting meetings between the SLT and curriculum managers.
3. Annual Performance Management.
4. Annual Budget Planning.
5. Quarterly financial reports.
6. Analysis of pupil performance data, e.g. SAT/GCSE results.
7. Analysis of pupil performance data.
8. Analysis of financial data, e.g. bench mark data for schools.
9. Analysis of DfE pupil performance data, e.g. RAISE.
10. OFSTED & Diocesan Inspection reports.
11. Termly committee meetings.
12. The Board of Director's Annual Finance Review.
13. Board of Directors' Annual Development Plan Meeting.

The Board of directors will:

- Hold an annual performance plan meeting to set targets for improving pupil achievement.
- Hold an annual development plan meeting.
- Discuss "Best Value" at each Autumn Term meeting of the Finance, Staffing & Premises Committee.
- Consider best value when arranging internal and external redecoration contracts.
- Obtain tenders and advice on the installation of an IT suite and any large scale refurbishment of the premises.
- Obtain assessment management surveys.

## Accounting Policies

### Basis of preparation

The financial statements of the academy trust, which is a public benefit entity under FRS 102, have been prepared under the historical cost convention in accordance with the Financial Reporting Standard Applicable in the UK and Republic of Ireland (FRS 102), the Accounting and Reporting by Charities: Statement of Recommended Practice applicable to charities preparing their accounts in accordance with the Financial Reporting Standard applicable in the UK and Republic of Ireland (FRS 102) (Charities SORP (FRS 102)), the Academies Accounts Direction 2015 to 2016 issued by the EFA, the Charities Act 2011 and the Companies Act 2006.

Blessed Edward Bamber Catholic Multi Academy Trust meets the definition of a public benefit entity under FRS 102.

### Going Concern

The Directors assess whether the use of going concern is appropriate i.e. whether there are any material uncertainties related to events or conditions that may cast significant doubt on the ability of the company to continue as a going concern. The Directors make this assessment in respect of a period of at least one year from the date of authorization for issue of the financial statements and have concluded that the academy trust has adequate resources to continue in operational existence for the foreseeable future and there are no material uncertainties about the academy trust's ability to continue as a going concern, thus they continue to adopt the going concern basis of accounting in preparing the financial statements.

### Income

All incoming resources are recognized when the academy trust has entitlement to the funds, the receipt is probable and the amount can be measured reliably.

- Grants

Grants are included in the Statement of Financial Activities on a receivable basis. The balance of income received for specific purposes but not expended during the period is shown in the relevant funds on the balance sheet. Where income is received in advance of meeting any performance-related conditions there is not unconditional entitlement to the income and its recognition is deferred and included in creditors as deferred income until the performance-related conditions are met. Where entitlement occurs before income is received, the income is accrued.

General Annual Grant is recognized in full in the Statement of Financial Activities in the year for which it is receivable and any abatement in respect of the period is deducted from income and recognized as a liability.

Capital grants are recognized when there is entitlement and are not deferred over the life of the asset on which they are expended. Unspent amounts of capital grant are reflected in the balance in the restricted fixed asset fund.

- Sponsorship income

Sponsorship income provided to the academy trust which amounts to a donation is recognized in the Statement of Financial Activities in the period in which it is receivable (where there are no performance-related conditions), where the receipt is probable and it can be measured reliably.

- Donations

Donations are recognized on a receivable basis (where there are no performance-related conditions) where the receipt is probable and the amount can be reliably measured.

- Other income

Other income, including the hire of facilities, is recognised in the period it is receivable and to the extent the academy trust has provided the goods or services.

- Donated goods, facilities and services

Goods donated for resale are included at fair value, being the expected proceeds from sale less the expected costs of sale. If it is practical to assess the fair value at receipt, it is recognised in stock and

“Income from other trading activities”. Upon sale, the value of the stock is charged against “Income from other trading activities” and the proceeds are recognised as “Income from other trading activities”. Where it is impractical to fair value the items due to the volume of low value items they are not recognised in the financial statements until they are sold. The income is recognised within “Income from other trading activities”.

Where the donated good is a fixed asset it is measured at fair value, unless it is impractical to measure this reliably, in which case the cost of the item to the donor should be used. The gain is recognized as income from donations and a corresponding amount is included in the appropriate fixed asset category and depreciated over the useful economic life in accordance with the academy trust’s accounting policies.

#### Expenditure

Expenditure is recognized once there is a legal or constructive obligation to transfer economic benefit to a third party, it is probable that a transfer of economic benefits will be required in settlement and the amount of the obligation can be measured reliably. Expenditure is classified by activity. The costs of each activity are made up of the total of direct costs and shared costs, including support costs involved in undertaking each activity. Direct costs attributable to a single activity are allocated directly to that activity. Shared costs which contribute to more than one activity and support costs which are not attributable to a single activity are apportioned between those activities on a basis consistent with the use of resources. Central staff costs are allocated on the basis of time spent, and depreciation charges allocated on the portion of the asset’s use.

- Expenditure on raising funds  
This includes all expenditure incurred by the academy trust to raise funds for its charitable purposes and includes costs of all fundraising activities events and non-charitable trading.
- Charitable activities  
These are costs incurred on the academy trust’s educational operations, including support costs and cost relating to the governance of the academy trust apportioned to charitable activities.

All resources expended are inclusive of irrecoverable VAT.

#### Intangible Fixed Assets

Intangible fixed assets costing £1,000 or more are capitalised and recognised when future economic benefits are probable and the cost or value of the asset can be measured reliably. Intangible assets are initially recognised at cost and are subsequently measured at cost net of amortisation and any provision for impairment. Amortisation is provided on intangible fixed assets at rates calculated to write off the cost of each asset on a straight-line basis over its expected useful life, as follows:

- Purchased computer software                      33% per annum

#### Tangible Fixed Assets

Assets costing £1,000 or more are capitalised as tangible fixed assets and are carried at cost, net of depreciation and any provision for impairment.

Where tangible fixed assets have been acquired with the aid of specific grants, either from the government or from the private sector, they are included in the Balance Sheet at cost and depreciated over their expected useful economic life. Where there are specific conditions attached to the funding requiring the continued use of the asset, the related grants are credited to a restricted fixed asset fund in the Statement of Financial Activities and carried forward to the Balance Sheet. Depreciation on the relevant assets is charged directly to the restricted fixed asset fund in the Statement of Financial Activities. Where tangible fixed assets have been acquired with unrestricted funds, depreciation on such assets is charged to the unrestricted fund.

Depreciation is provided on all tangible fixed assets other than freehold land, at rates calculated to write off the cost of each asset on a straight line basis over its expected useful life as follows:

Freehold land and buildings	2% per annum
Long leasehold land and buildings	2% per annum
Fixtures, fittings and equipment	20% per annum



ICT equipment	33% per annum
Motor vehicles	25% per annum

Assets in the course of construction are included at cost. Depreciation on these assets is not charged until they are brought into use.

A review of impairment of a fixed asset is carried out if events or changes in circumstances indicate that the carrying value of any fixed asset may not be recoverable. Shortfalls between the carrying value of fixed assets and their recoverable amounts are recognized as impairments. Impairment losses are recognized in the Statement of Financial Activities.

#### Liabilities

Liabilities are recognised when there is an obligation at the balance sheet date as a result of a past event, it is probable that a transfer of economic benefit will be required in settlement, and the amount of the settlement can be estimated reliably. Liabilities are recognised at the amount that the academy trust anticipates it will pay to settle the debt or the amount it has received as advanced payments for the goods or services it must provide.

#### Provisions

Provisions are recognized when the academy trust has an obligation at the reporting date as a result of a past event which it is probable will result in the transfer of economic benefits and the obligation can be estimated reliably.

Provisions are measured at the best estimate of the amounts required to settle the obligation. Where the effect of the time value of money is material, the provision is based on the present value of those amounts, discounted at the pre-tax discount rate that reflects the risks specific to the liability. The unwinding of the discount is recognized within interest payable and similar charges.

#### Leased Assets

Rentals under operating leases are charged on a straight line basis over the lease term.

#### Taxation

The academy trust is considered to pass the tests set out in Paragraph 1 Schedule 6 of the Finance Act 2010 and therefore it meets the definition of a charitable company for UK corporation tax purposes.

Accordingly, the academy trust is potentially exempt from taxation in respect of income or capital gains received within categories covered by part 11, chapter 3 of the Corporation Tax Act 2010 or Section 256 of the Taxation of Chargeable gains Act 1992, to the extent that such income or gains are applied exclusively to charitable purposes.

#### Pensions Benefits

Retirement benefits to employees of the academy trust are provided by the Teachers' Pension Scheme (TPS) and the Local Government Pension Scheme (LGPS). These are defined benefit schemes.

The TPS is an unfunded scheme and contributions are calculated so as to spread the cost of pensions over employees' working lives with the academy trust in such a way that the pension cost is a substantially level percentage of current and future pensionable payroll. The contributions are determined by the Government Actuary on the basis of quadrennial valuations using a prospective unit credit method. The TPS is a multi-employer scheme and there is insufficient information available to use defined benefit accounting. The TPS is therefore treated as a defined contribution scheme for accounting purposes and the contributions recognised in the period to which they relate.

The LGPS is a funded scheme and the assets are held separately from those of the academy trust in separate trustee administered funds. Pension scheme assets are measured at fair value and liabilities are measured on an actuarial basis using the projected unit credit method and discounted at a rate equivalent to the current rate of return on a high quality corporate bond of equivalent term and currency to the liabilities. The actuarial valuations are obtained at least triennially and are updated at each balance sheet date. The amounts charged to operating surplus are the current service costs and the costs of scheme introductions, benefit changes, settlements and curtailments. They are included as part of staff costs as incurred. Net interest in the net defined benefit liability/asset is also recognised in the Statement of Financial Activities and comprises the interest cost on the defined benefit obligation and interest income on the scheme assets, calculated by

multiplying the fair value of the scheme assets at the beginning of the period by the rate used to discount the benefit obligations. The difference between the interest income on the scheme assets and the actual return on the scheme assets is recognised in other recognised gains and losses.

Actuarial gains and losses are recognised immediately in other gains and losses.

#### Fund Accounting

Unrestricted income funds represent those resources which may be used towards meeting any of the charitable objects of the academy trust at the discretion of the trustees.

Restricted fixed asset funds are resources which are to be applied to specific capital purposes imposed by funders where the asset acquired or created is held for a specific purpose.

Restricted general funds comprise all other restricted funds received with restrictions imposed by the funder/donor and include grants from the Education Funding Agency.

#### Critical accounting estimates and areas of judgement

Estimates and judgements are continually evaluated and are based on historical experience and other factors, including expectations of future events that are believed to be reasonable under the circumstances.

#### Critical accounting estimates and assumptions

The academy trust makes estimates and assumptions concerning the future. The resulting accounting estimates and assumptions will, by definition, seldom equal the related actual results. The estimates and assumptions that have a significant risk of causing a material adjustment to the carrying amounts of asset and liabilities within the next financial year are discussed below.

The present value of the Local Government Pension Scheme defined benefit liability depends on a number of factors that are determined on an actuarial basis using a variety of assumptions. The assumptions used in determining the net cost (income) for pensions include the discount rate. Any changes in these assumptions will impact the carrying amount of the pension liability. Furthermore a roll forward approach which projects results from the latest full actuarial valuation performed at 31 March 2013 has been used by the actuary in valuing the pension liability at 31 August 2016. Any differences between the figures from the roll forward approach and a full actuarial valuation would impact on the carrying amount of the pension liability.

## **FINANCE, STAFFING AND PREMISES COMMITTEE**

**To develop and align resources - financial, staffing & premises – to enhance the capacity of the Trust and its academies to deliver their stated mission & vision.**

### **Terms of Reference**

The main responsibilities of the committee are, in consultation with the Chief Executive Officer:

- To ensure the proper allocation and management of funds delegated to the Trust and its academies employing Best Value for Money principles
- To consider and make determinations on matters related to the appointment of staff and the Trust's responsibilities as employer.
- To consider and make determinations on all matters to do with major or minor capital works or improvements, the maintenance of the buildings and grounds, health and safety, the appearance of the academies and use of buildings and grounds.
- To report back to the Trust's Board on its key work and determinations.

The terms of reference will be reviewed and agreed at the first full Board of Director's Meeting of the academic year.

### **Its functions are:**

1. Regularly to review and monitor spending on priorities in the academies development plan and, where necessary, make recommendations to the Board.
2. To provide guidance and assistance to the Board & Chief Executive Officer on all financial matters concerning the Trust and its academies including the use of accounting, financial and auditing services procured from other companies/agencies.
3. To receive and review a provisional Trust and individual academy budgets for the timely approval of the Board to allow it to be submitted to the Education Funding Agency, by the required date.
4. To monitor income and expenditure of all delegated funds (including monies delegated for specific purposes, eg INSET), and make necessary reports to the Board.

### **Delegated Powers (Staffing)**

1. Determine a staffing structure and review it as required.
2. Make a determination on the appointment of all new staff except those delegated to the Chief Executive Officer as stipulated below or on the leadership scale which is the responsibility of the Board.
3. With the assistance of the Chief Executive Officer, review, consult and approve policies and documents as delegated by the Board.
4. Delegate to the Chief Executive Officer:
  - Determination on all appointments of less than two years in duration or "like for like" replacements. All appointments to be affordable within budget and reported to the committee.
5. Delegate to the Headteacher:
  - Implementing procedures for the appointment of all new staff after determination by the Chief Executive Officer, Finance, Staffing & Premises Committee or Board as appropriate.
  - The issuing of proper contracts of employment to all staff and that appropriate job descriptions are in place.

### **Delegated Powers (Finance)**

1. To receive and review a provisional Trust and individual academy budgets for the timely approval of the Board to allow it to be submitted to the Education Funding Agency, by the required date.
2. Exercise budget virements for amounts more than those permitted to the Headteacher in line with the Trust's Financial Regulations.
3. Agree and implement a Lettings Policy (including charges), ensuring that the appropriate repayments from lettings are credited to the academy's budget.
4. Prevent spending exceeding the total of the annual budget, after including any funds from previous years, and immediately report to the Board if there is a possibility of overspend.
5. Ensure the annual audit/checking of balances of any other funds operated by the Academy e.g. the Unofficial "Academy Funds".

### **Delegated Powers (Premises)**

1. To ensure that the buildings provide a high quality learning environment that enables the academies to deliver their curricula.
2. In consultation with the appropriate bodies, approve all matters to do with any new building or improvement, which have been agreed by the Board. Ensure payments on the schedule prepared by the appropriate body.
3. In consultation with the appropriate bodies, ensure that there is a scheme for regular maintenance and refurbishment of the building.
4. Agree and monitor the spending of capital funding allocated to the Trust or its academies.
5. Ensure the Chapel at St. Mary's Catholic Academy is kept in a good state of repair and maintenance.
6. Within agreed financial limits, oversee preparation, including risk assessment, and implementation of contracts for inside and outside work.
7. Carry out similar responsibilities in respect of the academies' grounds.
8. Receiving reports, including reports of accidents and dangerous occurrences, from the Chief Executive Officer, local authority, safety representatives and external health and safety agencies and determining any preventative or remedial actions required.
9. Advising on arrangements to protect the health, safety and welfare of staff, pupils and visitors to the academies and to review these as necessary.
10. Delegate to Headteachers responsibility for:
  - Ensuring that all works carried out conform with Planning and Building Regulations and Fire Regulations, particularly the means of escape and fire prevention.
  - Operating all plant and equipment for, or connected to, the supplies of energy and water in accordance with the LA's or manufacturers' appropriate standards and, where the plant and the equipment is the responsibility of the Trust, ensure that it is adequately serviced and maintained in proper working condition.
  - Ensuring that contractors are insured, ie (a) Public Liability Policy (£1m single incident) and (b) Employers' Liability Policy.
  - Monitoring the implementation of Health and Safety Policies and Safety Procedures throughout the academy in accordance with the Trust's Health and Safety Policy or statement.
  - Reviewing safety measures and to advise the Chief Executive Officer of any necessary changes to those measures.
  - Arranging for the dissemination of information on health and safety to all staff and pupils.
  - Managing the systems and processes for the production of risk assessments at the Academy.
  - Writing & regularly reviewing the Academy's Health & Safety Policy.

### **Membership**

At least six Directors will serve on the committee. The quorum will be three directors.

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## AUDIT COMMITTEE

### Terms of Reference

The committee are responsible for reviewing the risks to internal financial control at the trust and agreeing a programme of work to address, and provide assurance on, those risks. The Committee will report back to the Trust's Board on its key work and determinations.

The terms of reference will be reviewed and agreed at the first full Board Meeting of the academic year.

### Delegated Powers

1. To review a control framework and review its functioning, in order to ensure:
  - A co-ordinated planning and budgeting processes;
  - Appropriate discipline in financial management, including managing banking, debt and cash flow, with the necessary segregation of duties;
  - Preparation of timely monthly management accounts, including income and expenditure reports on an accruals basis, cash flow forecasts and balance sheets as appropriate;
  - Delegated financial authorities are respected;
  - Effective planning and oversight of any capital projects;
  - Management and oversight of assets;
  - The propriety and regularity of financial transactions;
  - Reduced risk of fraud and theft;
  - Efficiency and value for money in the organisation's activities; and
  - A process for independent checking of financial controls, systems, transactions and risks.
2. To receive termly audit reports from the Trust's appointed Auditor and oversee the implementation of any work required to address identified risks.
3. To assure the Board that the control framework has adequately identified and managed risks associated with financial systems, controls and transactions.
4. To review the external auditor's annual planning document and approve the planned audit approach.
5. To receive reports (annual reports, management letters etc) from the external auditor and other bodies, for example the Education Funding Agency and National Audit Office, and consider any issues raised, the associated management response and action plans. Where deemed appropriate, reports should be referred to the Board or other committee for information and action.
6. To regularly monitor outstanding audit recommendations from whatever source and ensure any delays to implementation dates are reasonable.

### Membership

At least three Directors will serve on the committee. The quorum will be two directors.  
No employee of the Trust may serve on the committee.

## **PAY COMMITTEE**

### **Terms of Reference**

The committee are responsible for the annual review of employees' salaries/pay and the setting, monitoring and review of the Chief Executive Officer's Objectives. The Committee will report back to the Trust's Board on its key work and determinations.

The terms of reference will be reviewed and agreed at the first full Board Meeting of the academic year.

### **Delegated Powers**

1. Ensure the Pay Policy is fully implemented with respect to reviewing the pay for individual staff.
2. Set, monitor and review the Chief Executive Officer's Objectives.
3. Review matters relating to individual staff's terms and conditions of employment.

### **Membership**

At least three Directors will serve on the committee. The quorum will be two directors.

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## **ETHOS, CURRICULUM & COMMUNITY COMMITTEE**

To enable the Trust's and its academies to deliver their stated mission & vision by further developing the

- **Spiritual capacity (strength of faith development, religious formation, moral purpose and degree of coherence between values, beliefs and attitudes),**
- **Social capacity (strength of formal & informal networks) and**
- **Intellectual capacity (knowledge & skills)**

### **Terms of Reference**

As appropriate, consider, review advise and make determinations on all matters relating to: the Catholic Ethos of the academies; the personal development, well-being & pastoral care of pupils/students; community cohesion & links with parishes, the promotion & marketing of the academies, the curriculum and learning of pupils/students and the professional development of staff.

To consider the Headteachers' decision to permanently exclude pupils to review fixed-term exclusions and consider matters relating to pupil discipline.

To consider all matters to do with admissions policy and procedures, subject to the requirement that the Trust Board must approve the policy.

The Committee will report back to the Trust's Board on its key work and determinations.

The Terms of Reference will be reviewed annually at the first full Board Meeting of the academic year.

### **Delegated Powers (Ethos, Curriculum & Community)**

1. To oversee the academies' responses to "Fit for Mission? Schools".
2. To ensure appropriate arrangements are in place for Collective Acts of Worship, liturgy and prayer.
3. To advise on policies relating to the development, well-being and welfare of students.
4. To ensure that each academy has a broad and balanced curriculum.
5. To ensure processes are in place to develop enriching relationships with parents and support them in their parenting role.
6. To oversee the development of activities which promote Community Cohesion including links with Catholic parishes and their communities across Blackpool and those in Fylde & Wyre with a primary school included in the Admissions Criteria for St. Mary's Catholic Academy.
7. To oversee the promotion and marketing of the academies.
8. Review and evaluate the professional development of staff focussing on the continual improvement of the quality of leadership and teaching.

### **Delegated Powers (Pupil Discipline)**

1. Review the Headteachers' decision to exclude pupils for a period of five days or more/fifteen days or more in a term or a permanent exclusion.
2. To hear the case, consider all relevant information, including any representations from parents.
3. Consider and decide whether to confirm the exclusion or direct reinstatement.
4. In relation to point 3. inform parents and headteachers of the decision.
5. To consider any matter relating to pupil discipline, for example, rewards and sanctions systems.

Effective date: October 2017

Version 1.10

Blessed Edward Bamber Catholic Multi Academy Trust

## **Delegated Powers (Pupil Admissions)**

1. Review the Admissions Policies for the Trust's academies, including oversubscription criteria, for approval by the Board.
2. If an academy is over-subscribed, apply the admissions criteria to all applicants and decide which children are to be admitted and which refused a place.
3. Ensure that all procedures regarding notification to parents of offers or refusal of a place and the right to appeal are carried out.
4. Ensure that the Admission Policy goes out for consultation when required.

## **Membership**

At least six Directors will serve on the committee. The quorum will be three directors. In attendance, will be the academies' Headteachers.



## STANDARDS COMMITTEE

**To develop the intellectual capacity (knowledge & skills) of the pupils/students in the Trust's academies, monitoring standards of achievement, in order for academies to deliver their stated mission & vision.**

### Terms of Reference

Holding to account the Chief Executive Officer and Headteachers for the quality of learning, of pupils/students, and standards of achievement. The Committee will report back to the Trust's Board on its key work and determinations.

The Terms of Reference will be reviewed annually at the first full Board Meeting of the academic year.

### Delegated Powers

1. To review and evaluate the outcomes of national tests and examination results.
2. To review and evaluate in-year assessment data from the academies' assessment cycles.
3. To recommend strategies for further improving the quality of learning and standards of achievement and monitor the implementation of these strategies.
4. To refer these strategies to the Finance, Staffing & Premises Committee where additional resource is required.
5. To review, evaluate and quality assure the academies' self and peer evaluation systems impacting on students' learning and standards of achievement.

### Membership

At least six directors will serve on the committee. The quorum will be three directors. In attendance, will be the academies' Headteachers and a representative from the local authority.

## TRUST PANEL & TRUST APPEAL PANEL

### Terms of Reference

According to the Blessed Edward Bamber Catholic Multi Academy Trust's Grievance, Disciplinary and Capability Procedures, including Managing Staff Sickness Absence, action may be contemplated on grounds of misconduct, gross misconduct, lack of competence or breach of contractor conditions of service, lack of capability, aptitude, skill or ability.

The Committee will report back to the Trust's Board on its key work and determinations.

A Trust Panel may also be convened to hear the permanent exclusion of a child.

The Terms of Reference will be reviewed annually at the first full Board Meeting of the academic year.

### Delegate Powers

1. Hear the case or appeal, see all relevant documents, allow the member of staff concerned to comment on refute and ask questions about the matter either himself/herself or through his/her accompanying union or professional association representative.
2. With respect to permanent exclusions of a child to hear the case and allow the parent or their advocate to comment on refute and ask questions about the permanent exclusion.
3. With respect to the Trust Panel, to make a determination on the case.
4. With respect to the Trust Appeal Panel, to confirm or amend the decision of the original person/panel hearing.

### Membership

Three directors with a majority of Foundation Directors. No director who is "tainted".  
The committee will have the support of the Diocesan Officers who will not have voting rights.

### Meetings

As and when required by policy.