

## SoD : Esher Learning Trust 2018 – 2019 (Numbers refer to T of R)

R: Responsible

A: Accountable

**A: Advise**

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I: Implement

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Financial					
Budget approval	14.1 and Finance Policy - One and three year. Financial KPIs, linked to the risk register, will be analysed and where the risk associated with these is not “green” an acceptable mitigation statement, or an action plan will also require approval. The budget should present a “break even” position		A	C	
In year amendments to the budget – predicted year end position not affected	Virements within the budget – allowed within the PSF report headings (core areas of the budget) within the limits published in the finance policy		A		R I
In year amendments to the budget – altering the predicted year end position	Finance Policy – alterations caused by appointment of staff within the existing staffing structure do not require Trust approval, all other alterations do		A	C,C	C I
Procurement – within approved budget	Approval as per the procedures and limits in the finance policy		A		R I
Procurement – not included in the original budget	Expenditure not included in the original budget will require Trustee approval		A	C,C	C
Financial controls	15.1/2/3 Financial controls to be adhered to, and Financial Monitoring reports to be received and reviewed, as per the Finance Policy. (14.2 Cash flow monitored within financial period end procedures).		A	I	R I
Register of interests	Staff		A		R I
Infrastructure management / Efficiency					
Disaster recovery plan	2.5.7 Maintenance of the estate – See Risk Register		A	C	R I

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Breaches of site security	2.5.7 Maintenance of the estate – See Risk Register			A	C	R	I
Estate management	2.5.7 Maintenance of the estate – See Risk Register - Including H&S compliance			A	C	R	I
IT management	2.5.7 Maintenance of the estate – See Risk Register			A	C	R	I
General management or resources	16.1.5 Managing the approved delegated budget and resources – See Risk Register			A		R	I
<b>Staffing</b>							
Suitability of staffing	Staffing structure			A	C	C	A
Appointment/JD/Appraisal and dismissal of HT	2.6.1 - including approval of severance/compensation payments			A	I	C	
Within the approved staffing structure Appointment/JD/Appraisal of all members of staff	16.1.6/7 Appt of senior posts to be advised to the LGB			A		R	I
QA of Appraisal judgements					I		
Dismissal of staff – excluding HT	including approval of severance/compensation payments			A	C	C	I
Capability of staffing	2.4.7/8 Reporting target – See Risk Register – KPIs set by Trust			A	C	R	A
Staff Attendance	2.4.7/8 Reporting target – See Risk Register – KPIs set by Trust			A	C	R	A
<b>Effectiveness</b>							
Academic standards	2.4.7/8 Reporting target – See Risk Register – KPIs set by Trust			A	C	R	A

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Quality of classroom teaching	2.4.7/8 Reporting target – See Risk Register – KPIs set by Trust			A	C	R	A	
Disadvantaged pupils' Performance	2.4.7/8 Reporting target – See Risk Register – KPIs set by Trust			A	C	R	A	
High level persistent absentees	2.4.7/8 Reporting target – See Risk Register – KPIs set by Trust			A	C	R	A	
SEND provision	2.4.7/8 Reporting target – See Risk Register – KPIs set by Trust			A	C	R	A	
RE provision				A		R	I	
Breach of child safety	2.4.7/8 Reporting target – See Risk Register			A	C	R	A	
QA of reporting targets					I			
Numbers on role	2.4.11 Admissions - strategy including marketing			A	C	R	A	
<b>Compliance</b>								
Risk Register				A	C	R	A	
Financial	2.4.1 Funding agreement, 2.4.4, 2.4.5 Procurement, financial and accounting requirements AFH (Finance policy) 2.4.8 Determining financial targets			A	I	R	I	
Financial – External QA	15.3 Appointment of external auditors		A		I			
Financial – Internal QA	15.3 Appointment of internal scrutiny arrangements			A	I			
HMRC	See Risk Register			A	I	R	I	
Education Act	2.4.10 Statutory regulations and acts of parliament governing the academy 2.4.7 Considering the delivery of the requirements of the Master Funding Agreement – including requirements to publish information			A	I	R	I	
Safer recruiting	Including regular monitoring of the SCR which is a live document governed by the School Staffing Regs 2009			A	I	R	I	
GDPR	See Risk Register			A	I	R	I	

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Governance					
LGB TOR	2.4.2 Preparation and approval		A		
Committee TOR	Each body i.e. Trust/LGB may structure its committees as it sees fit		A		R
LGB Membership	Alterations to membership should be undertaken as per the Articles and TOR and notified to GIAS as appropriate		A		R
LGB Appointments	Clerk, Responsible person in respect of pupils with special needs, LAC, safeguarding, LA liaison re HT allegations, H&S, PP		A		R
Register of Interests	Must be published		A		R
Corporate Planning and Strategy	2.4.6 Determination of		A	C	
Contribution to Academy costs	2.4.3 – Finance Policy - Pooling of GAG 2.5.5 Consideration of the required funding		A	C	C A
Local planning and Strategy	2.5.3 Vision and School Development Plan		A	C	C A
Publish change of school category			A	C	C A
Altering academy day			A	C	C A
Setting school Term dates			A	C	C A
Information on Website	As per funding agreement, academies financial handbook and conditions of grants		A		R I
Trust					
Applications from schools			A	C	
Due Diligence			A	I	
Review of Articles			A		
Register of interests	Must be published		A		

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Governance statement for the financial statements			A	A		
Approval of the Financial Statements	Prepared by the central team with the information provided by the local academies		A			
<b>Leadership and Management</b>						
Oversight of the Trusts activities	16.1.3 Leadership and management- Within the boundaries of policy and SOD		A	I		
Oversight of the Academies activities	16.1.3 Leadership and management 16.1.4 Admissions of pupils 16.1.9 Behaviour- Within the boundaries of procedures and SOD		A	C	R	I
Termly HT Report	Attendance, behaviour and performance data including internal and external exclusions, safeguarding, H&S, GDPR Update		A		R	I
Annual review of local academy performance			A	C	C	I
SEN Information Report	Annually and updates as required		A		R	I
<b>Policies - Review Frequency (RF) - Where the governing body are free to determine this is not indicated, but should not exceed 3 years</b>						
HR:	2.4.9 - HR Policies/Equality objectives/Procedures/Terms and Conditions/Pay – with regard to the ELT Charter (STPCD and SCC Pay) – <b>Pay must be revised annually - Eq Ops RF 4 Years – Info published annually</b>		A	I		
Teacher Appraisal Policy	<b>Statutory.</b>		A	I		
Support Staff Appraisal Policy	<b>Statutory.</b>		A	I		
Disciplinary and Capability Procedure	<b>Statutory.</b>		A	I		
Discretionary Policy (Pensions)			A	I		

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Anti-bullying and Harassment Policy		A	I		
Induction and Probation Policy		A	I		
Maternity, Paternity and Maternity/Paternity for Adoption Guidance		A	I		
Pay Policy	<b>Statutory. RF: annual</b>	A	I		
Recruitment and Selection Policy		A	I		
Special Leave Policy		A	I		
Staff Attendance Management Procedure		A	I		
Staff Code of Conduct	<b>Statutory. RF: annual</b>	A	I		
Staff Grievance Policy and Procedures		A	I		
Equal Opportunity and Anti-discriminatory Policy	<b>RF: 4 years. Requirement to publish data annually.</b>	A	I		
Admissions Policy	<b>RF Annual. 2.4.11 Policy</b>	A	I	R	I
CCTV Policy (GDPR)		A	I		
Charging and Remissions Policy	<b>Statutory.</b> In line with DFE “School Charging Advice” – Funding agreement requirement	A	I	R	I

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Child Protection and Safeguarding Policy – including EYFS where appropriate	<b>Statutory. RF Annual</b> .In line with DFE Guidance	A	I	R	I
Complaints Procedure	<b>Statutory. RF: 3 years</b> . In line with LA standard	A	I		
Data Protection Policy (Privacy Notices/FOI)	<b>Statutory. RF 2 years</b>	A	I		
Financial Administration	<b>RF Annual</b> . In line with Academies Financial Handbook and Academies Accounts Direction	A	I		
Gifts and Hospitality Policy (Finance 2019/20)	In line with Academies Financial Handbook	A	I		
Whistleblowing Policy (Finance 2019/20)	<b>Statutory</b> . In line with Academies Financial Handbook	A	I		
Governor Expenses Policy (Finance 2019/20)	<b>Statutory</b> . In line with Academies Financial Handbook	A	I		
H&S Statement		A	I		
Premises Management Statement		A	I		
Health and Safety Policy	<b>Statutory</b>	A		R	I
ICT/Mobile acceptable use Policy (GDPR)	<b>RF Annual</b>	A	I		
SEND Statement		A	I		
SEND Policy	<b>Statutory. RF Annual</b>	A		R	I

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Supporting pupils with medical conditions	Statutory. In line with statutory guidance		A		R	I
Accessibility Plan	Statutory. RF 3 years		A		R	I
Behaviour Principles	Statutory		A	I		
Behaviour Policy	Statutory		A		R	I
Children in Care Policy			A		R	I
EYFS Policy	Statutory		A		R	I
Positive Handling Policy			A		R	I
Sex Education Policy	Statutory				R	I
<b>Monitoring that policies are in place</b>			A			
<b>Procedures</b>						
Anti-bullying Statement					R	I
Assessment and Feedback Procedure					R	I
Communication with parents					R	I
Cover					R	I
Data Breach (GDPR)				I	R	I
Home School Agreement	Statutory		A		R	I
Lettings			A		R	I
Premises Management	Including regular monitoring of compliance requirements		A		R	I





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Preparing Students for Modern Britain			A		R	I
Student Attendance					R	I
Teaching and Learning					R	I
Trips and Visits	Must link with Health and Safety and Charging and Remissions policies				R	I
Exams/SATs					R	I
<b>Monitoring that procedures are in place</b>			A			