

Ormiston Academies Trust

Decision Making Framework policy document

Policy version control

Policy type	Mandatory
Author	Joanne Dawson
In consultation with	Executive Directors and Regional Directors
Trust Board approval	10 September 2020
Release date	1 October 2020
Next release date	1 October 2021
Description of changes	This is a new appendix to the Scheme of Delegation.

1. Purpose of policy document

The purpose of the decision framework is to clarify where responsibility and accountability sit for key functional areas across five sets of stakeholders (tiers of governance)

- OAT Board
- The executive within OAT and the Central Head Office Team
- Regional Directors
- Principals
- Local Governing Bodies.

1.1. OAT Board

All OAT academies are part of Ormiston Academies Trust, a charitable company regulated by the Department for Education (DfE). As a multi-academy trust (MAT) all schools are held within one legal entity and Ormiston Academies Trust has a Master Funding Agreement for each individual school. Ormiston Academies Trust Board is the legal governing body for every school. The Board holds and fulfils all statutory responsibilities by approving and monitoring the implementation and impact of Trust-wide educational and financial plans including the Operating Plan and budget.

1.2. OAT Central Head Office Team

The OAT central head office team provides support to the schools. The executive leadership and staff are responsible for working with schools to deliver educational and operational outcomes. The Board discharges the provision of all support systems for schools to the executive team.

1.3. Regional/Phase Directors (RDs)

The board discharges management of all schools and line management of principals and executive principals through the chief executive and directors of education to the regional directors. The RDs are also there to develop and maintain strong relationships with the chairs of governors and clerks to the governing bodies.

[Note strategic financial and operational management is provided by OAT central who will work closely with the Director of Education and Regional Directors. Note, this includes the implementation of financial processes, financial planning and reporting and dotted line management of finance staff]

1.4. Principals

Principals are responsible for delivering all educational and operational outcomes in their individual school.

1.5. Local Governing Body (LGBs)

LGBs provide strategic input and challenge around individual academy plans and budgets, monitor alignment of academy processes and reporting with overall strategy and policies, and embed the academy ethos and values. Furthermore, governors provide continuity of care to our academies. As

such, they are a continuing powerful advocate for the needs of their academy within the wider OAT family and for linking with their communities.

Flows of information and decision making are coordinated by the central governance team and are embedded into the scheme of delegation, meeting cycles, and agenda planners.

The Framework is designed to enable trustees, staff and governors to work together effectively to deliver the vision of OAT – to make the biggest difference to the lives of children.

Note:

This document does not lay out every legal responsibility of the Trust or every activity in the remit of individual stakeholders; rather it is concerned with the core activities that are carried out within each area of operational delivery and how they are coordinated between the various decision makers. The overriding legal assumption that sits behind this work is that all OAT academies are governed by one trust and a single board of directors. The board of directors is the legally accountable body but can delegate many of its functions (for example to a local governing body or an executive team). The MAT remains accountable for these functions.

This Framework does not dictate when responsibilities may be further delegated within sets of stakeholders –for example by a Principal to other staff within the school, or the OAT Chief Executive to other staff within the central team. Some regions operate with an Executive Principal/Head of School model; where this is the case, a separate document will set out how Principal responsibilities are discharged.

There will be circumstances where the rules may change. For example, in crisis situations, OAT central may take on a much more involved role.

Alternatively, stakeholders may go above and beyond in the level of support that is articulated here – for example members of an LGB may be engaged on a range of other aspects not explicitly referenced here.

The Decision-Making Framework will be reviewed on an annual basis to ensure that delegated responsibilities can be aligned with organisational need.

2. Division of responsibilities

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Trust Strategy, growth, transformation and stakeholder engagement	Approve the strategic vision for the Trust including education, operating and financial plans.	Set and deliver the strategic vision for the Trust.	Set and deliver the strategic vision for the region.	Set and deliver the strategic vision for the school.	Provide Strategic input and challenge with regard to the vision for the school and associated plans.
		Responsible for running the strategic, operating and financial planning process for the Trust to ensure that they are aligned between functions and between central teams, region and schools.	Support school Principals in setting the strategic vision for their academy.		
	Approve the Strategy for Growth or Consolidation as appropriate.	Responsible for OAT growth	Provide educational and leadership strategy for transition and new schools		
Admissions & Pupil Numbers	Approve Admissions Policy	Set Admissions Policy	With support from OAT Head Office, manage external relationships with local authorities and	Prepare the Academy Admissions Policy using the OAT standard policy.	Review and Approve the Academy Admissions Policy.

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Admissions & Pupil Numbers continued			Regional Schools Commissioner on all matters including PAN.		
	Accountable for meeting statutory admissions requirements	Responsible for meeting statutory admissions and publication requirements		Manage school admissions arrangements including appeals in line with guidance.	Review Admissions Data.
		Set and agree admissions arrangements including appeals.		Plan and deliver open days, offer and acceptance process and parental engagement	Support parental engagement events as appropriate.
Culture, Ethos and Wellbeing	Approve the purpose, vision and values of the trust, ensuring that equality, diversity, human rights and inclusion are at the heart of our values.	Set and deliver the strategic vision for our trust, ensuring that we comply with all anti-discrimination legislation and embrace equality, diversity and inclusion.	Provide guidance to schools on a positive approach to culture, ethos and wellbeing, ensuring schools comply with all anti-discrimination legislation.	Set school approaches to partnership working to advance equality of opportunity and ensure that all staff and pupils are treated fairly and on an equal basis.	Review school approach to culture, ethos and wellbeing including behaviour model and routines, attendance and inclusion and approach to equality, diversity and inclusion.
Safeguarding	Approve Safeguarding Policies	Agree and set Safeguarding policies			Review and approve relevant policies (e.g. Children Missing Education,

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Safeguarding continued	Accountable for safeguarding, meeting national requirements laid out in statutory guidance	Responsible for safeguarding, meeting national requirements laid out in statutory guidance	Provide guidance to Principals to ensure effective pastoral arrangements and adherence to safeguarding and child protection policies.	Ensure compliance with OAT policies on Safeguarding and guidance on statutory responsibilities	Child Protection and Safeguarding). Appoint a Safeguarding Link Governor.
				Oversee referral of at-risk children to Local Authority and other agencies	Link governor review safeguarding SEF, Audit and action plan
				Implement effective school safeguarding procedures including training and DBS processes within Trust policies.	Complete appropriate safeguarding Training .
		Undertake annual safeguarding audits and report to the Board	Review safeguarding SEF and ensure support is in place where required.	Complete annual safeguarding SEF and participate in OAT safeguarding review	

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Safeguarding continued		Respond to issues flagged by DBS	Hold schools to account following outcomes of OAT Safeguarding review		Review Annual and Termly Safeguarding Reports.
		Ensure OAT SCR and academies' SCRs (which should be accessible centrally) are compliant		Responsible for ensuring the academy SCR is compliant	
			Respond to any complaints against Principal and support school in event of complaints against staff	Respond to safeguarding and other complaints against staff	Link governor informed of safeguarding complaints, referrals and training within school and report actions to LGB at each meeting
Attendance, Behaviours and Exclusions	Review attendance data	Review attendance data	Receive Attendance Reports, review trends and challenge levels of absence vs targets. Support principals in taking appropriate action to improve trends.	Ensure attendance statutory guidance is met	Monitor Attendance Reports, review trends and challenge levels of absence vs targets.
			Review school mobility trends		

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Attendance, Behaviours and Exclusions continued					Review and Adopt Behaviour Policy.
	Approve Exclusions Policy	Agree and set Exclusions policy			Review and adopt Exclusions policy
	Accountable for exclusions, meeting national requirements laid out in statutory guidance	Responsible for exclusions, meeting national requirements laid out in statutory guidance		Set internal exclusions procedures and ensure exclusion administration fulfils all relevant requirements for these, fixed term and permanent exclusions.	Support Exclusion Meetings as required.
		Arrange Exclusions training.		Implement effective school attendance and inclusion procedures including training and DBS processes within Trust policies.	Support an inclusive approach to schooling for pupils at risk of exclusion.
		Oversee and facilitate independent review panels (IRPs)	Sign off Permanent Exclusions.		Review Exclusion decisions through governor panels

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Attendance, Behaviours and Exclusions continued					and engage in IRP process if required.
			Monitor and review fixed term exclusion data.		Review Half-Termly Exclusions Information for review within LGBs.
SEND	Approve SEND Policy	Agree and set SEND Policy	Adhere to SEND Policy	Adhere to SEND Policy	Review and adopt SEND policy
		Set Annual strategic plan for SEND including targets.	Review SEND SEF and ADP and liaise with SEND Director to ensure support is in place as required.	Prepare Academy SEND SEF and ADP.	
			Review progress against SEND objectives and priorities and provision with Progress Boards. Liaise with SEND Director as necessary to ensure support is in place as required.	Develop and monitor academy SEND action plans	Review and monitor progress against academy SEND action plans.

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
SEND continued	Monitor all SEND information submitted [included within other activity lines].	Monitor SEND specific data (attendance, behaviour, exclusion, mobility).	Monitor SEND specific data (attendance, behaviour, exclusion, mobility) within Progress Boards.	As part of wider data compliance procedures, ensure all SEND data is complete and accurate.	
		Report on SEND complaints including tribunal outcomes.			
		Develop and Deliver National CPD programme for SEND and monitor impact of this.	Review success of national CPD programme as part of progress boards.		
			Review access to curriculum.		
Parent and other external communications	Accountable for meeting all publication requirements.	Set an OAT wide communications plan for parents and external communications	Support school engagement with parents and the wider community	Maintain effective engagement and communication with parents and the wider community	Support engagement with parents, community and LA
		Oversee compliance with website publication requirements	Support schools in engagement with parents as part of the OAT family	Maintain school website in line with compliance requirement	Engage with parents to communicate the OAT values and aspirations.

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Parent and other external communications continued		Provide advice/guidance on media communications, ensuring consistency		Manage local media, community, LA relations	Engage with parents to communicate that the academy is part of a wider family of schools.
		Manage crisis communications			
		Set school brand guidelines and website design			
		Provide guidance and examples of best practice on communication with parents			
Pupil Target & Assessment	Approve pupil performance targets.	Responsible for OAT targets, approve academy and regional targets (including SEND)	Accountable for regional and phase (primaries) targets	Propose school targets to the executive via RDs	Consulted on school targets (Chair)
	Accountable for all assessment practices meeting requirements laid out in statutory guidance.	Determine the assessment cycle	Review and propose school targets to executive in line with the target setting model	Accountable for meeting school targets	Monitor and challenge progress towards school targets

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Pupil Target & Assessment continued	Monitor progress against targets (including for SEND).	Responsible for all assessment required by statutory guidance	Undertake OAT Reviews in line with review cycle	Ensure that school targets relate to individual pupil targets	Consulted on OAT Reviews
				Implement the assessment cycle	
				Engage with OAT reviews	
Monitoring & Reporting (Assessment Data)	Review Trust wide Improvement Plans	Set improvement planning templates	Develop RIP (Regional Improvement Plan)	Develop Self Evaluation and Academy Improvement Plan	Review school performance data
		Generate Board reports	Sign off school SEFs and AIPs	Provide regular analysis of school performance data to the RD and LGB via Principal's report	Informed of, challenge and follow-up on the actions relating to the outcomes of external monitoring
		Set standards for schools in terms of their use of data to support decision making	Undertake Strategic Progress Boards (SPBs) to monitor progress vs plan on underlying drivers of	Ensure that any issues with data collection (as highlighted through annual audit) are actioned	Informed of any issues with data quality

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Monitoring & Reporting (Assessment Data) continued			success and agree actions to bring back on track.		
		Support schools in implementing our approach to data	Lead on OAT Reviews		Undertake Ofsted training and attend inspection where possible (Chair and Safeguarding link)
		Publish guidance and training materials on how to use data systems	Support Principals preparing for Ofsted inspections & monitoring visits		
		Support third party data integrations and procure data tools for use across the Trust.	Provide an annual report to LGBs on comparative school performance		
		Monitor quality of data through annual audit and share action, ensuring the work of the Education Team informs the planning of the			

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Monitoring & Reporting (Assessment Data) continued		School Improvement Working Group.			
		Direct annual OAT reviews and report to the Board.			
Teaching & Learning	Accountable for the overall impact of the quality teaching.	Responsible for the overall quality and impact of teaching across the Trust.	Support school Principals in managing teacher performance.	Implement OAT approaches to managing teacher performance	Monitor and provide effective challenge of the academy approach to securing the quality and impact of teaching, including the effectiveness of CPD for teachers.
		Responsible for maintaining a view of the quality of teaching in all schools.	Collaborate with Exec to develop plans to optimise and improve school teaching and learning.	Set and deliver the vision and model for developing teaching and approach to improving teacher quality	

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Teaching & Learning continued		Responsible for development and implementation of improved delivery of teaching and learning through the central-led Lead Practitioners.		Arrange CPD for teachers, making use of regional and national opportunities.	
		Delivery of OAT professional development and leadership pathways.			
		Responsible for Initial Teacher Training offer and curriculum through The OAKS.			
Curriculum	Accountable for all curriculum practices meeting requirements laid out in statutory guidance.	Responsible for all curriculum practices, meeting requirements laid out in statutory guidance	Evaluate and review the school's curriculum, through SPBs and OAT Reviews, ensuring that recommendations are fed through to the School Improvement Working Group.	Implement school approach to OAT curriculum.	Review and challenge school approach to curriculum within the wider context of target setting, curriculum (including enrichment), careers and teaching development, coaching and mentoring.

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Curriculum continued		Determine the OAT curriculum.	Approve school curriculum and assessment models	Contribute to the ongoing development of the OAT curriculum.	
		Develop curriculum materials for schools.			
		Responsible for sharing of best practice and associated training.			
Organisation Planning/ Structure	Approve integrated strategic and financial plans including the underlying resource plans.	Set Head Office staff structure and structure of regional staff	Ensure effective use of resources across the region to the benefit of all schools within that region		
		Establish and manage resource planning process including provision of standard templates and guidance.	Adhere to OAT resource planning processes.	Perform bottom-up curriculum led resource and financial planning in line with the OAT approach to integrated financial planning.	Review and challenge curriculum led resource plans, support staff resource plans and associated KPIs.
		Approve academy resource plans.	Ensure staffing structures, skills sets and future		

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Organisation Planning/ Structure continued			workforce plans are in place and within budget.		
		Approve restructuring plans including: financial impacts – one off and on-going); stakeholder communication plans, etc.	Support the development of restructuring proposals as appropriate.	Develop restructuring proposals as appropriate and liaise with Central HR and Finance Teams to deliver any planned restructures and consultation.	Consulted on restructure proposals
		Ensure there is a plan for succession at all levels both in OAT HO and in our academies	Develop regional succession plans	Develop academy level succession plan	Consulted on academy level succession plans.
Recruitment and On-Boarding	Recruit for CEO and Executive roles.	Set overarching approach to attraction & recruitment.	Provide second level approval for all academy-based recruitment (replacement and new roles) regardless of salary.	Provide first level approval for all new recruitment (replacement and new roles) regardless of salary.	Review half-termly reports on recruitment and retention data.
		Responsible for developing OAT wide recruitment policies and processes.	Ensure that these are either in line with approved Curriculum Led Financial Plans OR provide a	Ensure that these are either in line with approved Curriculum Led Financial Plans OR provide a	

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Recruitment and On-Boarding continued			supporting explanation for the deviation.	supporting explanation for the deviation.	
		Recruit for central & Principal roles	Oversee Principal appointments		Involved in Principal appointment and appraisal (Chair).
		Conduct pre-appointment checks for central/ Principal roles	Be responsible for Principal induction		
		Responsible for providing final level approval on all academy-based recruitment (replacement and new roles) regardless of salary.	Oversee appointments to Academy Senior Leadership teams.	Recruit for and induct to school roles in line with overall OAT approach to attraction and recruitment	
		Responsible for all HO induction including RDs			

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Performance (Objective and Behaviour setting; Appraisal process)	Set and oversee the process for CEO performance appraisal	Set and oversee process for performance appraisal across OAT to ensure that it is effective and fair.	Line manage Principals in line with performance targets;	Implement OAT approach to performance appraisal, probation etc. leadership development, pay and benefits, disciplinary and grievance including investigations at school level and other People policies as relevant	Review at LGB the Teachers pay progression recommendations at academy level.
			Review regional talent and growth opportunities		Participate (Chair of Governors) in principals objective, development plans, setting and performance reviews.
			Provide strategic guidance to Principals to support staff line management according to performance targets		
Staff Wellbeing		Undertake an annual staff wellbeing and workload survey		Establish a culture and level of organisation which actively contributes to staff wellbeing.	

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Staff Wellbeing continued	Review and consider the output of the annual staff survey in the context of wider strategy setting.	Develop an action plan OAT wide with inputs from employee survey development areas	Develop a regional action plan for development areas from the regional survey results	Develop an individual academy level action plan for development areas in the employee survey	Review and consider the output of the annual staff survey at academy level in the context of wider OAT wide survey. Be aware of actions that are being led centrally by OAT and be informed of what actions are being taken locally.
		Develop an OAT wide process for internal communications with our staff.			
Development (Training, Coaching, Mentoring, etc.)	Review and consider uptake of staff on development programmes in the context of wider strategy setting'	Set and oversee leadership development programmes	Support with leadership development programmes and career succession pathways for own region	Implement OAT approach to development including but not limited to leadership development.	Participate (Chair of Governors) in principal's objective, development plans, setting and performance reviews.
		Set and oversee the career progression pathways and development including training opportunities for teaching and support staff			

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
		and OAT HO staff and where appropriate, apprenticeships			
People Policies, Pay & Legals	Approve all relevant People policies.	Set procedures which encourage a diverse workforce that ensure equal access to job opportunities, career development and training opportunities.	Proactively manage people risks identified in HR monitoring and reports and work with principals to take appropriate action.	Engage with Teaching and Support Staff unions locally as)	Monitor compliance with SCR (Single Central Record) process
	Accountable for meeting national requirements laid out in statutory guidance.	Agree and set all OAT wide People policies including performance management, capability, disciplinary/ grievance, pay, attendance and reorganisation, whistleblowing.	Engage in Disciplinary and Grievance panels and appeals	Implement OAT approach to pay and benefits, disciplinary and grievance including investigations at school level and other People policies as relevant	
		Conduct a review of the Teachers and Support Staff Pay Award and Pay Scales process annually in consultation with unions		Ensure effective SCR (Single Central Record) procedures are being followed	

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
People Policies, Pay & Legals continued		Provide employee relations, KCSIE (Keeping Children Safe in Education) checks and SCR (Single Central Record) reporting, payroll, pensions and recruitment training and guidance to schools			
		Liaise with all Teaching and Support Staff Trade Unions and manage and chair the national Joint Consultation Committee			
		Responsible for managing levels of TUPE risk identified during due diligence for new schools			
		Decide on tribunal and settlement strategies			

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
People Monitoring (Information and Data), Risk Management and Support Systems	Accountable for meeting statutory reporting requirements	Accountable for meeting statutory reporting requirements			
		Accountable for all HR monitoring and reporting.	Monitor trends in key staffing information e.g. number of academy level vacancies, absence levels and staff turnover	Ensure academy level people data is produced in a timely manner in line with requirements including but not limited to Teachers pay progression, staff absence and turnover	Review and monitor trends in key staffing information e.g. number of vacancies; staff sickness level; and staff turnover.
			Proactively manage people risks identified in HR monitoring and reports and work with principals to take appropriate action.		
		Review, approve, deliver and embed proposed changes to OAT-wide systems and processes (e.g. Recruitment process) to	Support implementation of changes to OAT-wide systems and processes (e.g. Recruitment process).	Support implementation of changes to OAT-wide systems and processes (e.g. Recruitment process).	

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
		ensure that they are effective and efficient.			
Finance	Approve all relevant Finance policies including Reserves Policy.	Set all Finance policies including policies and best practice around financial control	Adhere to all Finance Policies.	Adhere to all Finance Policies.	Informed of relevant finance policies.
	Accountable for meeting statutory requirements around reporting, budget submissions and financial controls	Responsible for meeting statutory requirements around reporting, budget submissions and financial controls			
	Approve the OAT Financial Delegation of Authority	Set the OAT Financial Delegation of Authority.	Operate within the OAT Financial Delegation of Authority.	Operate within the OAT Financial Delegation of Authority.	
	Approve finance targets including reserves targets, in-year surplus targets and partnership fees.	Set school and central finance targets and budgets including setting the “top slice” partnership fee charge			Informed of budget and 3 year financial planning targets.

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Finance continued		Accountable for managing an integrated strategic and financial planning process - budgets and forecasts.	Working with the regional finance business partners, support the delivery of targets (planning and actuals).	Develop and propose integrated strategic and financial academy budgets supported by detailed resource plans including curriculum led resource plans. This should cover both revenue and capital financial plans for 3 years including the budget (first) year.	Consulted on draft budget and 3 year financial planning targets.
		Responsible for delivering OAT wide financial targets - this includes highlighting any financial risks or opportunities to the Board in a timely manner so that appropriate action can be agreed to mitigate/ optimise the situation.	Support the delivery of academy financial targets - this includes highlighting any financial risks or opportunities to the central finance team in a timely manner so that appropriate action can be agreed to mitigate/ optimise the situation.	Responsible for delivering academy financial targets - this includes highlighting any financial risks or opportunities to the central finance team in a timely manner so that appropriate action can be agreed to mitigate/ optimise the situation.	Receive termly updates on financial status and expected full year forecast vs budget .

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Finance continued		Responsible for managing OAT wide reserves in line with the approved Reserves policy.			Review and monitor additional funding e.g. pupil premium, catch-up funding.
		Approve funding from endowments and reserves			
	Review monthly management accounts (Chair of Trustees and Chair of the Finance and Operations Committee).	Consolidate and review actuals and forecasts to produce monthly management accounts for OAT.	Review actuals and forecasts to produce monthly management accounts for region.	Prepare and review actuals and forecasts to produce monthly management accounts for academy. Ensure this is completed in a timely and accurate manner.	Monitor management accounts.
		Responsible for actual and variance analysis for external and internal purposes – statutory, tax and management.			
		Responsible of managing OAT cash balances and associated processes.			

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Finance continued	Informed of internal and external audit outcomes and agree proposed actions.	Manage internal and external audits		Engage in internal and external audit activities at school level	Informed of internal and external audit outcomes.
		Sign off year end packs.			
		Accountable for the provision of effective finance business partnering support to ensure that financial decisions are made in a timely manner and made using fit-for-purpose information.			
		Design, implement and embed robust financial processes across all areas of finance (e.g. purchase to pay; order to cash; projects; payroll; recharges; record to report; and financial planning & analysis) ,		Deliver finance administration and internal controls arrangements in line with OAT approach	

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Finance continued		ensuring that they are both effective and efficient.			
		Approve procurement strategy, including mandating contracts and frameworks for tenders.			Informed of procurement activity
		Approve all contracts in line with procurement policy.			
	Approve capital plans.	Oversee capital planning process.	Support capital plans and request funding.	Propose capital plans and request funding.	Consulted on capital plans and proposed funding.
	Approve central senior staff remuneration.				
	Approve Principal remuneration.	Set Principal pay and benefit.			

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
				Prepare charging and remissions policy and review annually.	Review and approve charging and remissions policy annually (e.g. lettings, trips).
Funding	Approve the Trust Fundraising scope, targets and approach	Set the Trust Fundraising scope, targets and approach.	Support funding discussions as appropriate.	Identify and engage in activities to generate additional income, including actively engaging in letting opportunities.	Support activities to generate additional income.
	Oversight of execution of major funding projects.	Monitor execution of funding projects.	Support national and local led fundraising projects as necessary.	Monitor execution of local led fundraising projects.	Oversight of execution of local led fundraising projects.
Procurement, contract and Supplier Management	Approve the Procurement Policy.	Set all procurement policies.	Adhere to procurement policies.	Adhere to procurement policies.	
		Responsible for the development and maintenance of an OAT contract database and library of all OAT contracts.			

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Procurement, contract and Supplier Management continued		Responsible for developing and deciding on Procurement Strategy including mandating contracts and framework and tenders.			
		Design processes to be followed across OAT that ensure effectiveness (mitigate risk), efficiency and drive Value for Money.			
		Support academies on procurement, contract and supplier management activity as appropriate.			
		Responsible for supplier management on all OAT wide contracts.			
		Monitor annual supplier spend across the trust.			Review reports of annual supplier spend > £10k.

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Projects - All	Oversight of Major Projects	Establish project processes, governance and provide project management and change management training as necessary.			
		Monitor/deliver improvement projects with a focus on key enablers to success (e.g. ...	Engage with, and support, central led improvement projects as appropriate.	Engage with, and support, central led improvement projects as appropriate.	Engage with, and support, central led improvement projects as appropriate.
Projects - incorporation	Approve the Incorporation Policy.	Set the Incorporation Policy.			
	Sign off stage of approvals for new schools in line with incorporation policy.	Accountable for pre-opening financial/commercial approvals including liabilities	Approve Implementation school plans as part of Project Board		
	Accountable for signing new school's legal documentation	Responsible for ensuring appropriate levels of due diligence are performed in advance of and to support trustee level sign off on decisions.	Oversee the post implementation/follow up plans		

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Projects - incorporation continued	Oversight of New School Projects.	Approve pre-opening legal documents.			
		Approve strategic decisions for a new school e.g. change of leadership, governance,			
		Approve Implementation & follow up plans including risk and support plans as part of the Project Board (National Director of Finance to chair).			
		Responsible for holistic implementation plan to include processes and systems and “hyper care” plans.			
ICT	Approve ICT Trust wide Strategy	Set the ICT Trust wide Strategy	Support positive engagement with the ICT Service (Central, Regional and Academy level) so that schools and ICT service	Set school IT strategy (in line with OAT Trust strategy) with support from Regional Teams (ICT/Finance)	Consulted on the ICT development strategy including capital investments

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
ICT continued			work effectively together and plan appropriately.		
	Approve and ratify ICT related mandatory policies.	Set ICT policies (acceptable use, back-up and disaster recovery, security, incident handling, Licencing, disposal and anti-virus/threat detection, codes of conduct, content filtering etc.)	Adhere to ICT Policies	Adhere to ICT Policies	Adopt ICT polices and processes
	Oversight of ICT Services performance.	Lead on engagement with ICT contractors/ service providers at MAT and school level	Support the resolution of any ICT issues within the region.	Propose Academy ICT project budgets as part of the wider budget process. (input from Regional ICT Team)	Informed on the quality of both local and central ICT performance.
		Lead on performance monitoring of ICT Services central, regional and local		Engage and approve decisions for ICT Projects	

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
ICT continued		Lead on contract management for overall ICT service		Ensure that procurement is in line with the OAT ICT Catalogue and procurement policy.	
		Develop and set standardised solutions where advantageous		Ensure performance reporting is completed	
		Lead on ICT procurement			
		Responsible for training and development of OAT ICT staff.			
Estates	Approve Estates Trust Wide Strategy	Set the Estates Strategy			
	Approve & ratify ICT related mandatory policies & processes	Set the Estates (including H&S) Policies.	Adhere to Estates Policies.	Adhere to Estates Policies.	Adopt Estates Policies.

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Estates continued	Accountable for meeting statutory requirements around Health and Safety (H&S) and building statutory compliance	Responsible for meeting statutory requirements around Health and Safety & building compliance	Review the compliance audits and the implementation of action plans	Implement school H&S policies and procedures	Informed of H&S arrangements
		Arrange H&S and other risk audits for sites		Engage in H&S, fire risk and other audits	Monitor H&S incidents and review audit (including fire safety) outcomes
				Ensure that appropriate risk assessments are in place	
		Set Trust capital strategy and SCA allocation	Input into long term strategic site/ capital priorities & site development plans	Engage in capital build projects as required	Informed of capital build project updates
		Oversee all aspects of initial capital build including procurement, legal and project management.	Input into and support capital expenditure plans submitted to Executive for Approval	Maintain an up to date central asset register data	Informed of the Estates development site strategy including capital investments
		Support schools in arranging contracts e.g. school catering, M&E, energy etc.	Support Regional Finance Partners who will work with	Ensure compliance with procurement and building	

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Estates continued			Estates to realise regional procurement opportunities	maintenance regulations at school level	
				Determine and deliver ongoing maintenance for school building as agreed with Regional Estates Team	
		Responsible for training and people development of Estates staff across OAT			
	Oversight of Estates performance monitoring & improvement	Responsible for Estates performance monitoring & improvement			Informed of performance of local Estates Arrangements
		Liaising with HSE and other regulatory bodies			
GDPR	Accountable for meeting statutory requirements around data protection and security of paper and electronic documents	Responsible for meeting statutory requirements around data protection and security of paper and electronic documents	Review the Academies compliance audits website, safeguarding, SCR and pathways and enrichment	Ensure Academy meets and implements data protection requirements and standards at Academy level in line with overall OAT approach	Informed of overall approach to Data Protection and security

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
GDPR continued	Approve GDPR Trust Wide Strategy				
	Approve Trust Data Protection polices and processes	Approve data protection policy and processes	Review the academies performance data for GDPR compliance taking action where needed to address concerns / non-compliance	Support Academy performance monitoring to ensure compliance	Informed of data breaches and status of Data Subject Requests
		Provide data protection guidelines and standards and oversee OAT approach to data protection controls across the Trust		Support responding to FOI's DSR and Data Breaches as needed	Review and Adopt Data Protection Policy and process
		Lead response in event of data breaches		Ensure staff engagement with training as required to ensure staff are competent to manage data safely	Review performance of GDPR compliance data and actions to address non-compliance
		Coordinate responses to FOI's and Data Subject Requests			Complete GDPR training.

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
	Oversight of Data Protection Services Performance & Improvement	Responsible for Data Protection Services monitoring & improvement		Perform routine annual audits (website, data protection safeguarding, SCR and pathways and enrichment)	
		Liaising with ICO and other regulatory bodies			
Business Continuity	Accountable for Business Continuity	Set the Strategy for Business Continuity	Support Principals with preparation of school Business Continuity Plans and completing the OAT Head Office Templates	Develop School Business Continuity Plan using policy, processes, and templates from Head Office	Review and validate school Business Continuity Plan
	Approve Strategy for business continuity systems	Set the policies and processes for Business continuity	Supporting the auditing & testing of the academy continuity plan with Regional ICT/Estates/Finance teams	Support completing performance reporting to show levels of readiness to respond to incidents	Adopt relevant policies and processes
	Oversight of Performance & trust readiness to deal with incidents	Ensure emergency response function is in place 24/7/365 at Head Office that will:	Support the academy in the event of an incident	SLT respond to incidents and be an active members of response team	Respond and be part of the incident response team as needed

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Business Continuity continued		1. Identify risk 2. Business Impact Analysis 3. Action planning to stabilise 4. measure, test, train & maintain			Review & monitor performance data pertaining to readiness to respond to incidents
		Responsible for training staff have to use process			
		Responsible for performance monitoring and readiness to respond to incidents			
Governance, Compliance & Risk Frameworks	Accountable for meeting statutory requirements for governance.				

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Governance, Compliance & Risk Frameworks continued	Approve Scheme of Delegation including: Governance Structure; Decision Framework; Financial Delegation of Authority; Terms of Reference for Committees; Roles and Responsibilities.	Develop and Maintain a Scheme of Delegation including: Governance Structure; Decision Framework; Financial Delegation of Authority; Terms of Reference for Committees; Roles and Responsibilities.	Responsible for identifying regional risks arising from individual school risk registers and reporting on them to OAT Head Office.	Ensure required policies are in place and communicated to all staff according to overall OAT approach	Agree additions to school level policies, school [risk register] and individual audit reports (where relevant)
	Approve all relevant policies.	Oversee the creation and on-going management of all policies across OAT to ensure that they are reviewed, updated and communicated as appropriate.	Adhere to OAT policies.	Adhere to OAT policies.	Adopt OAT policies.
	Approve Risk Policy.	Set Risk Policy and Processes.	Adhere to Risk Policy.	Adhere to Risk Policy.	Adopt Risk Policy.
	Accountable for management of risk including the annual review of all risks.	Develop and maintain Risk Framework and Register across all areas and at all levels within OAT. Monitor risks on an on-going basis	Reviews school risks on a termly basis for any changes/ status of associated actions.	Maintain risk register on an on-going basis with a minimum of a termly review.	Reviews school risks and mitigating actions on a termly basis for any

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
Governance, Compliance & Risk Frameworks continued		and formally review and update the Trust Risk Register on a termly basis.			changes/ status of associated actions.
	Accountable for ensuring that information used in governance forums is fit for purpose to enable timely and effective decision making and provide an appropriate level of assurance.		Review quality of information used in governance forums to ensure that it is fit for purpose to enable timely and effective decision making and provide an appropriate level of assurance.		Review quality of information used in governance forums to ensure that it is fit for purpose to enable timely and effective decision making and provide an appropriate level of assurance.
		Responsible for ensuring that information flows and communication flows between governance forums is working effectively and efficiently.	Review information flows and communication flows between governance forums to ensure that they are working effectively and efficiently.		

Activity	Board	Executive/ Central Team	Regional/ Phase (for Primaries) Directors	Principals	Local Governing Body (LGB)
<p>Governance, Compliance & Risk Frameworks continued</p>		<p>Accountable for recruitment and appointment of Chairs of governors, monitoring governance structures, school governor skills, providing appropriate training and monitoring performance of LGBs.</p>	<p>Support and engage with Central Governance Team and LGB to ensure that Governance structures and processes are working effectively and efficiently.</p>	<p>Support and engage with Central Governance Team and LGB to ensure that Governance structures and processes are working effectively and efficiently.</p>	<p>Accountable for working with the central and regional teams to recruit and appoint governors with a broad range of skills. Review and revise the local governance structure as appropriate. Complete school governor skills audit and monitor performance of the LGB.</p>