

# GOVERNANCE IN A CATHOLIC ACADEMY TRUST – APRIL 2017

<b>TITLE:</b>	Roles, Relationships & Responsibilities
<b>KEY PURPOSE:</b>	To establish and maintain the highest level of governance whilst building a clear level of increased accountability and responsibility to the Trust Board and Members above.
	To ensure consistency, creativity and individuality is not paralysed by uniformity to reduce innovation.
	To establish how review & scrutiny will work operationally.
	To determine job descriptions that are fit for purpose and will have sustainable and durable impact both at Local level and at CAT level.

## **Responsibilities of the Diocesan Bishop and the Diocesan Education Service**

Canon law (Church law) provides that each Diocesan bishop has strategic responsibility to commission sufficient school places to meet the needs of baptised Catholic children resident in his area. A Catholic school is one which is recognised as such by the Diocesan bishop. Canon 803 provides the definition of a Catholic school. Canon 803§1 provides that a school is Catholic if:

- (a) It is controlled<sup>1</sup> by a Diocese or religious order; or
- (b) It is acknowledged in a written document as Catholic by the Diocesan bishop.

All Catholic schools are subject to the jurisdiction of the Diocesan bishop, even those that are not in Diocesan trusteeship. Canon 806§1 provides:

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<sup>1</sup> The 'control' specified in canon 803 is normally established where the Diocese or religious order owns the school and appoints the governing body (or at least a majority of it).

*“The Diocesan Bishop has the right to watch over and inspect Catholic schools in his territory...and has the right to issue directives concerning the general inspection of Catholic schools...those who are in charge of Catholic schools are to ensure, under the supervision of the Local Ordinary<sup>2</sup>, that the formation given in them, including its academic standards, are at least as outstanding as that in other schools in the area”.*

In respect of his schools, which includes academies, the bishop has the legal right to appoint (and remove) an overall majority of directors and governors, who are known as foundation directors and foundation governors. In addition to all the other legal responsibilities of the academy trust company (for academies) and the governing body (for voluntary aided schools), the law recognises that foundation directors/governors are appointed specifically to ensure:

- That the Catholic character of the school is preserved;
- That the school is conducted in accordance with its trust deed; and
- That the religious education curriculum is in accordance with the bishop’s policy for his Diocese, based on the Bishops’ Conference Curriculum Directory.

The Diocesan bishop, acting through his Director of Education, is responsible for:

- The provision and future development of excellent Catholic education throughout the Diocese
- The oversight of high educational standards, progress and outcomes in all Diocesan schools
- The appointment, development and training of foundation directors and governors and their removal
- The inspection of religious life of schools and RE (section 48 inspections)
- The development of Catholic teachers and leaders (and all appointments should be made in accordance with Diocesan protocol)
- The oversight of school buildings/estate and capital projects
- Planning of school place provision
- Engaging with the RSC and Ofsted
- Maintaining links with the Catholic Education Service and the government

The CES model Scheme of Delegation, more particularly this table at Appendix I, is modelled on a ‘traditional’, average sized multi-academy trust structure. This means that the directors’ responsibilities are delegated by them to an executive team, a Local governing body for each academy in the multi-academy trust and/or the headteacher or principal of each academy. Each ‘layer’ of the governance structure feeds into the layer above so that the board of

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<sup>2</sup> ‘Ordinary’ includes the Diocesan Bishop and those, such as Vicars General , Episcopal Vicars and Auxiliary Bishops, exercising Ordinary jurisdiction on his behalf as well as to describe the relevant Religious Superior in respect of religious order schools, and this also includes their respective representative officers.

directors is free to carry out its strategic functions and is not involved in the operational or day to day aspects of running the academies within the multi academy trust company.

It is also likely that whatever the structure for governance in a Catholic multi-academy trust company there will be Local/regional support networks established for the purpose of sharing good practice and ensuring that each layer of governance has a voice, where appropriate. This could be achieved in any number of ways, for example, a Headteacher group made up of all of the headteachers in the multi-academy trust company, a chairs group for chairs of multi-academy trust companies and a chairs group for chairs of Local governing bodies of academies in multi-academy trust companies. The work of these groups can be factored into the following table, as appropriate.

**KEY:**

**ND:** means non-delegable

**Explanation of the layers of governance in a ‘traditional’ Multi-Academy Trust Company structure**

Members:

- Guardians of the governance of the Multi-Academy Trust Company
- Accountable to the Bishop (unless the Member is the Bishop)
- Signatories to the Memorandum and Articles of Association
- Akin to shareholders

Directors:

- Company Directors and Charity Trustees
- Accountable to the Members and the Bishop
- Appoint the Lead Officer
- Duty to uphold the Multi-Academy Trust Company’s objects and to comply with any directives, advice and/or guidance issued by the Bishop
- Responsible for preserving and developing the Multi-Academy Trust Company’s Catholic character at all times, and this overriding duty (which is also a legal duty) should permeate everything that the Directors do.
- Responsible for the general control and management of the administration of the Multi-Academy Trust Company and for delivering the three core functions
- Delegate functions to sub-committees, Executive Team, LGBs, and Principals/Headteachers

#### Executive Team:

- Appointed to the Board of Directors and employed by the Multi-Academy Trust Company
- Expectation that this will include a senior executive, for example a CEO, if appropriate depending on the size and stage of development of the multi-academy trust company
- Responsible for 'operations' and for delivering the Board's vision and ethos – the 'professional leaders'
- Responsible for the Multi-Academy Trust Company's financial effectiveness and stability and for ensuring value for money
- Performance manages the Principals/Headteachers

#### LGB Governors:

- Appointed/elected to govern a specific academy within the Multi-Academy Trust Company in accordance with the Scheme of Delegation
- Have oversight of one academy in the multi-academy trust company and are accountable to the board of Directors of the multi-academy trust company
- Vital link to the Local community

#### Principal/Headteacher:

- Responsible for day to day management of the Academy (or academies in an executive headship type arrangement)
- Responsible for performance management of staff excluding those staff whose performance is managed by the Directors, a committee of the Directors, the executive team (including the Lead Officer, if appropriate), the LGB or a committee thereof.

#### **Notes to assist in reading this table**

It is envisaged that, where the executive team have been delegated responsibility by the board of directors, an appropriate member of the executive team will take the lead based on their qualifications, expertise, skills, experience and/or availability.

In all that the multi-academy trust company does, it should ensure that any Diocesan policy, procedure, protocol or guidance is reflected and followed, including by the academies within the multi-academy trust company.

**In this table, the term 'company' shall mean the multi-academy trust company'.**

**In this table, the term 'headteacher' shall mean the principal or headteacher employed in the academy and reference to 'headteachers' shall mean each of the headteachers employed in each of the academies in the company.**

## KEY responsibilities on Governance: Headteacher

A1	To lead, manage & Implement the religious and educational character, mission and ethos of the particular Academy
A2	To produce the vision & direction of the Academy in conjunction with the LAC & prepare a school development plan (SDP)
A3	Attend meetings of the Local Academy Council (LAC) and provide a Headteacher's report
A4	Support the appointment process for the clerk
A5	Implement the CAT-wide policies, tailored by the LAC to the particular Academy
A6	Advise the Local Academy Council (LAC) on succession planning for Local governance and senior leadership
A7	Advise the Local Academy Council (LAC) on its annual schedule of business
A8	Build relationships with other schools, agencies and businesses in the wider community to enhance the quality of education provided for pupils at the Academy and the wider CAT.
A9	Assist the Local Academy Council (LAC) to develop Pupil, Parent and Staff Voice

## KEY responsibilities on Governance: Local Academy Council (LAC) Governors

B1	Determine, preserve and develop the religious and educational character, mission & ethos of a particular Academy in collaboration with the Headteacher within the ethos and mission specified by the CAT
B2	Champion the CATs vision, ethos, and strategic direction in the Academy

B3	Ensure the spiritual wellbeing of pupils at the Academy .
B4	Develop the Academy's medium to long-term vision for its future viability as a Catholic school and a robust strategy for achieving its vision
B5	Develop and Support the Headteacher in implementing a school development plan and oversee it carried out in practice
B6	Appoint (and remove) from its number: chair, vice-chair and Local governors with specific responsibilities for SEND, child protection, pupil premium and financial matters [this is directors' responsibility with advice from executive team/Lead Officer]
B7	Appoint a clerk to Local Academy Council (LAC)s [this is directors' responsibility with advice from executive team/Lead Officer]
B8	Develop, review and amend the policies of the Academy in line with any CAT-wide policies
B9	With the Headteacher, establish and develop Pupil, Parent and Staff Voice and monitor the same, reporting any issues or other matters to the executive team/directors as appropriate
B10	Establish and maintain relationships with the parish priest, the Diocese Local and parish community to work with them as they contribute to the Catholic formation of the pupils at the Academy .
B11	Establish and maintain relationships with parents of pupils attending the Academy to support them in their role as primary educators
B12	Establish and maintain a relationship with members of the wider Local community, including assisting the principal to build relationships with other schools, agencies and businesses in the community to enhance the quality of Catholic education provided for pupils
B13	Performance manage the chair to Local Academy Council (LAC) – 360 review
B14	Carry out the annual self-evaluation of the Local Academy Council (LAC) and report findings to the executive team/directors as appropriate
B15	Succession plan for Local governance and senior leadership in conjunction with the wider CAT
B16	Support and work with other LACs in the CAT

B17	Generally support & challenge the Headteacher and consultative in their appraisal
B18	Comply with any denominational inspections pursuant to s.48 and any additional canonical inspections and visitations of the bishop
B19	Comply with any other education inspections, e.g.s.5 as required by law

### KEY responsibilities on Governance: Executive Team

C1	Attend meetings of the directors and provide an Executive Report
C2	Advise the directors on central spend/top slice arrangements and take action as required by the directors
C3	Advise the directors on the establishment and publication of the registers relating to business and pecuniary interests, for members/directors/committee members/governors/senior staff members, and take any action as required by the directors
C4	Advise the directors on succession planning and development of the executive team and take action as required by the directors.
C5	Advise the Local Academy Council (LAC) on leadership succession planning
C6	Prepare and advise the directors on the annual schedule of directors' business
C7	Support the directors to ensure that the CAT's, as well as each individual Academy 's, governance details, including their accounts, are published on the CAT's, and individual Academy 's websites
C8	Prepare an annual schedule of Local Academy Council (LAC) business and advise the Local Academy Council (LAC) on it
C9	Support and assist the directors and/or the Local Academy Council (LAC) to prepare for any inspections e.g.s.48, s.5
C10	With oversight from the directors, support and advise the Local Academy Council (LAC) in appoint a chair and a clerk.

C11	This team will grow exponentially and will require from the outset a bursar, a Lead officer and moving to an HR representative over time. This team will work in collaboration with other family of schools as they grow from an initial small grouping of schools.
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**Key responsibilities on Governance: Directors**

D1	Preserve and develop the religious and educational character, mission and ethos of the CAT, as determined by the Diocesan/Religious Order Trustees in accordance with the Articles of Association, and ensure that it is embedded in each Academy <b>ND</b>
D2	Carry out the three core functions: <ul style="list-style-type: none"> <li>➤ Ensure clarity of vision, ethos and strategic direction</li> <li>➤ Hold the Headteachers and/or senior executive leader e.g, the chief executive (as appropriate) to account for the educational performance of the academies in the CAT and its pupils, and for the internal organisation management and control of the academies, including performance management of staff</li> <li>➤ Oversee the financial performance of the CAT and the academies within it and make sure its money is well spent.</li> </ul>
D3	Have strategic oversight of governance arrangements and their effectiveness across the CAT and the wider Diocese. This will require transition management & Directors will adhere to the Articles of Association
D4	Review and amend, in line with Diocesan policy: <ul style="list-style-type: none"> <li>➤ Code of Conduct</li> <li>➤ The terms of reference for the directors and their sub-committees</li> <li>➤ The constitution and terms of reference of the LOCAL ACADEMY COUNCIL (LAC)s</li> <li>➤ Terms and reference for delegation to the executive team</li> <li>➤ Role descriptions for directors/chairs to the directors/committee members</li> <li>➤ This scheme of delegation and table of roles and functions</li> </ul>
D6	Update Edubase as required by the Academies Financial Handbook



D7	Agree central spend/top slice arrangements in accordance with Diocesan protocol <b>ND</b>
D8	Pay Diocesan contribution as stipulated from time to time by the Bishop in accordance to Diocesan agreed policy
D9	Advise the members on, and where appropriate recommend, review and amendment of the Articles of Association
D10	Receive advice from the executive team regarding the establishment and publication on the CAT's website of the registers relating to business and pecuniary interests for members/directors/committee members/governors/senior staff members and instruct the executive team as necessary
D11	Determine the directors' Reserved Matters i.e. non-delegable functions and responsibilities
D12	Appoint/remove relevant Directors that are co-opted <b>ND</b>
D13	Appoint/remove a suitably qualified CAT secretary
D14	Appoint/remove a suitably experienced and trained clerk to the directors and to support clerking arrangements to the Local Academy Council (LAC)s
D15	Complete and return to the EFA a financial management and governance self-assessment form for new academies joining the CAT
D16	Review and amend the policies of the CAT
D17	Submit and publish an annual report to members in respect of the CATs performance <b>ND</b>
D18	Performance manage the chair to the directors – 360 review <b>ND</b>
D19	Carry out the annual self-evaluation of the directors to assess the contributions made by the directors'/committee members and report to the members for action, if appropriate <b>ND</b>
D20	Prepare a succession plan

D21	Prepare an annual schedule of the directors' business
D22	Ensure that the CAT's, as well as each individual Academy's, governance details, including their accounts, are published on the CAT's website along with any other details as required by the DfE, EFA, Companies House or other organisation as required
D23	Broker internal and external school-to-school support – bring in support as necessary to facilitate excellent Catholic education across all the academies in all the CAT in line with and Diocesan protocol
D24	Comply with any denominational inspections pursuant to s.48 and any additional canonical inspections and visitations of the bishop
D25	Comply with any other education inspections, e.g. s.5 as required by law

### KEY responsibilities on Governance: Members

E1	Review and amend the Articles of Association subject to the written consent of the Diocesan Bishop and the Diocesan/Religious Order Trustees
E2	Appoint/remove relevant members ND
E3	Remove directors
E4	Change the name of the CAT and/or the academies within it
E5	Receive and annual report from the directors and the CEO/senior executive leader on the CAT performance

**Useful Resources: CES skills audit, CES SEF, CES Code of Conduct, CES Protocol between Dioceses and schools, Articles of Association of the CAT, Academies Financial Handbook**

## Key responsibilities on Finance: Headteachers

F1	Ensure the preparation of the annual budget for the Academy with the assistance of relevant staff in line with any CAT-wide policy or guidance
F2	Monitor the income, expenditure and cash flow of the Academy and report any issues to the Local Academy Council (LAC)
F3	Prepare monitoring reports for the Local Academy Council (LAC) and summary reports for the Finance Committee to feed up to the board of directors as appropriate
F4	Ensure proper financial controls are in place at the Academy
F5	Ensure provision of free school meals to those meeting the criteria
F6	Set up and approve staff expenses at the Academy in accordance with any CAT-wide policy
F7	Submit expenses in accordance with CAT-wide policy
F8	Assist the executive team and the board of directors to develop and implement a disaster recovery/business continuity plan for the CAT and the academies within it

## Key responsibilities on Finance: Local Academy Council (LAC) Governors

G1	Appoint a Local governor(s) responsible for finance (where some financial matters have been delegated to the Local Academy Council (LAC))
G2	Responsible with the Academy's annual budget and operate within it
G3	Monitor the income, expenditure and cash flow of the Academy and report any issues to the executive team/directors

G4	Ensure any variances from the budget are reported to the Finance Committee/board of directors
G5	Ensure proper financial controls are in place at the Academy
G6	Maintain a register of business interests of Governors
G7	Monitor the provision of free school meals to those pupils meeting the criteria and follow up where there any issues
G8	Ensure the CAT's disaster recover/business continuity plan for the Academy is adhered to and remains fit for purpose

### Key responsibilities on Finance: Executive Team

H1	Support and advise the directors in respect of the annual accounts and report
H2	Prepare the financial scheme of delegation and take any action as determined by the directors following their review of it
H3	Support the directors, and carry out any instructions from them, relating to their responsibilities for budget planning and ensuring the ongoing viability of the CAT and the academies within it
H4	Monitor the income, expenditure, cash flow and balance sheet of the CAT and produce monthly budget monitoring reports for the directors highlighting any concerns or issues in accordance to and reflective of Diocesan policy.
H5	Support Local Academy Council (LAC)s and Headteachers in Local Academy monitoring and management of budgets and finances
H6	Consider any variances on delegated budget reported by the Local Academy Council (LAC)s
H7	Report to the directors on the financial performance of the CAT at least 3 times per year
H8	Lead Officer or designated senior executive to act as the Accounting Officer

H9	Ensure proper financial controls are in place
H10	Set up and approve staff expenses for the Executive Team
H11	Open bank accounts
H12	Support the directors and Local Academy Council (LAC) to ensure robustness of benchmarking in terms of value for money of the CAT and, also the individual academies
H13	Assist the directors with the Local Academy Council (LAC)s and Headteachers as appropriate, to prepare a disaster recover/business continuity plan
H14	Prepare a charging and remissions policy for adoption by the directors

### Key responsibilities on Finance: Directors

I1	Issue a letter of engagement for the external auditor's contract
I2	Appoint internal audit committee to appoint auditors for their own Academy
I3	Appoint a chief financial officer (which can be the finance director, school business manager or equivalent) to lead on finance
I4	Appoint an audit committee <b>ND</b>
I5	Appoint a finance committee (as per the Academies Financial handbook)
I6	Ensure that the accounts are audited in accordance with the Diocesan/Religious Order Trustees' requirements relating to accounting for the Church assets

I7	Produce, submit and publish annual audited accounts and report including accounting policies, signed statement on regularity, propriety and compliance, incorporating governance statement demonstrating value for money
I8	Approve and keep under review the financial scheme of delegation <b>ND</b>
I9	Approve the annual budget for the CAT and each Academy in the CAT to include overall approval of management accounts for each individual Academy
I10	Budget plan on a 5 year rolling basis
I11	Consider monthly budget monitoring reports and take action as necessary
I12	Submit the budget forecast to the EFA
I13	Approve any significant changes to the approved budget
I14	Monitor income, expenditure, cash flow and balance sheet of the CAT and take appropriate action where necessary to ensure appropriate use of funds and to balance the CAT's books
I14	Review all financial policies as required by the Academies Financial Handbook and/or as recommended by the auditors
I15	Adopt and review the charging and remissions policy prepared by the executive team
I16	Determine and communicate service charges to the Local Academy Council (LAC)s relating to the provision of centralised functions OR agree top-slice and all centralised services and what must be paid for separately by each Academy in the CAT
I17	Appoint an Accounting Officer <b>ND</b>
I18	Ensure proper financial controls are in place
I19	Ensure robustness of benchmarking in terms of CAT value for money

I20	Agree pay for all Headteachers, executive Headteachers and executive team members, including Lead Officer if appropriate <b>ND</b>
I21	Develop and implement, in conjunction with the executive team and the Headteachers a disaster recovery/business continuity plan for the CAT and ensure that Local plans exist in each Academy

### Key responsibilities on Finance: Members

J1	Appoint all external auditors
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### Key responsibilities on Contracts: Headteacher

K1	Make payments within agreed financial limits
K2	Enter into contracts in the name of the CAT up to the limits of delegation and within an agreed budget
K3	Act as a signatory of an Academy specific bank account in accordance with the CAT's financial regulation

### Key responsibilities on Contracts: Local Academy Council (LAC) Governors

L1	Conduct the business of the Academy ethically and in line with requirements set by the directors to ensure that all suppliers used take account of economic, social and environmental factors
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L2	Enter into contracts in the name of the CAT up to the limits of delegation and with an agreed budget
L3	Support the directors in their monitoring and evaluation of the delivery of any central services and functions provided or procured by the CAT for the Academy

### Key responsibilities on Contracts: Executive Team

M1	Prepare a CAT-wide competitive tendering policy for adoption by the directors in accordance with Diocesan policy on procurement contracts
M2	Develop CAT-wide procurement strategies and efficiency savings programme (in line with the CAT-wide policy and review opportunities for collaborative procurement)
M3	Enter into contracts in the name of the CAT up to the limits of delegation and with an agreed budget
M4	Make payments within agreed financial limits

### Key responsibilities on Contracts: Directors

N1	Conduct the business of the CAT ethically and in line with corporate social responsibility indicators to ensure that all suppliers used take account of economic, social and environmental factors insofar as permitted by the Academies Financial Handbook
N2	Adopt a CAT-wide competitive tendering policy and ensure OJEU procurement thresholds are observed <b>ND</b>
N3	Set the delegated levels of authority for contracts



N4	Approve contracts with constitute related party transactions
N5	Set up and approve directors' expenses in accordance with the CAT's conflicts of interest policy

**Key responsibilities on Curriculum and Standards: Headteachers**

P1	Ensure that the curriculum of the school, including all the subjects of the National Curriculum, is taught in the light of the teachings of Christ & the Catholic Church and actively promotes the spiritual and moral development of its pupils
P2	Ensure the curriculum is appropriately delivered at the Academy
P3	Ensure that religious education is in accordance with the teachings, doctrines, discipline and norms of the Catholic Church, both as a core subject and integrated into other subject areas
P4	Ensure that religious education constitutes 10% of the weekly timetable of the Academy in accordance with the tenets and norms of the Catholic church (or 5% for sixth form colleges when applicable)
P5	Make a provision for a daily collective act of worship in accordance with the rites, practices, disciplines and liturgical norms of the Catholic church
P6	Implement and adhere to targets set by LAC for pupil achievement and progress and monitor against targets and report findings to the LOCAL ACADEMY COUNCIL (LAC)/executive team
P7	Report bi-termly KPI figures to the Executive Team and the Local Academy Council (LAC) relating to standards
P8	In conjunction with the Local Academy Council (LAC) and executive team, prepare a draft Academy development plan for approval by the Local Academy Council (LAC)

### Key responsibilities on Curriculum and Standards: Local Academy Council (LAC) Governors

Q1	Approve the curriculum proposed by the Headteacher (to the extent that it is consistent with the CAT-wide policy)
Q2	Ensure that the curriculum of the school, including all the subjects of the National Curriculum is taught in the light of the teachings of Christ & the Catholic Church and actively promotes the spiritual and moral development of its pupils
Q3	Ensure that RE is in accordance with the Curriculum Directory and the bishop's policy and that it constitutes 10% of the weekly timetable in the Academy in accordance with the tenets and norms of the Catholic church (or 5% for sixth form colleges)
Q4	Ensure that the Headteacher is complying with the requirement to provide a daily collective act of worship in accordance with the rites, practices, disciplines and liturgical norms of the Catholic church and take action to address any issues, as appropriate
Q5	Ensure that relationships and sex education is taught in accordance with the social and moral teachings of the Catholic Church having regard to any CAT-wide policy
Q6	Monitor the quality assurance of teaching and learning, the curriculum inclusion and the sharing of good practice across the Academy and take action where any issues arise
Q7	Set and monitor the KPI figures reported from the Headteacher relation to standards and report any issues to the executive team
Q8	Develop and approve the Academy development plan and monitor its impact, reporting any issues to the executive team/directors

### Key responsibilities on Curriculum and Standards: Executive Team

R1	Act effectively to ensure high standards, draw up and implement plans if standards are not rising, set up support strategies and alert the
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	directors to any shortcomings or fall in standards before they become serious
R2	Prepare and oversee the implementation of a CAT-wide curriculum policy
R3	Review the contents and delivery of the curriculum across the academies including compliance with any funding agreement requirements
R4	Provide a termly report to the directors (via standards committee possibly) regarding standards and raise concerns and provide strategies
R5	Provide oversight of the target setting for pupil achievement and progress by the Headteachers and monitor against targets
R6	Monitor the KPI figures reported from the Headteachers relating to standards and take up any issues with the Local Academy Council (LAC) and report to the directors
R7	Support the Local Academy Council (LAC) and Headteachers to develop an Academy development plan

### Key responsibilities on Curriculum and Standards: Directors

S1	Receive and annual report from the directors and the CEO/senior executive leader on standards
S2	Report any relevant information to the Bishop in order to provide assurances that standards across the academies in the CAT are being met
S3	Appoint an education standards committee
S4	Intervene, in a timely manner, where standards fall below that which is expected of the academies with the CAT
S5	Determine a CAT-wide curriculum policy to ensure provision of a balanced and broadly based curriculum. This will include ND:

	<ul style="list-style-type: none"> <li>➤ Ensure that the Catholic mission and ethos of CAT permeates the curriculum and life at each of the academies in the CAT</li> <li>➤ Ensure that every pupil is well-equipped to follow their vocation as active citizens in service to the world</li> <li>➤ The curriculum, extra-curricular activities and ethos will prepare pupils for life in modern Britain; and</li> <li>➤ A written policy on relationships and sex education, in accordance with any Diocesan policy and/or CES policy, which shall be taught in accordance with the social and moral teachings of the Catholic church</li> </ul>
S6	Determine a CAT-wide policy on religious education and collective acts of worship in accordance with the Bishops' Conference Curriculum Directory and the tenets and norms of the Catholic church
S7	Receive a termly report from the Executive Team/standards committee and the Headteachers regarding standards
S8	Set CAT-wide performance management targets relating to standards, if necessary
S9	Ensure effective processes are in place for monitoring the quality assurance of teaching and learning, the curriculum, inclusion and the sharing of good practice across the academies in the CAT

### Key responsibilities on Special Educational Needs & Disabilities: Headteachers

T1	Designate a teacher to be responsible for coordinating SEND provision
T2	Liaise with the Local authority in respect of pupils who have, or might have, SEND
T3	Make provision for SEND pupils with or without a statement or EHC Plan
T4	Ensure compliance with the legal requirements relating to disability with the Academy

### Key responsibilities on Special Educational Needs & Disabilities: Local Academy Council (LAC) Governors

U1	Appoint a Local governor responsible for SEND and inclusion
U2	Review and maintain the Academy 's SEND policy
U3	Provide oversight of the implementation of the policy within the Academy and compliance with the legal requirements relating to disability and report to the executive team/directors

### Key responsibilities on Special Educational Needs & Disabilities: Executive Team

V1	In accordance with directions from the directors, prepare the CAT's SEND policy for adoption by the directors
V2	Provide oversight of the implementation of the CAT-wide SEND policy
V3	Ensure compliance with legal requirements relating to SEND within the academies
V4	Produce a report to the directors on SEND provision across the CAT and take action as they direct
V5	Appoint Educational Psychologists; Welfare Officers across the academies for identification of any areas of concern for referral to the directors

### Key responsibilities on Special Educational Needs & Disabilities: Directors

W1	Adopt a CAT-wide SEND policy <b>ND</b>
W2	Ensure training and legal compliance issues
W3	Appoint a lead SEND director

### Key responsibilities on Safeguarding: Headteachers

X1	Appoint a designated teacher to support looked after children and to ensure the role is compliant with statutory guidance
X2	Promote, develop and maintain a robust culture of safeguarding that has at its heart the welfare and needs of the child first.
X3	Appoint a designated safeguarding lead and clearly identify them and all other qualified safeguarding staff
X4	Maintain the single central record
X5	Ensure compliance with all relevant regulations eg risk assessments, health and safety, etc

### Key responsibilities on Safeguarding: Local Academy Council (LAC) Governors

X6	Appoint a designated governor for safeguarding
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X7	Ensure that at least one governor on any recruitment panel has up to date safeguarding and safer recruitment training
X8	Review and maintain a safeguarding and child protection policy for the Academy (consistent with the CAT-wide policy)
X9	Ensure the completion of the single central record and its regular updating

### Key responsibilities on Safeguarding: Executive Team

Z1	Prepare a CAT-wide safeguarding and child protection policy for adoption by the directors bearing in mind Local variance if the CAT spans more than one Local Authority area
Z2	Ensure that each Academy has appointed a designated teacher to support looked after children
Z3	Make arrangements for safeguarding adults to be conducted by independent personnel
Z4	Report to the directors on the procedures in place for safeguarding and on matters as they arise and at least annually
Z5	Monitor compliance with legislation and report any failings to the directors
Z6	Identify training needs and report to the directors
Z7	Put in place effective systems for safeguarding pupils and take appropriate action where these are not followed

## Key responsibilities on Safeguarding: Directors

1a	Adopt a CAT-wide safeguarding and child protection policy bearing in mind Local variance if the CAT spans more than one Local authority area ND
2a	Adopt a CAT-wide policy regarding school trips <b>ND</b>
3a	Ensure training and legal compliance issues
4a	Ensure the single central record is maintained for all CAT-based and cross-school appointments
5a	Ensure that at least one director on any recruitment panel has up to date safeguarding training
6a	Ensure safer recruitment training is made available to all governors and senior leaders
7a	Monitor safeguarding practice across the CAT and take appropriate action where safeguarding practice is falling short of the standards expected

## Key responsibilities on Behaviour: Headteachers

1b	With the Local Academy Council (LAC), prepare a behaviour policy for the Academy in line with the CAT-wide policy
2b	Exclude a pupil for a fixed term or permanently, as appropriate



### Key responsibilities on Behaviour: Local Academy Council (LAC) Governors

1c	Assist the Headteacher to prepare a behaviour policy for the Academy in line with the CAT-wide exclusions policy for adoption by the directors
2c	Review the overall pattern of exclusions across academies and report to the directors
3c	Support and maintain disciplinary panels

### Key responsibilities on Behaviour: Executive Team

1d	Prepare a CAT-wide behaviour policy for adoption by the directors
2d	Prepare a CAT-wide exclusions policy for adoption by the directors
3d	Review the overall pattern of exclusions across academies and report to the directors

### Key responsibilities on Admissions: Headteachers

1e	Provide advice and guidance to the Local Academy Council (LAC) and the directors as to requirements under the School Admissions and Appeals Codes
2e	Ensure compliance with the CAT-wide admissions policy
3e	Make arrangements for determining admissions and hearing admissions appeals in line with the CAT-wide policy
4e	Participate in Local admissions forum
5e	Ensure participation in the fair access protocol
6e	Ensure effective arrangements are in place for pupil recruitment to the Academy

### Key responsibilities on Admissions: Local Academy Council (LAC) Governors

1f	Undertake consultation, publish admissions and determine arrangements as required in accordance with the School Admissions and Appeals Codes and the CAT-wide admissions policy
2f	Make arrangements for determining admissions and hearing admission appeals
3f	Ensure effective arrangements are in place for pupil recruitment
4f	Contribute to the development of the Academy prospectus (if there is one)

### Key responsibilities on Admissions: Executive Team

1g	Work with the Diocese to produce a CAT-wide admissions policy for adoption by the directors and ensure that it complies with all Diocesan requirements
2g	Provide oversight, and support, of the implementation of admissions arrangements across the CAT
3g	Ensure that the impact of any proposed changes to an Academy's admission arrangements are considered in light of the other academies in the CAT and other catholic schools generally in the Diocese
4g	Ensure effective arrangements are in place for pupil recruitment to the academies in the CAT
5g	Provide advice and guidance to directors regarding the requirements of the Schools Admissions and Appeals Codes
6g	Ensure all policies are reviewed by the directors and are compliant with the Code

### Key responsibilities on Admissions: Directors

1h	Receive a report from the directors and share the report with the Diocesan Education Service to assist the Bishop in his responsibilities relating to place planning
2h	Assist the Diocese with any requirements it may have relating to the Bishop's duty to seek to ensure that there are sufficient school places available for the baptised Catholic children resident in his Diocese.
3h	Adopt the CAT-wide admissions policy prepared by the executive team and ensure that it complies with all Diocesan requirements ND

4h	Review and approve all Academy admissions policies before they are determined and published by the Local Academy Council (LAC)
5h	Prepare an annual report to the members on the need for school places within the Local community, including forecasts

**Key Admissions Useful Resources: CES resources: Certificate of Catholic Practice and associated guidance**

**Key responsibilities on Other Pupil related Matters: Headteachers**

1i	Maintain a register of pupil attendance and report on attendance and pupil absences (as part of the KPIs) to the Local Academy Council (LAC)
2i	Determine key priorities and KPIs against which pupil attainment & progress can be measured
3i	Review and maintain home-Academy agreements, if appropriate, which should reflect support for the Academy's Catholic character
4i	Ensure effective deployment of the pupil premium and monitor its impact, reporting any issues to the Local Academy Council (LAC)
5i	Prepare an Academy complaints policy consistent with the CAT-wide policy for adoption by the Local Academy Council (LAC) and hear complaints at the relevant stage

### Key responsibilities on Other pupil related matters: Local Academy Council (LAC) Governors

1j	Support and advise the Headteacher to determine KPIs
2j	Review attendance and pupil absences
3j	Appoint a Local governor responsible for statutory grants including pupil premium and sports premium
4j	Monitor the impact of the pupil premium in the Academy and advise executive team/directors
5j	Monitor the impact of the sports premium in the Academy and advise executive team/directors
6j	Adopt an Academy complaints policy (consistent with the CAT wide policy)
7j	Hear complaints at the relevant stage
8j	Ensure effective arrangements are in place for pupil support and representation at the Academy
9j	Support the CAT and the Headteacher in the extended school provision in the Academy
10j	Set uniform

### Key responsibilities on Other pupil related matters : Executive Team

1k	Prepare a CAT-wide complaints policy for adoption by the directors
2k	Review the level of complaints across the CAT and report to the directors outlining the changes initiated as necessary to address any issues

3k	Monitor the levels of attendance in the academies and the use of home-Academy agreements and report termly to the directors
4k	Monitor the impact of the pupil premium/sports premium across the CAT and report to the directors

### Key responsibilities on Other pupil related matters : Directors

1l	Adopt a CAT-wide complaints policy and receive reports from the executive team regarding the level of complaints across the CAT ND
2l	Review data provided by the executive team/ Local Academy Council (LAC) relating to pupil premium and sports premium and take action to address any issues, as appropriate
3l	Set the times of Academy sessions and the dates of Academy terms and holidays
4l	Ensure that the Academy meets for 380 sessions in an Academy year
5l	Notify the Diocese of any school level complaints. The directors <i>must</i> notify the Diocese of any complaints or issues that could bring into disrepute the Catholic character of the CAT and/or the academies within it

### Key responsibilities on Staffing Members: Headteachers

1m	Determine staffing requirements within the Academy and budget
2m	Implement the CAT-wide policies and procedures in the Academy

3m	With the Local Academy Council (LAC), appoint teaching and non-teaching staff, deputy or assistant HT and Head of RE.
4m	Suspend or dismiss teaching and non-teaching staff in consultation with the executive team
5m	Conduct the performance management and pay progression of staff in the Academy in line with the Academy's pay policy and appraisal policy
6m	Approve applications for early retirement, secondment and leave of absence

### Key responsibilities on Staffing Members: Local Academy Council (LAC) Governors

1n	Support the directors in the process to appoint the Headteacher as requested by the executive team (acting with the delegated authority of the directors) and to take part in the performance management of the Headteacher
2n	Having regard to the CAT's strategic plans, support the Headteacher in the development and review (from time to time) of an appropriate staffing structure for the Academy and for the appointment of Academy staff and to ensure that the Academy is fully staffed in accordance with that structure
3n	Ensure that there is effective communication between the Headteacher and the executive team, HR committee and pay committee
4n	Ensure the CAT's policies on all HR matters are implemented in the Academy
5n	Monitor and scrutinise the implementation of the CAT's policies at the Academy for HR matters including the appointment, induction and performance management of staff, pay review process, and procedures for dealing with disciplinary matters, grievances and dismissal
6n	Support the executive team and the directors as appropriate, to conduct the performance management of Headteachers
7n	Advise and support the directors to determine Headteachers' pay

## Key responsibilities on Staffing Members: Executive Team

1o	Prepare a pay policy for consideration and adoption by the directors
2o	With directors approval, determine the senior leadership and high-level non-teaching structures for each Academy
3o	Review the terms and conditions of employment across the academies in the academies and advise the directors where there is a possibility of employment claims and take any action as directed by the director to ensure that this risk is minimized/removed
4o	Advise the directors on suitable CAT-wide policies and procedures and ensure their effective implementation, in particular the CES model employment documents pursuant to the Bishops' Memorandum on the Appointment of Teachers in Catholic Schools.
5o	Monitor and review staffing changes across the CAT and report any issues to the directors
6o	Support the Headteachers to determine staffing structures at the Academy
7o	Senior executive/CEO to conduct the performance management review of the executive leaders (excluding the senior executive/Lead Officer) with support from the [pay] committee
8o	With the advice and approval of the directors and the Diocese, appoint, suspend and dismiss the Headteachers (including any executive Headteacher or Head of School), deputy Headteacher, head of religious education and lay chaplain employed by the CAT
9o	Conduct the performance management of Headteachers



## Key responsibilities on Staffing Members: Directors

1p	Appoint a HR committee to oversee recruitment, induction, training CPD, wellbeing, dismissals, and other HRH processes for all staff within the CAT at a strategic level
2p	Establish a pay committee
3p	Adopt the pay policy prepared by the executive team which is to be carried out by the pay committee
4p	Ensure harmonisation of terms and conditions of employment across the CAT to avoid the risk of employment claims
5p	Define any overarching management structures across the CAT and budget in accordance with Diocesan policy ND
6p	Develop Catholic leadership within the CAT and the wider Diocese
7p	Consider and approve any senior leadership and high level non-teaching structures as determined by the executive team
8p	Through the HR committee, ensure that certain posts are filled by practising Catholics in observance of the Bishops' Memorandum on Appointment of Teachers in Catholic Schools, being the Headteacher or principal, deputy Headteacher or deputy principal and head or co-ordinator of religious education or, where there are different structures in place or different terminology is used, ensure that the person with overall responsibility for the day to day management of the school, and the person who is the second most senior person in the leadership team, are practising Catholics
9p	Ensure that Diocesan protocol is followed in respect of the appointment of any other senior post which directly affects the Catholic mission of the CAT and its academies, including but not limited to the CEO, or other senior executive(s) and lay chaplains, and is in accordance with the Bishops' Memorandum on Appointment of Teachers in Catholic schools
10p	Ensure that the Diocese is involved in any recruitment selection and appointment being made, particularly relating to any senior posts and

	lay chaplain which directly affect the Catholic mission of the CAT and its academies
11p	Adopt CAT-wide staff policies and procedures ND
12p	Put in place an appropriate whistleblowing procedure
13p	Ensure the adoption of CES employment documents (with amendments where appropriate), including the model contracts of employment and workplace policies, in observance of the Bishops' Memorandum on Appointment of Teachers in Catholic Schools
14p	Determine appointments to be made across one or more Academy in the CAT in line with any Diocesan protocol
15p	Appoint, suspend and dismiss HT, Deputy/Assistant HT and head of RE all executive team posts including the Lead Officer, if appropriate, acting through a committee (if the appointment, suspension or dismissal relates to any executive team post other than the Lead Officer, the Lead Officer should be consulted by the committee on that appointment, suspension or dismissal)
16p	Conduct the performance management review of the senior executive/Lead Officer (acting through the pay committee ND)
17p	Notify the Diocese of any suspension or action taken under a disciplinary policy which could result in dismissal of a staff member, particularly where any misconduct may bring the Catholic character of the CAT and its academies into disrepute

**Useful resources: CES model employment documents**

### Key responsibilities on Information management and communication: Headteachers

1q	Ensure the publication of Academy information, ensuring that the electronic communication, including web pages, are up to date and compliant
2q	Maintain accurate and secure staff records for the Academy
3q	Ensure compliance with all data protection legislation and good practice at the Academy

### Key responsibilities on Information management and communication: Local Academy Council (LAC) Governors

1r	Ensure the effective implementation of the data protection policies and procedures in the Academy
2r	Ensure systems in place are in line with the CAT's strategy at the Academy for effective communication with pupils, parents or carers, staff, parish priests, Diocese and the wider community including the support of a Local parent teacher association (if established)

#### Useful Resources:

**CES Guidance Note on the Data Protection Act 1998**

**CES Guidance Note on Freedom of Information**

### Key responsibilities on Information management and communication: Executive Team

1s	Prepare a CAT-wide data protection policy for adoption by the directors
2s	Ensure compliance with all data protection legislation and good practice across the academies
3s	Develop and implement an integrated ICT strategy to ensure compatibility of systems across all the academies in the CAT to facilitate maximum efficiency and cohesiveness and report any issues to the directors
4s	Support the individual academies on the effective safe storage of data
5s	Maintain accurate and secure staff records for the executive team
6s	Ensure that registration with the information Commissioner's Office is up to date
7s	Maintain and develop the CAT's website

### Key responsibilities on Information management and communication: Directors

1t	Adopt data protection policies and procedures to comply with legislation relating to data protection and freedom of information
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### Key responsibilities on Health, safety, risk and estates: Headteachers

1t	Prepare the risk register for the Local Academy Council (LAC) having regard to the risks identified by the executive team and audit processes
2t	Prepare a health and safety policy for the Academy (in line with the CAT-wide policy) for adoption by the Local Academy Council (LAC)
3t	Monitor the accident book and agree appropriate actions with the Local Academy Council (LAC)/executive team
4t	Ensure suitable risk assessments are prepared and appropriate actions taken
5t	Review security of premises and equipment
6t	Implement the CAT-wide lettings policy in the Academy
7t	Liaise with the executive team on the accessibility plan for the Academy
8t	Responsible for shutting the school if required on health and safety related issues.

### Key responsibilities on Health, safety, risk and estates: Local Academy Council (LAC) Governors

1u	Appoint a Local governor responsible for health and safety
2u	Review the risk register of the Academy and prepare a risk report for the executive team/directors
3u	Adopt a risk reporting policy and health and safety policy (in line with the CAT-wide policy)
4u	Review the implementation of the health and safety policy and ensure that appropriate risk assessments are being carried out in the

	Academy
5u	Conduct site inspections to review any health and safety issues and the security of premises and equipment
6u	Monitor the arrangements for the effective supervision of building maintenance and minor works and take up any issues with the executive team

### Key responsibilities on Health, safety, risk and estates: Executive Team

1v	Prepare and maintain a CAT-wide risk register
2v	Review the risk reports provided by the Local Academy Council (LAC)s and make any recommendations/notifications to the directors as appropriate
3v	Procure buildings and related insurance for the CAT and all the academies within it
4v	Make any proposals relating to the school estate to the directors in accordance with any requirements set by the Diocesan/Religious Order Trustees
5v	Prepare any buildings strategy and asset management planning arrangements in accordance with any requirements set by the Diocesan/Religious Order Trustees and ensure that agreement has been sought from them, as appropriate
6v	Prepare a CAT-wide health and safety policy for the directors' consideration and approval
7v	Monitor and support the implementation of the CAT-wide health and safety policy and report any issues to the directors
8v	Draw up agree and monitor an accessibility plan for each Academy in consultation with the Headteachers, reporting any issues to the directors

9v	With agreement from the Diocesan/Religious Order Trustees, advise the directors and manage, in conjunction with them, any capital and building improvement grants
10v	Compliant and consistent in implementing Diocesan policy on capital projects

### Key responsibilities on Health, safety, risk and estates: Directors

1w	Appoint a risk and audit committee
2w	Review risk management and the risk register kept by the executive team
3v	Approve insurance arrangements in accordance with Diocesan/Religious Order Trustees' requirements
4v	Review and maintain any buildings strategy and asset management planning arrangements in accordance with any requirements set by the Diocesan/Religious Order Trustees, including seeking their agreement to any such plans as appropriate
5v	Apply to the Diocesan/religious Order Trustees for any funding/consent to building works before undertaking any works
6v	Adopt a CAT-wide health and safety policy and risk reporting policy <b>ND</b>
7v	Adopt a CAT-wide lettings policy in accordance with the Diocesan/Religious Order Trustees' requirements <b>ND</b>
8v	Commence or settle any litigation proceedings <b>ND</b>
9v	Provide any relevant and appropriate guarantees and indemnities as authorised by the members/Diocesan Trustees/Religious Order Trustees
10v	Select, plan and oversee any capital projects and buildings improvements as agreed by the Diocesan/Religious Order Trustees and in accordance with all Diocesan protocols

**Useful resources: CES model Protocol between Dioceses and multi-Academy trust companies**