

Appendix 1: Model High Level Division of Responsibilities Document

Type of activities	Principal - supported by School Team <i>(Delivers on school performance & operations)</i>	LGB <i>(Monitors and challenges schools)</i>	CEO – supported by the Trust Team <i>(Approves key items and supports schools)</i>	Trust Board <i>(Ultimately accountable and approves all statutory policies and finance)</i>	Members Board
Governance		<ul style="list-style-type: none"> • Nominate Local Governing Body Chairs • Appoint Local Governing Body Vice Chairs • Support the Trust Board with the identification of suitable candidates for the role of Governance Professional • Undertake Trust Board skills audit to identify gaps, as part of an annual self-review; work with Trustees to identify suitable Governors 		<ul style="list-style-type: none"> • Undertake Trust Board skills audit to identify gaps, as part of an annual self-review; work with Members to identify suitable Trustees • Approve role descriptors for Chair of the Board, Trustees, Local Governors, other roles, sub-committee members • Elect sub-committee Chairs • Appoint Local Governing Body Chairs • Appoint/ remove Clerk to the Trust Board • Appoint/ remove Clerk to the Local Governing Body • Establish and annually review the committee structure • Establish and annually review Terms of Reference for Trust committees • Establish and annually review Terms of Reference for Local Governing Body • Undertake performance management of the CEO • Agree an annual schedule of business for the Trust Board • Agree an annual schedule of business for the Local Governing Body 	<ul style="list-style-type: none"> • Appoint & remove Members • Appoint & remove Trustees • Approve role descriptors for Members • Agree and review the Articles of Association
School Improvement	<ul style="list-style-type: none"> • Develop school strategy, culture & ethos • Develop and then propose academy priorities and academy improvement plan, including suggesting targets • Deliver performance as per academy improvement plan and targets • Develop and then propose curriculum model • Manage assessment processes • Improve teaching quality through performance management, CPD, etc 	<ul style="list-style-type: none"> • Support the Principal to develop and implement local school culture and ethos • Support and challenge and input into the development of, the School Improvement Plan, SEF & Risk Assessment • Support and challenge, and input into the school curriculum model • Monitor school performance against school improvement plan and targets, through reviewing and challenging principal updates and data analysis. LGB will also receive school review reports 	<ul style="list-style-type: none"> • Approves: <ul style="list-style-type: none"> ○ School culture & ethos ○ School targets ○ School improvement plan and school priorities ○ curriculum model; behaviour policy • Support schools on multiple aspects including: implementing school improvement plan; improving teaching quality; managing assessment processes; analysing school data • Monitor school performance 	<ul style="list-style-type: none"> • Set overall vision and mission for the network • Hold Executives to account on school improvement, and all operational areas, where necessary engaging support from independent advisers 	

		<ul style="list-style-type: none"> Engage with local stakeholders and in particular parents to ensure effective communication and engagement 	<ul style="list-style-type: none"> Research and disseminate effective approaches and facilitate sharing of best practice 		
recruitment, appraisal		<ul style="list-style-type: none"> Support Principal recruitment Attend principal appraisals with CEO (Chair) 	<ul style="list-style-type: none"> Conduct Principal recruitment Conduct Principal's appraisals with LGB Chair in attendance Make salary recommendations to the Board 	<ul style="list-style-type: none"> Approve salary range of Principals and consider Trustee representation in selection process Support senior trust leadership recruitment process 	
Finance & procurement	<ul style="list-style-type: none"> Deliver budget and financial targets Use budget and monthly reporting documentation to manage local resources effectively Find and implement local school procurement opportunities, as agreed by the Trust team Manage delivery of locally-sourced contracts 	<ul style="list-style-type: none"> Monitor and challenge school finances 	<ul style="list-style-type: none"> Prepare and propose budget and 3-year forecasting Prepare monthly and end of year school finance documents Develop and proposes financial policies Set financial procedures Recommends school finance targets Oversees all finances and ensures spending is within agreed budgets Approve and recommend to Board: <ul style="list-style-type: none"> School budgets & forecasts Use of reserves & endowments Support principals with school finances Find, implement and manage network procurement opportunities Support and challenge on plans for using school reserves Monitor & challenge locally led procurement 	<ul style="list-style-type: none"> Accountable for ensuring financial compliance and sustainability Approve: <ul style="list-style-type: none"> Finance policies Budget and reserves Financial targets for schools; Use of capital endowments; Running schools in deficit; Financial statements Monitor and challenge <ul style="list-style-type: none"> school finances, particularly vs. school target and budget, and use of resources vs. education plans 	
HR / Recruitment	<ul style="list-style-type: none"> Ensure HR policies and processes are implemented in line with policy, including: performance appraisals and pay reviews, complaints against staff (unless against Principal), local school recruitment (unless for Principal) Develop and propose staff restructure proposals Liaise with local level unions Develop and retain high-quality staff in schools 	<ul style="list-style-type: none"> Input into significant staff restructures Support the principal with staff recruitment as required Suspend/dismiss/reinstate academy staff, in line with Trust policy 	<ul style="list-style-type: none"> Set HR and recruitment network policies Approve any staff restructures Support schools with ongoing HR guidance Responsible for additional HR activities inc: Supplying representation for hearings Liaising with national level unions (e.g. pay policy) Engage in recruiting key operational posts 	<ul style="list-style-type: none"> Accountable for all HR compliance Approve all HR policies <ul style="list-style-type: none"> Suspend/dismiss/reinstate staff, in line with Trust policy Approve/Ratify, in accordance with Trust Policy, Pay recommendations from LGBs and CEO. 	

	<ul style="list-style-type: none"> Suspend/dismiss/reinstate academy staff, in line with Trust policy 		<ul style="list-style-type: none"> Monitor implementation of key HR policies, esp. pay and performance <ul style="list-style-type: none"> Suspend/dismiss/reinstate staff, in line with Trust policy Recommend to Trustees, in line with Trust Policy, Pay recommendations of Academy Principals and Central Staff as appropriate 		
ySafeguarding, H&S, Parental Complaints and other compliance	<ul style="list-style-type: none"> Ensure compliance with statutory obligations and mandatory Trust policies, including H&S, safeguarding, SEN, admissions and exclusions Provide information for FOI requests Respond to all school level complaints (including parental) 	<ul style="list-style-type: none"> Appoint link governors for Safeguarding, Careers and SEND (mandatory) Respond to any complaints appeal as required by policy 	<ul style="list-style-type: none"> Set statutory and trust mandatory policies Monitor school implementation of statutory compliance & risk management Support local CoGs on all complaints against Principal Support schools as needed, e.g. admissions, safeguarding, health & safety, etc Responsible for additional activities, inc: <ul style="list-style-type: none"> Lead admissions appeals (new schools) Support response to FOI requests in complex cases 	<ul style="list-style-type: none"> Accountable for all compliance Approve all Trust-wide policies 	
Comms & community	<ul style="list-style-type: none"> Deliver on school communications strategy and school visual identity Manage parent, community, local stakeholder and school media engagement Support the Trust Team with LA engagement Develop a Marketing Strategy 	<ul style="list-style-type: none"> Support parent communications and community engagement Act as ambassadors to community 	<ul style="list-style-type: none"> Support schools through: developing comms toolkit & guidance; managing crisis comms Lead LA engagement with principals Develop Trust brand & school guidelines 	<ul style="list-style-type: none"> Approve any changes to the overall Trust brand 	
Building projects		<ul style="list-style-type: none"> Support and challenge, and input into the development of school building / refurbishment proposals 	<ul style="list-style-type: none"> Develop a Trust-wide Estates Strategy Monitor school building projects Lead proposal development for significant building projects and refurbishments Lead on project delivery, especially on procurement & CDM compliance Approve significant building projects and smaller refurbishments if >£25K or in deficit Support significant building project delivery Engage in project delivery for procurement if subject to Euro. (or any other alternative as laid out in statute) procurement law & CDM 	<ul style="list-style-type: none"> Accountable for all compliance with building projects Approve initial building projects 	

Compliance breakdown

Type of activities	Principal	LGB	Trust Team	Trust Board	Members Board
Health and Safety	<ul style="list-style-type: none"> Responsible for local implementation of policies, including development of school procedures and internal reporting on statutory requirements 	<ul style="list-style-type: none"> Support and challenge local implementation of policies 	<ul style="list-style-type: none"> Develops Trust H&S policies Monitors school compliance with H&S policies and statutory obligations as well as challenging school to ensure best practice is followed Supports schools with implementation as required 	<ul style="list-style-type: none"> Accountable for ensuring a safe and healthy environment for staff, pupils and other persons on the premises Approve H&S policy 	
Safeguarding	<ul style="list-style-type: none"> Develops school specific safeguarding policy from Trust policies and guidance, and must also reflect local arrangements set by local safeguarding partners Appoints Designated Safeguarding Lead (DSL) Manages all safeguarding complaints (unless against Principal) Responsible for referrals for children at risk outside school environment 	<ul style="list-style-type: none"> Monitors implementation of safeguarding through reports from DSP on the measures being taken to ensure compliance Audit of Single Central Record Responsible for dealing with any complaint against a Principal 	<ul style="list-style-type: none"> Develops Trust safeguarding policy Signs off school safeguarding policy Consulted in responding to any complaint against a staff member Supports schools to assess the need for referrals for children at risk Responsible for dealing with any complaint against a CoG and/ or Principal were any conflict may exist. 	<ul style="list-style-type: none"> Accountable for all legal responsibilities Approve trust safeguarding policy Responsible for dealing with any complaint against the CEO and/ or Trust leaders were any conflict may exist 	
SEND	<ul style="list-style-type: none"> Develops school specific SEND policy from Trust policies and guidance Appoints qualified SENCO Responsible for implementation in line with statutory requirements and Trust policy 	<ul style="list-style-type: none"> Monitors and challenges implementation of SEND policy and performance of SEND students Appoint link governor to discuss provision, budget and resources 	<ul style="list-style-type: none"> Develops Trust SEND policy Supports development of Schools SEND policies Supports schools and monitors implementation 	<ul style="list-style-type: none"> Accountable for all legal responsibilities Approve trust SEND policy 	
Admissions	<ul style="list-style-type: none"> Responsible for implementation of admissions in line with Trust policy Participates and negotiates with LA over local Fair Access/in year placements protocols and implements 	<ul style="list-style-type: none"> Contribute to Trust admissions appeals. 	<ul style="list-style-type: none"> Develops mandatory admissions policy Supports admissions appeals Sets guiding principles for fair access/in year placements protocols; provides expertise Monitors fair access in line with guiding principles 	<ul style="list-style-type: none"> Accountable for all legal responsibilities Approve admissions policy framework 	

<p>Exclusions & Alternative Provision</p>	<ul style="list-style-type: none"> Responsible for issuing an exclusion, informing all relevant parties and managing any appeal process to direct a child to off-site provision (using the statutory guidance contained within Section 29A of the Education Act 2002 as established best practice), in line with Trust Policy 	<ul style="list-style-type: none"> Informed of every exclusion and monitors frequency and trends Makes final decision if governors panel needed Review, were necessary, any decision to direct a child to off-site provision, in line with Trust Policy and Section 29A of the Education Act 2002 	<ul style="list-style-type: none"> Develops mandatory exclusion policy Provides expert support to help manage exclusions appeals 	<ul style="list-style-type: none"> Accountable for all legal responsibilities Approve exclusions policy 	
<p>FOI requests/data protection</p>	<ul style="list-style-type: none"> Provides information needed to respond to FOI requests Actions responses to the exercise of data protection rights in consultation with Data Protection Officer Ensures GDPR requirements are met within school 	<ul style="list-style-type: none"> Engaged as needed to respond accurately to requests and undertake internal review of decisions relevant to the academy 	<ul style="list-style-type: none"> Coordinates all complex FOI requests Data Protection Officer co-ordinates breaches, advises on responses to data subject rights, engages with the Information Commissioner’s Office and provides internal compliance advice. Ensures all schools are compliant with GDPR regulations. 	<ul style="list-style-type: none"> Accountable for ensuring Trust fulfils FOI/Data Protection statutory obligations 	