

Operations Committee Agenda – remit of committee below agenda.

Date/Time		30/10/2019
Attendees		Jodie Croft, Danielle West, Rowena Duff
Agenda Item	Discussion points/questions	Action
1. Welcome and Introductions	JC welcomed DW	
2. Apologies	RD held up, to dial in later	JC to ensure RD reviews and approves/comments on decisions taken.
3. Appointment of Chair		Chair to be determined when meeting quorate.
4. Approve last meeting's minutes*	DW reviewed and approved RD reviewed and approved	
5. Matters arising		JC to add national benchmark to staffing data on management accounts.
6. Receive policy schedule	DW received RD received	
7. Review of bank signatories and banking limits	JC to add new chair as bank signatory in due course. Barclay's current account headroom increased to £250k to avoid charges. Barclay card limits raised to £1500 per user - total monthly limit increased from £5k to £7.5k to avoid staff having to use own money for resources (BG, AA, JS, KS, JC)	JC to add new chair as bank signatory in due course.
8. Receive Academy Accounts Direction and Academies Financial handbook 2019	DW received. RD received. JC noted external auditors ensure GLT is compliant with all AAD changes. Updates made to GLT policy/procedures - Must: ensure prior approval is granted from ESFA before entering into related party transactions. Publish FNTI on websites if issued by ESFA. Risk Registers now mandatory.	JC to add completed list of AAD and AFD 2019 updates to minutes.

	<p>Must update Governance records within 14 days of a change.</p> <p>Members must receive audited accounts.</p> <p>Updated whistleblowing guidance.</p> <p>Trustees must add senior employees to Register of Business Interests.</p> <p>Share management accounts at least six times a year.</p> <p>Ensure executive pay is robustly managed.</p> <p>Measure finances against key financial performance indicators.</p> <p>Provide internal audit reports to trustees.</p>	
<p>9. Management accounts September 19</p>	<p>JC noted transition between excel budgets and HCSS budgets. TPA need more support to upload data accurately and subsequently management accounts have not yet been issued. TPA is monitoring the financial situation carefully to ensure accuracy and compliance matters are resolved.</p> <p>DPA – JC noted minor changes since governor approved version. DPA trying hard to eradicate predicted in-year deficit.</p> <p>GLT – JC noted additional income for PDG for WPA (£25k from DfE and £66k from OCC).</p>	<p>JC to send on TPA Sept management accounts with key highlights once complete.</p> <p>JC to ensure GLT carry forward is shown on management accounts.</p>
<p>10. Review and approval of Appraisal & Pay decisions/recommendations</p>	<p>TPA – JC noted CR moving from NJC scales to unqualified teacher scales for 0.2 role not NJC as on the document.</p> <p>KE TLR consolidated into higher point on leadership scale.</p>	<p>JC to ensure staff roles are added to pay recommendations.</p>

	<p>All increases are in budget and in line with annual reviews, meeting of all targets.</p> <p>DW asked if roles could be added to names to make it clearer.</p> <p>DPA – LC increased to bring pay point in line with previous number of years teaching experience.</p> <p>AA – 2 point increase for exceptional performance.</p> <p>BG – 2 point increase for exceptional performance.</p> <p>GLT – TDQ awarded a small R&R reward for exceptional performance.</p> <p>JC emphasised to schools that 2 point increments are not a precedent and we must not expect that we can afford this in the future, even in light of exceptional performances.</p> <p>DW approved the proposed pay increments.</p> <p>RD approved the proposed pay increments.</p>	
11. Review of policies: Reserves	<p>DW noted Reserves policy needs a review cycle added.</p> <p>JC confirmed no changes made to policy.</p> <p>RD noted no changes and proposed no changes.</p> <p>DW noted no changes and proposed no changes.</p>	JC to add review frequency to Reserves policy.
12. Review of Capital Expenditure – see table 1 below	<p>JC noted she has asked both schools to develop an asset management strategy for refresh, repair and replacement, by the end of 2019.</p> <p>DPA yet to determine plans for 18/19 capital spend.</p>	Both schools to develop an asset management strategy for refresh, repair and replacement, by the end of 2019.

	Both schools to use DFC for improvements and refurbishments.	
13. Approval of procurement over £10k*	JC noted expenditure of £10,730 on refurbishment of the TPA atrium.	Schools to ensure approval of all expenditure over £5k is gained in advance. £5-10k CEO approval. £10-£50k – Ops approval. £50k + Board approval.
14. Update on DPA building works	JC noted a response to pressure applied to Lucy Butler, Director of Children’s services at OCC but despite increased meetings, surveys and communication, no schedule of works with definitive timelines has been issued. DW suggested raising matter with SoS to make him aware of long term, ongoing issues in having DPA’s building defects resolved.	JC to send letter to SoS regarding outstanding defects at DPA and issues with OCC resolving them.
15. Update on WPA and KPA plans	WPA – JC noted: Admissions open. Admissions policy consultation underway. Section 10 consultation underway. Head appointed. Funding agreement on track to be signed. Build making very good progress. OCC underwriting funding for first 4 years – possibly more. Low numbers will be a likely possibility as the school will be completed ahead of all houses on this new development. KPA – now Surbiton Primary Academy (SPA). RBKUT agreed to the sale of the King Charles Centre to the DFE for use as a 2 FE primary school by the GLT. Next step will be to obtain planning permission. JC noted RBKUT has asked if the GLT would	SPA – board to discuss request to house and run a SEND unit for 14 children on site of SPA – 20 th Nov.

	consider housing and running separate provision for 14 high needs children.	
16. Health and Safety – matters to review	Both schools underwent external H&S review and have actioned all recommended points.	Both schools to commission external H&S audit 19/20 and report findings and action points to Ops committee by March 2020.
17. Review of Trust Risk Register*	JC noted new risks – possible low numbers at WPA and now that the timeframe for SPA opening in 2022 could be affected by general election outcome, Dec 2019.	JC to update risk register to reflect changes to SPA timeline.
18. AOB	JC noted resignation of LP, due to her appointment as WPA head. JC noted HZ stepping down as chair at the end of this term. JC noted vacancy on standards committee and 3 new board appointments, to start post DBS checks.	

Table 1: Capital expenditure 2019/20

(TPA ICT and FFE balances are held by the ESFA)

TPA	Balance	Planned spend 19/20
ICT	£53,872	£18,292
FFE	£5,847	£5,847
DFC	£6,247	£6,247

DPA	Balance	Planned spend
ICT	£21,249	£tbc
FFE	£0	£0
DFC	£13,710	£13,710
Revenue Cont.	£21,728	£tbc

Bank signatories

Jodie Croft

Alison Ashcroft

Bethan Gorsuch

John Smith

Karen Surey

Harry Ziman

September	November	January	March	May
Appointment of Chair	Review External Auditors management letter and agree management response	Review and appointment of External and Internal Auditors	Review LGPS Discretions policy (every 6 years 2023)	Approval of Academy Budgets
Receive policy review schedule				
Review Reserves Policy (3 years 2019)	Approve annual report & accounts	Update Equalities Statement (every 4 years 2019)	Review Investment Policy	Report on internal audits
Management Accounts – receive				
Bank signatories review	Review of appraisal process for all staff and approval of staff salaries	Review FOI charging policy	Review catering accounts	Review Appraisal (3 years 2019), Directors Expenses (4 years 2019) and Finance Manual
Review lettings and charging policy	Asset management and capacity review	Review outcomes of benchmarking exercise	Begin draft budgets	Review of EFA capital funding and procurement
Review of EFA capital funding and procurement	Agree schedule for internal audit	Review of EFA capital funding and procurement		
Review of Academies Financial Handbook & Accounts Direction				
Review and approve expenditure over £10k				
Review of Trust Premises				
Health and Safety matters to review				
Review of Trust Risk Registers				

Operations Committee Remit

Financial monitoring

- Keep the GEMS Learning Trust's budget and finance schemes under regular review
- Ensure that the GEMS Learning Trust represents good value for money for the Academies;
- Authorise the award of contracts and payments up to the amount stated in the Scheme of Delegation
- Oversee procurement to ensure that value for money and internal efficiency gains are realised through collective purchasing and contracting and ensure compliance with procurement policies;
- Review financial policies; whistleblowing, lettings, LGPS Discretions, Expenses,
- Monitor and review Trust wide contracts
- Oversee bank and banking procedures
- Scrutinise and approve on behalf of the Board each academy's detailed annual budget, review annually plans to address identified over or underspends to the Board in line with academy priorities;
- Scrutinise and approve on behalf of the Board each GEMS Learning Trust academy's detailed Pupil and Sports Premium spend, review annually in terms of impact and outcomes on intended children
- Agree the scheme of financial delegation to trust academies and review this annually

Compliance

- Ensure financial and procedural compliance with the Academies Handbook and Funding Agreements including reporting to the EFA;
- Prepare on behalf of The Trust Board the Governance Statement and Statement of regularity, propriety and compliance (by 31st December).
- Ensure that each Academy has suitably trained staff for the operation of financial systems;
- Ensure that annual accounts are accurate
- Ensure the MAT complies with GDPR

Premises

- Ensure that maintenance, decoration, and equipment/furniture renewal is planned and budgeted for
- Consider and determine the need for capital works at the academy, in line with academy development plans;
- Oversee Asset Management and review the use of academy premises, the equipment and resources and ensure they match the requirements of the academies' priorities;

Risk management

- Ensure that a framework is established and maintained for the identification and management of risk; finance, staffing, standards, reputation etc.
- Intervene quickly and effectively when required

Audit

- Appoint the internal audit officer (Responsible Officer) and respond to their audit findings and recommendations
- Appoint the external auditor and assess independence of the external auditor, ensuring that key audit personnel are rotated at appropriate intervals.
- Approve the audit fees and pre-approve any fees in excess of £10,000 in respect of non-audit services provided by the external auditor and to ensure that the provision of non-audit services does not impair the external auditors' independence or objectivity.
- Discuss with the external auditor the nature and scope of each forthcoming audit and to ensure that the external auditor receives the fullest co-operation.
- Review the external auditor's annual management letter and all other reports and recommendations, together with the appropriateness of management's response.
- Review the performance of the external auditor on an annual basis.
- Review and consider the circumstances surrounding any resignation or dismissal of the external auditor.
- Receive the annual report from the GEMS Learning Trust's auditors and take the appropriate actions to respond positively to any recommendations;
- Monitor compliance with approved financial procedures and consider action required as a result of internal and external audit report;

Human Resources

- Support with the appointment of academy Principals and members of the senior leadership team; to advise on procedures for staff appointments excluding Principals and Vice Principals;
- Support in relation to staff grievance, discipline or dismissal
- Advise on legal requirements and procedures relating to personnel issues;
- Assist in the development of all of the Trust's policies and procedures relating to personnel matters, including:
 - Performance management/Appraisal
 - General terms and conditions of employment
 - Pay and Pension
 - Leave of absence; maternity, paternity, sickness
 - Capability, Discipline and Grievance
 - Safer Recruitment
 - Equality
- Assist with and advise on salary reviews/pay matters related to performance on an annual basis;
- Act as a first appeals body as appropriate in relation to pay decisions.

Health and Safety

- Ensure that the Trust complies with statutory requirements for the management of Health and Safety;
- Approve and monitor Health and Safety and Accessibility policies
- Receive and consider any reports and audits completed by Health and Safety officers and Trustees from annual inspection of each Academy, and monitor recommendations

Policy Review delegation

Policy Name	Owner	Approver
Governing body - TOR	CEO	Board
Local Academy Board TOR	CEO	Board
Pay	CEO	Board
Whistle Blowing	Principals	Board
Admissions	CEO	Board
Safeguarding	Principals	Board
Car parking/car use	CEO	CEO
ICT continuity and recovery	CEO	CEO
Mini-Bus Management	Principals	CEO
Register of business interests	CEO	CEO
Service Management	Principals	CEO
Anti-bullying	Principals	LAB
Collective worship	Principals	LAB
Home Learning	Principals	LAB
Infection Control	Principals	LAB
Uniform	Principals	LAB
Volunteer	Principals	LAB
Website checklist	CEO	LAB
Behaviour	Principals	LAB
Attendance register	Business/office managers	N/A
Admissions register	Business/office managers	N/A
Capability & Grievance Policy	CEO	Operations
Staff Appraisal	CEO	Operations
Appraisal	CEO	Operations
Assets and Disposals policy	CEO	Operations
Crisis management & business continuity	Principals	Operations
Data Protection	CEO	Operations
Directors Expenses	CEO	Operations
Finance Manual	CEO	Operations
Investment	CEO	Operations
LGPS Discretions	CEO	Operations
Maternity, paternity and adoption leave	CEO	Operations
Performance Management + capability procedure	CEO	Operations
Reserves	CEO	Operations
Risk Assessments	Principals	Operations
Risk Register	CEO	Operations
Travel	Principals	Operations
Sickness and Absence	CEO	Operations
Freedom of Information Charging	CEO	Operations
3 Yr accessibility Plan	Principals	Operations
Charging & Remissions	Principals	Operations
Lone Working	Principals	Operations
Arson Prevention	Principals	Operations
Equality	CEO	Operations
Fire Policy	Principals	operations
Community use/lettings	Principals	Operations
Health & Safety	Principals	Operations
Staff complaints PO1	Principals	Operations
EAL	Principals	Principals
Acceptable use of ICT	Principals	Principals
British Values Policy	Principals	Principals
E-safety	Principals	Principals
EYFS	Principals	Principals
EYFS Computing Policy	Principals	Principals
First Aid	Principals	Principals
Intimate care	Principals	Principals
Lost child & uncollected child	Principals	Principals
Off site visits etc	Principals	Principals
SMSC	Principals	Principals
SRE	Principals	Principals
G & T	Principals	Principals
Induction	Principals	Principals
CCTV	Business/office managers	Principals
Premises management documents	Business/Office managers	Principals
Staff handbook	Principals	Principals
Assessment, marking & reporting	Principals	Standards
Complaints	Principals	Standards
CPD	Principals	Standards
Curriculum	Principals	Standards
Looked after children	Principals	Standards
Persistent or Vexatious Complaints	Principals	Standards
Safer recruitment	Principals	Standards
School development plan	Principals	Standards
SEF	Principals	Standards
SEND	Principals	Standards
Supporting Children with medical needs	Principals	Standards
Teaching & Learning	Principals	Standards
Transition	Principals	Standards