



**The Levels Academy Trust**

**Raising Aspirations, Realising Potential TOGETHER**

## **Financial Regulations Policy**

**Date adopted:** 9th May 2019

**Signature:** \_\_\_\_\_ A Jackson

**Review date:** 8th May 2020

The Levels Academy comprises four schools, namely:

Hambridge Primary School (including Little Levels Pre-School)  
Huish Episcopi Primary School  
Middlezoy Primary School  
Othery Village School (including Hatchlings Pre-School)

This policy has been reviewed to cover each of the above schools.

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## Introduction

The Levels Academy is a Multi Academy Trust comprising Hambridge Primary School, Huish Episcopi Primary School, Middlezoy Primary School and Othery Village School.

The purpose of this manual is to ensure that The Levels Academy Trust maintains and develops systems of financial control which conform to the requirements both of propriety and of good financial management. It is essential these systems operate effectively to meet the requirements of our funding agreement with the DfE and are seen to be effectively using public funds. The success of this manual can be measured in many ways, including;

- Adherence to financial regulations
- Absence of fraud
- Value for money in purchasing
- Security of school assets

The Levels Academy Trust must comply with the principles of financial control outlined in the Academies Financial Handbook ( AFH) published by the Education Funding Agency (EFA). This manual expands on that and provides detailed information on our accounting procedures and should be read by all staff involved with financial systems and processes.

The AFH sets out three core functions of governance:

- Ensuring clarity of vision, ethos and strategic direction
- Holding executive leaders to account for the educational performance of the organisation and its pupils, and the performance and management of staff
- Overseeing and ensuring effective financial performance

Academies have been constituted as charitable companies limited by guarantee. This means they must comply with company law and charity law. The academy must prepare and publish a governors' report and audited accounts in a prescribed format on an annual basis.

Academies are also subject to a DfE Funding Agreement which is, in effect a contract between the Academy Trust and the Secretary of State for Education setting out the arrangements to be followed as a condition of receiving grants from the DfE. The overall aim is to ensure that there is, and is seen to be, effective use of public funds and that the mechanisms are in place to ensure accountability for their use.

Funding agreements vary slightly from academy to academy but the main conditions and requirements of grants are the same for all academies and include;

- Financial systems – maintaining good financial controls, maintaining proper accounting records
- Budgeting – Each school in the MAT will operate their own budgets and receive their individual funding statements from the EFA. An annual balanced budget must be prepared by each school and approved by the Board of Directors; a final budget for the coming financial year must be submitted to the Department by the preceding 31<sup>st</sup> July.
- Annual Accounts – annual financial statements for the MAT must be prepared for each period ending 31<sup>st</sup> August and independently audited by a registered auditor, financial statements must record the academy's accounting policies which must be approved by the Board of Directors, these accounts and policies must be submitted to the Secretary of State by 31<sup>st</sup> December and published as required by the Companies Act and filed with Companies House and the Charity Commission
- Audit – annual accounts must be audited as mentioned above, all relevant records must be made available to officials of the DfE and National Audit Office, the Secretary of State can instruct auditors to report to him on the adequacy and effectiveness of the accounting systems and internal controls
- Insurance – the Board of Directors must ensure the academy has adequate cover to support its activities and should include; buildings and contents, business interruption, employers and public liability cover against the governor's responsibilities. The Levels Academy purchase the DfE RPA Insurance
- Borrowing – the academy must seek approval from the Secretary of State for short and long term borrowing.
- The Secretary of State's prior approval is required for any guarantees or indemnities, written off debts, any ex-gratia payments, any freehold sales or purchases, the grant or take up of any leasehold or

- tenancy agreement for more than 3 years.
- The Secretary of State must be notified of any loss arising from suspected theft or fraud exceeding an amount set out in the annual funding letter.

This policy will be subject to annual monitoring which will reflect any change in working practice, a change in staff responsibility, revised guidance from Ofsted or the LA/DfE and include areas where tighter financial control is required.

## **SECTION 1 ORGANISATION AND ACCOUNTABILITY**

To avoid the duplication or omission of functions and to provide a framework of accountability for governors and staff, we have defined the responsibilities of each person involved in the administration of academy finances.

For the structure of the Levels Academy See Appendix 1

### **The Board of Directors/delegated responsibilities**

The Board of Directors has overall responsibility for the administration of the academy's finances. Whilst the requirement for the board remains to meet three times a year, if the board meets less than six times a year the trustees will need to describe in the annual accounts how it maintained effective oversight of funds with fewer meetings. The Board of Directors at the Levels Academy Trust will endeavor to meet six times a year.

The Funding Agreement between the academy and DfE describe the main responsibilities of the Board of Directors. The main responsibilities include;

- Appointment of the Executive Principal in conjunction with the Members
- Appointment of the Heads of School / Headteachers
- Appointment of the School Business Managers in conjunction with the Executive Principal
- Approval of the annual budget for each school
- Authorising purchases for the MAT over £2000
- Ensuring that grants from the DfE are used only for the purposes intended
- Ensuring that accurate accounts are kept with regular reports of income and expenditure
- Ensuring that all plans put in place will not lead to the budget being overspent
- Ensuring all financial regulations are undertaken in an effective and timely manner

### **The Business Committee**

This committee meets at least once per term to oversee the financial affairs and to report as appropriate to the Board of Directors. The Business Committee should have its own chair and clerk.

The Terms of Reference detail the main responsibilities of the Business Committee. These include:

- The initial review and authorisation of the annual budget
- The regular monitoring of actual expenditure and income against the budget
- Reporting to the Board of Directors on the progress of the budget on a regular basis and disseminate to each schools' local governing bodies.
- Ensuring annual accounts are produced in accordance with the requirements of the DfE and the Companies Act 1985
- Authorising the award of contracts over £2000
- Authorising purchases over £2000
- Authorise budget movements over £2000
- Reviewing the reports of the Responsible Officer on the effectiveness of the financial procedures and controls before reporting to the Board of Directors
- Considering financial implications of priorities prior to putting them to the Board of Directors
- Completing relevant training to ensure they are competent and confident in their role

### **Accounting Officer**

The Funding Agreement states that multi-academy trusts should designate the Chief Executive as the

Accounting Officer which confers responsibility for financial and administrative matters. The Accounting Officer is responsible for ensuring regularity, propriety, prudent and economical administration, avoidance of waste and extravagance, efficient and effective use of available resources and the day to day organisation, staffing and management of the academy.

The Accounting Officer must complete, sign and submit to the EFA, a statement on regularity, propriety and compliance each year.

The Accounting Officer has a personal duty for assuring the board that there is compliance with the handbook and funding agreement and must advise the board in writing if, at any time, in his or her opinion, any action or policy under consideration by them is incompatible with the terms of the articles, funding agreement or the handbook. If, after considering the reasons the board gives for its decision the Accounting Officer still considers the action proposed to be in breach of the articles, funding agreement or the handbook, the Accounting Officer must notify the EFA's Accounting Officer in writing.

The Chair of the Business Committee will monitor the day to day work of the Business Manager ensuring all financial regulations are followed. The delivery of the Trust's detailed accounting processes will be delegated to the Business Manager.

The Accounting Officer has appropriate oversight of financial transactions by:

- Ensuring that all the MAT's property is under the control of the trustees, and measures are in place to prevent losses or misuse, including maintenance of fixed assets registers at each school.
- Ensuring that bank accounts, financial systems and financial records are operated by more than one person.
- Keeping full and accurate accounting records.
- Preparing accrual accounts, giving a true and fair view of the trust's use of resources, in accordance with accounting standards.

### **The Academy Business Manager**

The Business Manager works in close collaboration with the Accounting Officer, Executive Principal, Headteacher, the finance staff at each school and the Business Committee. The main responsibilities are;

- The day to day management of financial issues for the MAT
- The management of the academy's financial position
- Ensuring the relevant staff within the Academy trust are aware of their financial responsibilities, ie, school finance staff
- Visit the schools in the MAT to oversee compliance with financial regulations
- Monitoring the day to day work of school staff in relation to the school funds
- Provide advice and information to enable financial decisions to be made eg; for unplanned purchases
- Report to the Trust Business Committee
- Signing cheques in accordance with the bank mandates
- Ensuring forms and returns are completed in full and on time
- Provide the necessary documentation for Bought in Services eg Accountants, auditors
- SLT responsibilities
- Maintaining the Asset Register for the Academy Trust
- Basic HR/payroll paperwork and the input on SIMS personnel

### **Schools Finance Staff**

The schools finance staff work closely with the Business Manager. Their main responsibilities are.

- The day to day management of their school's financial issues, including the operation of FMS6 accounting system
- The maintenance of effective systems of internal control
- Preparing and monitoring an annual budget
- Ensuring the relevant staff within their school are aware of their financial responsibilities, ie, budget holders
- The preparation of monthly accounts
- Signing cheques for their school bank account in accordance with the bank mandate

- The authorisation of HR/payroll paperwork
- Cross check load files recording additional and supply hours
- Monthly reconciliations
- Processing invoices
- Processing school orders
- Inputting income onto FMS6 ensuring each amount reconciles to the logs.
- Processing, monitoring and chasing income requests.

### **The Schools' Administrative Staff**

The schools' administrative staff works closely with the schools' finance officer in a supportive role. Their main responsibilities include;

- Receiving income for trips/activities/uniform and logging accordingly
- Banking
- Liaise closely with Trip Managers regarding income/expenditure
- Managing school meals, recording income and monitoring/chasing overdue balances
- Check petty cash reconciliation
- Signing cheques for their school bank account in accordance with the bank mandate

### **Independent Reviews**

The Academy Trust employs the services of Somerset County Council to carry out independent reviews, across the four schools. They provide an independent oversight of the Academy's financial affairs and provide the Board of Directors with independent assurance that;

- The financial responsibilities of the Board of Directors are being properly discharged
- Resources are being managed in an efficient, economical and effective manner
- Sound systems of internal financial control are being maintained
- Financial considerations are fully taken into account when making decisions

A report of the findings from each visit is presented to the Business Committee who in turn will report to the Board of Directors. The general areas for review should include the following;

- Payroll
  - Monthly payroll and reconciliation
  - Staff contracts and recruitment
  - Additional hours and expenses
- Income
  - Recording and monitoring of income
  - Procedure for monitoring class trips and events
- Purchasing
  - Check a sample of orders to delivery notes and invoices
  - Ordering process
  - Quotes
  - Petty Cash
- Financial Operations
  - Bank reconciliations have been carried out each month
  - Review the returns to the DfE/EFA
  - Review all major contracts and ensure formal tendering procedures exist and are being adhered to

### **Budget holders**

All budget holders are responsible for ensuring their budgets are well managed, do not become overspent and that they achieve best value with their purchases. Any variances must be reported to the Schools'

Finance/Business Manager to investigate

*All staff are responsible for the security of academy property, to avoid loss or damage, ensure economy and efficiency in the use of resources and for conformity with the procedures in this handbook.*

### **Register of Business Interests**

It is important for anyone involved in spending public money to demonstrate they do not benefit personally from the decisions they make. All academy governors, directors, members and staff with financial responsibilities are required to declare any financial interests they or their families have in companies or individuals from which the academy may purchase goods or services to avoid any misunderstanding that might arise. This register is completed annually for staff and governors and open to public inspection. The register should include directorships, share holding or other appointments of influence. Where an interest has been declared, governors and staff should not attend that part of any committee or other meeting. See appendix 2.

The Academy Trust **must** pay **no more than 'cost'** for goods or services provided to it by a connected individual/organisation, where the cumulative value of the contract in that financial year exceeds £2500.

No payments should be made to any trustee by the Academy Trust unless such payments are permitted by the articles, or by express authority from the Charity Commission and comply with the terms of any relevant agreement entered into with the Secretary of State.

### **Internal Scrutiny**

All joint policies are accessible on the Levels Academy website. All new staff will follow an induction programme which includes all relevant policies (including whistleblowing). This is updated annually and staff sign a declaration sheet to confirm they have read the policies.

## **SECTION 2 INTERNAL FINANCIAL CONTROLS**

### **Division of Duties**

Division of Duties is the involvement of more than one member of staff in the undertaking of financial tasks. This ensures that one person is not solely responsible for any given function and helps protect against possible error/fraud.

Refer to Appendix 4 which details Division of Duties for each school for processes i.e. order, invoicing, and petty cash including cover for absences. Authorised signatures listed have been agreed by Board of Directors. In schools all transactions are traceable through the system from start to finish, e.g. in order to achieve this for ordering and invoicing the following process has been added:-

- (1) Individual staff prepares the order on a school requisition form.
- (2) Budget Holder or Headteacher signs the requisition form.
- (3) Finance Manager inputs the order on SIMS FMS.
- (4) Headteacher signs the order.
- (5) Senior Teacher / Headteacher signs order invoices for processing.  
Headteacher and Senior Teacher jointly sign non-order invoices for processing.
- (6) Finance Manager prepares cheque run for payment of invoices which is signed by Headteacher/Business Manager.
- (7) Cheques are signed in accordance with Bank mandate

**No alterations are made to any invoices. If a change is required, the School Finance/Business Manager requests an amended invoice from the supplier.**

### **Reconciliation**

Reconciliation is carried out on a monthly basis between 3rd and 20th of the month of account by the Schools' Finance Manager. The Headteacher should sign the payroll and bank reconciliations following the reconciliation certifying the total expenditure, checking the balance and reserves to the bank statement.

If appropriate, a payroll query is raised by the Finance Manager, recorded and followed up.

### **Retention of Records**

Documents need to be retained for Inland Revenue and Customs and Excise purposes. See Appendix 3 for details. Documents are archived annually by the Finance Officer, as appropriate.

## **SECTION 3 BUDGETING/FINANCIAL MANAGEMENT AND PLANNING**

### **DEVELOPMENT PLAN**

Each school will have its own School Development Plan. In addition, there will be an overall Development Plan for the Academy Trust. These give details of the aims and objectives of the academy and how they will be achieved. The plan will be simple and flexible showing the overall aims of the school and the Academy Trust. Each year the Heads of School will propose a plan and timetable to each school's individual governing body which allows for:

- a review of past activities, aims and objectives - did we get it right?
- definition or redefinition of aims and objectives - are the aims still relevant?
- development of the plan and associated budgets - how do we go forward?
- implementation, monitoring and review of the plan - who needs to do what by when to ensure the plan works and keeps on course
- feedback - what worked successfully and how can we improve?

The Headteachers will agree deadlines with the Executive Principal who will monitor performance and report back throughout the year to ensure performance against success criteria is achieved. The Development Plan for the Academy Trust will be proposed by the Executive Principal, encompassing the areas for development in the individual school plans. This plan will be reviewed by the Board.

### **BALANCING THE ANNUAL BUDGET**

The School Business Manager with the support of the Education Finance Officer is responsible for preparing and presenting a draft annual budget to the Business Committee. Once discussed, reviewed and approved by the Business Committee, the budgets will be presented to the Board of Directors for approval. The Board must minute their approval. The approved Budget Forecast Return must be submitted to the DfE by 31<sup>st</sup> July each year. It will reflect the best estimate for the forthcoming year and will detail how the funds will be allocated to each cost centre. There will be a clear link between the budget and the development plan.

The planning process will incorporate the following considerations;

- pupil number forecasts
- other income sources available
- review of past performance
- potential efficiency savings
- review of the main expenditure in light of the development plan objectives
- possible variations eg; payroll, inflation

The Academy Business Manager will undertake a comparison of estimated income and expenditure identifying any potential surplus or shortfall in funding.

### **FINALISING THE BUDGET**

Once formally approved by the Board of Directors, the budget must be communicated to all budget holders.

### **Budget Monitoring and Reporting**

Regular monitoring of income and expenditure against the agreed budget is central to effective financial management.

Following the monthly reconciliation the School Finance/Business Manager produces monthly finance reports and supporting notes for the Executive Principal, Headteacher and Trustees. These include:

- the approved budget
- revised/current budget
- budget movements
- sums committed but not yet paid
- actual expenditure to date
- balances remaining
- percentage spent
- cash flow

The Executive Principal and Headteacher monitors expenditure on the initiatives set out in the School Development Plan, analyses the monthly reports/printouts to identify any variances/unexpected expenditure and takes any necessary action.

At least once a term, the Executive Principal presents the budget monitoring report to the Business Committee, providing explanatory notes, details of budget movements and any remedial action taken/required or items requiring further discussion.

Carry forwards at the end of year will be discussed with the Business Committee to decide how the money will be spent on the Academy's priorities within the School Development Plan. The Academy will monitor that the carry forward remains below the current limit stated by DfE.

### **BORROWING**

The academy must seek the Secretary of State's approval for both short term borrowing and medium/longer term loans from the private sector where such borrowing is to be repaid from DfE grant or secured on assets funded by DfE grant. Prior approval is required for any guarantees, indemnities, written off debts or liabilities, any ex-gratia payments, any freehold sales or purchases and the grant or take up of any leasehold or tenancy agreement for more than 3 years. The Secretary of State must be notified of any loss arising from suspected theft or fraud exceeding an amount set out in the annual funding letter.

### **ACCRUALS**

The recommended limit for raising end of year accruals is £1000 per school (£4k in total for the Academy Trust). Accruals for less than £1000 may be raised by individual schools at their own discretion.

### **Forward Financial Planning**

The Executive Principal and Headteacher review their school's pupil numbers in the autumn and spring terms, looking ahead for the next three years to assess the effects on the Academy's estimated level of Funding.

During the budget setting process in the Summer Term, the Schools' Finance/Business Manager produces a detailed budget plan directed by the Executive Principal and Headteacher for the forthcoming year and skeleton budget plans for the following two years. The budget plans include links to the School Development Plan priorities. The skeleton budgets are reviewed and updated termly with any significant changes.

The estimated levels of Funding for the future years are compared to the budget plan to identify any trends/concerns that can be brought to the Business Committee's attention.

## **SECTION 4 PURCHASING**

The academy wants to ensure that best value is achieved from all purchases. This means careful consideration must be made towards quality, quantity, time and best price possible. By using public funds the academy needs to maintain the integrity of these funds by following the general principles of;

- PROBITY – demonstrating there is no corruption or private gain involved in the contractual relationships of the academy
- ACCOUNTABILITY – the academy is publicly accountable for its expenditure and the conduct of its affairs
- FAIRNESS – that all those dealt with by the academy area dealt with on a fair and equitable basis
- VALUE FOR MONEY – demonstrating consideration has been given to quality, suitability, availability and not just the cheapest option

### **Orders**

Official orders are issued for all work, goods or services except for supplies of public utility services and purchases from petty cash of not more than £200 in value.

The following procedure is followed:

Three quotations are required for individual purchases or services exceeding £2000 in value. If the lowest quote is not accepted, the reasons are reported to the Business Committee and minuted.

The Board of Directors' approval is required for purchases for the Multi Academy Trust of any individual item Exceeding £2000

The Board of Directors' approval is required for orders of an individual item exceeding £2000

Three tenders are sought if the Academy enters into a contract for the supply of goods or services involving payments of £10,000 or more in total.

Reasonable steps will be taken when orders are placed to ensure value for money, bearing in mind, price, discounts, quality, delivery, guarantee, after sales service etc.

Requisition forms are kept electronically and are used for curriculum requests and authorised by the budget holder or Headteacher before an official order may be processed, subject to budget availability. If unsure of the current balance the Academy Bursar is consulted.

All commitments are entered on SIMS FMS by the school finance staff as an official order once a decision has been taken to purchase goods or services.

All official orders are printed on controlled stationery and signed by the Headteacher,

All official order stationery is kept secure in a locked cabinet.

A copy of all orders is kept for a minimum of current plus preceding two financial years.

Outstanding orders are reviewed after reconciliation and cancelled or followed up as necessary. If cancelled, a reason is written on the copy order for audit purposes.

Orders may not be raised on behalf of, or for the benefit of, private individuals or organisations.

Telephone orders are discouraged and only used in exceptional circumstances. If an order is placed in this way the school finance staff will raise a FMS order asap.

### **Purchasing Gifts**

Gifts may be purchased for volunteers in recognition of their support throughout the year or for assisting at

certain events/productions. The value of any one gift should not exceed £15. Consideration should be given to the type of gift purchased. It is recommended that alcohol is not purchased.

### **Delivery Notes**

All delivery notes are checked to ensure that the goods listed have been received then signed and dated. The inventory is updated by the Schools Finance/Business Manager for items of furniture, equipment etc. of £200 or more. The Asset Register is updated for capital item of £1000 or more

### **Payment of Invoices**

Where goods are supplied by a supplier registered for VAT, a valid VAT invoice is obtained.

Payments to individuals (other than some CIT contractors) who supply goods or services to the school (eg tuition, lecture, performances etc.) are made via the payroll system.

The Schools' Finance/Business Manager checks the delivery note to the invoice, to ensure that the Academy is only charged for goods received. Payments are not to be made from statements or 'brought forward balances'.

If payment is to be made on a copy voice as the original has been lost, checks are carried out to ensure it has not been paid. It must then be endorsed 'copy, not previously paid'.

The invoice is then processed as soon as possible on SIMS FMS by the Schools' Finance/Business Manager to ensure prompt payments are made and discounts are taken. The invoice is stamped as "paid" and the date of payment recorded. Cheques are then processed via FMS and cheque run reports are retained. The signatories' initial cheque stub which is then attached to invoice.

The invoices are retained for the current year plus the preceding six years.

### **Academy Charge Cards**

Charge Cards have been issued on each school, bank account. Each member of staff is responsible for the security of their card. There must be a valid reason for using the charge card as a method of payment ie best value. All charge card purchases must be approved and authorised before the order is placed. Each purchase made must be accompanied by a full VAT receipt and logged on a central record held by the Schools' Finance/Business Manager. Each card holder must sign to say they have purchased the goods/services and confirm receipt. The Monthly Credit limits for each school are:

Hambridge Primary School £2000

Huish Episcopi Primary School £1500

Middlezoy Primary School £1500

Othery Village School £1500

The Schools' Finance staff is responsible for checking the central record against the statement each month. A direct debit is set up to transfer the relevant costs from the individual school's bank account each month ensuring the account is always up to date. If a budget holder requires an order to be placed on line eg to obtain a reduced price, or the suppliers do not operate an ordering system, with an academy credit card they must complete a school order form as usual but clearly state this is an on-line order which requires a credit card payment. It is the responsibility of the cardholder to chase any items not received and follow this up thoroughly with the assistance of the Schools' Finance/Business Manager.

Payment cards are cancelled and destroyed, if the individual ceases to work for the Academy or if the authorisation of the card's use is withdrawn.

### **BACS**

BACS is only currently used for the 3<sup>rd</sup> party payments by HR Payroll and Admin for the payment of salaries. The Academy does not use BACS for payment of invoices.

## ORDERS OVER £2000 BUT LESS THAN £10000

Three quotations should be obtained in this instance to identify the best source and details kept by the School Finance/Business Manager. Telephone quotes should be logged with full details.

## ORDERS OVER £10000

A series of contracts must be subject to formal tendering procedures. Purchases over £93738 may fall under EU procurement rules which require advertising in the Official Journal of the European Union. Guidance can be found in the Academies Financial Handbook regarding this.

## FORMS OF TENDERS

There are three forms of tenders; open, restricted and negotiated.

OPEN – where all potential suppliers are invited to tender.

RESTRICTED – where suppliers are invited to tender.

NEGOTIATED TENDER – where the terms of the contract may be negotiated with one or more chosen suppliers.

Whichever type is chosen, consideration must be given to;

- objective of the project
- overall requirements
- any technical skills required
- after sales service requirements
- form of contract

## INVITATION TO TENDER

If a restricted tender is to be used then an invitation to tender must be issued. If an open tender is used an invitation to tender may be issued in response to an initial enquiry.

An invitation to tender should include the following;

- details of the project
- objectives of the project
- technical requirements
- implementation of the project
- terms and conditions of tender and
- form of response

## ASPECTS TO CONSIDER

*Financial* - compare like with like, ensure tender price is the total price with no hidden extras, is there scope for negotiation?

*Technical/suitability* – check qualifications, relevant experience and references from the contractor, descriptions of technical and service facilities, certificates of quality/conformity with standards, quality control procedures

*Other considerations* – pre-sales demonstrations, after sales service, financial status of the supplier.

## TENDER ACCEPTANCE PROCEDURES

The invitation to tender should state the date and time by which the completed tender document should be received by the academy. Tenders should be submitted in plain envelopes clearly marked with 'Tender Documents' and time/date stamped when received before storing safely prior to tender opening. Any received after the submission deadline should not normally be accepted.

## TENDER OPENING PROCEDURES

All tenders submitted should be opened by two persons present, at the same time and details recorded.

- For contracts up to £25000 – the Business Manager and Headteacher
- For contracts over £25000 – the Business Manager, Headteacher and member of the Business Committee

A record of the names of firms and amounts should be kept and signed/dated by staff present.

## TENDERING PROCEDURES

The evaluation process must involve at least two people. Those involved should disclose any interests, business or otherwise that might impact upon their objectivity. If this poses an issue, another person should be chosen. No gifts or hospitality should be accepted from potential suppliers. Full records of all criteria should be kept and for contracts over £25000, a report should be prepared for the Business Committee highlighting relevant issues and recommending a decision. For contracts under £25000, the decision and criteria should be

reported to the Business Committee. If any conditions relate to receiving a specific grant from the DfE, the department's approval must be obtained before the acceptance of a tender. The accepted tenders should be the one that is economically most advantageous to the academy. All parties should then be informed of the decision.

Contracts that exceed certain monetary thresholds may fall under EU procurement rules and are advertised in the Official Journal of the European Union (OJEU). £172,514 for goods and services and £4,322,012 for the procurement of capital works (Academy Financial Handbook 2015).

## **SECTION 5 INCOME**

The main sources of income for the academy are the grants from the EFA and from Somerset County Council. The receipt of these monies is monitored directly by the Schools' Finance/Business Manager who is responsible for ensuring that all monies due to the Academy are received. Invoices are set up for payment on receipt. The Schools' Finance Office is responsible for managing invoices and corresponding receipts. Invoices are raised for all income requested. The academy also receives income from students for trips and activities, the public for lettings, parents/carers for uniform purchases. **UNDER NO CIRCUMSTANCES SHOULD INCOME COLLECTIONS BE USED FOR THE ENCASHMENT OF PERSONAL CHEQUES.**

Income can be **vulnerable** and the income collection system should meet the following objectives, namely that:

- all income due to the school is identified;
- all collections are banked promptly and completely;
- Income receipts are issued at the time of exchange if requested
- The accounting records and debtors' accounts are properly and promptly updated.

### **Trips**

A leader is appointed for each trip/outside activity by the Trips Coordinator and liaises with the office staff. A pro forma for 'Planning a School Trip' is used by all schools to standardise the process of costing, booking and recording payments. Income for each school is dealt with in accordance with their division of duties. All income is logged. Letters are sent to parents with dates, times etc, details of which pupils will be attending, the costs and whether the charge is voluntary and comes under the 1996 Education Act as a school time activity. Quotes for transport, tickets etc will be obtained choosing the one which provides best value.

The academy will not be responsible for any cash a pupil brings into school and loses. A log is kept for each trip, for each class showing the amount received and the balance outstanding. Outstanding amounts will be chased one week after the due date and a letter sent home requesting immediate payment. Failure to pay at this stage will result in the trip leader contacting the pupil's parent/carer and if an agreement cannot be reached, the pupil withdrawn from the trip if out of school hours. The school will ensure that payment plans are in place for residential trips to help parents/carers spread the cost.

Remission of charges: if the cost of the trip/activity is unaffordable to the parents/carers the Academy has a policy in place to review if a subsidy is possible. If £100 or more is owing and not received, this should be brought to the attention of the Business Committee who will then decide if legal action should be taken.

### **Raising Invoices**

An account is raised by the Schools' Finance/Business Manager ensuring the invoice is sequentially numbered, detailed and sent to the customer for goods and services provided promptly.

Invoices for regular lettings are raised by the Schools' Finance/Business Manager termly. For one-off lettings invoices will be raised within 14 working days of the event.

### **Collection and Banking of Income**

Income is collected, recorded on record sheets and countersigned at individual schools in accordance with their own school's division of duties. Receipts are not normally given unless requested by the donor. All other income received is recorded on record/monitoring sheets.

Cash and cheques are kept in a safe prior to banking. Income is banked promptly and paying in slips completed in full.

### **Recording and Reconciliation**

Income is recorded on SIMS FMS promptly and the authorisation slip is printed.

Reconciliation of income is carried out on a monthly basis by the Schools' Finance/Business Manager, ensuring that all income banked has been received. Virements are carried out if needed to ensure the income is apportioned to the correct budget area.

Independent checks are made by the Headteacher to ensure that all income expected has been recorded, banked and received. Evidence of these checks is made in writing.

All income records, e.g. record sheets, receipts, income authorisation slips, invoices, etc are kept for the current year plus the previous three years.

### **Debts Policy**

Bad debts will be pursued by the Schools' Finance/Business Manager and money recovered wherever possible. Where money is not recovered, debts in excess of £100 will be referred to the Business Committee who may write off. Debts below £100 may be written off at the discretion of the Headteacher. The Academy must maintain a record of all debts written off showing what attempted recovery action was taken and the justification for non-recovery.

### **CUSTODY**

All cash and cheques must be kept in the locked safe prior to banking. Banking should take place weekly or more frequently if cash totaling over £2000 is received.

Monies received should be banked in the appropriate bank account (eg school/Academy) by the Administrative Assistant/ Schools' Finance/Business Manager. Schools' Finance/Business Manager is responsible for reconciling the amounts collected, input on FMS6 and banked.

### **VAT**

The Academy is no longer part of the Local Authority so therefore does not fall under the umbrella of the LA's VAT registration. An academy must register for VAT where the value of their taxable business activities exceeds the VAT registration threshold – currently £85,000. Following advice from the accountants, The Levels Academy Trust does not currently need to register for VAT and therefore will not charge VAT on any income invoiced. The Finance Act 2011 has introduced a new refund mechanism so that input VAT can be reclaimed where it relates to non business (e.g. educational) activities. The Business Manager will complete a monthly VAT return on behalf of the MAT. A report of all VAT paid is printed off FMS6 and checked by the Headteacher before attaching to a monthly return. The VAT reimbursement is received via BACS and the Schools' Finance/Business Manager will check this against the claim form at reconciliation. The amount of VAT paid will show on the Balance and Reserves report.

The academy will seek advice from the VAT Advisor at Somerset County Council.

### **GIFTS IN KIND**

If received, these should be included in the academy's accounts. The value placed on gifts in kind should be a reasonable estimate of their value.

### **DONATED SERVICES**

The contributions of volunteers should not be registered as the value of their contributions cannot be reasonably quantified in financial terms.

## **SECTION 6 CASH MANAGEMENT**

## **BANK ACCOUNTS**

The Levels Academy Trust operates five bank accounts; one for each school and one for the Academy Trust, which were set up in February 2015. If any changes to the banking arrangements need to be made (opening/closing account; changes to signatories etc), the Business Manager, on recommendation by the directors, will contact the bank's relationship manager appointed to The Academy Trust. There are control features in place to ensure the operation and monitoring of the bank statements is effective;

- Three authorised signatories set up for Hambridge, Middlezoy and Othery; four for Huish Episcopi and four for the Levels Academy.
- All cheques and withdrawals must be signed by two of the authorised signatories on the schools' bank accounts and three of the authorised signatories on the Academy Trust Bank account.
- Authorised signatories must not sign a cheque payable to themselves.
- All cheques are crossed
- Cheques must not be pre-signed
- Un-used cheque/paying in books are kept in a secure place
- Bank reconciliations are performed monthly and reconcile to the balances on FMS6 – any discrepancies must be fully investigated and dealt with promptly
- Procedure in place to monitor bank balance to prevent going overdrawn
- All cash and cheques banked must be clearly entered on a bank paying in slip together with any information enabling anyone to check where the money has been received eg a trip, swimming. The Schools' Finance/Business Manager must reconcile this to the Paying in slip printed from FMS6
- Monthly reconciliations on FMS6 are subject to review by the governing body or Responsible Officer as part of the agreed checks

## **ELECTRONIC BANKING**

Electronic banking is currently only used for internal transfers between The Levels Academy Trust bank account and individual schools bank accounts. Details of the transfers are printed and signed in accordance with the bank signatories.

## **PETTY CASH**

The use of petty cash is discouraged and will only be used in an emergency and with prior authorisation by the Headteacher. All reimbursements will be recorded stating the authorising officer, issuing officer (Academy Bursar/Secretary) and signed by the recipient. Petty Cash transactions are recorded on FMS by the Schools' Finance/Business Manager.

### **Petty Cash must not be not used for:-**

- Making payment to staff, or paying for services such as mobile telephones, fuel or services that may be liable to Construction Industry Tax
- Making payments to individuals (e.g. theatre groups, authors, musicians, self employed) who require cheques to be payable to them personally.
- Cashing personal cheques
- Paying in income

### **Exceptions to the rule**

Staff are reimbursed if they purchase pre authorised resources/specific items on behalf of the school upon production of a valid receipt. Individuals are reimbursed upon production of rail/car park tickets and interview expenses for unsuccessful candidates.

Payment can be made to Window Cleaners and Piano Tuners who use their own equipment.

## **CASH FLOW FORECASTS**

The Schools' Finance/Business Manager is responsible for preparing and monitoring cash flow forecasts to ensure the academy has sufficient funds available to pay for day-to-day operations.

## **INVESTMENTS**

Investments must be made only in accordance with written procedures approved by the governing body. They must be recorded in sufficient details to identify the investment and to enable the current market value to be calculated – date of purchase, cost, and description.

## **SECTION 7 ASSETS**

The academy recognises that it has many valuable items in use throughout each site. Some of these items are fixed but may be portable and attractive to would be thieves. The Schools' Finance/Business Manager is responsible for keeping and updating their school's inventory which is checked annually by the Administrative Assistant.

### **ASSET REGISTER**

All items purchased with a value over the academy's capitalisation limit of £1,500 must be entered in an asset register. The asset register should include;

- Description
- Serial Number
- Date of purchase
- Cost
- Source of funding
- Expected useful economic life
- Depreciation
- Current book value
- Location
- Name of staff member responsible for the asset

Each school will maintain an asset register for their site. The Business Manager will collate the assets for the production of the Academy Balance Sheet.

The asset register helps to ensure that staff take responsibility for the safe custody of assets, enable independent checks on their safe custody as a deterrent against theft or misuse, to manage the effective utilization of assets and to plan for their replacement, to help the external auditors to draw conclusions on the annual accounts and the academy's financial system and to support insurance claims in the event of fire, theft, vandalism or other such disaster.

Assets costing £1,500 or more are capitalised as tangible fixed assets and are carried at cost, net of depreciation and any provision for impairment.

Depreciation is provided on all tangible fixed assets other than freehold land, at rates calculated to write off the cost of each asset on a straight-line basis over its expected useful lives, as follows;

- Freehold buildings                      50 years
- Plant and machinery                      7-10 years
- Furniture and equipment                      5-10 years
- Computer equipment                      3-5 years

### **SECURITY OF ASSETS**

Equipment and assets should be stored securely, locked away or in alarmed rooms. An inventory should be updated on an annual basis and checked against the asset register to ensure all items are present.

Discrepancies should be investigated and if significant reported to the governing body.

### **DISPOSALS**

Items which are to be disposed of by sale or destruction should be authorised by the Headteacher and where significant, should be sold following competitive tender. A record is kept of all disposals by the Schools' Finance/Business Manager including the date, item details and how disposed of. The academy must seek the

approval of the DfE in writing if it proposes to dispose of an asset for which capital grant in excess of £20000 was paid. **Disposal of equipment to staff is not encouraged as it may be more difficult to evidence the academy obtained value for money in any sale or scrapping of equipment. In addition, there could be complications e.g. with the disposal of computer equipment, as the academy would have to ensure licenses for any software programmes were legally transferred to the new owner.** The academy is expected to reinvest the proceeds from all asset sales for which capital grant was paid in other academy assets. If the sale proceeds are not reinvested then the academy must repay to the DfE a proportion of the sale proceeds. All disposals of land must be agreed in advance with the Secretary of State. A review of replacing disposed of assets will take place prior to this happening to ensure correct levels of equipment etc are maintained.

## LOAN OF ASSETS

Items of academy property must not be removed from academy premises without the authority of the Headteacher. A record of the loan should be recorded in writing and booked back in when returned. ICT equipment e.g. Laptops/iPads provided to staff to carry out their duties remain the property of the Academy and should not be used for personal use. If used outside the Academy premises they should be recorded as off site and booked back in when returned. Any loss or damage incurred whilst off site must be paid for the borrowers own insurance. If assets are on loan for extended periods or to a single member of staff on a regular basis the situation may give rise to a 'benefit in kind' for taxation purposes. Loans should therefore be kept under review and any potential benefits discussed with the academy's auditors.

When assets are assigned to an individual long term (e.g. laptops, ipad) an Equipment Loan form must be completed. (Appendix 8). This should be reviewed annually

## ELECTRICAL ITEMS

PAT testing is carried out on all portable appliances, at least once every 3 years, to ensure their safety. A register is kept detailing the test and outcome and the inventory updated as necessary.

## SECTION 8 COMPUTER SYSTEMS/DATA SECURITY

### The General Data Protection Regulation 2018

The Academy and Governing Body register annually under The Data Protection Act. It is the System Manager's responsibility, e.g. the Headteacher, to control access to all data in the Academy in accordance with the Data Protection Act and to ensure that all staff are aware of their responsibilities/obligations at all times.

School Workforce Data is collected to:

- Enable the development of a comprehensive picture of the workforce and how it is deployed
- Inform the development of recruitment and retention policies
- Enable workforce to be paid

Information should not be kept longer than necessary and neither used nor disclosed other than in accordance with the above purposes.

### The Lawful Basis on which we process this information:

We process this information under the Education Act 1996, The Children Act 2004, Education and Inspections Act 2006, Education Act 2011, the Family and Children's Act 2014 and various employment laws.

### Collecting this Information:

Whilst the majority of information employees provide is mandatory, some of it is provided on a voluntary basis. In order to comply with data protection legislation, we will inform employees whether they are required to provide certain school workforce information or if they have a choice in this.

### **Storing this Information**

The school workforce Data is held in the IRMS Records Management Schools Toolkit.

### **Sharing this Information**

Information about workforce members is not shared with anyone without consent unless the law and/or our policies allow us to do so, we routinely share information with:

- Our Local Authority
- The Department for Education
- Schools across the Levels Academy trust

The Department for Education may share information about School employees with Third Parties who promote the education or well-being of children or the effective deployment of School staff in England by:

- Conducting research or analysis
- Producing Statistics
- Providing Information, advice or guidance.

Computers should not be left unattended with information displayed on the screen, or be easily accessible by any unauthorised users. Where possible computer screens are locked (by password/locking the workstation), or if this is not possible, the computer is closed down whilst it is left unattended.

Access to software is restricted according to the level of access required for an individual to carry out their job to an expected level. These access rights are reviewed regularly by the System Manager.

Only Licensed Software is to be installed onto the Academy's network, which is protected through a virus guard so that any files received from outside sources can be virus checked before being opened.

It is the responsibility of the individual staff member to ensure they do not share their passwords. Access to the internet will be monitored by the South West Grid for Learning.

### **Passwords**

Individuals are responsible for the accuracy of information which is kept secure from unauthorised persons. Passwords must:

- not be told to anyone else
- never typed in when someone is watching
- Work Station log-ins are changed monthly or as soon as someone else finds out about it
- Software access passwords changed 3 monthly or as soon as someone else finds out about it
- be difficult for someone else to guess ie. avoid using names etc.
- a mixture of alphabetic and numeric characters
- be sealed in an envelope, signed across the seal and stored in a safe.

Full access to SIMSFMS is restricted to the System Manager and Schools' Finance Officer.

### **Servers**

The server is kept in a locked unit in the Resources room.

## **Back Up**

Remote back up of all data is run automatically overnight.

The System Manager is responsible for ensuring there are effective back up procedures for the site. The System Manager must liaise regularly with the academy's chosen IT consultant, Huish Academy, to ensure the methods used are robust and reliable. The governing body is responsible for compiling and maintaining a Business Continuity Plan in the event of loss of accounting facilities or financial data. This should link with the annual assessment carried out by governors to the major risks to which the academy is exposed.

## **Virus Protection**

Current versions of anti-virus guards are installed on the networks server to safeguard software against viruses and to avoid any corruption of data. Using only authorised software will contribute to this protection.

## **Internet**

Access to the World Wide Web is limited to staff whose need is relevant to the tasks, for which they are responsible. Personal use of the Internet for **viewing only** outside normal working hours is at the discretion of Headteacher. Staff should sign an internet agreement to this effect.

When making personal use of the Internet the following are prohibited and will result in the disciplinary procedure being invoked:-

- hacking of any kind;
- purchase of goods and services;
- use for any kind of personal gain, e.g. advertising goods for sale, dealing in shares or other commodities;
- accessing pornographic or gambling sites;
- accessing chat lines;
- printing or downloading information.

## **SECTION 9 PERSONNEL/PAYROLL**

The majority of payroll/HR work is carried out by the Academy's chosen provider – the HR/Payroll Department (HRAP) at Somerset County Council, however, certain tasks at academy level must be completed and checked so that payments are only made to employees of the academy, payments are made only in respect of services to the academy and amendments to the payroll are promptly and properly processed. The governing body must ensure personnel management procedures have been identified, formally approved and documented to cover as a minimum;

- recruitment (including reference and police checks)
- performance appraisal and review
- equal opportunities
- disciplinary (including absence)
- grievance
- staff expenses.

The main elements of the payroll system are

- staff appointments
- payroll administration and
- payments

## **STAFF APPOINTMENTS**

Vacant posts are reviewed and consideration taken as to whether there is an opportunity to deploy across the

Academy. The Headteacher has authority to appoint replacement staff except for Deputy Head and Academy Business Managers position. Major changes and any changes to staffing structure should be reviewed discussed and approved by Trustees who must ensure there is sufficient budget for any changes. Pre-employment and new starter checks are completed for all new appointments (Appendix 6). To ensure contract amendments are processed in a timely manner a 'Changes to existing contract form' is completed by the Headteacher and processed by the finance staff (Appendix 9). The Schools' Finance/Business Manager and Headteacher maintain personnel files for every member of staff. All personnel changes must be administered by Schools' Finance/Business Manager and checked by the Headteacher.

## **RECRUITMENT**

Checklists are used to support the recruitment process – See Appendix 6

## **SAFEGUARDING**

All new staff who joined The Levels Academy Trust after March 2002 are DBS checked. Those who joined before have been CRB/List 99 checked. A single central record is kept with details of dates and CRB numbers/List 99 checks by the Academy Bursar/Administrative Assistant. These details are also input on SIMs Personnel. Various other recruitment checks are carried out to comply with Safer Recruitment (Appendix 6)

## **PAYROLL ADMINISTRATION**

The academy payroll is administered at individual school level on SIMS.net system operated by the Schools' Finance/Business Manager. Access is password controlled. All staff are paid monthly, administered by HRAP at Somerset County Council. They ensure, after providing the relevant paperwork to be checked by the Schools' Finance/Business Manager, that all staff are paid correctly each month. By 15<sup>th</sup> of each month the Schools' Finance/Business Manager has to check and authorise a master file provided by HRAP which confirms pay details for each member of staff prior to submittal. The Schools' Finance/Business Manager is responsible for processing any contract or personnel changes onto SIMS.net and forwarding the relevant paperwork to HRAP ready for processing. Copies of all paperwork must be held on file. The Schools' Finance/Business Manager is responsible for completing and submitting supply claim forms/additional hours for staff, leave without pay, overtime and visiting speakers. The information is sent to HRAP each month by completed and excel file provided by HRAP.

## **PAYMENTS**

The Schools' Finance/Business Manager is responsible for checking all the data provided by HRAP to ensure the correct payments are made to staff. These files are kept securely and reviewed and authorised by the Schools' Finance/Business Manager. The payroll print is also reviewed and signed by the Headteacher. All salary payments are made by BACS Salary details are checked by the Schools' Finance/Business Manager each month at reconciliation paying particular attention to any changes. HRAP is responsible for ensuring the correct National Insurance, pension contribution and tax is deducted from each salary.

The Schools' Finance/Business Manager checks each staff group for variances in salary payments following reconciliation to ensure SIMS.net and HRAP are using the same information. The relevant cost centres/ledger codes will be debited each month as agreed between the academy and HRAP. This should be checked and reviewed after reconciliation by Schools' Finance/Business Manager.

## **EXPENSES**

Travel expenses are not normally paid for attending local training courses, events etc. Other expense claims will only be made with prior authorisation by the Headteacher.

Somerset County Council standard mileage rate will be used currently 0.24 per mile.

The limit for reimbursement for hotels is £75 per night.

Rail travel is limited to economy/2<sup>nd</sup> class.

Original receipts MUST be produced.

## **ABSENCE**

Staff who have been off work sick will be provided with a Sickness Declaration to complete on their return to

work and a return to work interview carried out with the Schools' Finance/Business Manager, authorised by the Headteacher. Return to work interview for staff who have returned from long term sick leave will be carried out by the Headteacher. The Schools' Finance/Business Manager will ensure all documentation is sent in a timely manner to HRAP ensuring they are received in time for the following month's payroll run. The Academy Trust purchases absence protection insurance at a level agreed for each individual school.

### **REDUNDANCY COSTS**

It must be noted that academies are directly responsible for any cost associated with redundancy cases. Advice regarding this should be sought via the HR Advisory Team at Somerset County Council to which the academy has subscribed.

### **MATERNITY COSTS**

Academies are directly responsible for any costs associated with maternity and paternity leave. All female employees are entitled to 52 weeks maternity leave regardless of service. Further details can be sought via the HR Advisory Team at Somerset County Council to which the academy has subscribed.

### **ADDITIONAL SUPPLY COVER COSTS**

In addition to supply cover for sickness, the academy will need to fund any supply cover for occasions such as;

- public duties
- suspensions
- jury service
- trade union duties

### **SPECIAL STAFF SEVERANCE PAYMENTS.**

The Academy trust has the delegated authority to approve individual staff severance payments provided any non-statutory/non-contractual element is under £50,000. Where the trust is considering a non-statutory/non-contractual payment of £50,000 or more EFA's prior approval **must** be obtained.

### **COMPENSATION PAYMENTS.**

The Academy trust has the delegated authority to approve individual compensation payments provided any non-statutory/non-contractual element is under £50,000. Where the trust is considering a non-statutory/non-contractual payment of £50,000 or more EFA's prior approval **must** be obtained.

Ex gratia payments are another type of transaction that goes beyond statutory or contractual cover, or administrative rules. Annex 4.13 of HM Treasury's Managing Public Money provides examples, which include payments to meet hardship caused by official failure or delay, and payments to avoid legal action on the grounds of official inadequacy.

Ex gratia transactions **must** always be referred to EFA for prior authorisation. HM Treasury approval may also be needed dependent on the nature of the transaction. If trusts are in any doubt about a proposed transaction they should seek prior advice from EFA.

As the employer, the Governing Body is aware that irrespective of who prepares the tax and NI returns, they are legally responsible for making payments.

### **Pay Policy**

The Academy has a separate Pay Policy which is reviewed annually by the Trustees.

## **SECTION 10 FUNDING**

The main recurrent funding will be a General Annual Grant (GAG) from the DfE. This is calculated on an academic year basis from 1<sup>st</sup> September to 31<sup>st</sup> August. GAG consists of the following elements;

- School Budget Share (SBS) agreed with the LA in consultation with the Schools forum and applied to pupil numbers.
- Minimum Funding Grant (MFG)

- Education Service Grant (ESG)

Other streams of income will remain to be paid from Somerset County Council. Individually Assigned Resources (IAR) is calculated on a financial year basis from 1<sup>st</sup> April to 31<sup>st</sup> March. IAR consists of the following elements;

- School Action Plus – named pupil allocations
- SEN Integration funding – where applicable
- Funding for Vulnerable Children – where applicable

The IAR is paid from the LA direct to academies throughout the year.

PUPIL PREMIUM is another form of funding calculated on pupils eligible for free school meals and pupils from service families.

PE & SPORTS GRANT is current being paid to improve sport in primary schools. Schools with 16 or fewer eligible pupils receive £500 per pupil. Schools with 17 or more eligible pupils receive £8,000 and an additional payment of £5 per pupil. This is paid by the EFA in two payments 7/12 November and 5/12 May.

DFCG (devolved formula capital grant) is a capital grant for school improvements. This is the same for LA maintained schools and academies.

#### RATES

LA maintained schools and academies are funded for rates on the basis of actual cost. Academies qualify for charitable rates relief of 80% and this reduction in cost is reflected in a reduction of funding for an academy.

The remaining 20% can be reclaimed from the DfE.

#### BIDS

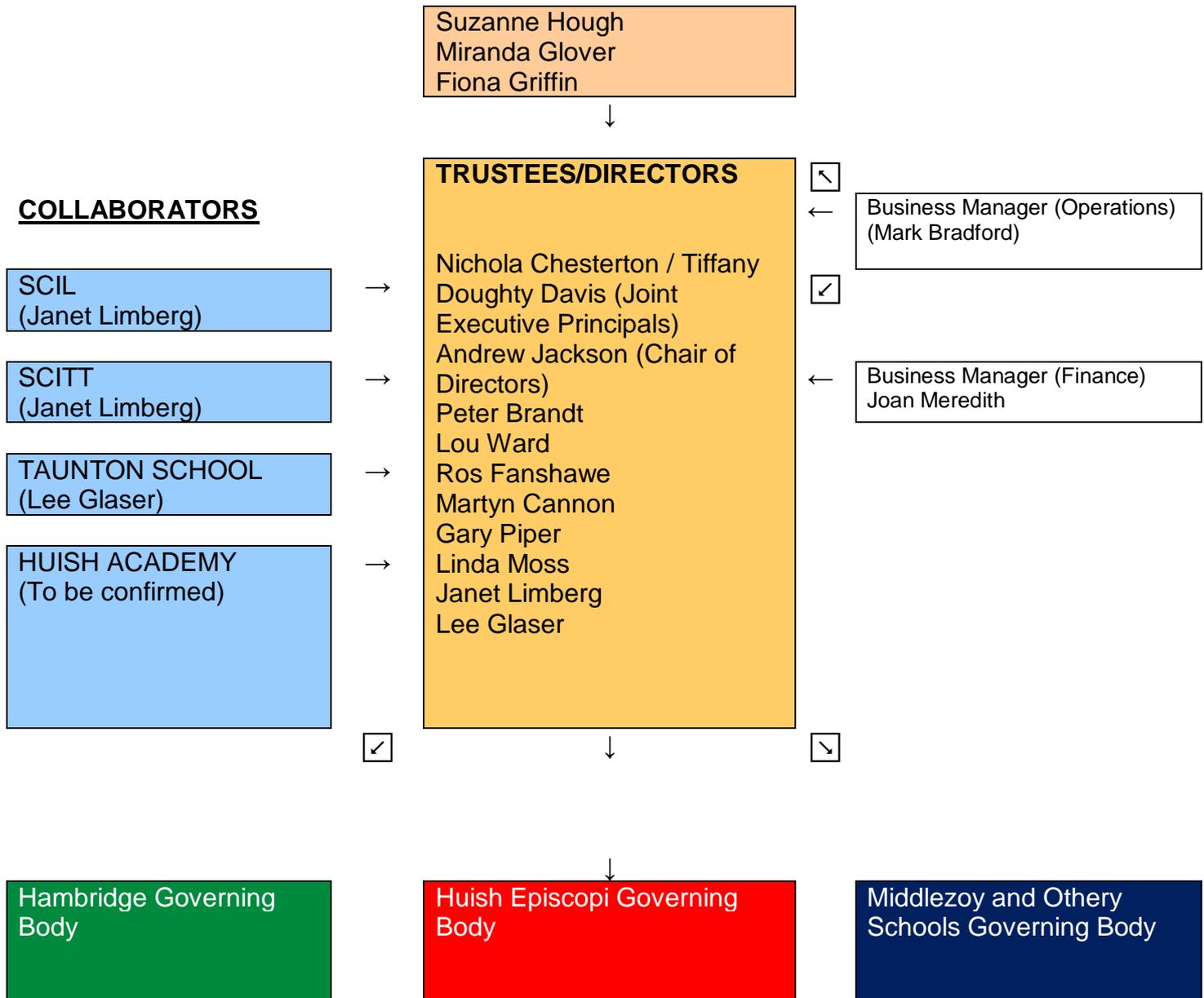
Each year we are apply to apply for funding through the Condition Improvement Fund (CIF) to make structural improvements to the Premises for our schools. The criteria for applications is stated and updated each year and we ensure compliance with these conditions

## APPENDIX 1

### The Levels Academy Trust Structure to January 2019

<b>MEMBERS</b>
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Ian Etchells
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**APPENDIX 2**

**REGISTER OF BUSINESS INTERESTS GUIDANCE AND MODEL FORM**

It is important that governors and staff not only act impartially, but are also seen to act impartially. The governing body and school staff have a responsibility to avoid any conflict between their business and personal interests and affairs and those of the school. There is a legal duty on all governors to declare an interest likely to lead to questions of bias when considering any item of business at a meeting and for the governor concerned to withdraw, if necessary, whilst the matter is considered.

To help put this duty into practice, a governing body is required to establish and maintain a register of pecuniary interests indicating, for all governors and the headteacher, any business interests. This should include, if appropriate, the company by whom they are employed, directorships, significant shareholdings or other appointments of influence within a business or other organisation which may have dealings with the school. They should include their own interest and those of any member of their immediate family (including partners) or other individuals known to them who may exert influence. The register sheet should be signed by the governor. The register will enable governors to demonstrate that in spending public money they do not benefit personally from decisions that they make. The register must contain, as a minimum, the elements shown on the attached sheet.

Governing Bodies should ensure the register is up to date, complete and includes all governors. Dated nil returns are also required. There should be notification of changes from governors, as appropriate, and through an annual review of entries. To ensure evidence of completeness it should be signed off annually by the chairman of governors.

The completed register should be retained by the clerk and made available on request to members of the governing body, the headteacher, staff, parents and the Director Children's Services.

There is often some confusion around what information needs to be declared on the business interests form and whether spouses/partners possible interest is relevant. It may be helpful to clarify the situation to governors with a covering letter when sending out the form and a suggested letter is attached. This letter also gives a bit more guidance for governors on how to fill in the form.

It is specifically the clerk's responsibility to maintain the register of business interests; however it is the responsibility of each individual governor to declare their interest. The register is not a substitute for declaring an interest at meetings.

Dear Member of Staff

### **Register of Business Interests for School Staff**

Please find attached the Register of Business Interests for The Levels Academy Trust form which I should be grateful if you would complete and return to me at your earliest convenience.

This document is a requirement of the Board of Trustees and you should give careful consideration to it when completing it. It is important that governors, trustees and staff not only act impartially, but are also seen to act impartially. The Board of Trustees, Governing Body and school staff have a responsibility to avoid any conflict between their business and personal interests and affairs and those of the school. There is a legal duty on all governors/trustees to declare an interest likely to lead to questions of bias when considering any item of business at a meeting and for the governor concerned to withdraw, if necessary, whilst the matter is considered.

To help put this duty into practice, the Trustee Board is required to establish and maintain a register of pecuniary interests indicating, for all trustees, governors, staff and the headteacher, any business interests. This should include, if appropriate, the company by whom they are employed, directorships, significant shareholdings or other appointments of influence within a business or other organisation which may have dealings with the school. They should include their own interest and those of any member of their immediate family (including partners) or other individuals known to them who may exert influence. The register sheet should be signed by the Academy Business Operations Manager. The register will enable trustees and governors to demonstrate that in spending public money they nor any member or staff do not benefit personally from decisions that they make. If your return is nil forms should be completed as such.

The register is reviewed annually, but you are reminded that you should declare any changes as and when they occur.

If you require any assistance with this, please do not hesitate to contact me.

Yours sincerely

Academy Business Manager

**FORM - Register of Business Interests for The Levels Academy Trust**

Name \_\_\_\_\_

Name of Organisation	Nature of Interest	Date from which involved	Signature	Date of signature	Date interest ceased	Signature	Date of signature	Notes

**Notes:**

1. Use the notes column to indicate relationships.
2. One page for each member of staff or more if required.
3. Make all entries in ink.

Record of Reviews (Company Secretary to distribute amendment and signature annually)

Date										
Initials										

Staff are reminded that completion of this form does not remove the requirement upon them to disclose orally any interest at any specific meeting and to leave the meeting for that agenda item.

**FOR THE GUIDANCE OF GOVERNORS, A SUMMARY OF THE RELEVANT PART OF THE REGULATIONS ABOUT WITHDRAWAL FROM MEETINGS AND DISCLOSURE OF INTEREST ARE SET OUT BELOW.**

**WITHDRAWAL FROM MEETINGS - HAVING AN INTEREST**

**The general principle is that no-one should be involved in a decision where his or her personal interests may conflict with those of the governing body.**

- The regulations apply to all members of the governing body and the headteacher and any others in attendance at the meeting, though if a matter is to be voted upon, then only to the members of the governing body.
  - The clerk to the governing body shall only be required to withdraw when the governing body is discussing the clerk's pay/contract or disciplinary action against the clerk.
  - Governors have to withdraw when their own appointment, reappointment or removal as a member of the governing body or a committee is under consideration.
  - Any governor who is employed to work at the school (other than the headteacher), must withdraw from a meeting where the pay or performance appraisal of any particular person employed to work at the school is under discussion.
  - The headteacher must withdraw from any meeting where his/her own pay or performance appraisal is under discussion.
  - If a person has any pecuniary interest, direct or indirect in any contract, proposed contract or any other matter under discussion at a meeting s/he shall at the meeting disclose the fact and:
    - (a) withdraw from a meeting during the consideration or discussion of the meeting;
    - (b) not vote on any question with respect to that matter.
- A person has an indirect pecuniary interest if:
    - (a) s/he, or any nominee of hers/his, is a member of a company or other body with which a contract is under consideration or has been made;
    - (b) s/he is a partner in business or in the employment, of a person with whom the contract is made or under consideration.
  - A person has a direct or indirect pecuniary interest in a matter if a relative (including a spouse) living with her/him, has a direct or indirect pecuniary interest.
  - The headteacher (whether a governor or not), a governor who is a teacher or member of the non-teaching staff, or any teacher who is in attendance in an advisory capacity should not have an interest that is greater than the interest of the generality of teachers at the school.
  - A person present at a meeting of a selection panel at which the subject for consideration is that person's appointment (or that of his/her relative or spouse) to a post as a teacher or otherwise at the school, a transfer or promotion or retirement or shall be a candidate for the resulting vacancy, s/he shall be deemed to have an interest.

## APPENDIX 3

### RETENTION OF RECORDS

Documentation, files and records are retained to act as a record and support for actions taken and to assist future reviews of policy. They are also retained to satisfy the requirements of Audit, Custom and Excise and the Inland Revenue. This section identifies the minimum period of time that records should be retained to satisfy all these requirements.

Financial Regulations require the retention of certain records for specified periods. If in doubt, a minimum of six years should be applied. Specific regulations are as follows.

<b>COMPUTER TABULATIONS</b>	3 years plus current year
<b>SIMS DATA</b>	3 years plus current year
<b>COPY ORDERS</b>	2 years plus current year
<b>DELIVERY NOTES, CREDITOR INVOICES, CREDIT AND DEBIT NOTES</b>	6 years plus current year
<b>RECEIPT BOOKS</b>	6 years plus current year
<b>PETTY CASH BOOK</b>	6 years plus current year
<b>BANK STATEMENT, CHEQUE BOOK STUBS (including analysed cheques)</b>	6 years plus current year
<b>CASH RECORDS AND TILL ROLLS</b>	6 years plus current year
<b>DEBTOR ACCOUNTS</b>	6 years plus current year (providing debt has been collected)
<b>INVENTORY RECORDS</b>	6 years plus current year
<b>TIMESHEETS</b>	6 years plus current year
<b>EMPLOYEES' RECORDS, PERSONNEL ACCIDENT REPORT</b>	7 years following cessation of contract
<b>TENDERS (schedule of limited/opened)</b>	6 years plus current year after settlement of final account
<b>TENDERS (schedule of price approvals, other correspondence)</b>	6 years plus current year after settlement of final account
<b>CONTRACT DOCUMENTATION, FINAL ACCOUNTS AND SUPPORT EVIDENCE</b>	6 years plus current year after settlement of final account
<b>OTHER SITE DOCUMENTS eg DIARIES</b>	1 years plus current year (providing sufficient documentation is held confirming exact dates of work etc.)

## APPENDIX 4A

### DIVISION OF DUTIES CHART – Hambridge Primary School

		Headteacher	Senior Teacher	Teacher	Admin Assistant	Finance Officer	TA
<b>A. ORDERING</b>							
Complete requisition form		✓	✓	✓	✓	✓	✓
Authorise Requisition Form		✓					
Process order on SIMS (FMS)						✓	
Authorise order on SIMS (FMS)						✓	
Sign paper copy of order			✓				
Check delivery note to goods received					✓	✓	
Check delivery note to order					✓	✓	
<b>B. INVOICE PAYMENTS</b>							
Check invoice to delivery note/order (where applicable)						✓	
Sign invoice to authorise payment		✓					
Process invoice on SIMS (FMS)						✓	
Authorise invoice on SIMS (FMS)						✓	
Cheque Processing						✓	
Cheque Signatories (min of 2)		✓	✓			✓	
<b>C. PETTY CASH</b>							
Sign cheques (2 signatures)							
Issue cash which should be signed for							
Sign receipts/vouchers to authorise							
Record expenditure in manual records							
Record expenditure on SIMS (FMS) and produce reimbursement claim							
Sign reimbursement claim (including checking against the supporting receipts/vouchers)							
Balance petty cash (Form 21)							
Check petty cash balance form (including counting any cash in hand)							
<b>D. INCOME</b>							
Raise invoices/request's income and keep records of all income due						✓	
Collect income, count and record manually					✓	✓	
Issue receipts (where requested)					✓	✓	
Record on SIMS						✓	
Complete paying-in book					✓	✓	
Bank income						✓	
Spot check income received against records of income due		✓	✓			✓	
Check income collected to amount banked and amount on Bank Statements		✓				✓	

<b>E. RECONCILIATION</b>							
Process suspense list						✓	
Check staff payments						✓	
Allocate income if required						✓	
Complete virement Form							
Complete Payroll and Bank Reconciliation forms						✓	
Sign and Check Payroll and Bank Reconciliation Forms		✓				✓	
Raising payroll queries						✓	
Print reports						✓	
Review monthly reports		✓				✓	
Complete any budget movements required						✓	
Countersign any budget movements		✓					
<b>F. PAYROLL / PERSONNEL</b>							
Complete payroll forms for contract changes, supply, etc.						✓	
Authorise payroll forms – <b>Members to authorise Executive Principal's forms</b>		✓					
Update SIMS Personnel for contract changes						✓	
Check staff variances on SIMS FMS						✓	
Check staff payments on payroll reports		✓				✓	
Monitor staff budgets		✓				✓	

APPENDIX 4B

DIVISION OF DUTIES CHART – Huish Episcopi Primary School

	Exec Head/ CEO	Headteacher	Senior Teacher	Teacher	Business Manager 1	Business Manager 2	Admin Assistant	TA
<b>A.ORDERING</b>								
Complete requisition form			✓	✓	✓		✓	✓
Authorise Requisition Form	✓	✓			✓			
Process order on SIMS (FMS)					✓		✓	
Authorise order on SIMS (FMS)					✓			
Sign paper copy of order	✓	✓						
Check delivery note to goods received			✓	✓	✓		✓	✓
Check delivery note to order					✓		✓	
<b>B. INVOICE PAYMENTS</b>								
Check invoice to delivery note/order (where applicable)					✓		✓	
Sign invoice to authorise payment	✓	✓						
Process invoice on SIMS (FMS)					✓		✓	
Authorise invoice on SIMS (FMS)					✓			
Cheque Processing					✓			
Cheque Signatories (min of 2)	✓	✓			✓		✓	
<b>C. PETTY CASH</b>								
Sign cheques (2 signatures)	✓	✓			✓		✓	
Issue cash which should be signed for					✓			
Sign receipts/vouchers to authorise	✓	✓			✓			
Record expenditure in manual records					✓			
Record expenditure on SIMS (FMS)and produce reimbursement claim					✓			
Sign reimbursement claim (including checking against the supporting receipts/vouchers)	✓	✓						
Balance petty cash (Form 21)					✓			
Check petty cash balance form (including counting any cash in hand)					✓			
	Exec Head	Headteacher	Senior Teacher	Teacher	Business Manager		Admin Assistant	TA
<b>D. INCOME</b>								
Raise invoices/request's income and keep records of all income due					✓			
Collect income, count and record manually					✓		✓	✓
Issue receipts (where practicable)					✓		✓	
Record on SIMS					✓			
Complete paying-in book					✓		✓	
Bank income					✓		✓	
Spot check income received against records of income due	✓	✓						
Check income collected to amount					✓			

banked and amount on Bank Statements									
<b>E. RECONCILIATION</b>									
Process suspense list						✓			
Check staff payments						✓			
Allocate income if required						✓			
Complete virement Form									
Complete Payroll and Bank Reconciliation forms						✓			
Sign and Check Payroll and Bank Reconciliation Forms	✓	✓							
Raising payroll queries						✓			
Print reports						✓			
Review monthly reports	✓	✓							
Complete any budget movements required									
Countersign any budget movements	✓	✓							
<b>F. PAYROLL / PERSONNEL</b>									
Complete payroll forms for contract changes, supply, etc.						✓			
Authorise payroll forms – <b>Members to authorise Executive Principal's forms</b>	✓	✓							
Update SIMS Personnel for contract changes						✓			
Check staff variances on SIMS FMS						✓			
Check staff payments on payroll reports						✓			
Monitor staff budgets	✓	✓				✓			

**APPENDIX 4C**

**DIVISION OF DUTIES CHART – Middlezoy & Othery Primary Schools**

	Exec Head	Headteacher	Senior Teacher	Teacher	Business/ Finance Manager	Admin Assistant	TA
<b>A. ORDERING</b>							
Complete requisition form		✓	✓	✓	✓	✓	✓
Authorise Requisition Form	✓	✓			✓		
Process order on SIMS (FMS)					✓	✓	
Authorise order on SIMS (FMS)					✓		
Sign paper copy of order	✓		✓				
Check delivery note to goods received		✓	✓		✓	✓	✓
Check delivery note to order					✓	✓	
<b>B. INVOICE PAYMENTS</b>							
Check invoice to delivery note/order (where applicable)					✓	✓	
Sign invoice to authorise payment	✓	✓	✓				
Process invoice on SIMS (FMS)					✓	✓	
Authorise invoice on SIMS (FMS)					✓		
Cheque Processing					✓		
Cheque Signatories (min of 2)	✓	✓	✓		✓		
<b>C. PETTY CASH</b>							
Sign cheques (2 signatures)	✓	✓	✓		✓		
Issue cash which should be signed for					✓		
Sign receipts/vouchers to authorise	✓	✓	✓		✓		
Record expenditure in manual records					✓		
Record expenditure on SIMS (FMS) and produce reimbursement claim					✓		
Sign reimbursement claim (including checking against the supporting receipts/vouchers)	✓	✓	✓				
Balance petty cash (Form 21)					✓		
Check petty cash balance form (including counting any cash in hand)					✓		
<b>D. INCOME</b>							
Raise invoices/request's income and keep records of all income due					✓	✓	
Collect income, count and record manually					✓	✓	
Issue receipts (where practicable)					✓	✓	
Record on SIMS					✓		
Complete paying-in book					✓	✓	
Bank income					✓	✓	
Spot check income received against records of income due	✓	✓	✓		✓		
Check income collected to amount					✓		

banked and amount on Bank Statements							
<b>E. RECONCILIATION</b>							
Process suspense list					✓		
Check staff payments					✓		
Allocate income if required					✓		
Complete virement Form							
Complete Payroll and Bank Reconciliation forms					✓		
Sign and Check Payroll and Bank Reconciliation Forms	✓	✓	✓		✓		
Raising payroll queries					✓		
Print reports					✓		
Review monthly reports	✓	✓	✓				
Complete any budget movements required					✓		
Countersign any budget movements	✓	✓	✓				
<b>F. PAYROLL / PERSONNEL</b>							
Complete payroll forms for contract changes, supply, etc.					✓		
Authorise payroll forms – <b>Members to authorise Executive Principal's forms</b>	✓	✓	✓				
Update SIMS Personnel for contract changes					✓		
Check staff variances on SIMS FMS					✓		
Check staff payments on payroll reports					✓		
Monitor staff budgets	✓	✓			✓		

## CHARGING POLICY

### Charges for Academy Activities

The Education Reform Act 1988 clarifies the activities for which charges can be made or voluntary contributions sought.

The Act gives LAs and schools and academies the discretion to charge for optional activities provided wholly or mainly out of Academy hours, and the right to invite voluntary contributions for the benefit of the Academy or in support of any activity organised by the Academy whether during or outside Academy hours.

As from September annually the Governors will operate the following policy on charges and contributions for Academy activities where such activities involve additional expenditure.

### Charges

The Academy will charge in the following circumstances allowed by the Act:

- (a) The provision of music tuition given to pupils as individuals or in groups **except** where it is given to fulfil:
- statutory duties relating to the National Curriculum or
  - requirements specified in the syllabus for a public exam.

- (b) Ingredients and materials for cooking and CDT (Craft, Design and Technology):

Materials will be charged for, or parents will be required to supply these, if the parents have indicated in advance a wish to own the finished product.

- (c) Activities which take place wholly or mainly outside Academy hours and which are not a statutory part of the National Curriculum: eg outings, visits, cricket coaching, cycling courses.

Charges will be made for all or part of a pupil's travel costs, board and lodging costs, materials and equipment, entrance fees, non-teaching staff costs, any insurance and costs of engaging teaching staff specifically for the activity.

- (d) Activities which involve pupils in nights away from home:

Charges will be made for board and lodging. Families receiving Income Support or Working Family Tax Credit may be exempt from board and lodging charges.

Charges must **not exceed actual cost** otherwise there may be VAT implications.

## **Voluntary Contributions**

Voluntary contributions will be sought from parents for activities which supplement the normal Academy curriculum, eg outings and visits which take place wholly or mainly during Academy hours; visits to the Academy by theatre groups and other organisations providing an educational service.

When voluntary contributions are requested, the terms of the request will clearly state:

- (i) there is no obligation to contribute
- (ii) pupils will not be treated differently according to whether or not their parents have made a contribution
- (iii) the proposed activity may not take place unless a substantial majority of parents contribute and the event is financially viable
- (iv) a suggested amount for a contribution to cover costs.

## **Remission**

It is the policy of the Trustees:

- to remit charges for Academy activities to parents in receipt of income support and working family tax credit who had been unable to give a donation
- to look at individual cases where parents have been unable to give a donation
- to agree how to fund shortfalls for activities.

## **Other Charges**

### *Private Photocopying/Telephone Calls*

The Trustees should agree a charge to be levied for private photocopying (per copy) and telephone calls (per call). These will be subject to VAT regulations. These charges are to be reviewed annually.

### *Income from Sales - Non-profit Making*

Some goods may be purchased through the Academy for the convenience of parents, pupils or teachers. The Academy will not seek to make a profit from these sales. Goods in this category include Academy clothing, books, book bags, recorders, etc.

### *Income from Sales - Profit Making*

Some goods will be sold through the Academy with the intention of making a profit and thus raising money for the Academy, PTA or other charity. Goods in this category include Academy photographs, bring and buy items, etc which may be subject to VAT.

### *Income from Donations*

From time to time the Academy will seek voluntary donations for specific purposes. This may be via non-uniform days, sponsorship, etc. It will be made clear at the time of asking that such donations are voluntary and the purpose for which the donations will be used.

### *Income from Lettings*

The Business Committee annually review and set charges made for use of Academy premises. The charges include actual caretaking costs, insurance and a premises charge.

The Business Committee will endeavour to avoid charging the PTA for its activities in the Academy.

See Lettings Policy for further details.

### **Responsibilities**

Authority for day-to-day management of the policy is delegated to the Headteacher who will determine the costs of activities other than those set by the Trustees.

The level of charges is a matter for the Trustees. It is recommended that all charges should include a reasonable element for overheads like electricity, heating, caretaker's overtime, etc. Other things to consider are whether the Academy aims to make a profit, to meet actual costs or to offer say lettings at a subsidy.

All staff responsible for collecting income are made aware of the current charge rates and are aware of VAT implications.

The charging policy is reviewed annually by the Trustees and should include updates for any **Extended Schools Services**.

## APPENDIX 6



# The Levels Academy Trust

Raising Aspirations, Realising Potential TOGETHER

### PRE-EMPLOYMENT CHECK LIST

<b>Actions to be completed prior to recruitment.</b>	Initials	Date
Identify Vacancy..... <ul style="list-style-type: none"> <li>• Review the vacant post. Consider whether the vacancy should be filled as previously or whether there is an opportunity to deploy across the Academy or review how the role is carried out?</li> </ul>		
Planning: <ul style="list-style-type: none"> <li>• Timetable</li> <li>• Job Description update if necessary.</li> <li>• Person Specification</li> </ul>		
Advertising: <ul style="list-style-type: none"> <li>• Check for accuracy and compliance with legislation               <ul style="list-style-type: none"> <li>○ Safeguarding Statement</li> <li>○ Equal opportunities statement</li> <li>○ Requirement of DBS</li> <li>○ Necessary standard of spoken English</li> </ul> </li> <li>• Internal or external advertisement</li> </ul> Include: <ul style="list-style-type: none"> <li>• School details</li> <li>• Details of Role</li> <li>• Salary</li> <li>• How to Apply</li> <li>• Closing Date</li> </ul>		
Pre-Shortlisting & Interview Preparation: <ul style="list-style-type: none"> <li>• Confirm shortlisting panel (min 2 people – Names)</li> <li>• Confirm shortlisting date</li> <li>• Confirm interview panel at least 2 interviewers (names, at least one with safer recruitment training)</li> <li>• At least 1 interviewer with safer recruitment</li> <li>• Confirm interview date</li> <li>• Questions/arrangements agreed</li> <li>• Explore applicants suitability to work with children as well as for the post</li> <li>• Retain all paperwork</li> </ul>		
Applications: <ul style="list-style-type: none"> <li>• Record all applications received</li> <li>• Check for anomalies/discrepancies/gaps in employment</li> <li>• Invitation for interview</li> </ul>		
References: <ul style="list-style-type: none"> <li>• Seek references for short listed applicants</li> <li>• include statement about accuracy and verification</li> </ul>		
Role of the Chair at Interview: <ul style="list-style-type: none"> <li>• Ensure the identity of candidates are checked and verified</li> <li>• Ensure panel has list of candidates, timetable and necessary documents</li> <li>• Obtain contact information to inform candidates of outcome</li> <li>• Retain all interview notes</li> <li>• Make verbal offer to successful candidate subject to satisfactory pre-employment checks</li> <li>• Agree pay scale and start date</li> <li>• Contact unsuccessful candidates after successful candidate has verbally accepted the post</li> <li>• Ensure details are given to appropriate staff to prepare contracts</li> </ul>		

## NEW STARTER CHECKLIST

Employee Name:		
Post:		
Start Date:		
Information required for confirming appointment and payroll purposes <i>(All marked with * should be obtained and retained for personnel file)</i>		
Conditional Letter of Appointment to include: <ul style="list-style-type: none"> <li>• Job title</li> <li>• date of commencement</li> <li>• Type of contract (P FT or T)</li> <li>• Salary Grade</li> <li>• Conditional on following checks</li> </ul>		
* Short Pre-employment Medical Questionnaire. <i>(If any question ticked 'yes' full pre-employment health assessment required)</i>		
* Prohibition Order check		
DBS disclosure received		
* Permission to work in the UK <b>Original</b> documents		
* Proof of Identity <b>Original</b> documents with evidence of address		
Overseas check required		
* References received and checked against application form Reference Verified Ref 1: Ref 2:		
* Proof of Qualifications <b>Original</b> documents		
* Evidence of QTS		
Certificate of Good Conduct Risk Assessment if necessary <a href="#">Certificate of Good Conduct Risk Assessment.doc</a>		
Complete Staff Disqualification Declaration Form		
Risk Assessment for staff without DBS whilst awaiting clearance which <b>MUST</b> include an online Barred List Check (contact the disclosure team 01823 355986) with person's ID		
EEA Check <a href="https://sa.education.gov.uk/idp/Authn/UserPassword">https://sa.education.gov.uk/idp/Authn/UserPassword</a> (teachers only)		
Section 128 Check (Leadership staff at Academies) <a href="https://sa.education.gov.uk/idp/Authn/UserPassword">https://sa.education.gov.uk/idp/Authn/UserPassword</a>		
Signed Job description returned		
Conditional Offer Letter Signed and returned.		
Enter on SIMs Personnel		
HRAP New Starter Form		
Send out Staff Data Checking Sheet		
Personal Information Form HRAP7048RTI		
Teachers' Pension New Starter Checklist to HR		
On Line Prevent Training <a href="http://course.ncalt.com/Channel_General_Awareness/01/index.html">http://course.ncalt.com/Channel_General_Awareness/01/index.html</a> <a href="https://www.elearning.prevent.homeoffice.gov.uk/">https://www.elearning.prevent.homeoffice.gov.uk/</a>		
Induction arranged		
Signed confirmation of policies		
Email account requested		
Prepare labels staff board/pigeon holes/badges		
Signed Copy of Statement of Written Particulars returned		

APPENDIX 7



# The Levels Academy Trust

Raising Aspirations, Realising Potential TOGETHER

## Staff Leavers Check List

Name..... Date .....

SIM Personnel	Initials	Date
<ul style="list-style-type: none"> <li>• Employment Details                             <ul style="list-style-type: none"> <li>○ Terminate Contract</li> <li>○ Add date of leaving</li> </ul> </li> <li>• SIMs User                             <ul style="list-style-type: none"> <li>○ Remove user account from SIMs System Manager <i>Focus/System Manager/ Manage Users</i></li> </ul> </li> <li>• SLP Access                             <ul style="list-style-type: none"> <li>○ Remove access – Un-provision</li> </ul> </li> <li>• Email Account                             <ul style="list-style-type: none"> <li>○ Complete SWO Change to Email Account Form</li> <li>○ Request deletion or transfer</li> </ul> </li> </ul>		
<b>SIMS FMS</b>		
<ul style="list-style-type: none"> <li>• Remove access rights</li> </ul>		
<b>BANK ACCOUNTS</b>		
<ul style="list-style-type: none"> <li>• Complete Bank mandate – remove as signatory</li> <li>• Return of Charge Card</li> <li>• Destroy Charge card</li> </ul>		
<b>GENERAL</b>		
<ul style="list-style-type: none"> <li>• Laptop to be returned</li> <li>• ID Badge Returned</li> <li>• All school resources returned List                             <ul style="list-style-type: none"> <li>○</li> <li>○</li> </ul> </li> <li>• Log on details for website changed/handed over</li> <li>• Return Keys</li> <li>• Remove photograph from staff board</li> </ul>		



# The Levels Academy Trust

Raising Aspirations, Realising Potential TOGETHER

**School Name:** .....

## Equipment Loan Form

Loaned to \_\_\_\_\_  
Type of Equipment \_\_\_\_\_  
Serial No \_\_\_\_\_  
Asset No \_\_\_\_\_  
  
Signature \_\_\_\_\_  
Date \_\_\_\_\_

The above items are the Property of .....  
(school name) (Part of The Levels Academy Trust)

The Academy reserves the right to recall the loan equipment at any time.  
You are responsible for its safe keeping and you take necessary measures to prevent theft, loss or damage.

Date Returned \_\_\_\_\_

Checked by \_\_\_\_\_

Notes

Appendix 9

**PERSONNEL RECORD**  
**CHANGES TO EXISTING CONTRACT**

Name:		Initial When Completed
Post:	a ..... b ..... c .....	
Variation:		
Notes:		
Authorised By:	..... Headteacher/Business Manager  ..... Date	
ACTION: Office Manager	a HRAP Report Form <input type="checkbox"/> b On personnel <input type="checkbox"/> c. Appointment Letter <input type="checkbox"/>	
ACTION: Finance Officer	Advise change of contract on system for checking <input type="checkbox"/>	
NOTES		