**Kaleidoscope**

**Multi Academy Trust**

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**Scheme of Delegation**

**Need advice?**

For advice on any issue, Gold members have access to GOLDline legal advice   
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**Kaleidoscope Multi Academy Trust**

**Scheme of Delegation**

**Summary**

The Kaleidoscope Multi Academy Trust is the legal entity responsible for the governance of all academies within the Trust. The Chief Executive Officer (CEO) is accountable for the performance of all academies within the Trust. The Kaleidoscope Multi Academy Trust shall have regard to any guidance as to the governance of academies that the Secretary of State may publish to the extent permitted by the governing documents.

Kaleidoscope Multi Academy Trust Board of Trustees is accountable in law for all decisions about its academies. However, this does not mean that the Board makes all the decisions itself and as such, many decisions are delegated including to the CEO, Board Committees and Local Governing Bodies (LGB). The decision to delegate a function is made by the full Board of Trustees and is recorded as such. Without formal delegation, the individual or committee has no power to act.

The Scheme of Delegation will be published on the Trust and its schools’ websites.

**The objectives**

The object of the Trust is to advance for the public benefit education in the UK, establishing, maintaining, carrying on, managing and developing schools providing high quality education to students from all backgrounds by offering a broad and balanced curriculum and fostering collaboration across the Trust family of schools, other schools, educational establishments, the wider community for the benefit of the community and in line with schools’ vision and values.

In relation to all church academies these are to be conducted in accordance with the principals, practices and tenets of the Church of England both generally and in particular in relation to arranging for religious education and daily acts of worship.

**Purpose of the Kaleidoscope Multi Academy Trust Scheme of Delegation**

The Scheme of Delegation is the key document defining which functions have been delegated and to whom. This Scheme of Delegation ensures that members, Trustees, committees including LGBs, executive leaders and Academy Headteachers are clear about who has responsibility for making which decisions in the Trust. This overarching Scheme of Delegation covering all decision making in the Trust, is not to be confused with the written Scheme of Delegation of financial powers referred to in the Academies Financial Handbook. This Scheme of Delegation explicitly establishes who makes which decisions, and ensures this is clear to both all those within the MAT, as well as to the governing bodies of schools potentially looking to join. It will demonstrate clearly the lines of accountability**.** (Please refer to Appendices)

This Scheme of Delegation will:

* Ensure that the roles and responsibilities across the MAT are clearly understood
* Promote a culture of transparency and accountability
* Identify responsibility for the appointment and performance management of all leaders
* Set out responsibility for policy and practice in each academy
* Set out responsibility for oversight of each academy’s budget
* Set out responsibility for risk management
* Set out responsibility for oversight of educational performance in each academy

**VISION AND VALUES**

**VISION**

Kaleidoscope’s **Vision** is to create a Multi Academy Trust of exceptional and distinctive schools which deliver outstanding education and learning, who share best practice to raise standards and build aspiration for the children and members of its community, maintaining the positive diversity and choice for parents.

This vision will be achieved through the Trusts commitment, to the following Values:

**VALUES**

**Distinctiveness:**

We value and celebrate each school’s individuality and diversity whilst growing and learning together.

**Trust:**

We value the opportunity to work openly together in achieving our individual and common goals and aspirations.

**Integrity:**

We value honesty and professionalism when facing and overcoming challenges.

**Fairness:**

We value a community that has equality at its core; both in contributions and outcomes for all.

**Friendship:**

We value the mutual support and challenges of colleagues within a close community of schools.

**Commitment:**

We value the close collaborative relationship within our community for the benefit of all in support of group and individual needs.

**Strategic Aims**

To achieve our vision and meet our values we aim to:

* Maintain a knowledge of each other’s schools and learn from the distinctive characteristics and individuality of each school.
* Maintain and promote the Christian distinctiveness of the Church schools within the collaboration.
* Provide a collaborative responsibility for ensuring:
  + All schools are enabled to deliver the best possible outcomes for learners
  + Sharing of best practice, assets and resources
  + Continuous improvement for all schools
  + Widening of curriculum and enrichment opportunities for all pupils
* To value each other’s contributions, make improvements which are broadly aligned with each school’s SDP and current governmental guidance and be accountable to each other and the communities we serve.
* Share, monitor and measure our educational and wellbeing goals for all children in schools within the Collaboration
* Create structures which achieve better use of resources through efficiencies in the provision and procurement of goods and services
* Explore and access additional sources of funding to support our aims
* Embed high aspirations and tackle low achievement and performance
* Develop our staff and provide additional career opportunities through our collaboration
* Ensure that the Collaboration continues to work with all partners e.g. LA, other Trusts, the Diocese
* Become a leading light in the collaborative development of educational delivery and share our successes with others

**GOVERNANCE**

**Executive Board**

**Local Academy Council LAC**

**(if required)**

**Trust Board**

**Hearings and Appeals Committee**

**Finance, Audit and Risk Management**

**Members**

**LGB**

**LGB**

**LGB**

**LGB**

**LGB**

**LGB**

**Finance, Audit and**

**Risk Committee**

**Accountability**

The Board of Trustees delegates responsibility for delivery of the vision and strategy to the CEO. The MAT Trustees Board holds the CEO to account for the performance of the Trust, including the performance of the academies within the Trust. The CEO in turn holds other senior executives to account by line managing them.

The Scheme of Delegation also includes delegation to the CEO and Academy headteachers as well as to the committees of the Board of Trustees. The Board cannot delegate its accountability, but delegates some of the detailed scrutiny, oversight and decision-making.

As the CEO is accountable to the board for the performance of the Trust as a whole, the CEO will report to the board on the performance of the Trust including on the performance of the Trust’s schools, although this may be supplemented by monitoring reports from the LGBs.

The Trust Board determines on a case by case basis whether to delegate some responsibilities concerning the performance of each academy to the Local Governing Body. (LGB).

Factors which may influence the decision to delegate include:

* School performance
* A recent Ofsted report
* Financial and administrative performance
* Leadership and governance capacity and capability
* Due diligence

Regardless of the schools’ performance, the Board of Trustees retains overall control, not the individual school; for this reason this model is referred to here as ‘Earned Autonomy’.

This model of earned autonomy requires more than one scheme of delegation- see Appendix I and II. It should also be noted that the phrase ’earned autonomy’ is used to show that some Local Governing Bodies have decision making powers and some may be advisory (known as Local Academy Councils).

A local governing body with decision making powers is still a committee of the trust board and its powers and decision making functions can be amended or revoked.

The Trust Board will review the performance of the CEO. The CEO is responsible for the performance management of the Academy Headteacher, and where there is an LGB, will seek input from the LGB chair.

**For those academies with local level delegation:**

The Local Governing Body (LGB) responsibilities include monitoring whether the school is working within the agreed policies, whether standards are being met, and if the money is being well spent. The LGB will use its detailed knowledge and engagement with stakeholders to ensure that their school is being well served by the Executive Board, and as a board committee has direct access to the Trust board if there are concerns.

**For those academies with restricted delegation:**

The Local Academy Council’s role is to understand how the school is led and managed, acting as the eyes and ears of the school and its community and have a role in influencing decision-making. They have a direct link to the Trust Board, through the Executive Board, in case concerns need to be raised.

**Roles and Responsibilities**

**Members**

The Trust comprises- 4 members:

* Mrs Helen Fenn
* Mr David Dennis
* Mrs Anne Davey
* Mr Tony Roche

**The Role of the Members**

The Members of the Trust have a different status to Trustees. Kaleidoscope Multi Academy Trust members are the signatories to the Memorandum of Understanding and have agreed the Trust’s Articles of Association (a document that outlines the governance structure and how the Trust will operate). The Articles of Association also describe how members are recruited and replaced, and how many of the Trustees the members can appoint to the Trust Board.

The members appoint trustees to ensure that the Trust’s charitable object is carried out and are able to remove Trustees if they fail to fulfil this responsibility. Accordingly the Trust Board submits an annual report on the performance of the Trust to the members. Members are also responsible for approving any amendments made to the Trust’s Articles of Association.

While Members are permitted to be appointed as Trustees, in order to retain a degree of separation of powers between the members and the Trust Board, and in line with DfE expectations, not all members should be Trustees. Members are not permitted to be employees of the Academy Trust.

Members receive audited accounts and must meet at least once a year.

**Board of Trustees**

Current Trustees:

* Mr David Amos
* Dr Tristan Cogan
* Mr Norman Donovan
* Mrs Louise Eddins
* Mr Walter Lewis
* Mr Simon Marriott – CEO
* Mr Clive Wilson

**The Role of the Trustees**

5 Trustees are appointed by Members.

Trustees are appointed for their knowledge skills and/or experience, ensuring an appropriate balance between church and non-church representation, in the following areas as required by the Board:

* Corporate and Business Strategy/Development
* Financial
* Human Resources
* Asset management
* Communication, Marketing and PR
* Legal
* Education
* Chief Executive Officer (Trust Performance and Development – education & standards)
* Other skill sets as required –LGB Chair and Headteacher representation

The trustees are the charity trustees (within the terms of section 177(1) of the Charities Act 2011) and are responsible for the general control and management of the administration of the trust in accordance with the provisions set out in the memorandum and articles of association. The board of trustees is the accountable body for the performance of all schools within the trust and as such must:

* Ensure clarity of vision, ethos and strategic direction
* Hold the executive to account for the educational performance of the schools and their pupils, and the performance management of staff
* Oversee the financial performance of the trust and make sure its money is well spent

Because trustees are bound by both charity and company law, the terms ‘trustees’ and ‘directors’ are often used interchangeably. We use the term trustee as it avoids the possible confusion caused when executive leaders are called directors but are not company directors and trustees.

The MAT trust board is permitted to exercise all the powers of the academy trust. The MAT trust board will delegate to the CEO responsibility for the day to day operations of the trust. The trustees can determine whether to delegate any governance functions.

The trust has the right to review and adapt its governance structure at any time which includes removing delegation.

**The Role of the Committees**

The Trustees have established two committees either with delegated authority to make decisions or for the purpose of providing advice and support, informing the overall work of the Trust Board. However these committees are not legally responsible or accountable for statutory functions – the Trust Board retains overall accountability and responsibility. The responsibilities of board committees are set out in their terms of reference; the responsibilities of Local Governing Bodies (LGB) are set out in their own Terms of Reference. The Trust Board may appoint committee members and committee chairs.

**The Role of the Chief Executive Officer (CEO)**

The CEO has the delegated responsibility for the operation of the trust including the performance of the trust’s academies and ensuring the performance management of the Headteachers (in partnership with the LGB) is carried out.

The CEOis the accounting officer so has overall responsibility for the operation of the academy trust’s financial responsibilities and must ensure that the organisation is run with financial effectiveness and stability; avoiding waste and securing value for money.

The CEO leads the executive management team of the academy trust. The CEO will delegate executive management functions to the executive management team and is accountable to the trust board for the performance of the executive management team.

**The Role of the Headteacher**

The Academy Headteacher is responsible for the day to day leadership and management of the Academy and is line managed by the CEO. The Academy Headteacher will report to the LGB on matters, which have been delegated to that committee as set out in the Scheme of Delegation.  The Academy Headteacher is responsible for all aspects of performance, ensuring that his or her academy meets academy development plan targets and contributes to the achievement of Trust priorities, the realisation of its vision and exemplifying its values. All the Academy Headteachers share responsibility for the performance of pupils and staff across the Trust.  Each Academy Headteacher is a member of the Executive Board which is chaired by the CEO.

**The Role of the Executive Board**

The Executive Board is a committee of the Trust board and comprises the Headteacher and a Governor representative from each of the schools in the Multi Academy Trust. The purpose of this Committee is to ensure a clear pathway of information to and from the CEO and Trust Board members. Its purpose is to develop and consolidate the collaborative ethos and sharing good practice at a senior level that is already established and to make suggestions as to the next areas of collaboration and development.

**The Role of the Local Governing Body (LGB)**

The trust board will establish LGB’s approve appointment of their Chairs, ensure that parents are elected to each LGB, and will determine what will be delegated. Responsibilities will include:

* Building an understanding of how the school is led and managed
* Monitoring whether the school is:
  + Working within agreed policies
  + Is meeting the agreed targets
  + Managing its finances well
  + Engagning with stakeholders
  + Reporting to the Board

As a committee of the board, delegation can be removed at any time.

The LGB will determine its own operational structure. The Board will ratify this.

**The Role of the Local Advisory Committee (LAC)**

Where necessary the trust board will establish an Advisory Board in a school and will appoint the chair and ensure parents are represented. The Advisory Board may:

* Seek to understand how the school is led and managed: the headteacher will report termly on how the school is fulfilling the trust’s ethos, vision and strategy
* Act as the panel when reviewing the head’s decisions on exclusions, and parents’ complaints
* Be the consultative body for the school’s stakeholders
* Represent the school’s stakeholders
* Forge links with the community
* Act as an ambassador for the school

**MODEL FOR SCHOOL IMPROVEMENT**

As set out in our vision statement, the core purpose of the Kaleidoscope Multi Academy Trust is to deliver an exceptional education for all learners in our Trust community. We will use this principle in developing an effective model for school improvement, which will ensure impact on the achievement and life chances of every child in the Trust.

In order to achieve this we have established the following Quality Assurance Procedures.

**A School Improvement Annual Cycle**

This sets out the roles and responsibilities of all stakeholders in the trust. Each term every school will have a visit by the School Improvement Adviser, possibly joined by the CEO, in order to evaluate current standards and complete an up to date RAG rating for each school. This visit will also identify any levels of school to school support required. Outcomes of the visit and agreed actions will be recorded and shared with the LGB, CEO and Trust Board.

**RAG Rating System**

Each school will have its RAG rating updated termly under the following headings:

* Ofsted grade
* SIAMS grade (if appropriate)
* Pupil attainment
* Pupil Progress
* Leadership and Management (Strategic)
* Leadership and Management of Teaching and Learning
* Governance
* Teaching, Learning and Assessment
* Behaviour
* Exclusions
* Attendance
* HR involvement
* Staff Structure and Performance
* Staff Mobility
* Budget
* School’s Overall Impact

**Shared data systems**

Currently, the Trust has common systems for recording historic data i.e. Raise summaries, Data Dashboard and FFT Aspire. We have established termly data collections which include current data for all groups against national norms and predicted end of year data for all year groups.

The trust is considering a common assessment system for all schools in the coming year.

**School Improvement Offer**

Support for schools will be given at 4 Levels:

1. General CPD and school development – identified at school level and supported where appropriate, possibly through the Trust’s curriculum groups.
2. Key priorities identified and recorded at the termly visit from the School Improvement Partner.
3. Annual Mocksted- Each year all schools receive a ‘mock Ofsted’ (Mocksted) style review of its work that is initiated by the Executive Board as a peer exercise.
4. Schools at Risk of underachievement:

* Low standards of attainment and/or progress
* Unsatisfactory RAG ratings in a number of significant areas, including finance
* Ofsted reports
* School Improvement Adviser/ CEO visits as part of School Improvement Cycle
* School self-evaluation

**Actions following identification of Schools at risk of underachievement:**

1. CEO, School Improvement Adviser and Designated Board Member meet with school leaders to identify key areas for improvement and write School Support Plan (see below).
2. Resource implications of School Support Plan identified and shared with Finance Manager.
3. Other schools and/or outside agencies contacted to ensure support is available for the identified areas.
4. Plan implemented and monitored by Core Group on a regular basis.
5. School removed from category when targets are met and there is evidence of sustainable improvement.

**Resources currently available in the MAT to support schools:**

* Very experienced Headteachers with a strong track record of improvement supported by very able and experienced senior leaders.
* Expertise in all curriculum areas and SEN across the schools.
* A School Improvement Adviser with 20 years’ experience as an Adviser and an Ofsted Inspector.
* A Trustee Board Member with many years’ experience as a Principal Educational Psychologist.
* A Trustee Board Member with 20 years’ experience as an Adviser/ Ofsted Registered Inspector and Lead Officer for Schools Causing Concern in a Local Authority.
* Members and Governors with successful secondary headship and senior leadership experience; Primary headship and Diocesan advisor experience;
* A database of Trust Academy staff with identified expertise and a willingness to support other schools;
* A wide range of external contacts which could be bought in if necessary e.g. Babcock, ex- local authority advisors; ex-local headteachers.

**INTENSIVE SUPPORT PLAN FOR SCHOOLS AT RISK**

**SCHOOL:**

**KEY AREA:**

|  |  |  |  |
| --- | --- | --- | --- |
| **TARGET** | **ACTIONS REQUIRED** | **PERSONNEL RESPONSIBLE** | **TIMELINE and MILESTONES** |
|  |  |  |  |
| **SUCCESS CRITERIA** | **MONITORING SCHEDULE** | **EVALUATION** | |
|  |  | **Quantitative** | **Qualitative** |
|  |  |

**Leadership Models and Pathways - a culture of ‘invitational leadership’**

* Leadership opportunities at all levels – expert teachers, school and Trust-based champions for teaching and learning, core subjects and themes, primary/secondary Trust ‘lead practitioners’.
* Leadership training.
* Senior leadership opportunities to ‘act up’ in Trust-wide roles.
* Secondments/’shadowing’ opportunities.
* Roles for RQTs – expert teachers.

**Staff Development** (in school, across schools/Trust/Teaching Schools)

* Networks for sharing practice.
* Planned and flexible school to school support.
* Access to accredited national qualifications.
* Access to training through Teaching School.
* Opportunities to work in other schools.
* Trust INSET training and conference.
* Networking with other Trusts.
* Support for NQTs.

**Key to Scheme of Delegation Charts**

Key

Level 1: Members

Level 2: Board of Trustees of the Multi-Academy Trust

Level 3: Chief Executive Officer (CEO)

Level 4: Local Governing Body (LGB)

Level 5: Academy Headteacher

Blue box Function **cannot** be legally carried out at this level.

**✓** Action to be undertaken at this level

**✓** Action to be undertaken at this level

**A** Provide advice and support to those accountable for decision making

**<>** Direction of advice and support

**Appendix I: With Local Delegation**

| Area | Decision | | Delegation | | | | | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Members | | | Trust Board | | | CEO | | | LGB | | | Academy Headteacher |
| Governance framework | | | | | | | | | | | | | | | |
| **People** | | Members: Appoint/Remove | **✓** | | |  | | |  | | |  | | |  |
| Trustees: Appoint/Remove | **✓** | | |  | | |  | | |  | | |  |
| Role descriptions for members | **✓** | | |  | | |  | | |  | | |  |
| Role descriptions for Trustees/Chair/  specific roles/committee members: agree |  | | | **✓** | | | **<A** | | |  | | |  |
| Parent Trustee/committee member: elected |  | | | **✓** | | |  | | | **✓** | | |  |
| Committee chairs: appoint and remove |  | | | **✓** | | | **<A** | | |  | | |  |
| LGB chairs: appoint and remove |  | | | **✓** | | | **<A** | | | **✓** | | |  |
| Clerk to board: appoint and remove |  | | | **✓** | | |  | | |  | | |  |
| Appointment of the Responsible Officer Role and if necessary the Audit Cttee |  | | | **✓** | | |  | | |  | | |  |
| Clerk to LGB: appoint and remove |  | | |  | | |  | | | **✓** | | |  |
| **Systems and structures**  **Systems and structures** | | Articles of Association: agree and review | **✓** | | | **<A** | | | **<A** | | |  | | |  |
| Governance structure (committees) for the Trust: establish and review annually |  | | | **✓** | | | **<A** | | |  | | |  |
| Terms of reference for Trust committees (including audit if required, and scheme for school committees): agree annually |  | | | **✓** | | | **<A** | | |  | | |  |
| Terms of reference for LGB/local committees: agree and review annually |  | | | **✓** | | | **<A** | | |  | | |  |
| Skills audit: complete and recruit to fill gaps |  | | | **✓** | | | **<A>** | | | **✓** | | | **A** |
| Annual self-review of Trust Board and committee performance: complete annually |  | | | **✓** | | |  | | |  | | |  |
| Annual self-review of LGB performance: complete annually |  | | |  | | |  | | | **✓** | | |  |
| Chair’s performance: carry out 360 review periodically |  | | | **✓** | | |  | | | **✓** | | |  |
| Trustee / committee member contribution: review annually |  | | | **✓** | | |  | | | **✓** | | |  |
| Succession: plan |  | | | **✓** | | | **<A>** | | | **✓** | | | **A** |
| Annual schedule of business for Trust Board: agree |  | | | **✓** | | | **<A** | | |  | | |  |
| Annual schedule of business for LGB: agree |  | | |  | | | **A>** | | | **✓** | | | **A** |
| Reporting | | | | | | | | | | | | | | | |
| Reporting | Trust governance details on Trust and academies' websites: ensure | |  | | | **✓** | | | **<A** | | |  | | |  |
| Academy or School governance details on academy website: ensure | |  | | | **✓** | | | **<A** | | |  | | |  |
| Register of all interests, business, pecuniary, loyalty for members/Trustees/committee members: establish and publish | |  | | | **✓** | | | **<A** | | |  | | |  |
| Annual report on performance of the Trust: submit to members and publish | |  | | | **✓** | | | **<A** | | |  | | |  |
| Annual report and accounts including accounting policies, signed statement on regularity, propriety and compliance, incorporating governance statement demonstrating value for money: submit | |  | | | **✓** | | | **<A** | | |  | | |  |
| Annual report work of LGB: submit to Trust and publish | |  | | |  | | |  | | | **✓** | | | **A** |
| Being Strategic | | | | | | | | | | | | | | | |
| **Strategic Direction and Development** | Determine Trust wide policies which reflect the Trust's ethos and values (facilitating discussions with unions where appropriate) including: admissions; charging and remissions; complaints; expenses; health and safety, premises management; data protection and FOI; staffing policies including capability, discipline, conduct and grievance: approve | | |  | | | **✓** | | | **<A** | | |  | |  |
| Determine school level policies which reflect the school's ethos and values to include e.g. admissions; SEND; safeguarding and child protection; curriculum; behaviour: approve | | |  | | |  | | | **A>** | | | **A** | | **✓** |
| Central spend / top slice: agree | | |  | | | **✓** | | | **<A** | | |  | |  |
| Management of risk: establish register, review and monitor | | |  | | | **✓** | | | **<A>** | | | **✓** | | **A** |
| Engagement with stakeholders | | | **✓** | | | **✓** | | | **✓✓** | | | **✓** | | **✓** |
| Trust's vision and strategy, agreeing key priorities and key performance indicators (KPIs) against which progress towards achieving the vision can be measured: determine | | |  | | | **✓** | | | **<A** | | |  | |  |
| Schools’ vision and strategy, agreeing key priorities and key performance indicators (KPIs) against which progress towards achieving the vision can be measured: determine | | |  | | |  | | | **A>** | | | **A** | | **✓** |
| Chief executive officer: Appoint and dismiss | | |  | | | **✓** | | |  | | |  | |  |
| Academy Headteacher : Appoint and dismiss | | |  | | |  | | | **✓** | | |  | |  |
| Budget plan to support delivery of Trust key priorities: agree | | |  | | | **✓** | | | **<A** | | |  | |  |
| Budget plan to support delivery of school key priorities: agree | | |  | | |  | | | **A>** | | | **A** | | **✓** |
| Trust's staffing structure: agree | | |  | | | **✓** | | | **<A** | | |  | |  |
| School staffing structure: agree | | |  | | |  | | | **A>** | | | **A** | | **✓** |
| Holding to account | | | | | | | | | | | | | | | |
| **Holding to account** | Auditing and reporting arrangements for matters of compliance (eg safeguarding, H&S, employment): agree | | |  | | | **✓** | | | **<A>** | | | **✓** | | **A** |
| Reporting arrangements for progress on key priorities: agree | | |  | | | **✓** | | | **<A>** | | | **✓** | | **A** |
| Performance management of the Chief Executive Officer: undertake | | |  | | | **✓** | | |  | | |  | |  |
| Performance management of Academy Headteacher : undertake | | |  | | |  | | | **✓** | | | **A** | |  |
| Trustee monitoring: agree arrangements | | |  | | | **✓** | | | **<A** | | |  | |  |
| LGB member monitoring: agree arrangements | | |  | | |  | | |  | | | **✓** | | **A** |
| Ensuring financial probity | | | | | | | | | | | | | | | |
| **Ensuring financial probity** | Chief financial officer for delivery of Trusts detailed accounting processes: appoint | | | |  | | | **✓** | | | **<A** | | |  |  |
| Trust's scheme of financial delegation: establish and review | | | |  | | | **✓** | | | **<A** | | |  |  |
| School's scheme of financial delegation: establish and review | | | |  | | | **✓** | | | **<A** | | |  |  |
| External auditors' report: receive and respond | | | |  | | | **✓** | | | **<A** | | | **✓** | **A** |
| CEO pay award: agree | | | |  | | | **✓** | | |  | | |  |  |
| Academy principal pay award: agree | | | |  | | |  | | | **✓** | | | **A** |  |
| Staff appraisal procedure and pay progression: monitor and agree | | | |  | | | **✓** | | | **A>** | | | **A** | **✓** |
| Benchmarking and Trust wide value for money: ensure robustness | | | |  | | | **✓** | | | **<A** | | |  |  |
| Benchmarking and academy value for money: ensure robustness | | | |  | | |  | | |  | | | **✓** | **A** |
| Develop Trust wide procurement strategies and efficiency savings programme | | | |  | | |  | | | **✓** | | |  |  |

**Appendix II:**

**Without local delegation – Local Academy Council**

| Area | Function | With Restricted Delegation | | | | |
| --- | --- | --- | --- | --- | --- | --- |
| Members | Trust Board | CEO | Academy Headteacher | Local Academy Council |
| The governance framework | | | | | | |
| **People** | Members: Appoint/Remove | **✓** |  |  |  |  |
| Trustees: Appoint/Remove | **✓** |  |  |  |  |
| Role descriptions for members | **✓** |  |  |  |  |
| Role descriptions for Trustees/Chair/  specific roles/committee members: agree |  | **✓** |  |  |  |
| Parent Trustee/ Local Academy Council member: elected |  | **✓** |  |  | **✓** |
| Committee (including school committee) chairs: appoint and remove |  | **✓** |  |  |  |
| Local Academy Council chairs: appoint and remove |  | **✓** | **A** |  |  |
| Clerk to board: appoint and remove |  | **✓** |  |  |  |
| Clerk to school committees: appoint and remove |  | **✓** |  |  | **✓** |
| **Systems and structures** | Articles of Association: agree and review | **✓** | **A** | **A** |  |  |
| Governance structure (committees) for the Trust: establish and review annually |  | **✓** | **A** |  |  |
| Terms of reference for Trust committees (including audit if required, and Scheme of Delegation for school committees): agree and review annually |  | **✓** |  |  |  |
| Terms of reference for Local Academy Council: agree and review annually |  | **✓** |  |  |  |
| Skills audit: complete and recruit to fill gaps |  | **✓** | **<A>** |  | **✓** |
| Annual self review of Trust Board performance: complete annually |  | **✓** |  |  |  |
| Chair’s performance: carry out 360 review periodically |  | **✓** |  |  | **✓** |
| Trustee contribution: review annually |  | **✓** |  |  |  |
| Local Academy Council’s members' contribution: review annually |  |  | **A>** |  | **✓** |
| Succession: plan |  | **✓** | **A** |  |  |
| Annual schedule of business for Trust Board: agree |  | **✓** | **A** |  |  |
| Annual schedule of business for committees: agree |  | **✓** | **A** |  |  |
| Annual schedule of business for Local Academy CouncilLocal Academy Council: agree |  | **✓** | **A** |  |  |
| **Reporting** | Trust governance details on Trust and academies' websites: ensure |  | **✓** | **A** |  |  |
| Academy governance details on academy website: ensure |  |  | **✓** | **A** |  |
| Register of all interests, business, pecuniary, loyalty for members/Trustees/committee members: establish and publish |  | **✓** | **A** |  |  |
| Annual report on performance of the Trust: submit to members and publish |  | **✓** | **A** |  |  |
| Annual report and accounts including accounting policies, signed statement on regularity, propriety and compliance, incorporating governance statement demonstrating value for money: submit |  | **✓** |  |  |  |
| Annual report on work of Local Academy Council: submit to Trust and publish |  |  |  | **A** | **✓** |
| Being strategic | | | | | | |
| **Being strategic** | Determine Trust wide policies which reflect the Trust's ethos and values (facilitating discussions with unions where appropriate) including: admissions; charging and remissions; complaints; expenses; health and safety, premises management; data protection and FOI; staffing policies including capability, discipline, conduct and grievance: approve |  | **✓** | **A** |  |  |
| Determine school level policies which reflect the school's ethos and values to include e.g. admissions; SEND; safeguarding and child protection; curriculum; behaviour: approve |  |  |  | **✓** | **A** |
| Central spend / top slice: agree |  | **✓** | **A** |  |  |
| Management of risk: establish register, review and monitor |  | **✓** | **A** |  |  |
| Engagement with stakeholders | **✓** | **✓** | **✓** | **✓** | **✓** |
| Trust's vision and strategy, agreeing key priorities and key performance indicators (KPIs) against which progress towards achieving the vision can be measured: determine |  | **✓** | **A** |  |  |
| Schools’ vision and strategy, agreeing key priorities and key performance indicators (KPIs) against which progress towards achieving the vision can be measured: determine |  |  | **A>** | **✓** | **A** |
| Chief Executive Officer: Appoint and dismiss |  | **✓** |  |  |  |
| Academy Headteachers: Appoint and dismiss |  |  | **✓** |  |  |
| Budget plan to support delivery of Trust key priorities: agree |  | **✓** | **A** |  |  |
| Budget plan to support delivery of school key priorities: agree |  |  |  | **✓** | **A** |
| Trust's staffing structure: agree |  | **✓** | **A** |  |  |
| Academies' or Schools’ staffing structure: agree |  |  | **A>** | **✓** | **A** |
| Holding to account | | | | | | |
| **Holding to account** | Auditing and reporting arrangements for matters of compliance (e.g. safeguarding, H&S, employment): agree |  | **✓** | **A** |  |  |
| Reporting arrangements for progress on key priorities: agree |  | **✓** | **A** |  |  |
| Performance management of the Chief Executive Officer: undertake |  | **✓** |  |  |  |
| Performance management of academy principals: undertake |  |  | **✓** |  |  |
| Trustee monitoring: agree arrangements |  | **✓** | **A** |  |  |
| Local Academy Council member monitoring: agree arrangements |  |  |  | **A** | **✓** |
| Ensuring financial probity | | | | | | |
| **Ensuring financial probity** | Chief financial officer for delivery of Trust’s detailed accounting processes: appoint |  | **✓** | **A** |  |  |
| Trust's scheme of financial delegation: establish and review |  | **✓** | **A** |  |  |
| School's scheme of financial delegation: establish and review |  | **✓** | **A** |  |  |
| External auditors' report: receive and respond |  | **✓** | **A** |  |  |
| CEO pay award: agree |  | **✓** |  |  |  |
| Academy principal pay award: agree |  |  | **✓** |  |  |
| Staff appraisal procedure and pay progression: monitor and agree |  |  | **✓** |  |  |
| Benchmarking and Trust wide value for money: ensure robustness |  | **✓** | **A** |  |  |
| Benchmarking and academy value for money: ensure robustness |  |  | **A** |  |  |
| Develop Trust wide procurement strategies and efficiency savings programme |  |  | **✓** |  |  |

**Appendix III: Scheme of Financial Delegation**

**1. Powers and Duties Reserved for the Board of Trustees**

**General**

1.1 Approval of a written Scheme of Delegation of its financial powers and duties to its Finance Committee, the Chief Executive Officer, the Trust Director of Finance and Operations and other staff. The scheme must satisfy the Board of Trustees ultimate responsibility for ensuring that there are adequate operational controls in place for all the financial processes within the Trust. The Scheme of Delegation should be operated in conjunction with the Financial Regulations of the Trust.

**Budgets/Budgetary Control**

1.2 Formally approving the annual Trust budget.

1.3 Considering budgetary control reports from the Finance Committee at every meeting, with relevant explanations and documentation where required.

1.4 Authorisation of all virements in excess of £250,000 between budget headings. Details of all virements approved and authorised by the Finance Committee are to be formally notified to the Board of Trustees.

**Purchasing**

1.5 Maintenance of a Register of Business Interests for all Members, Trustees, Governors and Trust staff with financial responsibilities.

1.6 Authorisation of the award of tenders above £250,000.

Income

1.7 Authorisation of the write off of debts not collectable (the Secretary of State's prior approval is also required if debts to be written off are above the value set out in the annual funding letter).

**Security of Assets**

1.8 Authorisation of the disposal of individual items of equipment and materials that have become surplus to requirements, unusable or obsolete with an original purchase value in excess of £20,000.

**Accounts and Audit**

1.9 Approval of the audited financial statements.

1.10 Informing the EFA if it suspects any irregularity affecting resources.

**Scheme of Financial Delegation**

**2. Powers and Duties Reserved for the Finance, Operations and Audit Committee**

**General**

2.1 Exercising the powers and duties of the Board of Trustees in respect of the financial administration of the Trust, except for those items specifically reserved for the Board of Trustees and those delegated to the Chief Executive Officer, the Trust Director of Finance and Operations and other staff.

2.2 Reporting on decisions taken under delegated powers to the next meeting of the Board of Trustees.

**Budgets/Budgetary Control**

2.3 Reviewing the annual Trust budget and recommending its acceptance, or otherwise to the Board of Trustees.

2.4 Considering budgetary control reports on the Trust’s financial position at every meeting, taking appropriate action to contain expenditure within the budget and report to the Board of Trustees.

2.5 Reviewing the virement of sums between budget heads, subject to a limit of £75,000, as approved and authorised by the Chief Executive Officer and Trust Director of Finance and Operations, which are to be formally notified to the Finance, Operations and Audit Committee who shall minute the notification.

2.6 Approving virements between budget headings of up to £250,000.

2.7 Reporting to the Board of Trustees all significant financial matters and any actual or potential overspending.

**Purchasing**

**2.8 Authorising the award of orders and contracts over £75,000 and up to £250,000.**

**Security of Assets**

2.9 Authorising the disposal of individual items of equipment and materials that have become surplus to requirements, unusable or obsolete with an original purchase value of up to £20,000 and reporting such authorisations to the Board of Trustees.

**Accounts and Audit**

2.10 Appointment of external auditors.

2.11 Reviewing the draft financial statements and external audit reports and highlighting any significant issues to the Board of Trustees.

2.12 Receiving the reports of the auditor on the use of resources, systems of internal financial control, and discharge of financial responsibilities and highlighting any significant issues to the Board of Trustees.

2.13 Receiving quarterly reports from independent auditors on our internal controls.

2.14 Monitoring outcomes of the internal peer reviews that are undertaken on a termly basis.

**Scheme of Financial Delegation**

**3. Powers and Duties Reserved for the Chief Executive Officer /Executive Head**

The CEO has delegated powers and functions in respect of internal organisation, management and control of the Trust, the implementation of all policies approved by the Board of Trustees and for the direction of teaching and the curriculum. The CEO shall be responsible for:

**Budgets/Budgetary Control**

3.1 Reviewing income and expenditure reports and highlighting actual or potential overspending to the Finance, Operations and Audit Committee.

3.2 Approving virements between budget headings of up to £75,000 and reporting such approval to the Finance, Operations and Audit Committee.

**Financial Management**

3.3 Ensuring the arrangements for collection of income, ordering of goods and services, payments and security of assets are in accordance with the Financial Regulations.

**Purchasing**

3.4 Authorising all orders and contracts over £10,000 in conjunction with the Director of Finance and Operations.

3.5 Ensuring that all contracts and agreements conform to the Financial Regulations.

**Payroll and Personnel**

3.6 Approval/veto of proposals and authorisation of changes to the Trust’s establishment.

**Security of Assets**

3.7 Ensuring that there are annual independent checks of assets and the asset register.

3.8 Ensuring that proper security is maintained at all times for all buildings, furniture, equipment, vehicles, stocks, stores, cash, information and records etc. under his/her control.

**Accounts and Audit**

3.9 The operation of financial processes within the Academy, ensuring that adequate operational controls are in place and that the principles of internal control are maintained.

3.10 Ensuring ongoing in-year QA processes are in place via independent scrutiny and internal checks.

**Scheme of Financial Delegation**

**4. Powers and Duties Reserved for the Director of Finance and Operations**

The Director of Finance and Operations shall be responsible for the strategic financial planning in conjunction with the CEO/Executive Head, Headteachers relating to:

**Budgets/Budgetary Control**

4.1 Preparing an annual draft budget plan for consideration by the Finance, Operations and Audit Committee and Board of Trustees.

4.2 Monthly monitoring of expenditure and income against the approved budget and submitting reports on the Trusts financial position to every meeting of the Finance, Operations and Audit Committee. Any actual or potential overspending shall be reported to the Finance, Operations and Audit Committee.

4.3 Approving virements between budget headings up to a value of £75,000 and reporting such approval to the Finance, Operations and Audit Committee.

**Purchasing**

4.4 Ensuring that the individual academies are maintaining a register of formal contracts entered into, amounts paid and certificates of completion and are retaining the quotes obtained for goods, works and services. Whilst overall responsibility for this sits with the Director of Finance and Operations, maintenance of such records can be delegated to School Business Managers.

4.5 Ensuring that all correct invoices are duly certified by authorised staff before payments. Routine scrutiny can be delegated to Business Managers.

4.6 Ensuring the appropriate division of duties between staff responsible for processing orders, receiving deliveries and processing payments.

Payroll and Personnel

4.7 Authorising the monthly payroll.

4.8 With the CEO, jointly authorising any changes to the staff structures in the individual academies.

4.9 With the CEO, jointly authorising any posts advertised in any academy.

4.10 Authorising any changes in salary to existing staff after consultation with the CEO.

**Banking Arrangements**

4.11 Maintaining proper records of account and reviewing monthly bank reconciliations (this can be delegated to an Academy of School Business Manager).

**Accounts and Audit**

4.12 The operation of financial processes within the Trust, ensuring that adequate operational controls are in place and that the principles of internal control are maintained.

4.13 Ensuring that full, accurate and up to date records are maintained in order to provide financial and statistical information.

4.14 Ensuring that all records and documents are available for audit by the appointed external auditors.

**Insurances**

4.15 Ensuring that arrangements for insurance cover are in place and adequate.

4.16 Notifying the Finance, Operations and Audit Committee on any eventuality that could affect the Trust’s insurance arrangements

**Scheme of Financial Delegation**

**5. Powers and Duties Reserved for other staff**

Members of staff with delegated responsibilities should be aware that these must be exercised in accordance with Financial Regulations.

The following responsibilities are delegated to Academy Business Managers:

**General**

5.1 Ensuring that individual academies are maintaining a register of formal contracts entered into, amounts paid and certificates of completion; are retaining the quotes obtained for goods, works and services and full records of procurement decision processes.

5.2 Ensuring that all correct invoices are duly certified by authorised staff before payment and that payments to suppliers are made in line with contractually agreed terms.

5.3 Daily oversight of the appropriate division of duties between staff responsible for processing orders, receiving deliveries and processing payments.

**Purchasing**

The Individual Academy Headteachers and Delegated Budget Holders are responsible for:

5.4 Authorising orders provided they are within the scope and remaining balance of their delegated budget.

The Academy Business Managers are responsible for:

5.5 Maintaining a register of formal contracts entered into, amounts paid and certificates of completion.

5.6 Retention of quotes obtained for goods, works and services.

5.7 Ensuring that all correct invoices are duly certified by authorised staff before payments are made and that invoices, vouchers and other records are retained and stored in a secure way and are readily available for inspection by authorised persons.

5.8 Ensuring the appropriate division of duties between staff responsible for processing orders, receiving deliveries and processing payments.

**Payroll and Personnel**

5.9 In the Finance Directors’ absence, and by prior arrangement with the CEO, authorising the monthly payroll.

5.10 Maintaining proper records of account and reviewing monthly bank reconciliations.

**The following responsibilities are delegated to other staff in addition to the Trust Director of Finance and Operations and Business Managers:**

5.11 Running the monthly payroll.

5.12 Ensuring that the monthly payroll is checked, and ready for authorisation Budgets/Budgetary Control.

Individual Academy Headteachers are responsible for:

5.13 Checking and certifying monthly statements of expenditure against their delegated budget and for reporting any errors or irregularities to the Trust Finance Director. Any actual or potential overspending shall also be reported to the Trust Finance Director. Income

**The Academy Business Managers are responsible for:**

5.14 Ensuring that all income is accurately accounted for and is promptly collected and banked intact.

**Security of Assets**

**The Academy Business Managers are responsible for:**

5.15 Maintaining a permanent and continuous register of all items of furniture, equipment, vehicles and plant over £5,000.

**Information and Communication Systems**

**The Trust IT Director is responsible for:**

5.16 Maintaining the standards of control for such systems in operation within the Trust to include the use of properly licensed software, and for the security and privacy of data in accordance with the Data Protection Act.

|  |  |  |  |
| --- | --- | --- | --- |
| **Delegated Duty** | **Value** | **Delegated Authority** | **Method** |
| Ordering Goods and Services | Up to £5,000 | Budget Holder, Principal & either Business Manager or Trust Finance Director | Selection from preferred supplier list unless agreed otherwise with Finance Manager |
|  | £5,001 to £10,000 | Budget Holder, Principal & Trust Director of Finance and Operations | Minimum of 3 quotes |
|  | £10,001 to £75,000 | As above plus Chief Executive Officer | Minimum of 3 quotes |
|  | £75,001 to £250,000 | As above plus Finance, Operations and Audit Committee | Formal Tendering Process, OJEU where appropriate |
|  | Over £250,000 | As above plus Board of Directors | As above |
|  | Authority to accept other than lowest quotation or tender | Chief Executive Officer |  |
| Signatories for cheques, BACS payment authorisations and other bank transfers | Any | Two signatories from:  - Business Manager  - Trust Director of Finance and Operations  - Chief Executive Officer  Only one Business Manager per transaction |  |
| Signatories for EFA grant claims and EFA returns | Any | Two signatories from:  - Business Manager  - Trust Finance Director  - Chief Executive Officer |  |
| Virement of budget provision between budget heads | Up to £75,000 | Trust Director of Finance and Operations & Chief Executive Officer reporting to the Finance, Operations and Audit Committee |  |
|  | Over £75,000 | Board of Directors |  |
| Disposal of Assets | Up to £20,000 | Chief Executive Officer |  |
|  | Over £20,000 | As above plus Board of Directors & EFA approval |  |
| Write-off of bad debts | Up to £10,000 | Chief Executive Officer |  |
|  | Over £10,000 | Board of Directors & EFA approval |  |
| Purchase or sale of any freehold property |  | EFA approval |  |
| Granting or take up of any leasehold or tenancy agreement exceeding three years |  | EFA approval |  |
| Raising Invoices to collect income |  | Academy Business Managers |  |