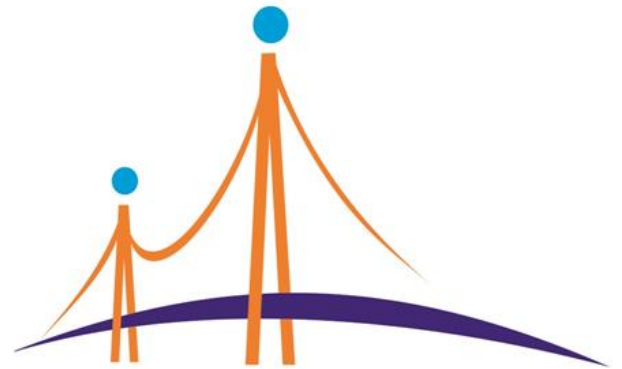




North Carr

Collaborative Academy Trust

'Achieving more together'



HumberEducationTrust

Scheme of Delegation

Version 1: 1st October 2017

Version 2: 5th December 2018

Version 3: 10th December 2019

Where everybody counts, every moment matters.

Introduction

The Board of Trustees of Humber Education Trust and North Carr Collaborative Academy Trust are responsible under the Trust's Articles of Association for controlling its management and administration. It has responsibility for directing its affairs, and for ensuring that it is solvent, well-run, and delivers the Trust's charitable objects for the benefit of the public.

Many of the Board of Trustees responsibilities can be delegated to committees, Local Governing Bodies or individuals and this document details the delegations that have been approved.

The levels of delegation are as follows:

- Board of Trustees
- Committees of the Board of Trustees
- Local Governing Bodies
- CEO
- Headteachers and Principals

Where responsibility is delegated to the Headteacher / Principal it is anticipated that he/she will delegate further within the individual schools but the responsibility for these tasks ultimately lies with the Headteacher / Principal.

Whilst some of the responsibilities designated to the CEO/AO may be delegated or undertaken by others there are also some specific delegations for the CEO/AO alone.

The majority of delegations in the document are in relation to the financial affairs of the Trust and this document should be used in conjunction with the Financial Regulations of the Trust, Financial Procedures of the individual academies and the Academies Financial Handbook.

Other delegations include:

- Strategy & Leadership
- HR
- Education
- Asset Management
- Estates

This document should be read in line with the approved signatory lists.

For the purposes of this Scheme of Delegation a supported academy is one that is judged by the Trust to be a band D or E school in line with the Trust Banding and School Improvement Model document.

This document is intended to ensure consistency across the Trust and to demonstrate transparency and promote integrity. As far as possible all academies will have the same levels of decision making, though supported academies will, in some instances, be required to 'defer to the CEO'.

Ethos and Trust Commitment

We will:

- ▶ Put children's education first
- ▶ Value the contribution that parents make in the education of their children
- ▶ Work ethically and with mutual respect and collaboration.
- ▶ Provide a welcoming, caring and safe environment where responsible, tolerant and principled global citizens can grow.
- ▶ Develop creative, enquiring and resilient learners with a thirst for knowledge.
- ▶ Promote success and celebrate effort.
- ▶ Provide a vibrant, challenging and enriching curriculum by encouraging fresh thoughts and outward-looking ideas.
- ▶ Be committed to raising standards for all
- ▶ Ensure that all staff have outstanding continual professional development and feel appreciated and supported.

- ▶ Embrace technology, to reflect the changing needs of our world.
- ▶ Play our part in this strong community and provide support for all the families within it.
- ▶ Recognise the diverse needs of our community, to ensure that students from all backgrounds thrive.
- ▶ Drive financial efficiencies, seek best value and save money in order to reinvest in the classroom.
- ▶ Be committed to 'system leadership' and having a positive impact on the lives and life chances of children within and beyond our schools.

Each academy will have its own unique vision which the Local Governing Body will implement.

Academies within HET and NCCAT will work with each other in a co-operative and supportive manner; sharing expertise and specialisms. Academies within HET and NCCAT will engage with other local schools and partners in order to ensure the best possible provision for children and families within a community.

Conflicts

In the event of any conflict between any provision of this Scheme of Delegation and the Articles, the Articles shall prevail.

Annual review

The Scheme of Delegation shall operate from the Effective Date and shall in respect of each Academy.

The Trustees will have absolute discretion to review this Scheme of Delegation at least on an annual basis and to alter any provision of it. In considering any material changes to this Scheme of Delegation or any framework on which it is based, the Trustees will have regard to and give due consideration of any views of the Local Governing Bodies.

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Strategy and Leadership							
1		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
1.1	Set strategic objectives of the Trust and academies		✓			✓	
1.2	Deliver strategic objectives of the Trust and academies		✓	✓	✓	✓	
1.3	Agree Trust Strategic and Operational Plan, including growth model		✓				
1.4	Scrutiny – review and challenge progress of the Trust against its strategic objectives		✓			✓	
1.5	Ensure compliance with all regulations and obligations under the Funding Agreement, Academies Financial Handbook, charity, company and education law, including statutory publication of documents on the website		✓	✓	✓	✓	
1.6	Compliance – Financial Oversight – ensuring that there are appropriate financial controls so that there is regularity, probity and value for money in relation to the management of public funds.		✓			✓	
1.7	Appointment and removal of Trustees and members of Trust Board Audit Committee - ensuring that they have the necessary skills to fulfill their role, including access to relevant training	✓					CEO to link with governor clerking service to ensure adequate training is on offer
1.8	Appointment and removal of local governors – ensuring they have the necessary skills to fulfil their role, including access to relevant training		✓				LGB recommend new governors for approval CEO to link with governor clerking service to ensure adequate training is on offer
1.9	Appointment of Clerk – Board and LGBs		✓				
1.10	Agree terms of reference for LGBs and Committees that exist following preparation by CEO/AO		✓				
1.11	Review and agree Scheme of Delegation annually		✓				
1.12	Approve the ‘band’ of each school annually and decide on supported / non-supported status.		✓			✓	CEO and central team to prepare evidence and report on ongoing basis
1.13	Ensure appropriate due diligence is conducted for any school joining the trust		✓			✓	CEO to prepare. Trust board to approve.
1.14	Hold a meeting of the LGB at least once per term			✓			
Financial management / reporting requirements							
2		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
2.1	Ensure Trust’s continuing compliance with all ESFA/DfE financial management requirements		✓			✓	
2.2	Approval of the Trust’s Financial Regulations/Procedures Manual and all financial policies		✓				
2.3	To consider all relevant financial updates issued from the DfE/ESFA and advise the Trust Board of any issues affecting the Trust financial administration. Ensure all of this relevant information is brought to the attention of necessary staff.					✓	Advised by CFO

2.4	Review the Financial Management Software for suitability as the Trust changes over time and ensure it remains suitable. Make recommendations to TB if considered no longer fit for purpose.					✓	Advised by CFO
2.6	Maintenance of a Register of Business Interests for all Directors and Governors and senior staff involved in decision making of the awarding of contracts etc. Put in place a procedure to deal with any conflicts of interest.		✓	✓	✓		Written and maintained by clerking team
2.7	Update income and expenditure lines on the latest working budget for necessary/planned/proposed changes to expected spend/income, prior to LGB recommendation and Trust Approval of the Budget. Reported to Principals/CEO/AO.				✓		Undertaken by SBM
2.8	Delegated authority for the CEO/AO to make decisions on behalf of the trust and to sign off on payments over £40k / £25K with procurement procedures (this excludes all routine budgeted costs ie salaries) HET has £25K - £50K for CEO to sign off.		✓			✓	In cases of time restraint / emergency in absence of LGB / Trustees and at discretion of CEO
2.9	Prepare the annual report including commentary and ensure its adherence to the ESFA Academies Accounts Direction					✓	CFO with input from CEO Delegated to external auditors for preparation
2.10	Receive Accounting Officer reports and report action points and academy response to TB		✓				Audit Committee
3	Month end accounts						
		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
3.1	Receive and review academy monthly management accounts compiling of income and expenditure account, balance sheet and termly, aged debtors/creditor, VAT, petty cash, correlation between planning tool and finance package		✓			✓	CFO to advise
3.2	Provide satisfactory reasons for variances and challenge any issues that may be a cause for concern			✓	✓	✓	
3.3	Receive and review termly management accounts		✓				Finance & Resources Committee
4	Year end accounts						
		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
4.1	Review of year-end figures from individual academies for inclusion in year-end consolidated year end accounts			✓	✓	✓	CFO
4.2	Prepare the annual accounts return including commentary and ensure its adherence to the ESFA					✓	CFO with input from SBMs
4.3	Approval of year end consolidated statutory accounts		✓				
4.4	Preparation of year end consolidated statutory accounts (with CFO / Accountants)					✓	Delegated to external auditors for preparation

5								Audit process							
		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes								
5.1	Appoint External and Internal Auditors	✓	✓				External auditor – Members Internal auditor - Trustees								
5.2	Prepare for annual audit and pension audit and ensure all working papers and supporting documentation is readily available				✓	✓	CFO and SBMs								
5.3	Receive External Audit Management Letter and findings report		✓												
5.4	Receive Internal Audit Service reports and report action points and academy response to Accounting Officer / Trust Board		✓	✓	✓	✓									
5.5	Ensure all points raised from Annual Audit Management Report are actioned		✓			✓	CFO								
5.6	Investigate financial irregularities and report to the TB					✓									
5.7	Investigate financial irregularities at TB level					✓	Defer to auditors								
5.8	Appoint an Accounting Officer		✓												
6								Financial planning							
		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes								
6.1	Review the individual academy's annual budget, ensuring that assumptions made are clear		✓	✓	✓	✓	Includes CFO and SBMs								
6.2	Approve individual academy budgets		✓				Finance Committee								
6.3	Preparation and review of the consolidated annual budget					✓	CFO								
6.4	Approve the consolidated annual budget		✓												
6.5	Propose the School Support Charge from Trust to the individual academies					✓									
6.6	Approve the School Support Charge from Trust to the individual academies		✓												
6.7	Propose recharge costs from central pooled budget					✓									
6.8	Agree recharge costs from central pooled budget		✓												
6.9	Monitor and control expenditure against budget during the financial year		✓ (via Finance Committee)	✓ (for own academy)	✓	✓	For supported academy in association with the Trust Audit Committee								
6.10	Review budget monitoring reports and projected out turn position from each individual academy and challenge any areas of concern			✓ (for own academy)	✓	✓	For supported academy in association with the Trust Audit Committee								
6.11	Approval of Special Payments, per ESFA 3.7, including staff severance and compensation payments,		✓												
7								Approval of orders and expenditure							
		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes								
7.1	Make payments / agree contracts or virements: Up to £15k				✓		Head of School limit £3K								
7.2	*£15,001 - £25k			✓*		✓	*Supported academy to defer to CEO/CFO								

7.3	£25K - £50K			✓		✓	CEO to give approval as part of LGB agreement
7.3	Over £50k		✓				In consultation with CEO (Procurement / tendering process involves CFO) LGB to be made aware and recommend. (Procurement / tendering process involves CFO)
8	Provision of goods and services						
		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
8.1	Approve procurement procedures via HET Financial Regulations		✓				Recommended by CFO
8.2	Ensure compliance with the financial and procurement procedures at an individual academy level			✓	✓	✓	Monitored by CFO
8.3	Review contracts on an ongoing basis (and as part of ensuring the Trust/academies continues to achieve "best value")		✓			✓	CFO in consultation with CEO
8.4	Approval of novel or contentious transactions – which must always be referred to the ESFA for prior authorisation.		✓				
9	Receipts of gifts, hospitality and expenses						
		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
9.1	Authorisation of expenses for Principal or equivalent					✓	Chair of Trust Board authorises for CEO
9.2	Authorisation of expenses for all other staff				✓		In line with policy
9.3	Maintain a Register of gifts and hospitality received above £20 by all areas across the Academy Trust				✓		SBM
9.4	Approve a scheme for paying Governors' allowances		✓				
10	VAT						
		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
10.1	Monitor the regulations on VAT ensuring compliance by the Trust					✓	CFO
10.2	Complete and submit the reimbursement claim for VAT on a monthly basis					✓	CFO
10.3	Distribute the reimbursements back to the academies from the Trusts main bank account					✓	CFO
11	Insurance						
		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
11.1	Ensure the arrangements for insurance cover are adequate and in place		✓			✓	CFO
11.2	Appoint insurance brokers to undertake risk management for insurance purposes for the Trust		✓			✓	CFO

Income							
12		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
12.1	Review and approve a Charging and Remissions policy for the Trust for the academies		✓	✓	✓	✓	Trustees role relates to Trust charges only Each academy has policy
12.2	Set suitable controls for recording and collection of monies due and for the movement of banking monies for all accounts under the control of the Trust		✓		✓	✓	
12.3	Write off Bad debts in line with the regulations set by the Academies Financial Handbook		Over £500	Up to £500 in own academy	✓		Supported academy defer to CEO/CFO
12.4	Ensuring all grants due to the academy are collected promptly				✓		SBM
12.5	Be the signatory to all grant claims				✓	✓	
12.6	Ensuring all money due to the Trust is collected promptly				✓	✓	CFO
12.7	Ensuring all other income due to the academy/Trust is collected and banked promptly				✓	✓	CFO
Bank Accounts							
13		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
13.1	Opening of bank accounts for all parts of the Trust with 2 of 4 signatories for all accounts		✓			✓	CEO must be informed
13.2	Authorised to be a bank signatory on the accounts				✓	✓	2 to sign from authorised SLT members
13.3	Approve bank reconciliations on monthly basis				✓	✓	SBM /CFO
13.4	Approve BACS payments and other bank transfers (SBM)				✓		In an emergency CEO/AO to authorise. 2 to sign as 13.2
Petty Cash							
14		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
14.1	Agree amount of Petty cash to be held at each school				✓		As per Financial Regulations CFO to advise
14.2	Maintenance of accounting records, security and regular reconciliation of petty cash				✓	✓	SBM
Assets							
15		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
15.1	Approval of capitalisation limits and depreciation policy for the Trust		✓				CEO/CFO to recommend
15.2	Ensure all assets purchased are recorded on a Fixed Asset Register, marked as Trust property and existence confirmed on an annual basis.				✓	✓	
15.3	Ensure all instances of loss/theft are notified to the CEO/AO to ensure compliance with the Academies Financial Handbook reporting requirements.		✓	✓	✓	✓	
15.4	Ensure disposals of assets are in line with the Academies Financial Handbook				✓	✓	

15.5	Disposal of land and buildings		✓				Only with ESFA approval
15.6	Produce, maintain and approve individual academy risk registers and report to LGB at each meeting		✓		✓	✓	Delegated to Audit Committee Approval from Trust Board
16	Estates						
		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
16.1	Responsible for the maintenance and upkeep of the academy properties		✓	✓	✓		
16.2	Ensure building and grounds remain Health & Safety compliant, reporting any issues to the CEO			✓	✓		CFO and H&S Excellence Officer
16.3	Ensure any third-party usage on site has appropriate insurance and first aid cover				✓		SBM
16.4	Security of academy site			✓	✓		
16.5	Implement Trust wide health and safety policy				✓	✓	SBM/CFO
16.6	Monitor and evaluate the implementation of the Health and Safety policy			✓		✓	SBM/CFO Termly report to each LGB
17	Human Resources						
		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
17.1	Establish and consistently apply all Trust wide HR policies in accordance with all appropriate regulations and with scheme of delegation for policies (Appendix 1)		✓		✓	✓	Advised by HR provider Follow agreed Recruitment Protocols Supported academy defer to CEO
17.2	Consult with Trade Unions when needed					✓	Supported by HR provider
17.3	Agree changes to template contracts of employment		✓				With CEO/AO and Principal/HT recommendations on advice of HR provider
17.4	CEO and senior Central Team Posts – TrB HT / Principals – TrB & CEO with LGB Senior Leadership Team Staff – LGB and School Improvement Team Junior central team posts – CEO or CFO		✓	✓		✓	On advice of HR provider and compliant with agreed procedures and protocols. Supported academy defer to CEO
17.5	Review of Trust staffing levels/structure annually		✓			✓	
17.6	Approval of appointment of centralised Trust staff		✓				
17.7	Approval of staff structure of each academy			✓			Supported academy defer to CEO
17.8	Appointment of staff into new roles within the academy (outside of agreed structure)		✓				CEO to advise
17.9	Appointment of staff into a vacancy of an existing post (where delegation has previously been given to the Principal/HT)				✓		Supported academy defer to CEO for teaching / leadership staff
17.10	Move staff within and beyond Trust to meet needs of Trust					✓	In consultation with each Principal and member of staff concerned
17.11	Authorisation of leave of absence				✓		CEO / Chair of LGB authorise for Principal/HT
17.12	Conduct appraisals of Principals and central team leadership staff			✓		✓	CEO and Chair of LGB CEO for central team staff
17.13	Conduct appraisal of CEO if not employed within an academy		✓				Chair of Trust Board and external adviser

17.14	Conduct appraisals of Associate, Vice Principals or equivalent				✓		Anonymised objectives and recommended outcomes for staff to be sent to CEO prior to LGB ratification so equity across the trust is maintained
17.15	Conduct appraisals of all other staff				✓		
17.16	Suspend the Principal/HT or CEO			✓		✓	
17.17	Suspend other staff				✓		Supported academy defer to CEO
17.18	End the suspension of the Principal/HT or CEO		✓				
17.19	End the suspension of other staff				✓		
17.20	Dismissal of HT / Principal / CEO / senior central staff.		✓				Following HR procedures and protocols CEO consulted
17.21	Dismissal of staff member below HT / Principal			✓	✓		Following HR procedures and protocols CEO consulted Supported academy defer to CEO
17.22	Agreement of severance / compromise payments for any amount and any level of staff (Not redundancy)		✓				Advised by CEO and HR Delegated to Chair of TrB as executive decision.
17.23	Dismissal of member of staff on probation period				✓		
17.24	Dismissal of member of staff on grounds of capability		Report to	✓			Supported academy to defer to CEO
17.25	Appointment of a payroll provider for the Trust		✓				Advised by CFO
17.26	Approval of pay rises and promotions within an individual academy for teaching/non-teaching staff (see above re appraisal)		✓	✓	✓		Refer to recruitment protocols Follow HR policies – consistency across MAT
17.27	Awarding pay rise for staff on leadership contracts (agreed by Pay Committee and reported to Board)			✓			CEO support for appraisal of Principals as above Other decisions CEO will liaise with TB
17.28	Authorisation of monthly pay schedules for individual schools				✓		CEO/AO should need arise in absence of Principal
Education							
18		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
18.1	Agree times of the school day and term dates		✓	✓		✓	School day – LGB Term dates - TrB
18.2	Establish company- wide code of conduct for staff		✓				Recommendation from CEO in consultation with Principals/HTs
18.3	Ensure the Trust's academies strive to achieve at least good outcomes and progress for all children and young people including the setting and monitoring of challenging targets at individual and cohort level			✓	✓	✓	Monitored by CEO and School Improvement Team.
18.4	Ensure the Trust and academies have all relevant statutory education and wider policies in place – see Appendix 1 Scheme of Delegation for Policies		✓	✓	✓	✓	See Appendix 1
18.5	Make sure all children and young people are safeguarded across the Trust and academy		✓	✓	✓		Audit Committee monitors impact
18.6	Approve a Trust wide School Improvement Strategy for inclusion within the Trust Improvement Plan		✓				CEO to develop
18.7	Assess whether an academy requires support in one or more areas					✓	Report to Trust Board
18.8	Provide an effective School Improvement Plan for each academy in an agreed format				✓		Supported by CEO

18.9	Approval of academy School Improvement Plan			✓		✓	
18.10	Monitoring the impact and progress against each academy Improvement Plan			✓	✓	✓	
18.11	Provide as required accurate reports on performance and progress in each academy to Trust Board				✓	✓	
18.12	Provide as required an effective and accurate self-evaluation on individual academy performance and progress				✓	✓	Via CEO Report to Trust Board
18.13	Agree an appropriate curriculum for each academy within the Trust including the development of cross-Trust non-negotiable elements of the curriculum		Report to	✓	✓	✓	Mainstream academies to adopt NC and Locally Agreed Syllabus for RE
18.14	Monitor and evaluate implementation of the curriculum within each academy – ensuring compliance, coverage and impact			✓	✓	✓	
18.15	Effectively manage resources and capacity from across the Trust to bring about sustained improvement in academies					✓	
18.16	Ensure the academy is appropriately prepared for Ofsted inspection				✓	✓	
18.17	Pupil Premium – review and challenge the value for money/return on investment of the Pupil Premium in terms of educational outcomes and narrowing the achievement gap.			✓	✓	✓	
18.18	Sports Premium Funding - review and challenge the value for money/return on investment of the Sports Premium in terms of quality of teaching and outcomes in physical education and access to out of school activities			✓	✓	✓	
19	Behaviour, Inclusion, Admissions & Attendance						
		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
19.1	Monitor and challenge pupil attendance on an ongoing basis and provide regular updates			✓	✓	✓	CEO/AO to report Trust Wide
19.2	Establish and keep under review academy Behaviour Policy for pupils, monitoring the impact			✓	✓		CEO to review for supported academies
19.3	Implement academy Behaviour Policy for pupils				✓		
19.4	Fixed term or permanently exclude a pupil				✓		CEO must be informed in all cases Supported academy to defer to CEO for PEX prior to decision
19.5	Review the decision to permanently exclude a pupil			✓			
19.6	Direct reinstatement of a pupil			✓			
19.7	Approve trust wide Admissions Policy including individual academy PANs		✓				
19.8	Implement Admissions Policy			✓	✓		Prepared by CEO
19.9	Implement academy FS1 Admissions Policy			✓	✓		
19.10	SEN Admissions liaison with LA			✓	✓		
20	Media, marketing, PR and Communication						
		Members	Trust Board	LGB	Principal / HT	CEO/AO	Comments / Notes
19.1	Ensure that any branding guidelines, including updates are adhered to				✓	✓	

19.2	Ensure public relations activities promote a corporate image and positively project the activities of individual academies and the Trust as a whole to the wider community				✓	✓	
19.3	Ensure each academy's website meets the requirements of ESFA, OfSTED and the Articles of Association				✓		Termly audit and report by Principal to LGB
19.4	Maintain high levels of communication with all stakeholders and the wider community making effective use of a range of media				✓		

Adopted by HET Trust Board: 10th December 2019

Chair HET Trust Board

Next Review Date: Autumn 2020

