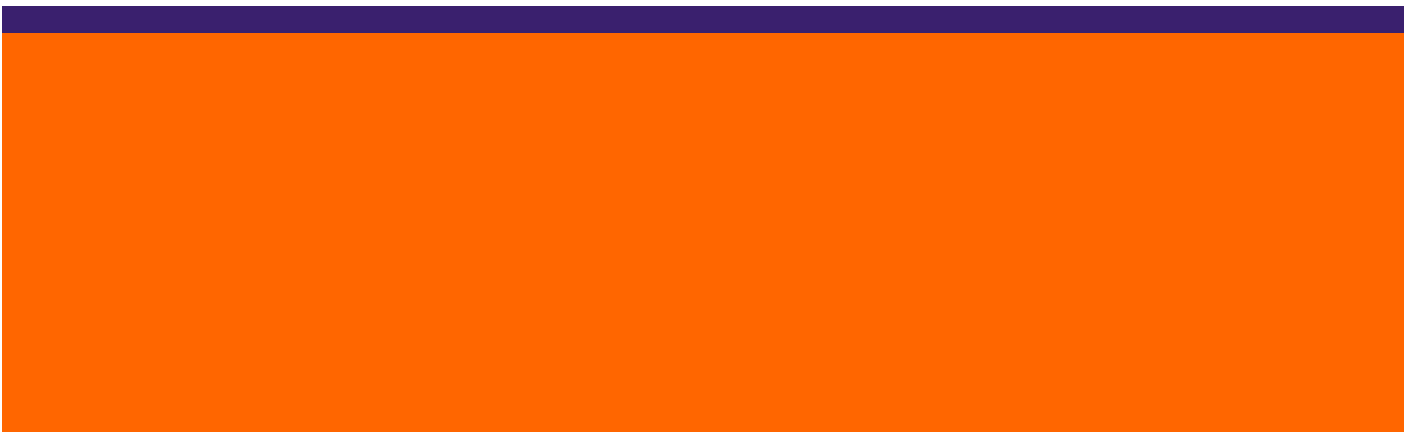


HumberEducationTrust

Scheme of Delegation

VERSION 1: 1 OCTOBER 2017

VERSION 2: 5 DECEMBER 2018



Humber Academy Trust - Scheme of Delegation (FINAL, 1.1 - October 2017, updates as per front cover)

Effective date: 1.10.17

1. Introduction

- 1.1. This Scheme of Delegation applies to all academies run by the Company.
- 1.2. The Trustees are accountable to external government agencies including the Charity Commission and the Department for Education (including any successor bodies) for the quality of education they provide and they are required to have systems in place through which they can assure themselves of quality, safety and good practice. Under the Trust's Articles of Association the Trustees control the management and administration. It has responsibility for directing its affairs, and for ensuring that it is solvent, well-run, and delivering the Trust's charitable objects for the benefit of the public.
- 1.3. In order to discharge these responsibilities, the Trustees appoint people who are more locally based to serve on committees (the "Local Governing Bodies") which are established to ensure the good governance of the individual academies. The Local Governing Bodies are committees established by the Trustees and are at all times subject to any directions the Trustees may give.
- 1.4. This Scheme of Delegation explains the ways in which the Trustees fulfill their responsibilities for the leadership and management of the academies, the respective roles and responsibilities of the Trustees, Governors of the Local Governing Bodies and the CEO/Headteacher/Head of School and the commitment to each other to ensure the success of each academy.
- 1.5. It is intended that a Local Governing Body shall be established for each Academy. For the avoidance of doubt a Local Governing Body may be delegated responsibility for more than one academy.
- 1.6. The levels of delegation are as follows:
 - Board of Trustees (including any sub committees)
 - Local Governing Bodies
 - CEO
 - Headteacher
- 1.7. Certain decisions and actions in respect of the Company and the academies are reserved to the Trustees. In general terms responsibility for the strategy, management and operations for each academy will be delegated to a Local Governing Body.
- 1.8. For the avoidance of doubt 'unsupported academies' are generally those schools within the Trust who are Ofsted Good and/or Outstanding. 'Supported academies' are those within the Trust which are Ofsted Requires Improvement or Inadequate. It should be noted however that for all schools, the Board of Trustees will annually risk assess each school and determine whether the category of supported or unsupported needs to change. This decision will be made based on all of the evidence available to the board and will be based on educational standards and performance, the quality and strength of leadership and management and the financial performance of the individual school. The Board of Trustees will decide on the supported status of all schools and will communicate this to schools on an annual basis.
- 1.9. This Scheme of Delegation has been put in place by the Trustees from the effective date in accordance with the provisions of the Company's Articles of Association (the "Articles") and it should be read in conjunction with those Articles. References in this Scheme to numbered Articles are to the relevant clause of the Articles.

1.10. 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 and Leadership
- HR/Staffing
- Education
- Asset Management
- Estates

2. Ethos and Trust Commitment

Vision - Everyone within the Trust should feel able to unlock their own power and potential.

Aims - To create excellent opportunities for children and for generations to come. To play our part in helping all students to contribute to making the world a better place.

As a Trust Humber Education Trust will:

- ▶ Work ethically and with mutual respect and collaboration.
 - ▶ Provide a 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.
 - ▶ 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.
- 2.1. Each academy will have its own mission/vision which the Local Governing Body will implement.
- 2.2. Academies within the Company will work with each other in a co-operative and supportive manner; sharing expertise and specialisms. Academies within the Company will engage with other local schools and partners in order to ensure the best possible provision for children and families within a community.

3. Conflicts

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

4. Annual review

- 4.1. The Scheme of Delegation shall operate from the Effective Date and shall in respect of each Academy.
- 4.2. 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.
- 4.3. 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.

Key:

TR = Trustees GB / LGB = Local Governing Body HT = Headteacher
CEO = Chief Executive Officer TR / BoT = Board of Trustees

Annex A: Summary of delegated decision making authorities

Area	Ref	Decision-making authority/ Responsibility	Non-Supported Academies			Supported Academies			CEO
			TR	GB	HT	TR	GB	HT	
Finance	1.1	Recommend individual academy budget plan for approval to the Board		*					
	1.2	Approve individual and consolidated budgets by 30.6 each year	*						
	1.3	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	*	*	*				
	1.4	Receive and review Trust consolidated termly management accounts compiling Income and Expenditure account, Balance sheet, correlation between planning tool and finance package	*						
	1.5	Investigate financial irregularities and report to the Board		*					
	1.6	Agree contracts, any new bank accounts and make payments Trust wide or not relating to an academy	*						
	1.7	Make payments / agree contracts or virements - Up to £25k spend in an academy (A) (3 quotes) - £25-50k (B) (3 quotes) - £50k+ (C) (procurement involves CFO / tendering)	C		A				B Academy purchases over £25K agreed by CFO
	1.8	Approve charging & remissions policy in school		*					
	1.9	Approve charging policy Trust level (if applicable)	*						
	1.10a	a) Review scheme of delegation annually	*	*					
1.10b	b) Agree Scheme of Delegation annually	*							

Area	Ref	Decision-making authority/ Responsibility	Non-Supported Academies			Supported Academies			CEO
			TR	GB	HT	TR	GB	HT	
	1.11	Appoint an Accounting Officer for the Trust	*						
	1.12	Ensure Pupil Premium funding and sport premium is used to raise achievement of dis-advantaged pupils	*	*	*				
	1.13	Approval of the trust's Financial Regulations/Procedures Manual and all financial policies	*						
	1.14	Negotiate and agree special schools commissioning agreements with LA			*				
	1.15	Review the Financial Management Software for suitability as the Trust changes over time and ensure it remains suitable. Make recommendations to BoT if considered no longer fit for purpose.	*	*	*				*
	1.16	Review of year end outturn figures from individual academies for inclusion in year-end consolidated year end accounts		*					
	1.17	Prepare the annual report including commentary and ensure its adherence to the EFA Academies Accounts Direction (with Trust CFO)							*
	1.18	Preparation of year end consolidated statutory accounts (with Trust CFO)							*
	1.19	Approval of year end consolidated statutory accounts	*						
	1.20	Prepare for annual audit and pension audits and ensure all working papers and supporting documentation is readily available (with Trust CFO)			*				*
	1.21	Recommend the appointment of External and Internal Auditors							*
	1.22	Appoint External and Internal Auditors	*						
	1.23	Receive internal audit reports and report action points and academy response to Accounting Officer / BoT	*	*	*				
	1.24	Receive External Audit Management Letter and findings report	*						

Area	Ref	Decision-making authority/ Responsibility	Non-Supported Academies			Supported Academies			CEO
			TR	GB	HT	TR	GB	HT	
	1.25	Ensure all points raised from Annual Audit Management Report are actioned	*	*	*				
	1.26a	Approve any central school support charge	*						
	1.26b	Report annually to GB's against the central support charge impact on individual schools	*						
	1.27	Approve Corporate finance policies	*						
	1.28	Monitor purchasing regulations to ensure compliance by academies		*	*				
	1.29	Ensure all academy contracts and SLAs are reviewed collectively and where appropriate make recommendations for Best Value (in line with Trust policy) to the LGB or BoT (dependent on value)	*	*	*				
	1.30	Ensure the arrangements for insurance cover are adequate and in place	*						
	1.31	Undertake an assessment for risk management for insurance purposes for the Trust		*	*				
Assets	2.1	Approval of capitalisation limits and depreciation policy for the Trust	*						
	2.2	Ensure all assets purchased are recorded on a Fixed Asset Register, marked as Trust property and existence confirmed on an annual basis.			*				
	2.3	Ensure all instances of loss/theft are notified to the Trust CEO to ensure compliance with the Academies Financial Handbook reporting requirements.			*				
	2.4	Ensure disposals of assets are in line with the Fixed Asset Management Policy		*	*				
	2.5	Disposal of land and buildings	*						
	2.6	Produce and maintain individual academy risk registers and report to LGB at each meeting			*				

Area	Ref	Decision-making authority/ Responsibility	Non-Supported Academies			Supported Academies			CEO
			TR	GB	HT	TR	GB	HT	
	2.7	Review and agree any PFI changes/additions to contracts for new or existing schools	*						
	2.8	Maintain a Corporate Risk Register, reporting all high risks regularly to BoT and action taken			*				*
Estates	3.1	Responsible for the maintenance and upkeep of the academy properties		*	*				
	3.2	Ensure building and grounds remain Health & Safety compliant, reporting any issues to the CEO	*	*	*				*
	3.3	Ensure any third party usage on site has appropriate insurance and first aid cover			*				
	3.4	Security of academy site			*				
	3.5	Prepare and implement Health and Safety Policy			*				
	3.6	Monitor and evaluate the implementation of the Health and Safety Policy		*					
Staffing	4.1	Determine and approve staffing structure school level		*	*				
	4.2	Determine staffing structure trust level	*						
	4.3a	Determine redundancy payments and agree early retirements		*					
	4.3b	Determine / Agree severance/compensation and ex-gratia payments	*						*
	4.4	Determine all HR/personnel policies	*						
	4.5	Agree general employment terms and conditions (not an individual's pay/package) for staff	*						
	4.6a	Appoint the CEO	*						

Area	Ref	Decision-making authority/ Responsibility	Non-Supported Academies			Supported Academies			CEO
			TR	GB	HT	TR	GB	HT	
	4.6b	Appoint Headteacher	*						*
	4.7	Appoint leadership staff		*	*				
	4.8	Appoint teaching staff		*	*				
	4.9	Award TLR points		*	*				
	4.10	Appoint support staff			*				
	4.11a	Set Trust Pay Policy annually	*						
	4.11b	Set staff pay/packages		*					
	4.12	Set the Headteacher's pay/package for new appointments	*	*					*
	4.13	Dismiss the Headteacher or the CEO	*						
	4.14	Dismiss other staff			*				
		Suspend the CEO	*						
	4.15	Suspend the Headteacher		*					
	4.16	Suspend other staff			*				
	4.17	End suspension of the Headteacher/CEO	*						
	4.18	End suspension of other staff		*					
	4.19	Appointment of staff in to new roles outside those agreed in the staffing structure		*					
	4.20	Consultation with TUs			*				*
	4.21	Authorise leave of absence for academy staff			*				

Area	Ref	Decision-making authority/ Responsibility	Non-Supported Academies			Supported Academies			CEO
			TR	GB	HT	TR	GB	HT	
	4.22a	Manage capability /appeals		*	*				
	4.22b	To consider any grievances against the implementation by the GB/HT of any agreed policy		*	*				
	4.23	Meet the responsibilities of The Equality Act 2010, especially in areas of staff development	*	*	*				
Appraisal	4.24	Approve and keep under review appraisal policies (linked with pay and capability policies)	*						
		Implement the appraisal process in relation to the CEO	*	*					
		Implement capability process in relation to the CEO	*	*					
	4.25	Implement the appraisal and capability process in relation to the headteacher		*					*
	4.26	Implement the appraisal and capability process in relation to other staff			*				
	4.27	Provide appropriate support and CPD opportunities in order to achieve appraisal targets and the needs of the School Development Plan		*	*				
Central Trust Staff	5.1	Line management of Trust central staff including induction							*
	5.2	Approve holiday for central staff							*
	5.3	Agree contracts of employment and associated salaries for central staff ensuring compliance with policy	*						*
	5.4	Agree office base, equipment requirements and any school re-charge /central costs							*
Education Standards	6.1a	Set challenging pupil progress targets (school level)			*				
	6.1b	Set challenging pupil progress targets (cohort level)			*				

Area	Ref	Decision-making authority/ Responsibility	Non-Supported Academies			Supported Academies			CEO
			TR	GB	HT	TR	GB	HT	
	6.1c	Set challenging pupil progress targets (individual level)			*				
	6.2a	Monitor pupil progress against targets (school level)	*	*	*				
	6.2b	Monitor pupil progress against targets (cohort level)		*	*				
	6.2c	Monitor pupil progress against targets (individual level)			*				
	6.3	Evaluate the academy's impact on pupil progress against targets	*	*	*				
	6.4	MAT led – ongoing Monitoring & review of educational data, progress & standards of all schools	*						
	6.5	Hold schools to account, taking appropriate action to challenge & support where needed	*						*
	6.6	Review supported/non-supported status of the schools (annually)	*						*
Education Curriculum and Quality of Provision	7.1	Agree curriculum		*	*				
	7.2	Ensure agreed curriculum is taught			*				
	7.3	Evaluate impact of curriculum		*	*				
	7.4	Monitor the quality of teaching		*	*				
	7.5	Improve the quality of teaching			*				
	7.6	Ensure all students make progress		*	*				
Education School	8.1a	Prepare an academy improvement plan, including SMART objectives and resource implications			*				

Area	Ref	Decision-making authority/ Responsibility	Non-Supported Academies			Supported Academies			CEO
			TR	GB	HT	TR	GB	HT	
Improvement	8.1b	Approve the improvement plan		*					
	8.2	Evaluate the impact of the improvement plan and overall academy performance	*	*					*
	8.3	Contribute to self- evaluation	*	*	*				*
	8.4	Ensure all Trustees and Governors are appropriately trained in education and school improvement matters	*	*	*				
	8.5	Pupil Premium – review and challenge the value for money of the Pupil Premium in terms of educational outcomes and narrowing the achievement gap	*	*	*				*
Education School Organisation	9.1a	Set times of school day		*	*				
	9.1b	Set term dates	*						*
	9.2	Ensure the academy opens for 380 sessions per year		*	*				
	9.3	Ensure all statutory education policies are in place (see 15.1)		*	*				
	9.4	Make sure all children and young people are safeguarded across the Trust and academy	*	*	*				
Information for Parents	10.1	Provide parents with reports on their child's achievement			*				
Behaviour, Attendance and Conduct	11.1	Establish company- wide code of conduct for staff	*						
	11.2	Establish and keep under review academy behaviour policy for pupils			*				
	11.3	Implement academy behaviour policy for pupils			*				
	11.4	Monitor impact of academy behaviour policy for pupils		*	*				

Area	Ref	Decision-making authority/ Responsibility	Non-Supported Academies			Supported Academies			CEO
			TR	GB	HT	TR	GB	HT	
	11.5	Monitor student attendance on a half termly basis. Report to governors.		*	*				
Exclusions	12.1	Permanently exclude a pupil			*				
	12.2	Review the decision to permanently exclude a pupil		*					
	12.3	Direct reinstatement of a pupil		*					
Admissions	13.1	Consult annually on school Admissions Policy Agree any amends to school admissions policies	*	*					
	13.2	Individual admissions policies to the nursery to be reviewed and approved annually (if applicable)	*						
	13.3	SEN admissions liaison with LA		*	*				
Collective Worship / SMSC	14.1	Ensure statutory requirements are met	*	*	*				
Supported Academies	15.1	Assess whether an academy requires support in one or more areas							*
	15.2	Ensure appropriate due diligence is conducted for any school joining the Trust							*
Policies for approval	16.1	All statutory education, finance and business policies to be approved by the Board/LGBs: See appendix B	*						
	16.2	Policies approved by the Board to be adopted by the LGBs		*					
	16.3	Recommend additions/changes to policy to the BoT		*	*				
Local Governing Bodies	17.1	Appoint/remove governors	*	*					
	17.2	Appoint/remove the Chair of Governors	*	*					

Area	Ref	Decision-making authority/ Responsibility	Non-Supported Academies			Supported Academies			CEO
			TR	GB	HT	TR	GB	HT	
	17.3	Maintenance of a Register of Business Interests for all Members, Trustees, Governors and staff involved in decision making of the awarding of contracts. Put in place a procedure to deal with any conflicts of interest	*	*	*				*
	17.4	Ensure potential conflicts of interest linked to the agenda (pecuniary/personal) are declared and recorded at each meeting	*	*					
	17.5	Hold a meeting of the local governing body at least once per term		*					
	17.6	Approve a scheme for paying governors' allowances	*						
Website	18.1	Include legal disclosures on corporate website(s)	*						
	18.2	Publish required information relating to the academy on academy website			*				
Strategy & Leadership	19.1	Set trust development plan (inc any growth)	*						
	19.2	Review and challenge progress of the Trust against its objectives and KPI's	*						
	19.3	Ensure compliance with all regulations and obligations under the Financial Handbook, charity, company and education law	*	*	*				
	19.4a	Appointment of new Directors/Trustees (including ensuring that the Trustees have the necessary professional skills to run the Trust)	*						
	19.4b	Appointment of new governors to the LGB		*					
	19.5	Appointment of Clerk – Board and LGBs	*						
	19.6	Prepare/review terms of reference for LGBs and Committees Approve terms of references for LGBs and committees	*	*					
			*						

Area	Ref	Decision-making authority / Responsibility	Non-Supported Academies			Supported Academies			CEO
			TR	GB	HT	TR	GB	HT	
	19.7	Training programme for Trustees and Governors	*		*				

Note that the CEO of the Company can act on behalf of the Trustees or Company in taking on any of the duties delegated should the need arise.

Adopted by The HET Board of Trustees on

Chair of The HET Board of Trustees

The HET Board of Trustees Director.....

Next Review Date