

THE HEATH ACADEMY TRUST

Scheme of Delegation

inspire transform together



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Heath Academy Trust
St James First School and Nursery
Park Lane
Alderholt
SP6 3AJ
Registered in England and Wales
Registration number: 0980985

Introduction

The Heath Academy Trust is a Charitable Trust which manages six schools in the east Dorset area. The schools are part of the Trust, and the management and staff of the schools are employees of the Trust. The Trust's affairs are overseen by the Trust board, which is legally accountable for all decisions made, including those delegated to its subcommittees such as school Local School Committees (LSCs). LSCs are Trust committees and watch over the schools' activities, progress, and standards. Specialist sub-committees, such as Finance and Audit, focus on those specialist subjects and report to the Trust board.

All of the Trust's responsibilities and activities, including those of the LSCs, are documented in three government publications which are updated annually:

- School Inspection Handbook
- Academy Trust Handbook
- Governance Handbook

What is the Scheme of Delegation?

The Scheme of Delegation is a policy document which sets out the relationships between and the responsibilities of the Trust board, its executives, and its committees (including the local school committees). The Scheme of Delegation is set out in this policy as a table which defines these responsibilities and for financial activities it places financial limits on the authorities delegated.

Part One of the Policy, Rules of Delegation, covers:

1. Roles and Responsibilities
2. Strategy
3. Governance
4. Staff Management, Policies and Pay
5. Financial Governance & Management
6. School Policies and Procedures

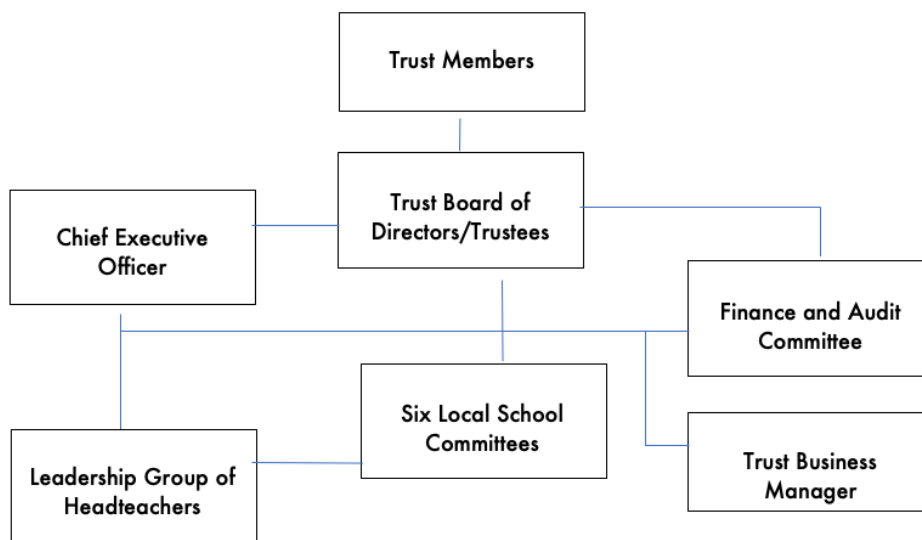
Part Two of the Policy, Financial Delegation, covers:

1. Ordering Goods and Services
2. Disposal of Assets
3. Bad Debt Write-off
4. Preparation / Approval of Returns
5. Capital Grant Approval

- 6. Accruals and Prepayments
- 7. Internal Bank Transfers

The Scheme of Delegation enables the Trust to fulfil its corporate responsibilities and accountabilities to the Department for Education, Education and Skills Funding Agency (ESFA), Charities Commission, HMRC and Companies House, plus the Diocese of Salisbury for the Church of England schools, whilst also ensuring that it is managed in a secure and appropriate way.

Our Organisation Map



1. Roles and responsibilities

The role of the members

The members of the Trust are guardians of the governance of the Trust and as such have a different status to Trustees. Originally, they will have been the signatories to the memorandum of association and will have agreed the Trust's first articles of association and will also approve any amendments made to the Articles of Association. The members appoint Trustees to ensure that the Trust's charitable object is carried out and so must be able to remove Trustees if they fail to fulfil this responsibility. Members appoint the Trust's auditors and receive the Trust's audited annual accounts. According to our Articles of Association, there must be at least three members. Members will not receive any remuneration or financial distribution from the Trust for performing their role.

The role of Trustees

Heath Academy Trust is a charitable company and so Trustees are both charity Trustees (within the terms of section 177(1) of the Charities Act 2011) and company directors. Because Trustees are bound by both charity and company law, the terms 'Trustees' and 'directors' are often used interchangeably.

The Trustees are responsible for the general control and management of the administration of the Trust, and in accordance with the provisions set out in the memorandum and Articles of Association and its funding agreement, it is legally responsible and accountable for all statutory functions, for the performance of all schools within the Trust, and must approve a written scheme of delegation of financial powers that maintains robust internal control arrangements. It is the employer of every member of staff. The Board of Trustees has the right to review and adapt its governance structure at any time which includes removing delegated powers. Trustees will not receive any remuneration or financial distribution from the Trust for performing their role.

The role of the finance and audit/risk committees

In line with The Academy Trust Handbook, the Trust board has established a finance committee to which the Trust delegates financial scrutiny and oversight. This currently incorporates the audit and risk committee. The committees may have separate chairs. Decisions of these committees will be deemed decisions of the Trust board.

The Chief Executive Officer

The CEO has the delegated responsibility for the operation of the Trust including the performance of the Trust's schools and so the CEO performance manages the school headteachers. The CEO is the accounting officer so has overall responsibility for the operation of the 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 has specific personal responsibility to Parliament and to the ESFA Accounting Officer. The CEO leads the executive management and leadership teams of the Trust.

The role of the Local School Committees (LSC)

The Trustees have established local school committees to carry out some of its school level responsibilities. LSC responsibilities include to:

- Monitor the school health and safety records
- Ensure a knowledge of the financial position of the school
- Ensure a knowledge of attainment and progress of the school pupils
- Ensure a knowledge of the vision, values, and intent of the school
- Attend Trust training and regular Chairs/Clerks liaison meetings to gain information
- Inform the Trust risk register by considering local school risk
- Build an understanding of how the school is led and managed
- Be a point of consultation and representation
- Be a link for parent representation in the school
- Report to, and support the aims of, the Board

The role of the headteacher

The school headteacher is responsible for the day-to-day management of the school and is managed by the CEO but informs the Local School Committee on matters which have been delegated to it which may include a small element of monitoring and scrutiny of the school's management processes. The headteacher is responsible for the performance management of school staff but is likely to delegate some aspects to other school leaders.

2. Strategy

Task	Members	Trust Board	CEO	Finance/ Audit Risk	LSC	Leadership Group	Headteacher
Approve Growth Plan		✓					
Approve Admission of new schools to the Trust	✓	recommen d					
Approve new convertor or sponsored academies joining the Trust	✓	recommen d					
Approve and monitor Trust Strategic Plan		✓				consult	
Individual annual School Development Plans		receive			consult		✓
Pupil attainment and standards data		✓	monitor		inform		collate monitor

3. Governance

Task	Members	Trust Board	CEO	Finance/ Audit Risk	LSC	Leadership Group	Headteacher
Approve and amend Trust Articles of Association	✓						
Appointment of Trustees to the Board	✓	recommen d					
Approve Trust Board of Trustees Terms of Reference		✓					
Approve/change Trust Scheme of Delegation		✓	consult		inform	consult	
Establish/maintain Trust Committees (including LSC) and Terms of Reference		✓				consult	
Appoint (and remove) Chair of Trust Board of Trustees Chair and Clerk		✓					
Appoint and remove Chair of LSC Chair and Clerk		in exceptiona l circumstan ces			✓		
Appoint (and remove) LSC members					✓		consult
Appoint (and remove) Foundation LSC members	✓ Diocese membe r						

Appoint (and remove) Chair(s)/Vice Chairs of Trust Committees (other than LSC)		✓					
Appoint (and remove) Trust Committee members (other than LSC)		✓					
Appoint (and remove) Clerk to Trust Board		✓					
Appoint (and remove) Clerk to LSC					✓		
Organise calendar of Board of Trustees meetings		✓ clerk					
Organise calendar of LSC meetings					✓		
Maintenance of business interests				✓ clerk	Clerk to maintain		
Change the company name	✓	consult			consult		
Headteacher report to local school committee					receive		✓
School risk register			Review as part of main register			Inform Trust risk register	
Trust risk register		✓					
Trust wide policies: safeguarding; H&S statement		✓					
Trust Business Continuity Plan		✓					
School Health & Safety Procedures		Monitor LSC checks			monitor		✓
Monitoring of health and safety requirements and procedures		✓			monitor		✓
Complaints Policy and Procedures		✓			inform		
Code of Conduct		✓			abide by		
Skills Audit		✓ undertake			undertake		
Periodic evaluation of school effectiveness		✓			consult		

4. Staff management

Task	Members	Trust Board	CEO	Finance/ Audit Risk	LSC	Leadership Group	Headteacher
Pay Policy		✓					
Safeguarding Policy		✓			monitor	consult	implement
Changes to Employee Terms & Conditions or Collective Agreements		✓					
Adoption of Transferring Policies and Collective Agreements		✓					
CEO Performance Management and Performance Pay Award		✓ Delegated to chair of Trust and Finance					
Headteacher Performance Management/Performance Pay Award			✓		consult		
Teachers Performance Management and Pay Award			✓ Pay award and Trust Staff		inform		✓ School staff
Support Staff Performance Management and Pay Award			✓		inform		✓
Support Staff (school and Trust) Performance Management and Pay Award			✓ Trust				✓ school
Performance Management Policies		✓			inform		
Inflationary pay awards		✓					

HR policies: Re-structuring & Redundancy Policy; Capability; Disability; Grievance; Stress Management; Appraisal, Whistleblowing		✓			inform		
CEO/Accounting Officer appointment		✓					
Trust Business Manager/Chief Financial Officer appointment		✓	consult				
Company Secretary		✓					
Suspension, return of CEO after suspension and dismissal		✓					
Headteacher appointment		✓	Advise				
School senior leadership appointments							✓
Teaching and support staff appointments							✓
Performance management of CEO		✓ Chairs of Trust committees					
Performance management of headteachers			✓				
Suspension, return after suspension and dismissal of headteacher			consult				
Suspension and return after suspension of teaching and support staff			consult			inform	✓ in line with Trust policies
Dismissal of staff		✓ in line with Trust policies					
Return of Trust support staff after suspension		consult	✓				
Suspension, return after suspension and dismissal of of Trust support staff		consult	✓				
Restructure or redundancy of staff		✓					
School staff complement, structure and grades			Consult as necessary				✓
Deployment of school staff							✓
Parent representation (on LSC)		✓					

5. Financial Governance and Management

Task	Members	Trust Board	CEO	Finance/ Audit Risk	LSC	Leadership Group	Headteacher
Trust & School Financial Regulations, Procedures and Policies		✓					
Appoint Trust external auditors	✓						
Organise independent audit/financial review		✓		consult			
Trust and school budget plans and forecast returns		✓		advise			

School top-slice/recharge		✓					
Monitor monthly Trust accounts		✓					
Trust Annual Accounts		✓					
Annual Trustees Report to Members		✓					
Trust Academies Accounts Return to ESFA		✓					
Response to Auditor's Management Letter		✓					
Pension Annual Return		✓					
Inflationary pay increases		✓					
Trust and school YTD & Interim reports		✓					
Approve Trust wide contracts		✓					
Approve school-based contracts					inform		✓
Investment of Trust and school funds		✓					
Maintain up to date school information on GIAS				✓ CFO			
Approve Trustee & Governors Expenses Policy		✓					
Fixed Asset Registers				✓			

6.School Based Policies & Procedures

Task	Members	Trust Board	CEO	Finance/ Audit Risk	LSC	Leadership Group	Headteacher
School attainment and standards and statutory attainment		✓	monitor				
School Inset Days			consult		inform	liaise	✓
Change of school age range		✓					
Expansion and reduction of school PAN		✓					
Expansion or extension of provision for a school		✓					
Child Safeguarding Procedures		✓					
School Attendance Policy, Plan and Procedures		✓			inform		✓ procedures
School Pupil Premium Impact Statement					inform		✓
School Pupil Behaviour & Exclusions Policy					inform		✓
School curriculum Policies					inform		✓
Short-term Exclusion and return			Inform monitor		inform		✓
Permanent Exclusions			Inform monitor		inform		✓

Appeals against Permanent Exclusion			Consult inform		✓		
School Admissions Policy and allocation of places		✓					
Admissions Appeals		✓					Inform monitor
School website, uniform, logo & branding					consult		✓
Extended services on-site					consult		✓
School resources and equipment							✓
School Curriculum Teaching and Learning Policies and Procedures		inform	liaise/ consult		inform		✓ Monitor
School Sex Education Policy					consult		✓
School Religious Education Policy					consult in church schools		✓
School SEN & Inclusion procedures		inform			inform		✓ Implement and monitor
School Behaviour Policy					inform		✓

Part 2 Financial Scheme of Delegation

1. Ordering Goods and Services

Process	Value	Delegated Authority
Order Approval	£1 to £3,000	Budget Holder
Order Approval	£3,000 to £5,000	As above plus headteacher for the school, or Trust Business Manager and one Trustee for the Trust
Order Approval	£5,000 to £10,000	As above plus the LSC or CEO for the Trust
Order Approval	£10,000 to £20,000	<p>School: provided that the project is within Trust board approved plans, funds are currently available (allowing for other commitments), and reserves are not depleted unacceptably as a result of the spend, approval is by Headteacher and LSC or CEO.</p> <p>Trust: provided that the project is within Trust board approved plans, funds are currently available (allowing for other commitments), and reserves are not depleted unacceptably as a result of the spend, approval is by the CEO.</p>
Order Approval	Over £10,000	Projects that are not within Trust approved plans, where funds are not immediately available after allowing for other commitments, or where the spend would deplete reserves unreasonably, must be reviewed by the Finance Committee then referred to

		the Board of Trustees. See the Important Notes on page 10.
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2. Disposal of assets

Value	Delegated Authority	Additional Guidance
£1 to £500	Headteacher	
£500 to £3,000	Local School Committee	
£3,001 and above	Trust board	

3. Write off bad debts

Value	Delegated Authority	Additional Guidance
Up to £200	Headteacher	Maximum £1,000 pa
£200 to £500	Local School Committee	Maximum £2,000 pa
£501 and above	Local School Committee	These must be reported to the Finance/Audit Committee of the Trust board

4. Preparation/Approval of returns

Return	Delegated Authority	Additional Guidance
VAT Return	Trust Business Manager	Consolidated VAT returns will be completed by the TBM and submitted under

		VAT 126 reclaim scheme.
Bank Reconciliation	Headteacher	To be prepared monthly and signed off in line with monthly deadlines

5. Capital Grant Project Approval

Value	Delegated Authority	Additional Guidance
Up to £10,000	Headteacher and LSC	Provided that the School's Capital Grant Funds are available to fund the project, which must be part of the approved School Development Plan. All approvals above £25,000 must be reported to the Finance Committee, and where assets are purchased, added to the Fixed Asset register as per Financial Regulations.
All others above £10,000, i.e. where not funded from approved capital grants.	Trust Board	Reviewed by the Finance/Audit Committee first.

6. Accruals and Prepayments

Value	Delegated Authority	Additional Guidance
£>500	FO/Trust Business Manager	Monthly accrual level

7. Internal Bank Transfers

Value	Delegated Authority	Additional Guidance
Any amount transferred between Trust's and school's bank accounts	Trust Business Manager and one trustee with bank signatory powers	Access to the Trust's bank accounts for any transfer must be approved by two separate officers, acting independently.

Important Notes:

1. Approval by the Trust board

Where matters are referred to the Trust board for approval, or the CEO or other members of the Trust require approval for matters raised by them, approval would normally be considered and granted if appropriate at the next Trust meeting.

In some circumstances, timing may be such that waiting for a full Board meeting approval may introduce unacceptable delays.

In this situation, and provided that certain conditions are true, the approval should be considered by the CEO, the Chair of the Trust or one other trustee, and ratified at the next Trust board meeting.

The conditions that must prevail are as follows:

The matter being approved must be:

- within or closely associated with the strategic activity defined in the Trust's Business Plan, or
- a matter previously discussed and agreed as strategic by the Trust or
- a matter for which timing is of critical importance which would otherwise have been agreed by the Trust board at the next meeting.

2. Exceptional Items

The Trust board must obtain approval from ESFA:

- where it is considering entering into liabilities such as leases or tenancies beyond delegated limits.
- before making any novel or contentious payments.

The Board of Trustees must also report to the ESFA any instances of fraud or theft above £5,000 against the Trust whether by employees, Trustees or third parties, or where fraud is unusual or systematic in nature.

The trust board must also seek approval for payment of severance above the current limit as detailed in the Academy Trust Handbook.