

**Carlton Academy Trust**

**Scheme of Delegation**

**Mission**

The CAT mission statement ‘Excellence for All’ communicates the Trust’s desire to achieve outstanding outcomes for all students irrespective of deprivation or individual circumstances, thereby raising aspirations and life chances of all who children attend CAT schools.

**Accountability Framework**

Members

Risk & Audit Committee

Trustees

Standards Committee

Parents Forum

Local Governing Body

**Trustees**

Trustees have overall accountability for the operational performance of the Trust and all schools, as encoded in the Articles of Association and Academies Governance Handbook.

To ensure effective levels of oversight and scrutiny, Trust performance is largely reported through two sub-committees:

**Standards Committee**

Scrutinises student performance across all areas, with standing items relating to academic, pastoral and attendance.

Terms of Reference are:

* Overview and analysis of standards of achievement (attainment and progress) attained in both formal external examinations and through internal data collection procedures
* Overview and analysis of quality assurance data to assess the quality of teaching and learning within schools
* Overview and analysis of the overall performance of schools/sectors of schools within the Trust
* Overview and analysis of standards of behaviour and conduct within and across Trust schools
* Overview and analysis of attendance across Trust schools.
* Overview and analysis of standards of safeguarding across Trust schools
* Overview and analysis of standards of SEND provision and achievement of SEND students

**Risk and Audit Committee**

Scrutinises financial performance of the Trust and Trust support functions. Support functions cover a broad remit including audit (internal and external), estates management, procurement, health and safety, data protection/management, ICT network management, risk management, business continuity, human resources, and staff welfare.

Terms of reference are:

* Oversee the financial performance of the Trust and all individual schools, ensuring the Trust is operating as a going concern in-year and medium-term period
* Analyse the effectiveness of Trust systems for achieving value for money
* Review Trust fraud response plans and ensure that all allegations of fraud or irregularity are properly managed and investigated
* Oversee Trust procurement and purchasing in accordance with the Trust financial scheme of delegation
* Oversee Trust risk assurance procedures including termly review and analysis of the Risk Register
* Oversee Trust compliance procedures within health and safety and data protection and compliance
* Oversee and direct Trust internal audit procedures, ensuring links to the Risk Register where possible, analysing findings and ensuring recommendations are implemented
* Advise the Trust board on the appointment of Trust external auditors
* Receive reports from the external auditor and other statutory authorities, where relevant
* Overseeing Trust staffing and personnel issues ensuring they are benchmarked against best practice
* Oversee compliance with statutory financial reporting arrangements
* Review policies in line with the statutory/published review guidelines, ensuring all are effective and appropriate to the needs of the Trust
* Report main discussions, findings, and recommendations at full Trustee meetings
* Any other responsibilities reasonably associated with the terms of reference

Items discussed at sub-committee meetings are reported back at each **Full Trustees** meeting, along with safeguarding updates and reports and any other agenda items not covered under the terms of reference of the sub-committees.

Operational responsibilities are delegated by Trustees to the Chief Executive Officer (CEO), who in turns delegates these to other leaders within the Trust.

**Members**

Members monitor and oversee the work of the Trustees, ensuring they work effectively in accordance with the Trust Articles of Association. To enable them to effectively expedite their role, they receive meeting minutes and can attend and observe meetings if they wish. There is an Annual Members Meeting/Annual General Meeting, where the CEO reports major initiatives and developments in the Trust over the previous year.

**Local Governing Bodies (LGB’s**) assist Trustees in performing their oversight responsibilities, monitoring the performance of schools against school/Trust priorities and standards. In strict legal terms, they are another Trust sub-committee, and as such their powers may be removed when not acting in accordance with Trust priorities.

The work of LGB’s is supplemented by **Parents Forums,** which feedback on school performance from the perspective of parents/carers.

**LGB Constitution and Operation**

LGB’s have a membership of 5:

* Head of School
* Staff governor
* Parent governor
* Co-opted governor 1
* Co-opted governor 2

The Trust has discretion to allow a greater number of governors from converting schools, reducing to the recommended structure over time.

To ensure the highest quality membership, both Staff and Parent governors are selected through a formal process of two parts:

1. Formal Application: made against expected competencies of governors as defined by the National Governor Association (NGA)
2. Interview: Of candidates shortlisted from (a) conducted by the Head of School and Chair of LGB or CAT Trustee

Co-opted governors are not subject to a selection process, being invited to join based on their experience, competencies, and ability to contribute to the school.

Governors have a three-year term of office. The Chair and Vice-Chair are selected as the first agenda item in the first meeting of the academic year with a one-year term of office. The Head of School or Staff governor may not be Chair or Vice-Chair.

**Quality Assurance**

All governors are subject to ongoing performance appraisal which evaluates attendance, contribution (meetings and school), and operation within NGA guidelines and the best interests of the school/Trust. Appraisal is completed by the Chair of Governors, with their performance overseen by the Chair of Trustees or other Trustee delegated this responsibility. Governors failing an appraisal may be removed from office with immediate effect.

**Operation**

LGB’s meet on a quarterly basis (Spring, Summer, Autumn, Winter), with exact timings at the discretion of schools. Meetings are quorate when attended by three governors, or at least half of all members when membership is more than five. Decisions are decided on a majority vote, and where votes are tied the Chair has a deciding vote.

**Responsibilities**

**Finance**

* Help ensure the school stays within its’ annual and 3-year budget allocations, recommending actions to ensure this happens without compromise to school development priorities.
* Recommend savings or financial efficiencies

**Students**

* Assist with student disciplinary and exclusion hearings in accordance with Trust policies and procedures
* Scrutinise pastoral and behaviour data, to ensure highest standard of conduct discipline
* Scrutinise suspension and exclusion data, managed moves, off-site education directions, and moves to alternative provision, ensuring that the school is acting in the best interests of the student, other students, staff, and school
* Scrutinise attendance data of students across all key groups
* Oversee and scrutinise school safeguarding data and practice to ensure it is following statutory guidelines and upholding high standards demanded by the Trust
* Scrutinise provision and practice relating to SEND students
* Scrutinise provision for LAC and other vulnerable students
* Scrutinise findings of school surveys (student and staff)

**Standards**

* Review standards in the context of school performance targets and objectives, as defined in the School Improvement Plan
* Review teaching and learning/quality assurance data, ensuring that these follow Trust systems and methodologies
* Assess the quality of delivery of Trust operational systems within school through meetings, visits, presentations at governors’ meetings, etc.

**Systems**

* Ensure the school is working in accordance with Trust policies and systems, reporting back to the Chair of Trustees where found
* Ensure leaders apply ‘Trust Leadership Philosophies’ to establish and maintain a positive culture and ethos

**Human Resources and Staffing**

* Assist with recruitment processes when requested by the Head of School, CEO, or Trustees.
* Scrutinise staff absence data, identifying possible causes
* Scrutinise levels of staff turnover, identifying possible causes
* Organise and conduct staff focus groups to assess treatment of staff, morale and compliance with ‘Trust Leadership Philosophies’.
* Receive an annual report on the school appraisal including pay decisions
* Receive and evaluate staff development and training plans

**Community Engagement, Events and Promotion of the School**

* Receive reports and updates on school events, community engagement, positive publicity, and promotion of the school
* Evaluate data and quality of school events (Parents Evenings, Open Evenings, Award Evenings or similar)
* Receive and scrutinise data and findings from Parent Surveys.

**Extra-Curricular, Social Capital and Careers Development**

* Scrutinise provision, quality, and attendance at extra-curricular provision
* Scrutinise plans to develop social capital and aspirations of students.
* Scrutinise careers education provision, ensuring these meet statutory expectations and standards

**Removal of Delegated Powers**

Trustees may remove LGB powers with immediate effect when their performance is poor or deemed to be acting against the interests of the school/Trust. Where occurring, the Chair of Trustees will write to all members informing them of this decision. There is no right of appeal.

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| **APPOINTMENTS** | **Members** | **Trustees** | **CEO**  | **Senior Trust Leaders** | **Risk & A Audit** | **Standards** | **LGB**  | **Head of School**  | **Notes** |
| Appoint or remove Members in accordance with the Articles of Association | X |  |  |  |  |  |  |  |  |
| Appoint or remove Trustees in accordance with Articles of Association | X |  |  |  |  |  |  |  |  |
| Annual appointment of Chair of Trustees |  | X |  |  |  |  |  |  |  |
| Annual appointment of Risk and Audit committee Chair |  |  |  |  | X |  |  |  |  |
| Annual appointment of Standards committee Chair |  |  |  |  |  | X |  |  |  |
| Appointment of linked Trustee responsibilities |  | X |  |  |  |  |  |  |  |
| CEO appointment, suspension, or removal |  | X |  |  |  |  |  |  |  |
| CFO appointment, suspension, removal |  |  | X |  |  |  |  |  |  |
| Appointment of external auditors |  | X |  |  | X |  |  |  | Approval at Full Trustees |
| Appointment of internal auditors |  |  |  |  | X |  |  |  |  |
| Appointment, suspension or removal or Central Trust staff |  |  | X |  |  |  |  |  |  |
| Appointment, suspension, or removal of Heads of School |  |  | X |  |  |  |  |  |  |
| Appointment of Local Governing Bodies |  | X |  |  |  |  |  | X | Chair of Trustees |
| Appointment of Chair of Local Governing Bodies |  |  |  |  |  |  | X |  |  |
| Suspension or removal of Local Governors or Local Governing Body |  | X |  |  |  |  |  |  |  |
| Appointment of Parents Forum members |  |  |  |  |  |  |  | X |  |
| Removal of Parents Forum Members |  | X | X |  |  |  |  |  |  |
| Appointment, removal, or suspension of Governance Professional |  | X |  |  |  |  |  |  | Delegated to CEO |

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| **STRATEGY & LEADERSHIP** | **Members** | **Trustees** | **CEO** | **Senior Trust Leaders** | **Risk and Audit**  | **Standards** | **LGB**  | **Heads of School** | **Notes** |
| Define Trust vision, values, and ethos |  | X | X | X |  |  | X | X |  |
| Formulate Trust’s strategic plan, agreeing the main objectives against which progress towards achieving the vision can be measured |  | X | X | X |  |  |  | X |  |
| Hold CEO/other senior Trust personnel to account for effective implementation and progress of schools/Trust against strategic plans |  | X |  |  | X | X |  |  |  |
| Hold Heads of School to account for standards within their school |  | X | X | X |  |  | X |  |  |
| Development of Estates Management strategy, including maintenance and asset usage |  |  | X | X | X |  |  |  | Trust Director of Facilities & Compliance |
| Trust IT Strategy |  |  | X | X | X |  |  |  | Trust Director of Facilities & Compliance |
| Trust procurement, efficiency, money saving programmes |  |  | X | X | X |  |  |  | CFO, Trust Director of Facilities & Compliance |
| Trust insurance |  |  | X | X | X |  |  |  | CFO |
| Business Continuity |  |  | X | X | X |  |  |  | Trust Director of Facilities & Compliance |
| Trust Expansion: Due diligence |  | X | X | X | X |  |  |  |  |
| Enhance Trust-wide collaboration |  |  | X | X |  |  |  | X |  |
| Changes in accordance with National Education policy/legislation |  | X | X | X | X | X | X | X |  |

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| **GOVERNANCE** | **Members** | **Trustees** | **CEO** | **Senior Trust Leaders** | **Risk and Audit** | **Standards** | **LGB** | **Heads of School** | **Notes** |
| Role of Members | X |  |  |  |  |  |  |  | Determined by Gov. handbook |
| Trust Governance structure |  | X |  |  |  |  |  |  |  |
| Role descriptions for Trustees and sub-committee terms of reference  |  | X |  |  |  |  |  |  |  |
| Develop Scheme of delegation  |  | X | X |  |  |  |  |  |  |
| Annual Schedule of business |  | X | X |  |  |  |  |  |  |
| Link Trustee Oversight and Monitoring schedule |  | X | X | X |  |  |  |  |  |
| Trustee Committee Monitoring | X | X | X |  |  |  |  |  |  |
| Meeting structure and format |  | X | X |  |  |  |  |  |  |
| Report formats |  | X | X |  |  |  |  |  |  |
| Governance self-review schedule and format |  | X | X |  |  |  |  |  |  |
| Trustee attendance annual review and publish on Trust website |  | X | X |  |  |  |  |  | Chair of Trustees |
| Trustee performance/contribution annual assessment |  | X | X |  |  |  |  |  | Chair of Trustees |
| Website update and compliance: Trust |  |  | X |  |  |  |  |  |  |
| Website update and compliance: School |  |  |  |  |  |  |  | X |  |
| Engagement with stakeholders | X | X | X | X | X | X | X | X |  |
| Annual Trustee Skills Audit |  | X | X |  |  |  |  |  |  |
| Trustee recruitment and succession planning |  | X | X |  |  |  |  |  |  |
| Trustee induction and training  |  | X | X | X |  |  |  |  | Governance professional |

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| **PEOPLE** | **Members** | **Trustees** | **CEO** | **Senior Trust Leaders** | **Risk and Audit** | **Standards** | **LGB** | **Heads of School** | **Notes** |
| Trust staffing structure |  |  | X |  |  |  |  |  |  |
| Agreeing changes to Trust staffing structure and/or restructures |  |  | X |  |  |  |  |  |  |
| Implementation of Trust Wellbeing Charter and Strategy |  |  | X | X | X |  |  |  | HR Director |
| Development of Employee Benefits Programme |  |  | X | X | X |  |  |  | HR Director |
| Development of Performance Appraisal systems |  | X | X | X |  |  |  |  |  |
| CEO Performance Appraisal |  | X |  |  |  |  |  |  | Trustee Pay Committee |
| Senior Trust Personnel Appraisal |  |  | X |  |  |  |  |  |  |
| Heads of School Performance Appraisal |  |  | X | X |  |  |  |  | Director of Primary/Executive Head (secondary) |
| Appraisal of school senior leaders (other) |  |  |  |  |  |  |  | X | May be delegated |
| Appraisal of school personnel |  |  |  |  |  |  |  | X | Delegated to other personnel |
| Pay Progression: Development of systems and implementation |  | X | X |  | X |  |  |  |  |
| Pay recommendations make  |  |  | X |  |  |  |  | X |  |
| Pay recommendations approval |  | X | X |  |  |  |  |  |  |
| **FINANCE** | **Members** | **Trustees** | **CEO** | **Senior Trust Leaders** | **Risk and Audit** | **Standards** | **LGB** | **Heads of School** | **Notes** |
| Appointment of Accounting Officer |  | X |  |  |  |  |  |  |  |
| Overall responsibility for Trust Funds |  | X | X | X | X |  |  |  | CFO |
| Monitor Trust financial performance |  | X | X | X | X |  |  |  | CFO |
| Financial reporting in line with ESFA guidelines  |  | X | X | X | X |  |  |  | CFO |
| Development of school and Trust budgets |  |  | X | X |  |  |  | X | CFO |
| Approval of school and Trust budgets |  | X |  |  | X |  |  |  |  |
|  Setting of top-slice payment charges |  | X | X |  |  |  |  |  |  |
| Monthly monitoring of budgets/financial performance |  | X | X |  |  |  |  |  | Chair of Trustees, CEO, CFO |
| Half termly formal monitoring of budgets/financial performance |  | X | X |  | X |  |  |  |  |
| Receive and respond to External Auditors report |  |  | X | X | X |  |  |  | Reported to Full Trustees |
| Ensure effective financial controls in place |  | X | X | X | X |  |  |  | CFO |
| Approve annual report and accounts |  | X |  |  |  |  |  |  |  |
| Publish annual report and accounts on Trust website |  |  | X |  |  |  |  |  |  |
| Capital projects reviewed and approved in accordance with financial scheme of delegation |  |  |  |  | X |  |  |  |  |
| Develop financial scheme of delegation |  |  | X | X | X |  |  |  | CFO |
| Implement financial scheme of delegation |  |  | X | X |  |  |  | X | CFO |
| Undertake financial benchmarking and value for money procedures |  |  | X | X | X |  |  |  | CFO |
| Agree CEO pay structure and award |  | X |  |  |  |  |  |  |  |
| Senior Trust staff and Heads of School pay awards |  |  | X |  |  |  |  |  |  |

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| **RISK MANAGEMENT** | **Members** | **Trustees** | **CEO** | **Senior Trust Leaders** | **Risk and Audit** | **Standards** | **LGB** | **Heads of School** | **Notes** |
| Risk Register updates |  |  | X |  |  |  |  |  |  |
| Risk Register Review and Scrutiny |  | X |  |  | X |  |  |  |  |
| Trust compliance auditing and reporting  |  | X | X | X | X |  |  |  |  |
| Completion of Trust Register of Interests |  | X | X | X |  |  |  |  | Governance Professional |
| Development and implementation of ICT Acceptable Use Agreement |  | X | X | X |  |  |  | X |  |
| Compliance with Trust Gifts and Hospitality policy  |  |  | X | X | X |  |  | X | CFO |
| Compliance with GDPR and Data Protection policies |  |  | X | X | X |  |  | X | Director of Facilities & Compliance |
| Protection of Trust IT networks and maintenance of cybersecurity measures |  |  | X | X | X |  |  |  | Director of Facilities and Compliance |

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| **CURRICULUM & STANDARDS** | **Members** | **Trustees** | **CEO**  | **Senior Trust Leaders** | **Risk and Audit** | **Standards** | **LGB** | **Heads of School** | **Notes** |
|  Formulate curriculum structure and design |  |  | X | X |  |  |  | X |  |
| Review and scrutinise curriculum structure and design |  |  | X |  |  | X | X |  |  |
| Quality Assurance of school curriculum offers/subject reviews |  | X | X |  |  | X |  | X |  |
| Quality Assurance of Teaching and Learning quality |  |  |  | X |  | X |  | X |  |
| Trust data and assessment system development (student) |  |  | X | X |  | X |  |  |  |
| Trust data and assessment system implementation (student) |  |  |  | X |  |  |  | X |  |
| Review and scrutiny of school data (student) |  |  | X | X |  | X | X | X |  |
| Facilitate sharing of best practice through Heads of School/Director meets |  |  | X | X |  |  |  | X |  |
| Facilitate sharing of best practice through school subject network meetings |  |  |  | X |  |  |  | X |  |
| Development of Trust Behaviour/Pastoral systems and procedures |  |  | X | X |  |  |  |  | Director of Pastoral |
| Development of Trust Attendance systems and procedures |  |  | X | X |  |  |  |  | Director of Pastoral |

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| **POLICIES** | **Members** | **Trustees** | **CEO** | **Senior Trust Leaders** | **Risk and Audit** | **Standards** | **LGB** | **Head of School** | **Notes** |
| Compile Trust-wide policies for use in all schools |  |  | X | X |  |  |  |  |  |
| Approval of Trust-wide policies for use in all schools |  | X |  |  |  |  |  |  |  |
| Effective communication of policies within Trust and schools |  |  | X | X |  |  |  | X |  |
| Effective communication of school policies to parents//external stakeholders (websites, etc) |  |  | X | X |  |  |  | X |  |
| Development of admissions policies for each school |  | X | X | X |  |  |  | X |  |