

Dulwich Hamlet Educational Trust

Scheme of Delegation



The Dulwich Hamlet Educational Trust Scheme of Delegation

Introduction

1. This document outlines the main responsibilities and delegated powers of the different parties in the operation of the Dulwich Hamlet Educational Trust (the Trust). It consists of background, a checklist, an expansion of the checklist, a table of authorisation limits and diagrams showing the committee structures of the Trust and the Local Governing Bodies.

Establishment of committees

2. The Secretary of State for Education has entered into an agreement with the Trust to run the schools in the Trust and the Trust Board is responsible for the standards and operation of the schools.
3. The Trust Board determines the membership and proceedings of any committee, having regard to the requirements of the Articles of Association. Only the Trust Board can take decisions on the delegation of powers, including the establishment of committees, the approval of terms of reference, the appointment of Trustees and Governors (with the exception of parent or staff Governors) or non-Governors to any committees, or the delegation of any powers to a committee or an individual (for example, the Chair of the Trust, Chair of the Local Governing Body or the Heads of School). The Trust Board must review the terms of reference, constitution and membership of committees or sub-committees.
4. The Trust Board will establish a Local Governing Body in each school, with agreed delegation arrangements. The committee structure of the Local Governing Bodies may include the sub-committees detailed within this document. The Local Governing Body must also review the establishment, terms of reference, constitution and membership of any committee or sub-committee. The membership of any Local Governing Body committee may include associate members who are not governors, provided that a majority of members of the committee are governors. Each committee must have a chair, who is either appointed by the Local Governing Body or elected by the committee. Either the Trust Board or the Local Governing Body may remove the chair of a committee from office at any time.

Appointment of Committees

5. Good practice requires the Trust Board to keep the delegation arrangements under regular review, at least annually. The arrangements should be approved each year, (e.g. at the first Trust Board Meeting in the autumn term).
6. The Trust Board or Local Governing Body may appoint non-trustees and non-governors to any of the committees providing that, on committees of the Trust Board, Trustees form the majority of voting members of the committee, or in the case of Local Governing Bodies, Governors (a) form the majority of the members of the committee; (b) are in the majority at any meeting of the committee; and (c) take the chairmanship of the committee. In addition, the Local Governing Body may, if it wishes, enable any of the non-governors to be *voting* members of the committee.

Retention of Powers

- 7.** Some key decisions cannot be delegated and must be taken by the Trust Board. In these cases the Trust Board may still ask a person or a working group to consider issues and make *recommendations* to them, as long as the full Trust Board takes the decision. This is also true for the Local Governing Body, where some key decisions cannot be delegated and must be taken by the Local Governing Body. Again, the Local Governing Body may ask a person or a working group to consider issues and make *recommendations* to them, so long as the Local Governing Body takes the decision. The Trust Board and Local Governing Bodies should distinguish between committees which have delegated powers and working groups/parties or informal groups which do not.
- 8.** The Trust Board is the employer of all staff and therefore is the final appeal body in matters of pay and staff discipline.
- 9.** The Trust Board is the admissions authority for all schools in the Trust.
- 10.** The Trust Board will agree the final budget for the Trust and each school.
- 11.** Delegated bodies, other than the Local Governing Body and the Executive Head Teacher, cannot delegate further without specific approval. Delegated bodies must report on any decision to delegate further and on decisions made under delegated powers.
- 12.** Consideration of issues relating to staff dismissal and appeals must be delegated to the Staff Discipline Committee and Staff Appeals Committee.

Levels of Delegation

DELEGATION CHECK LIST FOR DHET SCHOOLS

KEY

Level 1: The Board of Trustees

Level 2: The Trust's Audit Committee

Level 3: Belham LGB

Level 4: Dulwich Hamlet LGB

Level 5: Executive Head Teacher /Accounting Officer

Level 6: Heads of School

Although decisions may be delegated, the Trust Board remains responsible for any decision made under delegation.

DHET Scheme of Delegation

Functions	Tasks	Board of Trustees	Trust Audit Committee	Belham LGB	Dulwich Hamlet LGB	Executive Head/AO	Head of School
A Strategy							
1	Responsibility for developing the vision, values and ethos of the Trust and agreeing a strategy to achieve them	X					
2	Development of an annual plan which supports the strategy and plans of the Trust	X					
B. Finance, annual accounts and statutory reporting							
1	Responsibility for strategic planning of the Trust's finances inc the proportion of the overall budget to be delegated	X					
2	High level monitoring of the school's finances and monitoring of the impact on the Trust	X					
3	Developing and proposing the annual budget plan			X	X		
4	Approval of the annual budget plan and in year adjustments	X					
5	Approval of virement between budget headings within the overall school budget			X	X		
6	Monitoring actual spend versus budget			X	X		
7	Setting standards, policies and the delegation limits	X					
8	Compliance with standards, policies and the scheme of delegation			X	X		
9	Consolidation of accounts	X					
10	Annual and statutory reports to EFA and other parties	X					
11	Preparation of reports for consideration by the Trust Board			X	X		
12	Tendering and renewal of large contract as defined in procurement thresholds	X					
13	Monitoring of central contracts	X					
14	Monitoring of contracts for individual schools			X	X		
15	Establishment of a charging and remissions policy for activities		X				

DHET Scheme of Delegation

Functions	Tasks	Board of Trustees	Trust Audit Committee	Belham LGB	Dulwich Hamlet LGB	Executive Head/AO	Head of School
16	Ensure the schools develop a business continuity plan	X					
C Audit, assurance and value for money							
1	Appointment of the Audit Committee	X					
2	Audit of financial controls and risk management		X				
3	To appoint a Responsible Officer (if there is one)	X					
4	Assurance that the requirements of the Academies Financial Handbook, Funding Agreements, Company and Charity law are being met					X	
5	Assurance that the necessary high standards of probity in the management of public funds are being met					X	
6	Compliance with the requirement to ensure regularity, propriety and value for money					X	
7	Advice in writing to the Trustees if, at any time, in the AO's opinion, the Board is failing to act where required to do so or is considering any action or policy which is incompatible with the AFH or FAs.					X	
8	To consider the reasons provided by the Trustees if they wish to proceed against the advice of the AO and to inform the EFA if the Trustees act against the AO's advice					X	
9	To ensure that the procurement of goods and services provide value for money	X		X	X		
10	To develop a performance management policy, to be reviewed annually	X					
D. Governance							
1	The establishment, and annual review of, governing documents and any amendments thereafter, including the creation of sub-committees	X					
2	The appointment and removal of the Chair of the LGB, following the recommendation of the LGB	X					

DHET Scheme of Delegation

Functions	Tasks	Board of Trustees	Trust Audit Committee	Belham LGB	Dulwich Hamlet LGB	Executive Head/AO	Head of School
3	The appointment and removal of members of the LGB, after consultation with the LGB	X					
4	To set up a Register of Trustees Business Interests	X					
5	To set up a Register of LGB members' Business Interest			X	X		
6	To put in place Governor's support arrangements.			X	X		
7	To monitor performance and determine the development needs of governors	X		X	X		
8	To carry out a regular self review and skills audit			X	X		
E. HR							
1	Executive Head appointment	X					
2	Head of School appointment	X				X	
3	Appointment of other teachers					X	
4	Appointment of non teaching staff					X	X
5	Agree delegation between Executive Head and Head of School	X				X	
6	Appraisal of Executive Head (Board Sub Committees)	X					
7	Appraisal of Head of School					X	
8	Setting and approval of all HR policies, including staff appraisal policies	X					
9	Monitoring compliance with all HR policies			X	X		
10	Agree staff pay policy and pay discretions	X					
11	Approval of staff structures and any changes	X					
12	Determining staff complement within agreed budget					X	X
13	Dismissal, suspension and ending suspension of staff	X					
14	Determining dismissal payments/early retirement (Board Sub Committee)	X					
F. Admissions							
1	To set, publish and review annually the admissions policy (Board Sub Committee)	X					

DHET Scheme of Delegation

Functions	Tasks	Board of Trustees	Trust Audit Committee	Belham LGB	Dulwich Hamlet LGB	Executive Head/AO	Head of School
2	To manage admissions appeals					X	X
3	To monitor admission numbers and compliance with policy			X	X		
G. Premises & Insurance							
1	Development of an asset management plan (Board Sub Committee)	X					
2	Buildings and personal liability insurance (Board Sub Committee)	X					
3	Procurement and maintenance of buildings and sites, including the development of a properly funded maintenance plan (Board Sub Committee) - size dependent see annex	X		X	X		
4	To institute a health and safety policy	X					
5	To ensure that health and safety regulations are followed			X	X		
H. School Improvement and Pupil Outcomes							
1	To work with the Local Governing Body to agree, oversee, evaluate and review a school development plan			X	X		X
2	To implement the school development plan					X	X
3	To monitor performance and improvement using KPIs and SDP targets			X	X		
4	To establish a curriculum policy	X					
5	To implement the curriculum policy			X	X		
6	Responsibility for standards of teaching					X	X
7	To set and publish targets for pupil achievement and monitor pupil progress			X	X		
8	Operational responsibility and accountability for pupil outcomes			X	X		
9	Responsibility for individual child's education						X
10	To prohibit political indoctrination and ensure the balanced treatment of political issues	X					

DHET Scheme of Delegation

Functions	Tasks	Board of Trustees	Trust Audit Committee	Belham LGB	Dulwich Hamlet LGB	Executive Head/AO	Head of School
11	To discharge duties in respect of pupils with special needs by appointing a "responsible person" to link to SEND	X		X	X		
I. Behaviour and Safeguarding							
1	To agree behaviour, discipline and exclusion policies	X					
2	To review the use of exclusion and decide whether to confirm permanent exclusions and fixed term exclusions where the pupil is either excluded for more than 15 days in total in a term or would lose the opportunity to sit a public examination.			X	X		
3	To direct reinstatement of excluded pupils)			X	X		
4	To monitor the effectiveness of safeguarding arrangements and ensure appropriate arrangements for child protection are in place			X	X		
J. ICT							
1	To develop an ICT strategy that optimises the use of technology in administrative and academic settings	X				X	
2	To ensure compatibility and integration of systems across schools					X	X
K Community and Local Operations							
1	To develop a strategy for community engagement			X	X		
2	To nurture and monitor the engagement of stakeholders			X	X		
3	To hold a full LGB meeting at least four times in a school year			X	X		
4	To propose to offer additional activities, the form these should take and to deliver the additional activities agreed			X	X		
L. Communications and marketing							
1	Develop communication and marketing strategies for the Trust	X					
2	Implement and monitor the Trust's communication and marketing strategies	X		X	X		

Responsibilities of the Dulwich Hamlet Educational Trust

This section of the document expands on the Checklist. It is not meant to be exhaustive and has been developed to highlight the main responsibilities of the Trust for comparison with the responsibilities of the schools within the Trust and their Local Governing Bodies.

A. Strategic direction and school improvement

1. To set strategic direction and priorities for the Trust and all member schools
2. To set the vision, mission and ethos of the Trust and ensure it is embedded in each school in the Trust
3. To oversee and ratify a three year plan for the Trust
4. Through the LGBs to ratify the SDP for each school in the Trust
5. To facilitate collaboration and support for school improvement across the Trust.

B. Finance

1. The Trust Board will consider the indicative funding for each school, notified annually by the EFA and assess implications for the Trust and individual schools in advance of the financial year, drawing any matters of significance or concern to the attention of the Local Governing Bodies.
2. It will determine the level of any contingency fund or balances to be held by the Trust and its schools, ensuring the compatibility of all such proposals with the development priorities set out in the Trust's forward plan.
3. The Trust Board will receive and scrutinise the annual school budgets and forecasts ensuring that they are:
 - in accordance with the funding agreement, the Trust's memorandum and articles of association and EFA financial handbook and
 - consistent with the Trust's forward plan.

If necessary it will refer back to the Local Governing Bodies for review before taking any decision.
4. The Local Governing Body will consider and monitor regularly the school's short term and long term revenue and capital budget and financial planning to ensure the school's long term sustainability
5. The Local Governing Body will monitor and review income and expenditure against budgets on a regular basis and ensure compliance with the overall financial plan for the school, and with the Trust's financial regulations, drawing any matters of concern to the attention of the Trust Board.
6. The Local Governing Body will contribute to the formulation of the Trust's forward plan, through the consideration of financial priorities and proposals.
7. The Local Governing Body will review and approve any virements and other transactions in accordance with the Trust's Financial Procedures and Schemes of Delegations.
8. The Trust Board will take decisions on tendering (where required) and sign contracts, following consideration and recommendations from the Local Governing Body, as appropriate.
9. The Trust Board will be responsible for the amendment of Trust and school staffing establishments.
10. The Trust will review and update all financial policies in accordance with the policy review schedule. These will include:
 - the Trust's schemes of delegations
 - fees and charges for school services, including but not limited to school meals, music tuition and the hire of school premises and facilities
 - funding of the management and governance costs of the Trust
 - cross charging and transfer arrangements between schools
 - any service charges to the schools and other parts of the Trust for centralised functions
 - lettings
 - gifts and hospitality
 - donations.
11. The Trust will ensure the preparation of the Trustees' report and financial statements to form part of the annual report and financial statements of the Trust for filing in accordance with Companies Act and Charity Commission requirements.
12. The Local Governing Bodies will explore and agree income generation for the schools, including lettings income, grants, fund raising and sponsorship opportunities and support the work of local PTAs/ Parents Associations in their fundraising activities.
13. The Trust will ensure the Local Governing Bodies prepare a disaster recovery/business continuity plan.

C. Audit, assurance, value for money and investigations

The Trust is responsible for the management and identification of risk, and the sound management and control of the Trust's finances and other resources. In order to fulfil these responsibilities, the Trust has delegated certain responsibilities to the Trust Board's Audit Committee.

The responsibilities of this Audit Committee are to:

1. Identify the risks to internal financial control across the Trust and agree a programme of work that will address these risks, inform the statement of internal control and, so far as is possible, provide assurance to the external auditors.
2. Ensure there is a continuous and sufficient review of the risks, agree a programme of work that will address the risks identified and determine the most appropriate method of doing so.
3. Drive actively the process for independent checking of financial controls, systems, transactions and contracts. It should ensure that arrangements for protecting the Trust's assets are in place.
4. Ensure that internal controls are operating effectively through one of the Education Funding Agency options, either on their own or in combination:
 - The work of an internal audit service (either in-house, bought-in or provided by a sponsor).
 - The performance of a supplementary programme of work by the Trust's external auditors.
 - The work of a responsible officer (i.e. an individual who is a non-employed governor with an appropriate level of qualifications and/or experience), and who neither charges nor is paid by the Trust for their work.
 - Completing the work by peer review (the work being performed, for example, by a suitably qualified or experienced member of the finance team, or a suitably qualified or experienced person from another academy trust, as an "independent reviewer").
5. Advise the Board of Trustees on the minimum and optimum level of internal and external audit arrangements
6. Ensure regular audits cover the following areas: legal, risk, financial (including statutory annual audits, VAT, PAYE), health and safety, investments and insurance, and to contribute to these reviews
7. Direct and monitor responsible officer/internal audit reviews and to advise the board of trustees accordingly. To investigate on behalf of the Board any financial or administrative matter which may put the Trust at risk.
8. Examine reports on special investigations and to advise the Board of Trustees accordingly
9. Consider the appropriateness of executive action following responsible officer/internal audit reviews and to advise senior management on any additional or alternative steps to be taken
10. Ensure there is coordination between responsible officer, internal audit, external audit and any other review bodies that have been set up
11. Encourage a culture within the Trust whereby each individual feels that he or she has a part to play in guarding the probity of the Trust, and is able to take any concerns or worries to an appropriate member of the management team or in exceptional circumstances directly to the chair of the audit committee
12. Ensure the Trust has an effective whistle –blowing policy
13. Recommend to the Trust Board the appointment or reappointment of the auditors
14. Review the findings of the external auditors and agree any action plan arising
15. Review and consider the auditor's management letter in order to ensure it is based on a good understanding of the school's business and to establish whether recommendations have been acted on
16. Provide minutes of all audit committee meetings for review at meetings of the Board of Trustees.
17. The Audit Committee is authorised to investigate on the behalf on the Board of Trustees anything that threatens or adversely affects the accomplishment of the Trust's aims and objectives, its assets, the reliability of all records and information, and its compliance with all relevant laws, regulations, policies and its governing instruments.

D. Governance

The Trust is responsible for the establishing and maintaining sound governance systems and processes. In particular, in relation to the Local Governing Bodies, the Trust has the responsibility:

1. To monitor the performance of the Local Governing Bodies, including the results of regular self-review, to ensure that they are making sufficient impact and are fit for purpose.
2. To oversee the identification of development needs and organisation of Governor development.

E. HR

The Trust Board is the employer of all staff and therefore is the final appeal body in matters of pay and staff discipline.

The Board will have ultimate responsibility for the following HR issues:

1. Approval of school staffing structures within the school's budget, including approval of any restructuring
2. The procedures for the appointment of senior staff at the schools, including middle leaders
3. The appointment of Heads of Schools
4. To determine the Pay Policy for the Trust
5. To advise the Local Governing Body/Business Committee on current and future pay level;
6. To ratify appropriate salary ranges and starting salaries for Lead Practitioners, and members of the leadership group
7. To ratify annual pay progress for teachers (by 31 October at the latest) as set out in the Pay Policy, taking account of recommendations made by the Local Governing Bodies in accordance with the approved pay policy
8. To approve annual pay progress for the Executive Head Teacher and Heads of School (by 31 December at the latest), taking account of the recommendation made by the relevant sub-committee
9. To determine the application of national inflationary increases as required
10. To monitor the annual pattern of performance pay progression and the correlation between pay progression, quality of teaching and outcomes for pupils
11. To oversee the work of the Staff Disciplinary/Dismissal Committee and the Staff Appeals Committee (including pay appeals)
12. To oversee the work of any Staff Pay & Appraisal Committee
13. To monitor and review the performance and pay of the Executive Head Teacher
14. To set the framework for the recruitment, induction, training, CPD, wellbeing and other HR processes for all staff within the Trust at a strategic level
15. To ratify all HR policies for the Trust.

F. Admissions

1. The Trust Board is the admissions authority for all schools in the Trust.
2. It will set the admissions criteria for each school in the Trust on an annual basis, which will be consulted on and published annually.
3. It will ensure the organisation of an independent admissions appeal committee as and when required.

G. Premises and insurance

The Trust Board is responsible for the estate strategy for all schools within the Trust. Its responsibilities as they relate to the estate include making and reviewing recommendations for the provision of future premises and developing an estate strategy. The Trust will delegate to each Local Governing Body the following responsibilities:

1. Ensuring that the individual schools develop and maintain an asset management plan which ensures the development, maintenance and replacement of all physical assets, equipment and facilities, including premises, equipment, land and depreciating assets in line with the Vision Statement and School Development Plan, having regard to the Asset Register maintained by the school.
2. Oversight of the appointment (subject to delegation levels in the Trust's financial procedures) of architects, builders, grounds maintenance teams, surveyors etc. and monitoring of their work.
3. Support for school premises' teams.

H. School improvement and pupil outcomes

1. The Trust oversees and reviews the Local Governing Bodies' plans for improving performance
2. The Local Governing Bodies, together with the Heads of School, are responsible for implementing plans and policies for school improvement and individual pupil achievement.

I. Behaviour and safeguarding

1. The Trust is responsible for agreeing policies, after consultation with the Local Governing Bodies.
2. The Local Governing Bodies are responsible for the use of exclusion and monitoring the effectiveness of safeguarding arrangements.

J. ICT

The Executive Head Teacher has responsibility:

1. To ensure compatibility and integration of computer systems across all schools in the Trust to facilitate maximum efficiency and cohesiveness
2. To develop an ICT strategy for the Trust that maximises the use of technology in both administrative and academic settings.
3. To provide ICT support for all schools within the Trust.

K. Community/Membership

The Trust Board has responsibility to:

1. Oversee the development by the Local Governing Bodies of stakeholder forums and membership.
2. Encourage and facilitate community involvement in the Trust through the Local Governing Bodies and their activities.

L. Communication and marketing

The Trust Board has responsibility:

1. to oversee, mostly through the Local Governing Bodies, the development of a communications and marketing strategy for the Trust which addresses:
 - stakeholders and their needs, and encourages stakeholder engagement
 - communication strategies for each stakeholder
 - all aspects of marketing the school to all stakeholders.
2. To receive and review annual statistics on complaints to schools within the Trust.
3. To report on data protection and publications.
4. To oversee the development of school websites as a source of information for all stakeholders.

The Local Governing Bodies have responsibility for:

5. Overseeing and signing off school brochures/leaflets etc.

Schemes of Delegations

Authorisation Limits

These limits are taken from the financial regulations that were approved by the Board of Trustees on 4 June 2014

Expenditure Limits

Site Manager (emergency minor building repairs)	Up to £500
School Business Manager	Up to £5,000
Executive Head and Heads of School	From £5,001 and £10,000
Chair of LGB Business Committee	From £10,001 and £25,000
Business Committee (on behalf of the LGB)	From £25,001 to £100,000
Board of Trustees	Over £100,000

Cheque Signatories

Two signatories	Up to £17,500
Chair or Vice-Chair of Governors/Trustees (plus one other)	Over £17,500

Virement Limits

Executive Head and Heads of School	Up to £5,000
Business Committee	From £5,001 to £10,000
Board of Trustees and notify EFA if significant	Over £10,000

Writing off bad debts

School Business Manager	Up to £100
Executive Head and Heads of School	From £101 to £5,000
Business Committee	Over £5,000
Board of Trustees and approval from EFA	

Above amount in annual funding letter or as per delegated limits in the Academies Financial Handbook

Disposal of Surplus Stock, Stores & Assets (estimated value)

Executive Head and Heads of School	Up to £250
Business Committee (on behalf of LGB)	From £251 to £5,000
Board of Trustees	Over £5,000

Board of Trustees plus prior approval of EFA

Freehold land & buildings/heritage assets as in Academies Financial Handbook

Other Monetary Limits

Mileage Allowance

HM Revenue & Customs approved rate

Petty Cash Imprest

£400 (except for an Unusual Event)

**Safe Cash/ Cheque limits
(as per our insurance policy)**

£3,000 – cash

£5,000 – cheques (recorded at point of receipt)

£500 monetary instruments i.e. stamps, vouchers

Ordering Procedures

3 Competitive quotations
(written evidence required)

£5,000 - £50,000

Tendering procedure

Over £50,000

Tendering procedure + OJEU

€207,000+ (Euros) for supplies and services

Tendering procedure + OJEU

€5,186,000+ (Euros) for works

Asset Register

Capitalisation limit

Over £5,000

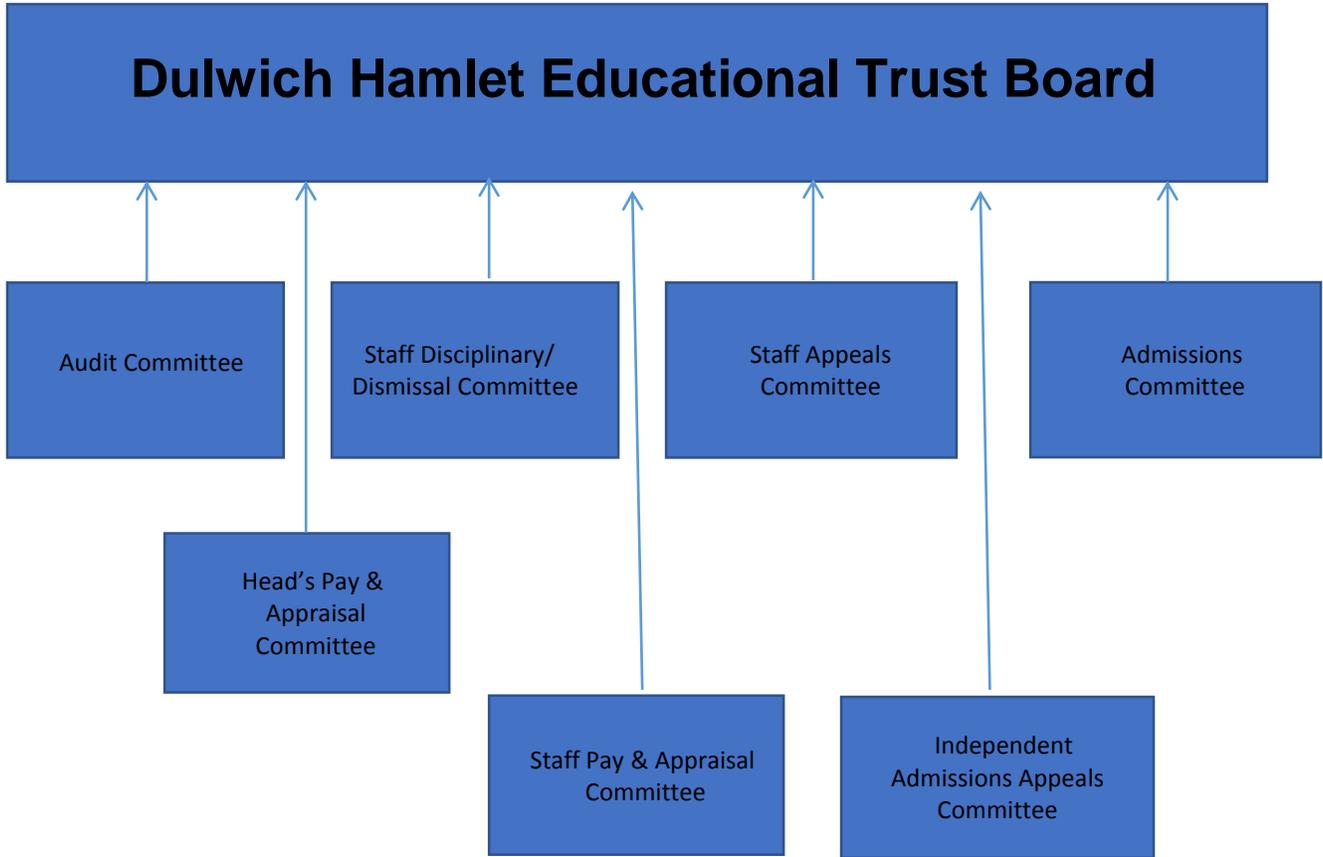
Attractive portable items

Over £250

Committee Structure

The diagrams below illustrate the standing and ad hoc committees of the Trust Board and the Local Governing Bodies. Other committees and sub committees may be added on an ad hoc basis depending on need.

Dulwich Hamlet Educational Trust



Dulwich Hamlet Junior School

The Belham Primary School

