



HERTS FOR
LEARNING
**MULTI
ACADEMY
TRUST**

Herts for Learning Multi Academy Trust

Governance Decision Matrix

2018/19

HfL Multi Academy Trust

Responsible
Accountable
Consulted
Informed

Scheme of Delegation Decision Matrix - Strategy and leadership

The person who actually carries out the process or task assignment; responsible for getting the job done.

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People who are not directly involved with carrying out the task, but who are consulted and may Those who receive information about the process or task, or need to stay informed.

Strategy and Leadership	Code	Members	Trust Board	CEO	CFO	Academy Governing Board	Academy Head	Comments
Set vision and strategic objectives of the Trust & Academies	SL 1	C	A	R		A – for academy	C – for academy	AGB & leadership accountable for individual academy vision and objectives but consulted on overall Trust vision and objectives. Expectation is of high degree of congruence
Oversee implementation of strategic objectives of the Trust & Academies	SL 2		A	R		A - for academy	C - for academy	AGB & leadership accountable for implementation individual academy vision and objectives and delivering on overall Trust vision and objectives. Expectation is of high degree of congruence
Scrutiny – review & challenge progress of the Trust against its strategic objectives and KPIs, and in accordance with Trust vision	SL 3	A	R	R		A – for academy	R	
Compliance: Funding Agreement – comply with all obligations including the Academies Financial Handbook	SL 4	A	A	R	R	A for academy	R	
Compliance: Regulatory – with all regulations affecting the Trust (including all charity law, company law, employment law and health and safety)	SL 5	A	A	R		A for academy	R	
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	SL 6	C	A	A to the ESFA and parliament	R	R - for academy	R	CEO is accountable to ESFA and parliament (AFH 1.5.24) as the Accounting Officer
Compliance – completing the register of business interests and put in place a procedure to deal with any conflicts of interest and connected party transactions	SL 7	I	A	R - in respect of maintaining register of business interests for Trustees (in Accounting Officer capacity)		A for academy	R	

Compliance – FOI and GDPR	SL 8		A	R		A for academy	R	
Appointment and dismissal of Trustees – ensuring processes in place for appointment of directors (including ensuring that the Trustees have the skills to run the Trust)	SL 9	A	C			I	I	Appointment process (ensuring compliance with Articles of Association) depends whether Member/Sponsor/Co-opted Trustee
Appointment of Governors – ensuring processes in place for appointment of governors (including ensuring that the Governors have the skills to run the Academies)	SL 10		A	C		R	C	Appointment process (ensuring compliance with Articles of Association)
Appointment of the Accounting Officer and Audit Committee	SL 11		A, R					
Appointment of Trust internal and external auditors	SL 12		A	R				
Appointment of MAT Board Company Secretary	SL 13		A	R				Board appointment process
Appointment of Clerk to Academy Governing Board	SL 14		I	R		A		Clerk appointed by members of AGB but Trust reserves right to overrule decision
Appointment of Chairs of AGB	SL 15		C	R		A		Chair elected by members of AGB on annual basis, but subject to approval by Trust Board (AGB terms of reference)
Policies – review and approval of Trust-wide policies (including admissions, procurement, DBS, charging and remissions policies, health & safety and safeguarding)	SL 16		A	R		C	C	Delegated as appropriate to committees for recommendation to Board for ratification.
Policies – review and approval of individual academy policies	SL 17			I		A	R	
Prepare and agree terms of reference for Trust Board Committees	SL 18		A/R	C				
Prepare and agree terms of reference for AGBs	SL 19			C		A/R	C	See AGB handbook for Trust Board's reserved powers
Training programme for Trustees and AGBs	SL 20	I	A	R		R	C	
Legal claims - with potential impact on Academy or Trust reputation	SL 21	A	R	R		A - for academy	R for academy	

Benchmarking and best value	SL 22		A	R	R	A for academy	R	
Manage and mitigate strategic risk	SL 23	C	A	R	R	A for academy	R for academy	
Other major strategic decisions	SL 24		A	R		I	I	
Code of conduct - Trustees and employees	SL 25		A	R		I	C for employees	

Notes:

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Where accountability or responsibility sits with the CEO, it may be delegated to central Trust staff, reporting back via the CEO.

Where financial responsibility sits with the academy head it may be delegated to the academy business manager, reporting back via the head (as local accounting officer).

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Scheme of Delegation Decision Matrix - Educational Effectiveness

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Educational effectiveness	Code	Members	Trust Board	CEO	CFO	Academy Governing Board	Academy Head	Comments
Overall MAT Trust Development Plan	EC1A	I	A	R	I	C	C	
Individual academy plan in line with strategic aims of the Trust (annual requirement)	EC 1B		I	I	I	A	R	
Key Performance Indicators – setting and reviewing performance of the Trust & the Academies (in relation to academic standards, finances, and other matters (?))	EC 2	C	A	R		R	C	
Quality of Teaching - ensuring appropriate levels of support, challenge and intervention to support delivery of education outcomes	EC 3		C	A	I	A for academy	R	
Curriculum – setting the curriculum for the Academies and reviewing its effectiveness	EC 4		C	A	I	A for academy	R	
Pupil Premium – reviewing and challenging the value for money/ ROI of the Pupil Premium in terms of educational outcomes and narrowing the achievement gap	EC 5		C	A	R	A for academy	R	
Set admissions policy	EC 6	I	A	R		A - at academy level		AGB ensures compliance. There may be specific cases e.g. faith schools, ESCs, special schools which have specific admissions criteria
Admission application decisions and appeals	EC 7		A	R		I	I	
Collective worship arrangements for school, without religious character	EC 8					A	R	
Student issues (including attendance, exclusions, punctuality and disciplinary matters for each Academy)	EC 9		I	I		A	R	
Academy Hours – setting the opening and closing times for the Academies	EC 10			I		A	R	

Term Dates and length of school day	EC11		A	R		C	C	
School lunch – ensure provided to appropriate nutritional standards	EC 12			A		A	R	
Provision of free school meals to those meeting criteria	EC 13			A	R	A for academy	R	
Formal collaborations and partnership agreements	EC 14	I	A	R		C	R	Formal agreements at Trust level. Informal arrangements and collaboration at academy level

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HR	Code	Members	Trust Board	CEO	CFO	Academy Governing Board	Academy Head	Comments
Appointing the CEO and CFO	HR 1	C	A, R			I	I	
Appointing the Headteachers at each Academy	HR2a	I	A - Board ratification required	R		R		Panel combination of CEO, Trustee, Chair of AGB, AIL Article 107a within the articles of association states that Trustees will appoint headteachers at each academy. Provided there are two Trustees on the panel who could exercise a ratification 'right of veto' at this stage, this requirement would be fulfilled. Should two Trustees not be available for the interview panel then ratification would be a simple majority of Trustees in favour.
Appointing Deputy Headteachers (all schools) and Assistant Headteachers (in secondary schools)	HR2b			C		A	R	The Executive are informed prior to the recruitment process and a member of the MAT Executive is part of the selection panel.
Appointing Lead finance members of staff in each school	HR2c			C	C	A	R	The Executive are informed prior to the recruitment process and a member of the MAT Executive is part of the selection panel (usually the CFO).
Appointing of cross-Trust Staff (in line with recruitment policy)	HR 3	I	I, C	A, R	I	I	I	Appointments to the Executive: the Chair of the Board and Committees are informed prior to recruitment and at least one Trustee (in addition to the CEO) is part of the selection panel
Appointing Academy Staff	HR 4			C		A for academy	R	Head to consult with CEO on key appointments (staff panel appropriate to post) Head + AIL/CFO + Chair of AGB for key posts
Establishing Trust wide HR Policies (including recruitment, pay, discipline, capability, grievance and absence policies) in accordance with all appropriate regulations	HR 5	I	A	R		C	C	HR Committee recommendations to Board
Setting Appraisal Performance Management Policy together with pay reviews (in line with the Trust's pay policy and all statutory regulations)	HR 6		A for policy, (R in respect of CEO performance)	R	C	A for academy pay reviews	R for academy pay reviews	
Setting Terms and Conditions of Employment and Staff Handbook	HR 7		A	R		C	C	
Annual review of headteachers' salaries (in line with Trust's pay policy and all statutory regulations)	HR 8		A	R		C	I	
Dismissing CEO, Academy Heads, senior/ cross-Trust staff (in accordance with the Trust disciplinary and capability policies)	HR 9		A, R (in respect of CEO)	R		I	I	

Dismissing all other academy staff (in accordance with the Trust disciplinary and capability policies)	HR 10			C		A for academy	R for academy	
Reviewing discipline and grievance policy	HR 11		A	R		C	C	
Review Trust central team structure and complement	HR 12		A	R				
Trust central team organisational restructuring	HR 13	I	A	R	C	I	I	Board ratification required, CEO notification before process begins, HR advice involved
Safeguarding	HR 14		A	R		A for academy	R for academy	Central policy - each headteacher is responsible at academy level

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Scheme of Delegation Decision Matrix - Operations and asset management

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Operations and asset management	Code	Members	Trust Board	CEO	CFO	Academy Governing Board	Academy Head	Comments
Determining and allocating central services provided to the Academies by the Trust	OP 1	I	A	R	C	C	C	
Overseeing the effectiveness of services provided centrally by the Trust	OP 2		A	R		C	C	
Asset and Premises Maintenance Strategy – determining use of Academies’ premises and ensuring premises are adequately maintained	OP 3		A	R	R	A for academy	R for academy	
Arranging insurance for the Trust	OP 4		A	R	R			Finance, Audit Risk and Estates Committee
Media and PR - overseeing public relations activities to project the activities of the Trust and the Academies to the wider community	OP 5		I	A, R		A for academy	R for academy	
Academy Prospectus and website	OP 6			I		A for academy	R for academy	
Trust Prospectus and website	OP 7	I	C	A, R		I	I	
Dealing with Trust complaints	OP8a		A	R				
Dealing with academy complaints	OP 8b		A If complaint re AGB	I, R		A for academy	R for academy	For individual academy complaints the AGB is responsible in first instance, unless complaint is about AGB. Policy will include escalation to MAT Board if not resolved locally. CEO informed if dealt with at academy level
Determining and overseeing the overall buildings replacement and maintenance schedule and plan	OP9	I	A	R	R	C	C	

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Scheme of Delegation Decision Matrix - Financial

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Financial	Code	Members	Trust Board	CEO	CFO	Academy Governing Board	Academy Head	Comments
Funding Model - agreeing a funding model across the Trust and develop an individual funding model for the Academies) so as to secure the Trust's financial health in the short term and the long term (<i>top slice</i>)	F 1	I	A	R	R	C	C	
Trust Annual Budget – formulating and setting the Trust wide budget	F 2	I	A	R	R			Finance, Audit, Risk and Estates Committee initial discussions, approval by Board
Academy Annual Budgets – preparation of academy budget for Trust Board approval	F 3		A	R	R	A for academy	R for academy	Finance, Audit, Risk and Estates Committee
Expenditure and ensuring delivery of individual academy annual budgets (including managing Academy cash flow)	F 4		I	I	R	A for academy	R	Finance, Audit, Risk and Estates Committee
Reporting: financial KPIs	F 5		I	A	R	A at academy level	R at academy level	Finance, Audit, Risk and Estates Committee
Delegated Budgets and Finances - in the form of a scheme of delegation of financial authority to the Academies	F 6		A	R	R	A at academy level	R -at academy level	Board to authorise SoD
Financial Policies –establishing of policies and procedures to ensure compliance with the Trust's financial and reporting requirements	F 7		A	R	R	I	I	Finance, Audit, Risk and Estates Committee
Annual accounts (<i>statutory financial reporting</i>)	F 8		A	R	R	I	I	Members to authorise annual accounts
Acquiring and disposing of Trust land	F 9	C	A	R	R	C	C	Finance, Audit, Risk and Estates Committee
Changing use of Assets	F 10	C	A	R	R	C	C	Finance, Audit, Risk and Estates Committee
<i>Not used</i>	F 11							
Investments – agreeing the investment policy in line with the Academies Financial Handbook and any internal policies and controls	F 12	C	A	R	R			Finance, Audit, Risk and Estates Committee
Setting trust wide procurement policies (for suppliers including auditors, HR and payroll providers and solicitors) in accordance with the Funding Agreement, Academies Financial Handbook and the Trust's procurement policy	F 13		A	R	R	I	I	Finance, Audit, Risk and Estates Committee
Setting academy specific lettings policies - in accordance with the Funding Agreement, Academies Financial Handbook and the Trust's procurement policy	F 14			I	C	A for academy	R for academy	Finance, Audit, Risk and Estates Committee

Submitting grant applications	F 15		A (above £200,000)	A (up to £200,000)	R	A for academy	R for academy	Finance, Audit, Risk and Estates Committee
Approval of borrowing	F 16	C	A	C	R			Finance, Audit, Risk and Estates Committee
VAT compliance	F 17		I	A	R	A at academy level	R at academy level	Finance, Audit, Risk and Estates Committee

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