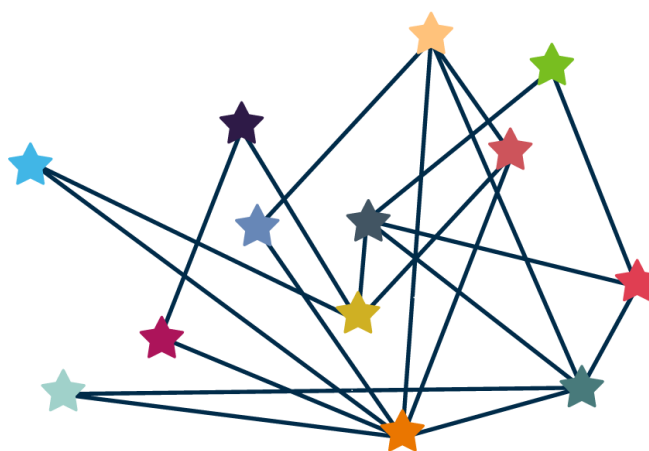


ULT Governance Structure and Scheme of Delegation



UTTOXETER
LEARNING TRUST
INSPIRED TEACHING
INSPIRING CHILDREN

Approved: Autumn Term 2022

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Code of Conduct for Members, Trustees and Local School Governing Boards

The ULT has a code of conduct, which sets out the expectations on, and commitment required from, members, trustees and local school governors in order for the Uttoxeter Learning Trust (ULT) to properly carry out its work within the schools and the wider community. Each has their own roles and responsibilities, but all are expected to respect and uphold the following seven Principles of Public Life as defined by the Nolan Committee:

The Seven Principles of Public Life

(Originally published by the Nolan Committee: The Committee on Standards in Public Life was established by the then Prime Minister in October 1994, under the Chairmanship of Lord Nolan, to consider standards of conduct in various areas of public life, and to make recommendations).

Selflessness- Holders of public office should act solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.

Integrity - Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their official duties.

Objectivity - In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

Accountability - Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

Openness- Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

Honesty- Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

Leadership- Holders of public office should promote and support these principles by leadership and example.

Full details of the code of conduct can be found on the ULT website at www.ultlt.org



Introduction

The ULT board of trustees is accountable in law for all major decisions relating to its academies. However, this does not mean that the board is required to carry out all the trust's governance functions and decision-making responsibilities. Many are delegated to the chief executive officer (CEO), the board's committees, and to local governing boards.

A clear scheme of delegation defines lines of responsibility and accountability within the ULT.

However, this overarching Scheme of Delegation for all decision making in the ULT should not be confused with the written scheme of delegation for financial powers referred to in the Academy Trust Handbook.

This document contains:

- Information on the code of conduct for members, trustees and local school governing boards
- Introduction
- The purpose of a scheme of delegation
- Governance structure of the ULT
- Lines of accountability of the ULT
- Roles and responsibilities
- The role of ULT members
- The role of ULT trustees
- The role of trust board committees
- The role of the CEO
- The role of the headteacher professional board
- The role of the headteacher
- The role of local governing boards
- The role of the school representation board
- Terms of reference for the ULT trust board
- Terms of reference for the ULT education committee
- Terms of reference for the ULT finance and audit committee
- Terms of reference for the ULT local governing board
- Terms of reference for the ULT school representation board
- Appendix 1: Overarching scheme of delegation
- Appendix 2: Scheme of financial delegation



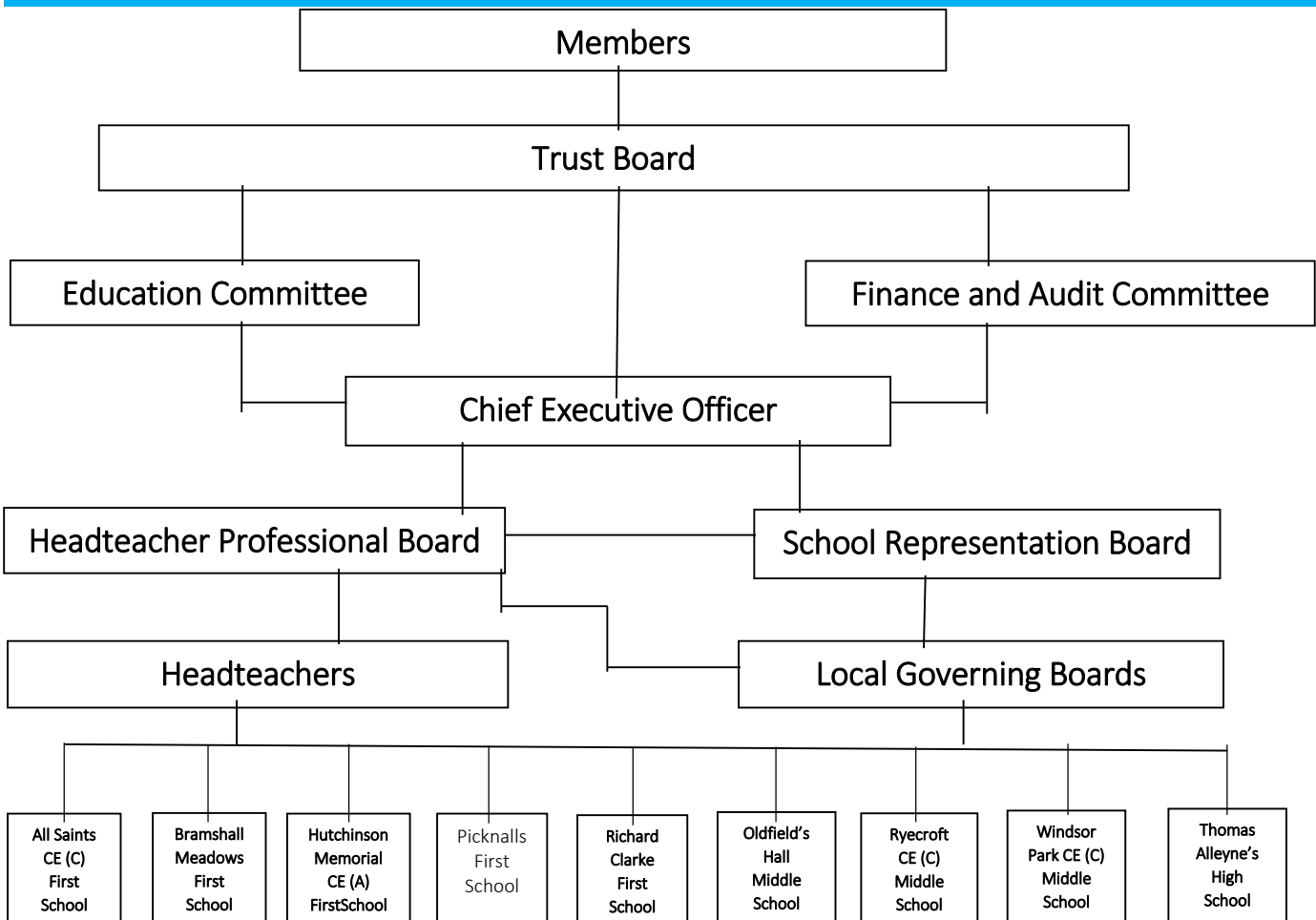
The purpose of a scheme of delegation

The ULT scheme of delegation will:

- Promote a culture of honesty and accountability
- Ensure the executive leadership (CEO/Chief Finance Officer (CFO)) is clear about which decisions the trust board remain in control of
- Identify responsibility for the appointment and performance management of the CEO and school headteachers
- Ensure that the role of the executive leadership (CEO/CFO) is fully understood throughout the ULT
- Identify responsibility for policy and practice in each school
- Identify responsibility for oversight of educational performance in each school
- Identify responsibility for oversight of each school's budget
- Identify responsibility for assessment of risk in each school

As the ULT matures and grows the workings of the ULT, both in terms of governance and management, are likely to change. The Scheme of Delegation (SoD) will therefore be reviewed annually, with changes made as necessary to reflect the changing circumstances and ensure that the ULT continues to best meet the needs of its academies. All involved in governance of the ULT will always be made aware of any changes and what these mean in practice.

Governance structure of the ULT



Lines of Accountability of the Uttoxeter Learning Trust

- The members are guardians of the governance of the ULT and appoint and remove trustees to ensure that the ULT's charitable object is carried out.
- The board of trustees is responsible for the three core governance functions:
 - Ensure clarity of vision, ethos and strategic direction of the ULT
 - Hold the chief executive officer (CEO) to account for the educational performance of the ULT's schools and their pupils, the performance of the trust and their role as the accounting officer
 - Oversee the financial performance of the ULT and make sure that it's money well spent
- The board of trustees is responsible for ensuring overall protection and safeguarding of pupils across all schools in the ULT.
- The board of trustees appoint the CEO, to whom it delegates responsibility for delivery of its vision and strategy, and will hold the CEO to account for the conduct and performance of the trust, including the performance of the academies within the trust, and for its financial management.
- In turn, the CEO line manages the Chief Finance Officer (CFO) and headteachers, setting their targets and performance managing them.
- The board of trustees has established committees for finance and audit and education and these look in detail at resources and progress and attainment across schools in the ULT. The committees meet at least twice each term and at least three trustees must sit on each committee.
- The board of trustees delegates some of its school level monitoring and scrutinising functions to local governing boards (LGBs) who, as a point of consultation and representation, will also promote stakeholder engagement. The CEO will work with the LGB's chair when undertaking the headteacher's performance management.

Roles and Responsibilities

The role of ULT members

The members of the ULT are guardians of its governance structure although they have no day-to-day role in the running of the school. The members appoint trustees to ensure that the trust's charitable object is carried out and can remove them if they fail to fulfil this responsibility.

The role of ULT trustees

The ULT 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 ULT uses the term trustee.

The board of trustees is responsible for the general control and management of the administration of the ULT and, in accordance with the provisions set out in the Memorandum and Articles of Association and its funding agreement, is legally responsible and accountable for the three core governance functions including the performance of all schools within the trust. It must also approve a written scheme of delegation of financial powers that maintains robust internal control arrangements. The board of trustees has the right to review and adapt its governance structure at any time which may, where necessary, include removing delegation.

The board of trustees is the employer of all staff employed within the ULT.

The role of trust board committees

The trustees have established two committees (Education and Finance and Audit) to carry out some of its governance functions. Both committees have delegated responsibilities but all decisions made will be deemed decisions of the trust board. There will always be at least 3 trustees on each committee and the responsibilities are set out in the terms of reference.

The role of the chief executive officer (CEO)

The CEO has the delegated responsibility for the operation of the ULT including the performance of all of its schools. The CEO therefore performance manages the school headteachers, with support from a HT PM Sub-Committee of the school's local governing board. The CEO is also the accounting officer so has overall responsibility for the operation of the ULT's financial responsibilities and must ensure that the organisation is run with financial effectiveness and stability; avoiding waste and securing value for money.

The role of the Headteacher Professional Board (HPB)

The headteachers meet to discuss and shape ULT Policy and practices within each school and across the MAT as a whole'

The role of the school headteacher / executive headteacher

The headteacher is responsible for the day to day management of the school and is managed by the CEO. The headteacher may then further delegate such functions to individual members of staff. However, the headteacher reports to the local governing board on matters which have been delegated to it.

The role of the Local Governing Boards (LGBs)

Each school in the ULT has a local governing board to carry out some of the school level governance functions, including in particular the statutory requirement to ensure the protection and safeguarding of its pupils. It will also closely monitor school finances and school performance.

The local governing board is a committee appointed by trustees who will hold them to account as well as listen to issues they raise. Trustees have the power to appoint and remove local governing boards although such action will be unlikely where schools are performing well.

The role of the School Representation Board (SRB)

The SRB provides the chairs of local governing boards and headteachers, a forum in which to meet and discuss ULT issues. It is also a channel of communication and means of representation to the ULT trust board.

Terms of Reference

ULT Members

Members will meet at least every term which will include an annual general meeting to be held during the spring term. The quorum for any meeting is at least 2 members.

Roles and responsibilities are:

- Sign the memorandum and articles of association (and agree any subsequent changes).
- Determine the name of the trust (Uttoxeter Learning Trust).
- Appoint members and trustees.
- Appoint and remove the auditors.
- Receive a copy of the Annual Accounts and Report.
- Ensure success of the ULT.
- Meet at least once a year, usually at an annual general meeting.
- Dissolve the ULT.

ULT Trust Board

The trust board will meet at least each half term and the quorum for meetings is any 3 trustees, or, where greater any third of the total number of trustees holding office. A trust board chair will be elected each year, usually at the first meeting of a new school year.

Roles and responsibilities are:

- Review and take responsibility for the Scheme of Delegation and Governance Structure (SoD).
- Ensure that the ULT and all of its schools comply with statutory guidance for the protection and safeguarding of pupils.
- Ensure clarity of vision, ethos and strategic direction of the ULT, reviewing and revising as appropriate the Vision, Values and Strategic Direction statement in partnership with the Members.
- Hold executive leaders to account for the educational performance of all ULT schools and its pupils, and the performance management of staff.

- Oversee the financial performance of the ULT and making sure its money is well spent.
- Take responsibility for, approve and evaluate the overall ULT Improvement Plan and targets, and ensure that the individual school improvement plans both inform it and are consistent with it.
- To remove the local governing boards and delegated powers should serious concerns arise.
- Support and challenge the local governing boards of schools, including consideration of any issues brought from the Headteacher Professional Board or from the School Representation Board (chairs of governors and headteachers) – and intervene when deemed necessary.
- Invite, where appropriate, representative headteachers and chairs of LGBs to trust board meetings in order to ensure effective communication and accountability.
- Appoint and, if required, dismiss executive Leaders and all other key roles in all ULT schools, ensuring effective and efficient processes and procedures are in place for both.
- Oversee the effective performance management of all executive leaders within ULT, including the Chief Executive Officer, who should be performance managed by the Chair of the Board of Trustees.
- Ensure all executive leaders have processes in place to ensure the effective performance management of all school staff.
- Discharge all responsibilities as set out under the Articles of Association, Funding Agreement and Academy Trust Handbook, adopting a “do, or explain” approach.
- Ensure robust governance and effective financial management arrangements.
- Ensure a central fund is established and maintained so that targeted investments can be made in staff CPD, buildings, IT infrastructure etc. and that unforeseen circumstances that may have a financial impact not covered by insurance can be effectively dealt with by the ULT.
- Approve a written Scheme of Financial Delegation that maintains robust internal control arrangements.
- Approve a balanced budget for each school and any significant changes to budgets which can draw on unspent funds brought forward from previous years (and minute these approvals).
- Submit to the Education Funding Agency (EFA) a budget forecast, notifying the EFA within 14 days if it is formally proposing to set a deficit budget for the current financial year, which it is unable to address, after unspent funds from previous years are taken into account.
- Be able to show that public funds have been used as intended by Parliament.
- Ensure the publication of up-to-date governance arrangements to comply with the ATH guidance.
- Evaluate the trust board’s own effectiveness.
- Ensure there is accurate and up-to-date documentation and effective communication of the Board’s decisions and impact to stakeholders e.g. parents, the community, LGBs and the Lichfield Diocese.
- Provide Members with information as requested in a timely manner.
- Request, receive and challenge, information from the Finance and Audit and Education Committees.

ULT Education Committee

The Education committee will meet at least each half term and the quorum for any meeting is at least 3 trustees. A committee chair and vice chair will be elected each year, usually at the first meeting of a new school year.

Roles and responsibilities are:

- The Education Committee will review and evaluate educational performance (both actual and projected results) of each school and tier.
- Receive an annual report from each school on attainment and progress of pupils in national tests and exams, with interim reports on current performance. Reports to also include provision and outcomes for particular groups of pupils, including looked after children, by gender, race, special educational needs, the most able, disabilities and deprivation. Schools will be required to present reports in a key performance indicators (KPI) document to ensure consistency of reporting.
- School performance including indicators of the quality of curriculum, teaching, learning, and assessment to be presented to the Trust Board in an easily accessible format to enable comparison of the performance of schools across the MAT.
- Undertake an annual check to ensure that all schools across the MAT have statutory policies in place that continue to comply with national guidance, including in particular policies relating to child protection, safeguarding and Prevent.
- Review and evaluate education policies that are applicable to the Trust Board.

- The Education Committee will set up a Raising Achievement Board (RAB) where there is educational cause for concern. The Education Committee will ask the Headteacher to present a plan to rectify underperformance and to explain the plan, in person, to a specially convened meeting. The RAB will be made up of suitably qualified people able to fulfil this function.
- Ensure that each school provides its pupils with a curriculum that shows breadth, depth, progression and is accessible to all learners.
- Receive a report from each school governing board with regards to their annual review.
- Receive updates through the CEO on school leadership and management arrangements and changes of leadership staffing, including governors.
- Receive reports which include CPD and training opportunities for ULT staff.
- Ensure effective independent and impartial careers advice is provided across the Trust schools and accurately measure the progress and destination of all leavers.
- Receive reports and evaluate issues relating to pupil behaviour and discipline, including rewards and sanctions, bullying, internet bullying and exclusions.
- Receive and investigate any whistleblowing allegations relating to educational issues.
- Review any parental complaints made against individual schools that have been referred by the Trust Board.
- Receive reports on and challenge the provision and effectiveness of staff training, performance management and staff welfare.
- To ensure that all trustees have access to appropriate training courses to enable them to fulfil their roles and responsibilities.
- Provide the Trust Board with information as requested in a timely manner.

ULT Finance & Audit Committee

The Finance & Audit committee will meet at least each half term and the quorum for any meeting is at least 3 trustees. A committee chair and vice chair will be elected each year, usually at the first meeting of a new school year.

Roles and responsibilities are –

- Review and take responsibility for the Financial Scheme of Delegation.
- Make recommendations to the Trust Board in relation to all financial decisions across the MAT in accordance with the limits set in the scheme of delegation
- Receive and challenge reports from the Chief Finance Officer and hold the Accounting Officer to account for all financial and audit matters.
- Discharge the functions of an audit committee, thereby providing oversight of the Trust's internal controls and the effective management of assets.
- Ensure an efficient and robust internal audit process is implemented by an independent qualified auditor that annually considers key aspects of Trust financial performance, internal controls and the effective management of assets and receive the associated reports and monitor the effective implementation of any agreed recommendations.
- Ensure an efficient and robust external audit process is implemented by appointing an independent qualified auditor that annually considers key aspects of Trust financial performance, internal controls and the effective management of assets and receive the associated reports and monitor the effective implementation of any agreed recommendations.
- Hold to account those ensuring financial scrutiny and oversight of each school and across the MAT.
- Ensure good financial management and effective internal controls to ensure compliance, regularity, propriety and value for money.
- Ensure compliance with the Funding Agreement and the Academy Trust Handbook.
- Ensure sufficient rigour and scrutiny in the budget management process to understand and address variances between the budget that has been set and actual income and expenditure.
- Receive and consider information on financial performance at least 6 times a year, and take appropriate action to ensure ongoing viability.
- Make recommendations to the Trust Board in relation to admissions policies and marketing strategies.
- Monitor numbers on role and pupil predictions.
- Receive and investigate any whistleblowing allegations relating to financial issues.

- Review any parental complaints made against individual schools that have been referred by the Trust Board.
- Manage risk, including setting and managing risk appetite, tolerance and mitigation strategies and reviewing the risk register.
- Receive reports on key health and safety issues and ensure adequate insurance cover.
- Approve key staffing changes that have financial implications on schools such as redundancies.
- Approve arrangements for nationally agreed pay awards for all ULT schools.
- Make recommendations to Trust Board in relation to staffing decisions, including dismissals and early retirements
- Determine a resources, assets and property development plan for across the MAT, and review all significant decisions relating to resources, assets and property, including procurement, maintenance and write-offs consistent with the scheme of delegation.
- Provide the Board of Trustees with information as requested in a timely manner.
- Receive reports from the CFO with regards to procurement contracts in line with the Scheme of Delegation.

Local Governing Board

The local governing board will determine its own composition, but the total membership must be between a minimum of 9 and a maximum of 12 governors. Whatever the total membership, each local governing board must comprise:

- At least two elected parent governors
- One elected staff governor
- The headteacher (unless s/he chooses not to be a governor)

The local governing board may appoint such number of co-opted governors up to its agreed composition. Additional staff or parent governors may be **appointed** (to ensure they have the required identified skills) as co-opted governors. However, the total number of staff governors must not exceed one third of the total membership.

A local governing board constituted in respect of any former Voluntary Controlled school shall have 25% of its governors appointed by CECET and any local governing board constituted in respect of a former Voluntary Aided school shall have most of its governors appointed by CECET. All governors of a local governing board for a former Voluntary Controlled or Voluntary Aided school shall also be required to sign an undertaking to CECET to uphold the designated religious character of the said school.

The local governing board will usually meet at least once each term, and supported by committees to make decisions on its behalf, and act as a clear channel of communication to inform the wider work of the full governing board. The committee structure may differ from school to school. Each will have its own terms of reference as agreed by the governing board.

The local governing board for each school is responsible for the following strategic functions:

- Setting and ensuring clarity of vision, values and objectives for the school whilst reflecting the ULTs' vision, ethos and strategic direction.
- Ensuring all statutory safeguarding and prevent duties are met.
- Ensuring all statutory health and safety duties are met.
- Ensuring the school is compliant in all key aspects.
- Agreeing the school improvement strategy with priorities and targets.
- Supporting the CEO in the appointment of the headteacher.
- Monitoring the quality of the educational performance of the school and progress towards agreed targets.
- Monitoring the impact of the curriculum.
- Supporting the CEO in performance managing the headteacher.
- Engaging with stakeholders
- Contributing to school self-evaluation.
- Setting the allocated budget, within any guidance set by the ULT trust board.
- Monitoring spending against the budget.
- Ensuring money is well spent and value for money is obtained.
- Supporting and monitoring the appropriate CPD for staff across the school.

- Ensuring risks to the school are managed.
- Supporting the headteacher with any admission appeals.

School Representation Board

Membership comprises the chairs (or their representatives) of the local governing boards plus headteachers of all ULT schools. The SRB meets half termly and a chair and vice chair are elected annually at the first meeting of a new school year.

Responsibilities are:

- To represent local governing boards in the ULT governance structure.
- To discuss any ideas, proposals, issues and concerns emanating from individual local governing boards with other ULT chairs of governors.
- To consider any proposed ULT common policies and procedures.
- To take chosen issues to the ULT trustees board for consideration and resolution.
- To ensure that local governing boards feel listened to, represented and valued in the ULT.
- To liaise with the Headteachers' Professional Board and, if possible, present a shared point of view to the ULT trustees.

ULT Overarching Scheme of Delegation

Key	
Blue box	Function cannot be legally carried out at this level.
✓	Action to be undertaken at this level
A	Provide advice and support to those accountable for decision making
<>	Direction of advice and support

The ULT trust board has the power to limit or remove delegation at any time, and has final veto on any decision.

The ULT trust board will also retain the right to direct local governing boards to take strategic decisions that will benefit the whole of the ULT and not just individual schools.

Area	Decision	Delegation						
		Members	Trust Board	Finance & Audit Committee	Education Committee	CEO	LGB	Head teacher
Governance Framework								
People	Members: Appoint/Remove	✓						
	Trustees: Appoint/Remove	✓	✓					
	Role descriptions for members	✓						
	Role descriptions for trustees, chair, specific roles, committee members: agree		✓			<A		
	Parent LGB member: elected					A>	✓	
	Trust board committee chairs: appoint and remove		✓	✓	✓	<A		
	School LGB chairs and governors: appoint and remove		✓			<A	<A	
	Clerk to trust board: appoint and remove		✓					
	Clerk to LGB : appoint and remove						✓	
Systems and Structures	Articles of Association: review and agree	✓	<A			<A		
	Governance structure for the ULT: establish and review annually		✓			<A		
	Constitution of LGB: agree		✓			<A	<A	
	Terms of reference for trust board committees and scheme of delegation for local governing boards: agree annually		✓			<A		
	Skills audit: complete and recruit to fill gaps		✓			<A>	✓	A
	Annual self-review of trust board and its committees: complete annually		✓					
	Annual self-review of LGB: complete annually						✓	
	Chair's performance: carry out 360 review periodically		✓				✓	
	Trustee / LGB contribution and attendance: review annually		✓				✓	
	Succession: planning for new trustees/LGB members		✓			<A>	✓	A
	ULT Improvement plan: agree		✓	<A	<A	<A		
	LGB Improvement plan: agree		A>			A>	✓	A
Reporting								
Area	Decision	Members	Trust Board	Finance & Audit Committee	Education Committee	CEO	LGB	Head teacher

Reporting	Publication on ULT and schools' websites of all required details on governance arrangements					✓		✓
	Annual report on performance of the trust: submit to members and publish		✓		<A	<A		
	Annual report and accounts including accounting policies, signed statement on regularity, propriety and compliance, incorporating governance statement demonstrating value for money: submit		✓	<A		<A		
	Termly updates on work of school LGB: submit to trust board and publish						✓	A
Being Strategic								
Being Strategic	Determine and review policies which reflect the ULT's ethos and values (facilitating discussions with unions where appropriate) including: complaints; safeguarding and prevent; data protection and FOI; staffing policies including capability, discipline, conduct and grievance: approve		✓	✓	✓	<A	<A	<A
	Determine and review school level policies which reflect the school's and ULT's ethos and values to include e.g. teaching and learning, curriculum, behaviour, SEND, admissions (including CoE Schools); charging and remissions; health and safety; safeguarding and prevent; premises management; data protection and FOI		A>	A>	A>	A>	✓	A
	Central spend / top slice: agree		✓	<A		<A		
	Management of risk: ULT risk register, monitor and review		✓	✓	✓	<A		
	Management of risk: assessment of school risks					A>	✓	A
	Engagement with stakeholders	✓	✓	✓	✓	✓	✓	✓
	ULT vision and strategy, agreeing key priorities and key performance indicators (KPIs) against which progress towards achieving the vision can be measured: determine		✓			<A		
	Determine and review the school curriculum including RE for CoE Schools		✓		✓		✓	✓
	Collective arrangement worship for schools		A>	A>	A>	A>	✓	A
Area	Decision	Delegation						
		Members	Trust Board	Finance & Audit Committee	Education Committee	CEO	LGB	Head teacher

Being Strategic	School vision and strategy, agreeing key priorities and key performance indicators (KPIs) against which progress towards achieving the vision can be measured: determine		✓			<A>	A>	✓
	Chief executive officer: appoint and dismiss		✓					
	School Headteacher: appoint and dismiss		✓			✓	<A	
	Budget plan to support delivery of trust key priorities: agree		✓	<A		<A		
	Budget plan to support delivery of school key priorities: agree			A>		A>	✓	A
	ULT's central staffing structure: agree		✓	<A	<A	<A		
	School staffing structure: agree					A>	✓	A
Holding to account								
Holding to account	Auditing and reporting arrangements for matters of compliance (e.g. safeguarding, H&S, employment): agree		✓	✓	✓	<A>	✓	A
	Reporting arrangements for progress on key priorities: agree		✓	<A	<A	<A>	✓	A
	Performance management of the Chief Executive Officer: undertake		✓					
	Performance management of school headteacher: undertake					✓	<A	
	Trustee monitoring of performance management: agree arrangements		✓			<A		
	School LGB monitoring of performance management agree arrangements						✓	A
	LGB overall performance monitoring: agree arrangements		✓			<A		
Ensuring Financial Probity								
Ensuring Financial Probity	Appoint Chief financial officer for delivery of ULT detailed accounting processes		✓	<A		<A		
	ULT's scheme of financial delegation: establish and review		✓	<A		<A		
	School scheme of financial delegation: establish and review			✓		<A		
	External auditors' report: receive and respond		✓	<A		<A>	✓	A
Area	Decision	Delegation						
		Members	Trust Board	Finance & Audit Committee	Education Committee	CEO	LGB	Head teacher
Ensuring Financial Probity								
	CEO pay award: agree		✓					

Ensuring Financial Probity	School headteacher pay award in accordance with Pay policy: agree					✓	<A	
	Staff appraisal procedure and pay progression: review and agree					A>	✓	A
	Benchmarking and ULT wide value for money: ensure robustness			✓		<A		
	Benchmarking and school value for money: ensure robustness					A>	✓	A
	Develop and review ULT wide procurement strategies and efficiency savings programme			✓		✓		