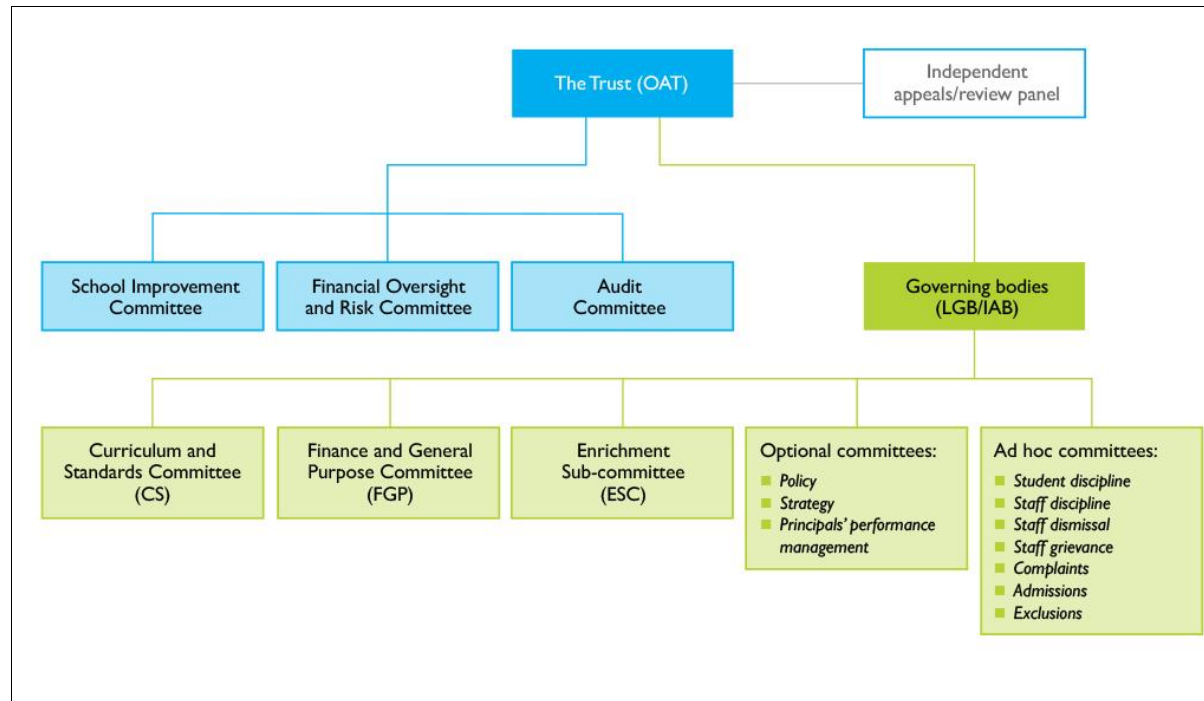


Ormiston Academy Trust Governance Charter including Scheme of Delegation

OAT is a charitable voluntary organisation which relies on the valuable input of a considerable number of non-executive volunteers, supported by an experienced team of staff. OAT is a relatively large Multi-Academy Trust that covers a sizeable geographical area. The Trust have been moving towards a more regional model of governance in order to better support school improvement. This is most advanced in the Eastern region and this document will at times refer to the 'Eastern Pilot' which is about greater regionalisation. OAT is a complex organisation and this document sets out to explain the Trusts' current governance arrangements as well as refer to some of the changes that are developing within governance.



Ormiston Trust

Ormiston Trust, OAT's sponsor Trust is a charity and grant-making trust dedicated to improving the life chances of children and young people who face disadvantage.

Ormiston Trust (OT) was founded by Peter Murray in 1969 in memory of his sister Fiona Ormiston Murray.

In 2006 the Trust became an academy sponsor, aiming to increase educational opportunity for all young people and to narrow the attainment gap. Through its subsidiary, Ormiston Academies Trust, OT is now responsible for a network of over 30 primary and secondary schools across the country from Grimsby to the Isle of Wight. Work in Ormiston academies is underpinned by a set of shared values including a commitment to parental and community engagement. In addition to this, Ormiston Trust sponsors The Gateway Academy and in partnership with OAT is joint sponsor of Birmingham Ormiston Academy. Ormiston Bolingbroke Academy is a subsidiary of OAT.

Management

Executive Team

The OAT Executive Team carries out the executive management function of the Academy Trust. The team focus on operational matters within the Trust and the performance and standards of each Academy. They operate under the leadership and direction of the CEO, who is by virtue of his/her position a Trustee of the Academy Trust. The Executive Team support the work of Principals and their staff in each Academy and with the LGB, to ensure the vision of the Trust Board is achieved. To further strengthen links within the regions, a model to look at joint or Hub governance across several LGBs is being developed.

Ormiston East Regional Team

Each Governing Body in the Eastern region is supported by a Strategic Progress Board. Membership is determined by the Managing Director but includes the Principal, the Vice Principal, the Chair of Governors and one other governor. These boards meet as often as is necessary to fulfil their responsibilities, but at least termly. The boards invite attendance at meetings from members of academies' senior and middle leadership teams to advise on a particular matter or range of issues as appropriate. Strategic Progress Boards are chaired either by the Managing Director or the Regional Director of Ormiston East.

The purpose of a strategic progress board is to ensure the delivery of rapid and impact-focused improvement, to monitor and advise on the self-evaluation processes and areas for improvement with particular regard to outcomes and success criteria. These boards make judgements on perceived requirements for intervention, enhancement and support with regards to:

Areas for development as identified through external and internal inspection and reviews

An academy's progress towards agreed performance targets

Particular priorities an academy has identified

Principles

1. The OAT governing model sets out the fundamental principles of the organisation. The model consists of the principles set out here, the Academy Trust Articles of Association and the detail set out in the Scheme of Delegation Matrix for the main OAT model and the Eastern Pilot
2. The governance principles of OAT recognise the importance of developing relationships with common purpose and they are about developing processes and structures in a changing educational landscape, hence the new model in the East which is part of the regionalisation development.
3. We will continue to develop our governance arrangements to shape and take account of best practice in the sector. The '21 questions that every Multi-academy Trust should ask itself' (January 2015; see Annex 1), set out by the All Party Parliamentary Group on Education Governance and Leadership, provide a foundation by which we will assess the effectiveness of our governance (including developing a Hub governance model to combine LGB work across a cluster of academies).
4. We are compliant with the principles and regulations set out in the Academies Financial Handbook. OAT governance intends to continue to develop its governance model in an effort to ensure outstanding practice in governance
5. Governance is underpinned by a common understanding about who is responsible for providing valuable input to decision making and who has the decision-making responsibility.
6. Effective governance in our large Academy Trust is supported by the following:
 - Trust Members – the guardians of the constitution
 - Trust Board – the Directors / Trustees
 - Trust sub-committees
 - Local Governing Bodies – the Local Governors
 - The Executive Team - the Chief Executive Officer (the CEO), the Chief Academy Improvement Officer, Chief Operating Officer, the National Director of Performance and Partnerships, the National Director for Estates and Technology and their respective senior leadership teams (together the Executive Leadership Team), including the Regional Directors.
7. The Trust Board has overall responsibility and ultimate decision-making authority for all the work of the Academy Trust, including the establishment and maintenance of the Academies.

Vision and Values:

Vision

Our vision is for all young people to have the highest academic, social and practical skills to allow them to lead a fulfilling life. We are determined to become the Trust that makes the biggest difference. OAT academies share the Ormiston Academies Trust ethos of ensuring every child reaches their full potential; being aspirational and committed to academic excellence and being supportive yet courageous in our approach. The principles that lead to our academies' success are not complicated:

- It's about courage – addressing the challenge where it's not being addressed.
- It's about aspiration – no 'can't' or 'won't'. There's no place for excuses when a child's future is at stake.
- It's about culture – insistence on the highest standards of performance and behaviour, without exception.
- That goes for teachers and students.
- It's about great leadership and finding the best teachers.

To achieve our vision, we aim to create outstanding, non-selective local academies, which give young people from all backgrounds the opportunity to succeed, build on their strengths and share their skills to make things better.

Values

Our work is informed by the following values:

Excellence: supporting young people to fulfil their individual potential.

Inclusion: responding to the individual needs of all students, whatever their background or ability.

Enjoyment: stimulating curiosity and make learning fun.

Collaboration: working in partnership to address local needs and build support for education

Accountability for decisions

The Trust Board delegate authority to three key groups in order to ensure the effective leadership and governance of the Academy Trust.

The three key groups are:

- Executive leadership and its Senior Leadership Team (the Executive Team)
- Ormiston East Regional Team
- Local Governing Bodies and Interim Advisory Boards

The relationship between the Trust Board and the Executive Team, the Ormiston East Regional Team and the Local Governing Bodies is characterised as a partnership to realise a common vision

and a common purpose. In the case of the 3 tiers of Accountability the relationship between the three tiers of governance is also based on the principles of:

- No duplication of governance.
- Governance should be as close as possible to the point of impact of decision-making.

The Scheme of Delegation Matrix provides clarity as to who the decision makers are for different levels of decisions. Effectiveness of both management and governance is supported through clarity over who holds the decision-making responsibility and accountability and who supports and advises the decision makers.

Intervention

Ormiston Academies Trust will stand down a local governing body (LGB) and appoint an Interim Advisory Board (IAB) in one or more of the following circumstances:

- Identification of weak governance.
- In response to the outcome of an annual review of governance or Ofsted inspection.
- In response to the outcome of an Ofsted inspection where there is a rating decline or an academy moves into a category of serious weakness or requiring improvement.
- A sudden or unexpected dip in the academies mid-term performance.
- Any identified safeguarding concern within the academy.

On appointment of the IAB, the Local Governing Body is fully disbanded and all delegated responsibilities of the LGB transfer to the IAB with immediate effect. The main function of the OAT-appointed IAB will be to secure governance of the academy, developing a sound basis for improvement and will be in place until the trigger is removed. The OAT School Improvement team will work in partnership with the IAB to determine priorities and set targets.

OAT do not adopt a one size fits all approach and is committed to appointing IAB's which are small, focused groups. Members will be chosen on a case-by-case basis in accordance with the skill and knowledge and the needs of individual academies.

The IAB will be responsible for the monitoring the quality of provision and standards of achievement within the academy by:

- Monitoring performance against targets set by the IAB
- Monitoring the implementation of the policy framework set by the IAB and its impact on standards of achievement
- Monitoring the academy self-evaluation and satisfying itself to the accuracy of this, including via external support as determined by the IAB
- Ensuring the academy complies with statutory requirements
- Providing robust challenge and support to the principal and SLT
- Monitoring and evaluating progress towards post-inspection or review action points

- The IAB will hold the principal and SLT to account, and be accountable to any interested party for the academy's performance by:
 - Receiving regular information from the principal and SLT on the performance of all aspects of the academy
 - Agreeing a performance management policy and monitoring its implementation
 - Conducting the performance management of the principal and monitoring progress towards agree targets
 - Ensuring that the annual academy prospectus meets statutory requirements
 - Agreeing a complaints policy and monitoring its implementation
 - Receiving appeals on issues relating to staff grievance, capability, complaints and exclusions
 - Determining how the academy's relationships with key stakeholders will be managed including what will be communicated, in what medium and how frequently

Overview of key elements of our governance

Trust Board

The trustees are responsible for the general control and management of the administration of the Trust in accordance with the provisions set out in the Memorandum and Articles of Association.

The trustees establish a Local Governing Body (LGB) in each academy and delegate responsibilities to them, however, the Local Governing Bodies are not legally responsible or accountable for statutory functions. Going forward OAT are committed to developing governance structures that meet the requirements of our academies through a model of hub governance.

The trustees retain authority and responsibility for the following:

- Compliance with the provisions of the funding agreements Agreement of the academy's annual funding in consultation with the Local Governing Body
- Compliance with the Academies Financial Handbook including, but without limitation, determination of procurement policies for the Trust
- Annual approval of the trust budget
- As the legal employer of all staff, responsibility for human resource policies and procedures and terms and conditions of service
- Appointment of the internal auditor for the academy Appointment, job description, remuneration, approval and dismissal of the principal
- Maintenance of the fixed asset register Compliance with all statutory regulations and Acts of Parliament governing the operation of the academy
- Determination of the admissions policy and arrangements for the academy in accordance with admissions law and Department for Education's (DfE) codes of practice

- Determination of the educational vision of the academy in consultation with the Local Governing Body, including, but without limitation, determination of the academy's academy development plan

Trust Board Sub-Committees

OAT Board

Ormiston Academies Trust (OAT founded in 2009) is an incorporated company and charity that aims to establish and maintain a number of Academies in accordance with guidelines laid down in its funding agreement with the DfE.

Funding Oversight, Risk and Audit Committee

The objective of the committee is to assist the board in meeting its responsibilities of monitoring financial performance and forecasts, ensuring the adequacy and effectiveness of the financial reporting, the value for money of resources, capital projects, and risk management.

Audit Committee

The objective of the committee is to assist the board in meeting its responsibilities for financial reporting, and internal and external auditing.

School Improvement and Standards Sub-Committee

The objective of the committee is to support the strategic role of the board by scrutinising in-depth the standards achieved by OAT academies and then to report its observations succinctly to the main board.

Local Governing Bodies (LGBs)

OAT trustees delegate the running of the academy to the Local Governing Body and specifically the following duties:

- Holding the Principal and academy senior leadership team to account for the educational performance of the academy and its students
- Holding the Principal and academy senior leadership team to account for the performance management of staff
- Monitoring progress towards targets and the effectiveness of the academy development plan
- Implementation of actions required to comply with statutory regulations and the funding agreements
- Implementation of the policies agreed by the Trustees with regard to admissions and to the educational vision of the academy, including, but without limitation, the academy's academy development plan
- Oversight of the academy's day to day activities
- Consideration of the academy's required funding and support to the Trustees in connection with the agreement with the DfE of the academy's budget
- Monitoring and reviewing expenditure on a regular basis and ensure compliance with the overall financial plan for the academy

- Maintenance of proper accounting records and the preparation of income and expenditure and balance sheets as required by the Finance Director
- Assisting the Trustees in complying with the provisions of the funding agreements where requested from time to time (to include, by way of example, information required for the purposes of clause 45 of the Master Funding Agreement)
- Maintenance of the academy estate in accordance with the guidelines established by the Trust Implementation of the Trust's procurement policies insofar as they impact on the academy
- Managing the academy's cash flow and monitoring expenditure by the academy in accordance with policies determined by the Trustees
- Notifying the Trust of any significant changes to fixed assets used by the academy

The appointment, job description, appraisal and dismissal of all members of staff of the academy excluding the Principal but the remuneration of every member of staff and their terms of service shall be within the parameters from time to time established by the Trustees.

Overview: composition of governance elements

This information is accurate as of September 2016 but will be subject to review once the implications of the re-negotiated Master Funding Agreement has been agreed.

Trust Members

- The Ormiston Trust
- Up to 2 persons appointed by the principal sponsor
- 1 person appointed by the Secretary of State in the event that the Secretary of State appoints a person for this purpose.
- Chairman of trustees

Members may agree unanimously, in writing, to appoint such additional members as they see fit.

Trust Board

- Chief Executive Officer
- A maximum of 10 trustees, appointed by members

Local Governing Bodies

The local governing bodies of Ormiston academies vary in number of members and composition. In line with the government policy and vision of governing bodies, we have taken the approach of getting the right people rather than having an overly structured approach to the governing body composition. Our skills based approach aims to increase the effectiveness of the governing body ensuring that it sets the vision and direction for the future and holds the academy to account for its standards and conduct.

An OAT governor represents Ormiston on the local governing body and will have been nominated by the Trust because of the added value they bring through their skills, professional expertise, local connections or wider links. Ormiston appoints OAT nominees to the governing body. OAT Executive Team makes this appointment.

The total membership of any Local Governing Body shall be not less than 3 and not more than 15 (note: this may change when the new Master Funding Agreement is finalised and may lead to smaller,

more skilled focused governing bodies). The Local Governing Body may appoint optional Associates to provide specific skills, knowledge and/or experience to the Local Governing Body.

The Local Governing Body may also appoint optional Associates to provide specific skills, knowledge and/or experience to the Local Governing Body. The scope and length of service shall be agreed with the Chair of governors but will not exceed a normal term of office (4 years). Associates may attend (but may not vote at) Local Governing Body meetings and may serve on committees. Associates may serve as chairs of committees where the committee has delegated powers to elect their own chair and where they are able to operate effectively within the legal constraints of their role.

Ormiston Academies Trust Scheme of Delegation Matrix

This scheme of delegation is structured in accordance with the DfE's publication: "The Governance Handbook - For trustees of academies and multi-academy trusts and governors of maintained schools", November 2015. Functions are categorised as follows:

1. People
2. Structures
3. Ways of Working
4. Education
5. Board improvement and Inspection
6. Pupil wellbeing
7. Staffing
8. Admissions and organisational changes
9. Control and community use of academy premises
10. Finance and information sharing

RASCI Key:

Responsible

Those responsible for the task, who ensure that it is done.

Accountable

Those ultimately answerable for the correct and thorough completion of the deliverable or task, and the one who delegates the work to those responsible.

Support

Resources allocated to responsible. Unlike consulted, who may provide input to the task, support help complete the task.

Consulted

Those whose opinions are sought, and with whom there is two-way communication.

Informed

Those who are kept up-to-date on progress.

Ormiston Scheme of Delegation Matrix

Function	Number	Activity	Trustees	Executive / Senior Leadership Team	LGB/IAB	Principal / Academy staff
People	1	To ensure that an approved appraisal policy in place	A	R	I	I
	2	To secure the statutory appraisal of Principal	A	R	S	I
	3	To review annually the performance management policy	A	R	I	I
	4	Maintain accurate and effective and secure employee records	A	S	S	R
	5	To secure the statutory appraisal of all academy staff	A	I	I	R
			Trustees	Executive / Senior Leadership Team	LGB/IAB	Principal / Academy staff
Structures	1	To determine the scope of central services to be delivered by OAT to and on behalf of the Academy	A	R	I	I
	2	To identify additional services to be procured on behalf of the Academy	A	R	I	C
	3	To ensure centrally produced services provide value for money	A	R	I	C
	4	To set the times of school sessions and the dates of school terms and holidays	A	C	I	R
	5	To ensure that the school meets the statutory requirement for [380]	A	I	R	S

		sessions in a school year				
	6	To consider requests from other schools to join the company	A	R	I	I
			Trustees	Executive / Senior Leadership Team	LGB/IAB	Principal / Academy staff
Ways of Working	1	To propose targets for pupil achievement	A	S	S	R
	2	To agree targets for pupil achievement	A	R	C	C
	3	To establish a behaviour policy	A	R	S	S
	4	To review the use of exclusion and to decide whether or not to confirm all permanent exclusions	A	I	R	S
	5	To direct reinstatement of excluded pupils	A	I	R	I
	6	Production of the Academy Improvement Plan	A	I	S	R
	7	Agree the Academy Improvement Plan	A	R	S	S
	8	To draw up governing documents and any amendments thereafter	A	R	I	I
	9	To appoint (and remove) the chair of the LGB	A	R	I	I
	10	To appoint and dismiss the clerk to the LGB	A	R	I	I
	11	To hold a full LGB meeting at least three times in a school year or a meeting of the temporary governing body as often may require	A	I	R	S
	12	To appoint, remove and actively seek members of the LGB	A	R	R	I

13	To set up a register of LGB members' Personal Interests	A	S	R	I
14	To approve and set up a governors' Expenses Scheme	A	R	I	I
15	To consider whether or not to exercise delegation of functions to individuals/committee	A	R	S	I
16	To regulate the LGB procedures	A	R	C	I
17	To determine the development needs of governors and put in place an appropriate programme	A	R	R	I
18	To develop a safeguarding policy in line with statutory requirements and best practice	A	R	I	I
19	To determine, on an annual basis, those policies which will be developed by OAT and mandatory for all OAT academies	A	R	I	I
20	To provide to OAT, on an annual basis, copies of all current policies and procedures and a schedule for their review, to review and update policies where allocated to the Academy	A	I	R	S
21	To provide a Complaints Procedure policy	A	R	I	I
22	To decide to offer additional activities and to decide what form these should take	A	I	I	R
23	To put into place any additional services to be provided	A	I	I	R
24	To ensure delivery of services offered	A	I	I	R
25	To implement the Trust's safeguarding policy	A	S	S	R
26	Maintain accurate and effective and secure pupil records in partnership	A	I	S	R

		with the LGB				
	27	Set monitoring and evaluation cycle	A	R	I	C
	28	Comply with all Data Protection legislation and good practice	A	R	I	S
	29	Assemble data for pupil assessment and other returns	A	C	I	R
			Trustees	Executive / Senior Leadership Team	LGB/IAB	Principal / Academy staff
Education	1	To develop a curriculum policy	A	I	C	R
	2	To implement curriculum policy	A	I	S	R
	3	To prohibit radicalisation, and promote equality and diversity, and tolerance and ensuring the balanced treatment of political issues	A	S	S	R
	4	Ensuring provision of RE in line with school's basic curriculum	A	I	S	R
	5	To discharge duties in respect of pupils with special educational needs and disabilities	A	I	S	R
	6	Quality of teaching	A	I	S	R
	7	Quality of individual child's education	A	I	S	R
	8	Pupils outcomes	A	S	S	R
			Trustees	Executive / Senior Leadership	LGB/IAB	Principal / Academy staff

				Team		
Board Improvement and Inspection	1	Post-Inspection action plan	A	S	I	R
			Trustees	Executive / Senior Leadership Team	LGB/IAB	Principal / Academy staff
Pupil wellbeing	1	To ensure that all pupils take part in a daily act of collective worship	A	I	S	R
	2	To ensure provision of free school meals to those pupils meeting the criteria	A	I	S	R
	3	Provision of sex education - to establish and keep up to date a written policy	A	I	S	R
			Trustees	Executive / Senior Leadership Team	LGB/IAB	Principal / Academy staff
Staffing	1	To appoint a principal (through a selection panel) including pre-recruitment checks	A	R	C	I
	2	To appoint a Deputy Principal (through a selection panel)	A	I	C	R
	3	To agree a pay policy for academy staff	A	R	I	C
	4	To exercise pay discretions	A	S	C	R
	5	Establishing disciplinary/capability procedures	A	R	I	I

6	Dismissal of Principal	A	R	C	I
7	Suspension of Principal	A	R	C	I
8	Ending of suspension of Principal	A	R	C	I
9	Formulation of Employment Policies	A	R	I	I
10	Formulation of Staff Handbook	A	I	C	R
11	Pre-recruitment checks	A	I	S	R
12	To appoint teachers other than Principals and SLT	A	I	S	R
13	To appoint non-teaching staff	A	I	S	R
15	Appointment of members of SLT	A	I	C	R
16	Dismissal of staff other than Principals	A	S	C	R
17	Suspension of staff	A	S	C	R
18	Ending of suspension of other staff	A	S	C	R
19	Determining staff complement within agreed budget	A	I	C	R
20	Determining dismissal payment/early retirement of the Principal	A	R	I	I
21	Determining dismissal payment/early retirement of others	A	S	C	R
22	Conduct of staff Appraisals	A	I	S	R
		Trustees	Executive / Senior Leadership	LGB/IAB	Principal / Academy

				Team		staff
Admissions and organisational changes	1	To consult before setting / amending an admissions policy	A	C	C	R
	2	Admissions: application decisions	A	I	C	R
	3	If appropriate to appeal against LA directions to admit pupil(s)	A	I	C	R
	4	To publish proposals to change category of school	A/C	R	C	I
			Trustees	Executive / Senior Leadership Team	LGB/IAB	Principal / Academy staff
Control and community use of school premises	1	To institute a health and safety policy	A	S	C	R
	2	Buildings insurance and public liability	A	R	I	C
	3	Developing Academy buildings and facilities estate long term strategy or master plan	A	R	I	I
	4	Producing and maintaining buildings, including developing properly funded maintenance plan	A	S	S	R
	5	To ensure that health and safety regulations are followed	A	S	S	R
	6	Premises security	A	S	S	R
	7	Premises management	A	S	S	R
			Trustees	Executive / Senior Leadership	LGB/IAB	Principal / Academy staff

				Team		
School finance	1	To develop and propose the individual Academy budget	A	I	C	R
	2	To approve the first formal budget plan each financial year	A	C	R	S
	3	To plan, manage and monitor monthly expenditure and financial reports, and identify actual or potential items of budget overspend/underspend	A	C	S	R
	4	To approve any amount to be transferred between budget headings and/or likely budget overspends	A	I	R	S
	5	To establish financial decision levels and limits	A	R	I	I
	6	To establish a charging and remissions policy for the Academy	A	R	I	I
	7	To appoint the internal auditor for the Academy	A	R	I	I
	8	Agreeing miscellaneous financial expenditure outside the agreed budget	A	R	R	S
	9	To enter into additional contracts which exceed the agreed annual budget allocation within limits specified in the Financial Regulations Manual	A	R	I	I
	10	To authorise acquisition of assets within limits specified in the Financial Regulations Manual	A	I	R	S
	11	To authorise disposal of assets within limits specified in the Financial Regulations Manual	A	I	R	S
	12	To appoint internal and external auditors	A	R	I	I
	13	To make payments within agreed financial limits	A	I	I	R
	14	To collect income due to the Academy	A	I	I	R

	15	To maintain proper financial records for the Academy	A	I	S	R
	16	To prepare monthly accounts for the Academy	A	I	I	R
	17	To monitor compliance with approved financial Procedures	A	R	S	S
	18	To develop risk management strategies	A	R	I	I
	19	To decide how to apply Pupil Premium	A	I	C	R
			Trustees	Executive / Senior Leadership Team	LGB/IAB	Principal / Academy staff
Information sharing	1	To prepare and publish the school prospectus	A	I	I	R
	2	To ensure academy website is fully compliant	A	S	S	R