

Scheme of Delegation

Strategy

Organisational Delegated Authority Framework

Strategy	Is authority delegated from the Board?	CEO	ELT	Academy Council	Principal
		Central	Central	Academy	Academy
Overall strategy of SET	No	Responsible for setting strategy, with the Board	Provides financial and educational advice and assistance in developing strategy		
Admission of new academies to SET	No	Responsible for making recommendations to Board	Provides due diligence advice in relation to potential new academies		
Admission of new sponsors to SET	No	Responsible for making recommendations to the Board			
Approval of academy development and improvement plans	Yes		Quality assures development planning across the MAT	Delegated authority for approval and monitoring of academy improvement plans, reporting exceptions to the Board	Responsible for development and delivery of academy improvement plans

Governance

Governance	Is authority delegated from the Board?	CEO	ELT	Academy Council	Principal
Appointment of Directors	No	Recommendations to Board			
Removal of Directors	No	Recommendations to Board			
Approval of terms of reference for subcommittees and for Academy Council	No	Recommendations to Board			
Recruitment procedures for Academy Councils	No	Recommendations to Board			
Appointment of Academy Councillors	No	Recommendations to Board		Recommendations to CEO	Recommendations to AC
Appoint Chair of Academy Council	Yes	Approves appointment		Recommends to CEO	
Removal of Academy Councillors	Yes	Responsible for removal		Recommendations to CEO	
Appoint & Remove Clerk to the Trust Board	Yes	Recommendations to Board		Recommendations to CEO	
Appoint Chair of Academy Council as Shaw Education Board trustee	No	Recommendations to Board		Recommendations to CEO	
Appoint & Remove Clerk to the Academy Council	Yes	Approves appointment		Recommends to CEO	Recommendations to Academy Council

Ensuring at least 2 parent governors appointed to Academy Council	Yes	Approves Academy Council membership		Recommendations to CEO	
Authorised to approve/amend organisational scheme of delegation	No	Recommendations to Board			
Take out Director Indemnity Insurance Cover	Yes		Responsible for making adequate arrangements		

Acquisition of legal entities	No	Recommendations to Board	Provision of professional advice		
Maintenance of register of interests	Yes		Responsible for ensuring Trustee register is maintained	Responsible for ensuring Academy register is maintained	Ensure academy register is maintained
Entering into, or withdrawing from, a formal partnership	Yes but dependent on financial value and level of risk	Recommendations to Board	Provision of professional advice		
Develop policy and procedures	No, but some policies may be varied according to local operational need	Recommendations to Board	Provision of professional advice	Review and monitor implementation of central and local policy and recommends local changes to ELT	Responsible for delivery of central policy and recommends local policy to AC

Education and curriculum

Education/Curriculum	Is authority delegated from the Board?	CEO	ELT	Academy Council	Principal
Approval and monitoring of SET and academy targets for student achievement and attendance	No	Responsible for proposing SET and local targets to the Board and providing appropriate reporting	Responsible for setting local targets	Review of local target setting and responsible for holding Principal to account	Reports to AC and Board via subcommittees
Approval and monitoring of SET and academy targets for quality of teaching and learning	No	Responsible for proposing SET and local targets to the Board and providing appropriate reporting		Review of local target setting and responsible for holding Principal to account	Reports to AC and Board via subcommittees
Approval and monitoring of SET and academy targets around student wellbeing	No	Responsible for proposing and SET local targets to the Board and providing appropriate reporting		Review of local target setting and responsible for holding Principal to account	Reports to AC and Board via subcommittees
New and updated educational policy	No	Makes recommendation to Board			
Approval of academy improvement plans	Yes	Responsible for linking Academy plans to SET Strategic plan and checking quality		Delegated authority for approval and monitoring of academy improvement plans	Provides plans to Academy Council for approval

Post-Ofsted Action Plan sign off for any academy that has RI or SW/SM category	No	Makes recommendation to Board			
Curriculum: Planning, implementation and review	Yes		Monitors effectiveness of curriculum plans	Monitors effectiveness of curriculum plans	Develops and delivers curriculum plans
Sign off of SET educational policies (e.g. off site visits, RE provision, Collective worship etc.)	No	Makes recommendations to Board	Makes recommendations to CEO		
Sign off of local academy educational policies and procedures (e.g. extracurricular activities, exams, behaviour, marking policies)	Yes	Approves policies and procedures	Makes recommendations to CEO	Recommends to CEO for approval. Then is responsible for the implementation and monitoring of local academy policies and procedures	Makes recommendations and reports to academy council
Term dates	Yes	Authorises term dates	Makes recommendations to CEO	Consulted	Makes recommendations to CEO

Length/ organisation of Academy day	Yes	Authorises organisation and Academy day	Makes recommendations to CEO	Consulted	Makes recommendations to CEO
Fixed term exclusions	Yes	Reports to the Standards Committee	Reports to the Standards Committee	Receives report monitors and tracks patterns	Follows LA procedures and reports to AC
Permanent exclusions	Yes	Reports to the Standards Committee	Reports to the Standards Committee	Delivers the management process	Follows LA procedures
Exclusion appeals	Yes	Reports to the Standards Committee	Reports to the Standards Committee	Delivers the management process	Follows LA procedures
Admissions policies and criteria	Yes	Can exercise authority to recommend change to the Board	Makes recommendations to CEO	Consulted	Follows LA procedures
Admission appeals	Yes	Can exercise authority to recommend change to the Board	Makes recommendations to CEO	Consulted	Authorised to attend admission appeals

Finance

* Delegated authority only applies where Academies have delegated responsibility. Where responsibilities have been withdrawn all delegated responsibility sits with the CEO and COO

Finance	EFA	Is authority delegated from the Board?	CEO	ELT/FD	Academy Council	Principal
			Central	Central	Academy	Academy
STATUTORY REPORTING						
Completion and approval of annual accounts and reports to funding and regulatory bodies		No	Review	Recommendation to CEO and Board		
Completion and submission of other accounting returns		Yes		Authorised		
Completing annual & periodic financial reports to Board and/or DFE/EFA (including income/expenditure, cash flow, projections etc.).		Yes		Authorised		
Authorised to complete PAYE returns		Yes		Authorised		
Authorised to complete VAT returns.		Yes		Authorised		

SYSTEMS OF INTERNAL FINANCIAL CONTROL						
Assurance over adequacy of systems of internal financial control		No	Provides assurance to EFA as AO	Provides assurance to CEO and Board		
Approval of financial regulations		No		Recommendation to Board		
Appointment of external auditors		No	Reports to Board			
Appointment of internal auditors		No	Reports to Board	Management of appointment process		

BUDGET & MANAGEMENT REPORTING						
Pooling arrangements by the Multi-Academy Trust		No	Recommend approval to Board	Recommend approval to CEO		
GAG balances / carryforward		Yes	Approval of balances held over carryforward threshold	Recommend approval of balances held over carryforward threshold	Approve a carry-forward threshold: Secondary 5% of GAG - Primary/Special 8% of GAG	Approve a carry-forward threshold: Secondary 5% of GAG - Primary/Special 8% of GAG
EFA Grant Claims		Yes where the value is less than £150,000	Approval of claims up to £150,000	Recommend approval of claims up to £150,000		

EFA Returns		No	Recommend approval to Board	Recommend approval to Board		
Approval of annual budgets		No	Endorsement as Accounting Officer	Oversight of preparation, review of budget plans, recommendation to Board	Review of detailed academy financial plans and budget tracking	Preparation of detailed academy financial plans and budget tracking
Receipt and review of management accounts		No	Agreed by Board of Directors 1st November 2017	Review of academy management accounts and preparation of summary report to Board	Periodic review of academy financial position	Accountable for local academy financial position
Approval of expenditure not provided for in the annual budget		Yes	Review Due: 31st October 2018	Authority to approve over £20,000	Authority to approve up to £20,000	Powers delegated to Principal up to Academy Council threshold
Authority to make budget virements		Yes where the value is less than £100,000	Authorised up to £99,999	Authorised up to £99,999	Authority to approve up to £20,000	Powers delegated to Principal up to Academy Council threshold
PURCHASING AND PROCUREMENT						
Placing orders for goods and services, entering into contracts		Yes where value is less than £100k (OJEU limits to be observed)	Authorised up to £99,999 (formal)	Authorised up to £99,999 (formal tender process)	Authorised up to £20K (minimum of 3 quotes)	Powers delegated to Principal up to Academy Council threshold

			tender process)			
Authority to accept other than the lowest quote		Yes where value is less than £100k (OJEU limits to be observed)	The trust reserves the right to delegate varying levels authority to academies according to the performance of the academy.	Authorised up to £99,999 (formal tender process)	Authorised up to £20K (minimum of 3 quotes)	Powers delegated to Principal up to Academy Council threshold
Ensuring compliance with tendering processes		Yes		Report to Board		

BANKING AUTHORITY AND CASH						
Approval to borrow money (bank or sponsor loan, overdraft)	Yes	No	Recommend approval to Board for submission to EFA	Recommend approval to CEO for submission to Board		
Cashflow Management, Treasury & Investment		Yes		Authorised to Review and approve. Investment details to be informed to Audit committee		
Open a bank account and approve signatories		No	Can be approved signatory	Can be approved signatory		
Applications for business charge card accounts		No	Can be approved signatory	Can be approved signatory		
TRANSACTION PROCESSING						
Payroll - Starters, leavers and amendments		Yes	Authorises changes	Oversees systems of internal control; authorises changes	Monitors staffing and performance	Authorises changes
Payroll - Administration		Yes	Final Authorisation of SET payroll	Recommends to CEO		Authorises monthly payroll costs for the academy

Purchasing - Authorised to create vendors on accounting system		Yes		Authorised		
Income		Yes		Authorised		
Authorisation of expense claims (cannot authorise ones own expenses)		Yes	Authorised	Authorised	Authorised for Principal	Authorised
Control account reconciliation		Yes		Authorised		
Write-off bad debts	Transactions >1% of annual income or £45k individually: or 2.5% or 5% of annual income cummulatively	Yes - up to EFA limits	Authorised up to £5k	Authorised up to £5k	Authorised up to £2k	Powers delegated to Principal up to Academy Council threshold

FIXED ASSETS						
Management of capital projects		Yes		Ensures management and governance arrangements are appropriate and reports to Board		

Acquiring a freehold on land and buildings	EFA approval required	No	Recommend approval to Board for submission to EFA	Recommend approval to CEO for submission to Board		
Disposal of a freehold on land and buildings	EFA approval required	No	Recommend approval to Board for submission to EFA	Recommend approval to CEO for submission to Board		
Disposing of heritage assets	EFA approval required	No	Recommend approval to Board for submission to EFA	Recommend approval to CEO for submission to Board		
Disposal of assets - not land, buildings or heritage		Yes - but must approve over £5k		Authorised to Review and approve up to £5k	Authorised to Review and approve up to £1k	Powers delegated to Principal up to Academy Council threshold
Acquisition of assets		Yes where value is less than £100k (OJEU limits to be observed)	Authorised up to £99,999 (Formal tender process)	Authorised up to £99,999 (Formal tender process)	Authorised up to £20K (minimum of 3 quotes)	Powers delegated to Principal up to Academy Council threshold
Asset Register		Yes		Authorised to Review and approve	Monitor asset register	Maintain asset register
Security Of Assets		Yes		Oversight and must report to Board by exception		
Loan of Assets		Yes		Authorised to Review and approve		

INSURANCES						
Annual Risk Review & Premium Renewal		Yes		Authorised to Review and approve		
LEASING						
Taking up a finance lease	EFA approval required	No	Recommend approval to Board for submission to EFA	Recommend approval to CEO for submission to Board		
Taking up a leasehold on land and buildings	EFA approval for lease >7 years	No	Recommend approval to Board for leases <7years	Recommend approval to Board for leases <7years		
Taking up any other lease		Yes but must have Board approval for over £40,000	Recommend approval to Board for leases agreements up to £40,000 (total contract period)	Recommend approval to Board for leases agreements up to £40,000 (total contract period)		
Granting a lease on land and buildings	EFA approval required	No	Recommend approval to Board for submission to EFA	Recommend approval to Board for submission to EFA		

SPECIAL PAYMENTS						
Staff Severance	Approval over £50k	Yes	Approval up to £50k	Approval up to £50k	Recommendation to CEO	Recommendation to Academy Council
Compensation	Approval over £50k	Yes	Approval up to £50k	Approval up to £50k	Recommendation to CEO	Recommendation to Academy Council
Ex gratia payments	Approval over £50k	Yes	Approval up to £50k	Approval up to £50k	Recommendation to CEO	Recommendation to Academy Council

Human resources

Human resources	Is authority delegated from the Board ?	CEO	ELT	Academy Council	Principal
Staff Structure					
Approval of annual staffing plan	No	Reviews costed staffing plans and makes overall budget recommendation to Board	Reviews costed staffing plans and makes overall budget recommendation to CEO	Reviews annual staffing plans	Prepares annual staffing plans
Authorised to Increase Academy/Organisational Headcount (Establishment) within existing staffing budget (replacement only)	Yes	Can authorise (with CFO) changes beyond overall budget	Can authorise changes within overall budget; reports changes in headcount to F, A & R committee		Can authorise replacement posts within existing staffing budget

Job Description sign off	Yes		Quality Assures JD in terms of equal opportunities pan MAT	Approval of JD	Agrees JD and recommends to SET HR
Grade of posts (teaching & support staff)					
Job evaluation policy & procedures	No		Implements JE procedures		
Authorised to evaluate jobs and grades	Yes	Authorises job evaluation and recommends to the Board	Responsible for oversight and cross-organisational grading		Makes grading proposals to HR / with HR input
Authorised to agree/vary basic employment Terms & Conditions	No		Ensures consistent application of T&Cs		
Recruitment					
Recruitment and appointment of CEO	No				
Recruitment and appointment of COO	No	Appoints COO jointly with Board			
Recruitment and appointment of Executive Team Members and Principals	Yes- but may be involved	Appoints Executive Team and Principals	Involved in process	Involved in process	
Recruitment and appointment of other Senior Leaders	Yes - but may be involved	Authorised to appoint other Senior leaders	Leads process for own teams	Involved in process at Academy	Leads process for own teams with ELT representation on the panel

Recruitment and appointment of other staff	Yes	Authorised to appoint staff in line with identified strategy	Authorised to appoint staff within own teams as agreed with CEO	Involved in process as appropriate	Authorised to appoint staff within own teams within approved headcount
Recruitment processes	Yes	Carries out recruitment processes in line with SET procedures	Ensures legislative and best practice compliance in recruitment processes	Involved in recruitment process	Carries out recruitment processes in line with SET procedures
Signing of employment contracts	Yes (but Chair must sign CEO contract)	Signs contracts of COO, ELT and Principals	SET HR team sign other employment contracts		
Pay Policy					
Annual approval of pay policy	No	Makes recommendation to Board	Contributes to recommendation to CEO		
Determination of pay ranges	Yes (except CEO)	Determines pay ranges for Principals and central staff	Responsible for oversight and cross-organisational grading	Agreed by Board of Directors 1st November 2017	Recommends to central HR

Appointment outside range in salary structure	Yes	Approves	Approves and reports to Audit committee	Review Due: 31st October 2018	Proposal for new range to AC
Allocation of TLR / SEN values	Yes		Responsible for MAT oversight	Approves allocations	Recommends to AC
Value of other discretionary allowances	Yes (except CEO)	Approval of discretionary allowances	Reviews proposal and makes recommendation to CEO	Academy council proposes to ELT	Proposals for other allowances
Annual Pay Progression and Appeals Process	Yes to Nominations and Remunerations Committee	Makes recommendations to N and R Committee	DoE ensures consistency and makes recommendation to CEO Appeals heard by DoF and DoO + AN Other (not DoE)	Approval and recommendations to DoE	Recommendation to AC Finance Sub-Committee

Pension Policy & Discretions	The trust reserves the right to delegate varying levels authority to academies according to the performance of the academy.				
Handling of all pension matters (teachers and support staff)	Yes		Makes appropriate pension arrangements and ensures proper administration		Responsible to ensure Academy systems are in place
Approval of use of discretions	No	Makes recommendations to Board	Makes recommendation to CEO		
Operation of policies					
Approval of employment policies	No	Makes recommendations to Board			
Objective setting and performance appraisal	Yes (except CEO)	Senior ELT	DoE and DDoE sets Principal's targets with AC and QA pan MAT targets DoE sets Education Team targets	Principal appraisal with DoE/DDoE AC approves recommendations for pay progression to DoE	Conducts appraisal arrangements for own team and ensures pan Academy QA
Approval of formal restructure plans	Yes	Approves re-structure plan	Makes recommendations to CEO	Leads the process with the Principal; makes recommendations to COO	Creates formal restructure plan. Leads the process.
Approval of severance or redundancy agreements	Yes	Approves up to delegated limits	Makes recommendations to CEO	Recommends to FD	Recommends to AC

Authority to issue warnings or other disciplinary measures except dismissal*	Yes	May issue warnings across the SET and attend panels	May issue warnings in own teams and attend panels	Part of formal panel and monitors the level of action	May issue warnings and disciplinary measures
Authorisation of settlement agreements	Yes	May negotiate and approves/declines recommendation	Makes recommendations to CEO	Consulted	Proposes to the FD
Suspension*	Yes (except CEO)	Yes (Principals and all other central staff)	Informs CEO	Informed	May suspend following consultation with HR and DoE/DDoE
Dismissal*	Yes	CEO or other executive team member must be involved in dismissal panels	CEO or other executive team member must be involved in dismissal panels	Part of formal panel	Part of formal panel
Appeals* (not pay progression)	Yes (except where CEO has heard original case)	CEO or other executive team member must be involved in appeal panels	CEO or other executive team member must be involved in appeal panels	May be part of formal panel if not involved in the first panel	

HR addendum

The trust reserves the right to delegate varying levels authority to academies according to the performance of the academy.

DISCIPLINARY CASES AND DISMISSALS delegation model		
<ul style="list-style-type: none"> · Disciplinary · Capability (professional competence) · Ill Health Capability · Redundancy. (The Board will have determined that there is a Redundancy situation) · Some other substantial situation 		
Post	Delegated authority	Appeal
Chief Executive	Board member	3 Board members
Director of Education, deputy Director of Education	Board member or Chief Executive	3 Board members
Director of Operations and Finance Director	Board member or Chief Executive	3 Board members
Principal	Board Member or Chief Executive	Board Member
Subject Directors (Inc. Director of Teaching School and SCITT)	Chief Executive or DOE/ DDOE or Chief Operating Officer	Board Member, Chief Executive or Executive Principal
Vice Principal and SLT Members	Principal, DOE, DDOE	Chief Executive
All other Academy posts	Principal	DOE, DDOE
Operations central posts	Director of Operations	Chief Executive or DOE
Finance central posts	Finance Director	Chief Executive or DOE
GRIEVANCE		
Post	Delegated authority	Appeal
Chief Executive	Board Member	Chair of Board
Director of Education, Executive Principal	Chief Executive	Board member

Deputy Director of Education	Director of Education	Chief Executive
Director of Operations, Finance Director	Chief Executive	Board member
Principal	Director of Education	Chief Executive/Board member
Directors of Subject	Deputy Director of Education	Director of Education
Vice Principal/SLT member	Principal	Director of Education or DDoE
All other academy posts	Principal	Director of Education/Deputy Director of Education
All central finance posts	Finance Director	Chief Executive
All operational posts	Director of Operations	Chief Executive
OTHER		
ACTION		
Compromise agreements up to and including £10,000	Director of Finance to agree terms Chief Executive to sign	
Compromise agreements in excess of £10,000	Chief Executive and Director of Finance to agree terms. Chair of Board to sign	
Compromise agreements in excess of £50,000	Approval to be sought from the EFA/HM Treasury	
SIGNATURE ON LETTER OF APPOINTMENTS		
ROLE		
DELEGATED AUTHORITY		
Chief Executive	Chair of Board	
Director of Education	Chief Executive	
Principal	Chief Executive, Director of Education	
Director of Education/ Deputy Director of Education	Chief Executive	
Directors of Subjects	Chief Executive	
Finance posts	Finance Director	
Operations posts	Director of Operations	
Teachers Pay- Threshold/UPS	Principal	
All other academy based posts	Principal, or DOE if unavailable	

STAFFING RESTRUCTURES	
Chief Executive, Director of Education, DD of Education, HR, Principal and Chair of Academy Council	
PERFORMANCE MANAGEMENT	
Chief Executive	Chair and 1 Board member
Director of Education	Chief Executive
Deputy Director of Education	Chief Executive
Finance Director	Chief Executive
Director of Operations	Chief Executive
Principals	DoE with AC
Finance core team	Finance Director
Operations core team	Director of Operations
All other academy posts	Principal and academy line management structure

Health and safety

HEALTH AND SAFETY	Is authority delegated from the Board?	CEO	ELT	Academy Council	Principal
	Central	Central	Central	Academy	Academy
Health and Safety Policy	Yes, but monitors		Makes recommendation to Board	Responsible for implementation of local policy	Responsible for implementation of local policy
Ensuring the adequacy of health and safety practice throughout SET	Yes, but monitors		Oversees SET arrangements and reports to Board	Ensures Academy arrangements are adequate	Responsible for implementation of policy. Reports to Academy Council

Critical incident planning	Yes, but monitors		Holds SET and Academy Critical incident plans and reviews as appropriate	Ensures critical incident plans are adequate and in place	Responsible for implementation of policy. Reports to Academy Council.
Health and Safety RIDDOR reporting	Yes, but monitors		Ensures RIDDOR reporting is in place	Ensures Academy arrangements are adequate	Responsible for implementation of policy. Reports to Academy Council.
Health and Safety Accident reporting	Yes, but monitors		Monitoring and reporting of exceptions	Ensures that accident reporting arrangements are in place and actions followed up	Responsible for the implementation of accident reporting arrangements
Statutory training	Yes, but monitors		Monitors SET statutory training for H&S and reports to Board	Monitors Academy statutory training for H&S	Responsible for ensuring that there are arrangements for statutory training for H&S
Statutory compliance testing	Yes, but monitors		Implements and monitors SET statutory compliance testing and reports to Board	Checks procedures are in place and monitors outcomes	Monitors local statutory compliance testing (ABM)

Academy health and safety arrangements including committee and use of risk assessments	Yes		Quality assures the local governance	Receives reports of H&S committee (or part of resources sub)	Ensures the H&S committee is in place (or part of resources sub) and reports to Academy Council
Fire risk assessment	Yes, but monitors		Ensures all academies have valid risk assessments in place	Supports Academy processes	Responsible for ensuring operational arrangements are in place and effective
Asbestos risk assessment	Yes, but monitors		Ensures all academies have valid risk assessments in place	Responsible for monitoring the impact of operational arrangements	Responsible for ensuring operational arrangements are in place and effective
General monitoring and action plans in relation to safety of sites including buildings conditions	Yes, but monitors		Reporting to Board	Responsible for monitoring the impact of operational arrangements	Responsible for ensuring operational arrangements are in place and effective

Safeguarding

Safeguarding	Is authority delegated from the Board?	CEO	ELT	Academy Council	Principal
	Central	Central	Central	Academy	Academy
Complete and maintain a single central register	Yes	CEO ensures single central register is in place for central team		Quality assures SCR	Ensures a compliant SCR is in place for the academy
Appoint a Board member as lead safeguarding trustee	No - Board ensures a trustee holds this responsibility				
Appoint a safeguarding academy councillor	Yes			Chair of academy council ensures safeguarding councillor is in post	
Ensure an annual safeguarding review is completed at each academy	Yes		Quality assures the review	Ensures review takes place and response to any necessary actions are swift	Ensures review is conducted
Ensure appropriate members of staff and academy councillors are trained in safer recruitment	Yes			Ensures at least one member of every recruitment panel has completed the training	Completes training and regularly updates their knowledge in this area

Ensure each academy has an appropriately trained designated safeguarding lead (DSL)	Yes			Ensures DSL is in post and has appropriate training and time to carry out duties	Ensures that a DSL is available to staff and pupils
Ensure a trust wide safeguarding policy is in place and compliant with statutory guidance	No	CEO quality assures the policy	Produces and reviews policy annually		
Ensure individual academy safeguarding policies are in place and compliant with statutory guidance	Yes			Ensures policy is compliant and reviewed annually	Ensures policy is enacted
Ensure academy staff receive regular and appropriate safeguarding training	Yes			Quality assures training	Ensures training takes place
Ensure SET central team receive regular and appropriate safeguarding training	Yes	CEO quality assures training	Lead safeguarding ELT member ensures central team have completed training		
Ensure that files related to the protection of children are well-organised and held securely	Yes			Quality assures arrangements for the storage of records	Ensures systems of high quality