

The Scheme of Delegation was approved as follows:

Board of Trustees

Date 08-Feb-18



Frequency of review Annually

Owner Chief Executive Officer

Next review date Feb-19

Author CEO & ELT

Key

	Approval/delegation to
	Part of the consultation process/recommendation by
AUD	Audit Committee
FIN	Finance Committee
REM	Remuneration Committee
CURR	Curriculum & Standards Committee *
ELT	<sup>1</sup> Marketing, Communications & HR Director (M,C & HR), Trust Business Manager (TBM), Finance Director (FD)
Principal	<sup>2</sup> Principal of The Chalk Hills Academy, Principal of The Stockwood Park Academy and Executive Principal
HoS	<sup>2</sup> Heads of School The Linden Academy and The Vale Academy
DPO	Data Protection Officer

\* ONCE A FORMAL COMMITTEE

<sup>1</sup> Please note that where a particular role is not specified e.g.. ELT, this can be heard by any member of staff at this level, e.g.. Marketing, Communications & HR Director, Trust Business Manager or Finance Director

<sup>2</sup> Where the scheme refers to Principal this relates to the individual Principal/Executive Principal of the Academy or Academies

## 1 EDUCATION DECISIONS

	Board of Trustees	Committee	LGB	CEO	ELT	Principal	HoS
Approve Academy Improvement Plans							
Approve Academy Curriculums <sup>3</sup>		CURR					
Approve Trust self-evaluation							
Approve Academy self-evaluation							
Approve Trust's educational targets							
Approve Academy educational targets		CURR					
Approve Trust-wide Pupil Premium strategy and f/work							
Approve Academy strategies for Pupil Premium expenditure							
The decision to issue a fixed term pupil exclusion							
The decision recommend to permanently exclude, pending a PEX hearing <sup>4</sup>							
<b>Educational Data</b>							
Approval of academy school census information prior to DfE submission <sup>5</sup>							
Approval of QA'd twice half-termly KPI data in academy for Board submission.							
<b>Annual Reports</b>							
Approval of academy annual pupil and sports premium strategies							
Approval of academy annual SEND information report and local offer							

## 2 PEOPLE DECISIONS

	Board of Trustees	Committee	LGB	CEO	ELT	Principal	HoS
<b>People Strategy &amp; Policy</b>							
Approve Trust Recruitment and development process					M,C & HR		
Approve annual cost of living pay award for all staff							
<b>Staffing Structures (within approved budgets and financial projections)</b>							
Approve staffing structure at Academy Level							
Approve staffing structure at Business Level							
<b>Appointment of...</b>							
CEO							
ELT Members	CFO						
Principals							
Head of School							
Academy Senior Leadership Team							
Academy Staff							
Business staff							
<b>Performance Management <sup>6</sup> of...</b>							
CEO							
ELT Members							
Principals			Chair				
Head of School			Chair				
Academy Senior Leadership Team							
Academy Staff							
Business staff							
<b>Approve Pay Progression <sup>7</sup> of...</b>							
CEO		REM					
ELT Members		REM					
Principals		REM	Chair				
Head of School		REM	Chair				
Academy Senior Leadership Team							
Academy Staff							
Business staff							
<b>Settlement Agreements <sup>8</sup></b>							
CEO							
All Staff < £25k							
All Staff > £25k	Chair						

<b>Suspension <sup>9</sup> of...</b>							
CEO					M,C & HR		
ELT Members					M,C & HR		
Principals					M,C & HR		
Head of School					M,C & HR		
Academy Senior Leadership Team					M,C & HR		
Academy Staff					M,C & HR		
Business staff					M,C & HR		
<b>Disciplinary Hearings <sup>10</sup> of...</b>							
CEO					M,C & HR		
ELT Members					M,C & HR		
Principals					M,C & HR		
Head of School <sup>11</sup>					M,C & HR		
Academy Senior Leadership Team <sup>11</sup>					M,C & HR		
Academy Staff <sup>11</sup>					M,C & HR		
Business staff					M,C & HR		
<b>Formal Hearings <sup>12</sup> for Grievance claims made by...</b>							
CEO		AUD - Chair			M,C & HR		
ELT Members					M,C & HR		
Principals					M,C & HR		
Head of School					M,C & HR		
Academy Senior Leadership Team					M,C & HR		
Academy Staff					M,C & HR		
Business staff					M,C & HR		
<b>Deals with formal parental or external complaints <sup>13</sup> (Stage 2 of policy) against....</b>							
CEO					M,C & HR		
ELT Members					M,C & HR		
Principals			Chair		M,C & HR		
Head of School			Chair		M,C & HR		
Academy Senior Leadership Team					M,C & HR		
Academy Staff					M,C & HR		
Business staff					M, C & HR plus 1 other ELT		

### 3 APPEALS/ DISCIPLINE COMMITTEES

Panel	Panel Members
<b>Pupil Exclusions Discipline</b>	3 LGB members & Independent clerk
<b>Admissions Appeals</b>	Local Authority
<b>Stage 3 Parental or external Complaints Committee against...</b>	
CEO	3 members of the Board of Trustees
ELT Members	3 members of the Board of Trustees
Principals	2 members of Academy LGB plus 1 other LGB member
Head of School	
Academy Senior Leadership Team	
Academy Staff	
Business staff	CEO and 2 members of the Board of Trustees
<b>Staff grievance appeals from...</b>	
CEO	Chair of the Board of Trustees
ELT Members	
Principals	
Head of School	CEO
Academy Senior Leadership Team	
Academy Staff	
Business staff	
<b>Staff disciplinary appeals</b>	
CEO	3 members of the Board of Trustees
ELT Members	
Principals	
Head of School	3 members of the Academy LGB
Academy Senior Leadership Team	
Academy Staff	
Business staff	3 members of the Board of Trustees
<b>Staff pay award appeals of</b>	
CEO	3 Trustees not involved in the initial pay award approval
ELT Members	3 Trustees not involved in the initial pay award approval
Principals	Chair of the Academy LGB plus 2 LGB members (cannot include staff governor)
Head of School	
Academy Senior Leadership Team	
Academy Staff	3 Trustees not involved in the initial pay award approval
Business staff	

#### 4 OPERATIONAL DECISIONS

	Board of Trustees	Committee	LGB	CEO	ELT	Principal	HoS
<b>New academies/companies</b>							
Contact with RSC to discuss potential new academy and initial preparatory work.							
Approval to progress to formal due diligence							
Approval to sign MoU of transfer to TSLT							
Approval to commence Free School application process							
Approval to formally submit Free School application							
Approval to create or acquire new company or trading subsidiary							
<b>Risk</b>							
Approve the Corporate risk register		AUD					
Authority to take action required to ensure that all corporate risks are being mitigated against							
Approve the Business risk register							
Authority to take action required to ensure that all Business risks are being mitigated against							
Approve the academy risk register							
Authority to take action required to ensure that all academy risks are being mitigated against			>£50k			<£50k	<£50k
<b>Premises/Asset Management</b>							
Approve/ reject proposals for the acquisition/ disposal of land/buildings	In line with AFH						
Approve major capital works and long-term building projects, based on internal annual condition survey <sup>14</sup>	>£50k		£25k - £50k			<£25k	<£25k
<b>Health &amp; Safety</b>							
To set and ratify the Trust's Health and Safety Policy							
To ensure implementation of the Trust's Health and Safety Policy (via Principals)							
Authority to take action required to ensure that all Health & Safety policies and procedures are being adhered to within the academies							

<b>Safeguarding</b>							
To set and ratify the Trust's Safeguarding / Child Protection Policy							
To ensure implementation of the Trust's Safeguarding / Child Protection Policy (via Principals)							
Authority to take action required to ensure that all Safeguarding / Child Protection policies and procedures are being adhered to within the academies							
<b>Legal</b>							
Authority to seek legal advice from TSLT's procured solicitors <sup>15</sup>							
<b>Freedom of Information</b>							
Authority to submit FOI responses on behalf of TSLT						DPO	



<b>Communications</b>							
Approve all press responses identified as a risk to TSLT's reputation (academy or Trust level)						M,C & HR	
Approve all press responses at Trust level						M,C & HR	
Approve all press responses at academy level						M,C & HR	
Approve any commissioned writing/opinion pieces for external parties from TSLT staff.							
Delegation to QA all academy websites to ensure all are fully compliant with Ofsted and regulatory requirements							
<b>IT</b>							
Approve a Central IT infrastructure and MIS							
Approve a teaching & learning IT strategy							
<b>Operational Value for Money</b>							
Approve Trust value for money operational projects							
Approve academy vfm operational projects							

## 5 FINANCIAL DECISIONS

**Please note:**

- 1 The scheme of financial delegation is based on expenditure based on the approved annual budget. Any out of budget expenditure must be escalated to the FD & CEO for approval.
- 2 Adherence to these limits is the responsibility of the signatory/ies and attempts to avoid the application of a particular threshold may result in disciplinary proceedings. Expenditure rules must not be circumnavigated deliberately or unintentionally through split invoicing, splitting contracts, etc. which may exceed an individual's limits.
- 3 All approvals must be made in line with the Trust's procurement procedures and the ESFA Academies Financial Handbook
- 4 No authority is delegated where the normal delegated authority has a pecuniary or other interest, as determined through their Register of Interest declarations, or where the decision would mean the academy or Trust would fail to stay within its budget. An approved budget is one approved by the Trust Board, except where virements or budget variances have been agreed.
- 5 The chair is permitted to act in cases of urgency where a delay in exercising the function would be likely to be seriously detrimental to the interest of the school, a pupil, parent or member of staff. (Governor Handbook).  
The Trust Board/LGB will receive verbal report on any decisions made through a Chair's action, at the next meeting. They must then decide on the ratification of the decision.

	Board of Trustees	Committee	LGB	CEO	ELT	Principal	HoS
<b>Budget Setting</b>							
Approve annual Business charge/top-slice		FIN			FD		
Retention & use of reserves - strategy/policy					FD		
Approve annual budget and mid-term financial plans		FIN			FD		
Approval of capital expenditure using SCA					FD & TBM		
<b>Staffing Appointments</b>							
Appointment of CEO / CFO / Principals / HoS							
Any staff hire with annual salary over £80k per annum, permanent or temporary					M,C & HR		
Any academy staff hire or salary increases outside of agreed budget					FD		
All business staff hire if part of agreed budget							
All academy staff hire if part of agreed budget							
<b>Staff restructure</b>							
Any restructure exceeding £100k							
Any restructure up to £100k and involving staff consultation or potential redundancy costs							

Any academy restructure not involving staff consultation or potential redundancy costs					HR		
Any business restructure not involving staff consultation or potential redundancy costs							

<b>Decision to purchase Supplies <sup>16</sup> (goods), Services and Works including leases (in budget)</b>							
Academy Expenditure over £50,000.							
Academy Expenditure over £25,000 and up to £50,000.							
Academy Expenditure up to and including £25,000							
Business Expenditure over £50,000.							
Business Expenditure over £25,000 and up to £50,000.							
Business Expenditure up to and including £25,000						FD	
Approval of Single Source Justifications within delegated signing limits.						FD	
<b>Virements, budget variances and unbudgeted expenditure out of reserves</b>							
Academy annual unbudgeted expenditure out of reserves over £50k						FD	
Academy annual unbudgeted expenditure out of reserves over £10k and up to £50k						FD	
Academy annual unbudgeted expenditure out of reserves up to and including £10k						FD	
Business annual unbudgeted expenditure out of reserves over £50k						FD	
Business annual unbudgeted expenditure out of reserves over £10k and up to £50k						FD	
Business annual unbudgeted expenditure out of reserves up to and including £10k						FD	
Approve action plan for any budget monitoring variances greater than £100k or 3% (whichever is lower) of overall budget						FD	
All academy virements over £50k						FD	
All academy virements over £25k and up to £50k						FD	
All academy virements up to and including £25k						FD	
All business virements over £50k						FD	
All business virements over £25k and up to £50k						FD	
All business virements up to and including £25k						FD	

Sign Contracts (in budget)							
Any contract with a value exceeding £50,000 or exceeding a 5 year term <sup>17</sup>							
Any contract with a value between £5,000 and up to £50,000 and up to a 5 year term							
When the contract is a Deed, involves a TUPE transfer or a Lease							
Any contract where the maximum value of the contract will be £5,000 except where the contract is a Deed, involves a TUPE transfer, a Lease, <b>and</b> is a 1 year term or less							
Academy funding and income contracts						FD	
Trust funding and income contracts						FD	
Any supply to third parties (other than renting halls, or gym space and equipment) <sup>18</sup>							

**6 GOVERNANCE**

	Members	Board of Trustees	Committee	LGB	CEO	ELT	Principal
Approve amendments to Memorandum & Articles, subject to Charity Commission and DfE approval where applicable							
Approve a Scheme of Delegation of powers from the board to subcommittees and their terms of reference; and a scheme of delegation and limitations as appropriate							
Approve statutory policies	As Listed						
Authority to direct academies to comply with organisational policy or statutory requirements in relation to the remit of their role.							
Appointment of Members							
Appointment of Trustees	Up to 8	Over 8					
Recruitment of Trustees							
Appointment of LGB Chairs							
Appointment of LGB members				Co-opted			
Recruitment of LGB members							
Appointment of external auditor		Chair			FD		
Appointment of insurers					FD		
Appointment of bankers and investment managers					FD		
Receive the statutory annual accounts							
Approve the statutory annual accounts							

## Footnotes:

- <sup>3</sup> Please note that this will include all aspects of the curriculum, including subject range, examination board and learning time e.g.. Length of the school day. However, all decisions made in relation to academy curriculum must be in line with any nationally determined frameworks, for example specific examination boards for core subjects as approved by the Board of Trustees.
- <sup>4</sup> Must be reported to the PA to the CEO on the same day.
- <sup>5</sup> Process includes: (a) academy data manager submitting summary census information to Principal (PR) ; (b) PR carrying out QA on the data ; (c) PR approval of data; (d) Academy data manager submitting approved information to DfE and forwarding a copy of the Finance Director
- <sup>6</sup> All annual performance management appraisals must be completed by 31 October each year. The relevant delegated officer must ensure that all of their teams have had their performance management appraisal completed within this time period.
- <sup>7</sup> All pay progression approvals must be in line with approved budgets for the respective year.
- <sup>8</sup> All settlements must be in accordance with the Academies Financial Handbook. No staff settlement agreements will be signed off for payment unless the Chief Executive Officer has given approval for the settlement offer to be made. All agreements must be formally reported to the next Board meeting.
- <sup>9</sup> A Trust HR Officer must be consulted prior to suspension in order for full advice to be given, and the Marketing, Communications and HR Director must be notified within the same working day as the suspension. Where the decision to suspend is against HR advice, the CEO must be consulted before a final decision is confirmed. Please note that the CEO does not need to approve suspensions where authority to approve is granted at a lower level. However the CEO may make suspensions at any level of the organisation.
- <sup>10</sup> Disciplinary hearings are made up of a single-person decision maker (as delegated). The delegated person hearing the disciplinary hearing must appoint an Investigating Officer to undertake the investigation and to present their findings to the disciplinary hearing. The Investigating Officer must include an employee of senior status, or independent status (governor/trustee), to the employee whose misconduct is being investigated.
- <sup>11</sup> The Principal or Head of School cannot be the disciplinary decision maker if they have had any involvement in the case, e.g. if they have been interviewed as a witness during the investigation.
- <sup>12</sup> Grievance hearings are made up of a single-person decision maker (as delegated). The delegated person hearing the grievance hearing may need to appoint an Investigating Officer to undertake the investigation and to present their findings at the grievance hearing. The Investigating Officer must include an employee of senior status, or independent status (governor/trustee), to the employee who has received a grievance against them. In all cases listed, if the grievance is against the person delegated to hear the grievance (e.g.. If an academy staff member makes a grievance against the Principal), the grievance will be heard by the next level up on the scheme of delegated authority.

- <sup>13</sup> The delegated person dealing with stage 2 of the complaints policy may need to appoint an Investigating Officer to undertake an investigation and to present their findings in a report. Where an employee is involved in a complaint, the Investigating Officer must include an employee of senior status, or independent status (governor/trustee), to the employee whom the complaint involves.
- <sup>14</sup> Subject to appropriate financial approvals.
- <sup>15</sup> Browne Jacobson are the Trust's procured solicitors for all advice other than:
- Employee Relations - DAS legal (via Zurich Insurance)
  - Existing buildings defects - Irwin Mitchell
- <sup>16</sup> Any ICT purchases must be in consultation with the Trust IT manager
- <sup>17</sup> All such contracts will be subject to review by Browne Jacobson
- <sup>18</sup> Prior to approval please notify the FD who will check the benefit, insurance and tax position.