**Annex 3. Scheme of Delegation - Academy Year 2019/20**

**Delegated Authority Table**

The following table sets out all the main Trust functions. For each function it gives the level the authority is delegated to. The decision levels are:

M Decisions made by Members of the LET

D/T Decisions made by the LET Board or delegated

AGC Decisions delegated to the Academy Governing Committee (AGC) or its delegated committees or lead governors. The AGC can delegate to sub-committees or lead governors or Principal, within a scheme of delegation approved by the Board of Trustees

CEO Decisions delegated to the Chief Executive Officer

EP/P Decisions delegated to the Principal of the Academy. The Trust does not seek to determine how the Principal delegates, but is happy to offer advice from the CEO

CFO Decisions delegated to the Chief Finance Officer. The CFO may delegate duties to Principal or Finance Officers through a scheme of delegation. The CFO must provide a copy of their scheme of delegation for the Trust Board.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Key Function** | **Activity** | **M** | **D/T** | **AGC** | **CEO** | **EP/P** | **CFO** |
|  |  |  |  |  |  |  |  |
| Appointments | Members are appointed by VC of UL |  |  |  |  |  |  |
| Appointments | Directors/Trustees | X |  |  |  |  |  |
| Appointments | Composition AGC |  |  |  | X |  |  |
| Appointments | Chairs of AGC |  | X |  |  |  |  |
| Appointments | Chief Executive | X |  |  |  |  |  |
| Appointments | Principals |  | X |  |  |  |  |
| Scheme of Delegation | To establish a scheme of delegation to enable the effective and efficient running of the Trust |  | X |  |  |  |  |
| Adviser | Appointment of Academy external adviser to triangulate evidence and provide external challenge and support |  |  |  | X |  |  |
| Self Evaluation | Carry out the Annual Academy Self Evaluation (ASE) and any Ofsted Action Plan where required |  |  | X |  |  |  |
| Development Plan | To update the Academy Development Plan annually |  |  | X |  |  |  |
| Child Protection and Prevent | To ensure the implementation of the safeguarding policy and best practices are followed to meet current legislation and LA guidance |  |  | X |  |  |  |
| Health and Safety | To ensure the implementation of the Health and Safety policy and ensure it meet current legislation  |  |  |  |  | X |  |
| Health and Safety | To carry out regular inspection and action all relevant points from the inspection |  |  |  |  | X |  |
| Health and Safety | Annual Report on health and safety |  |  | X |  |  |  |
| Accounting | Adhering to accounting policies and guidelines issued by the Scheme for Financing Academies. |  |  |  |  |  | X |
| Accounting | Maintaining accurate, reconciled and up to date records to provide financial and statistical information. |  | X |  |  |  |  |
| Assets | Maintain security of buildings, stores, furniture, equipment, stock, and cash. |  |  |  |  | X |  |
| Assets | Maintaining an inventory of all movable items of equipment and security marking such items. |  |  |  |  | X |  |
| Assets | Checking annually the inventory to verify the location and condition of each item of equipment. |  |  |  |  | X |  |
| Assets | Authorising the disposal of unusable or obsolete equipment included in the inventory. |  |  |  |  | X |  |
| Assets | Authorising the disposal any equipment with a value of over £100 |  | X |  |  |  |  |
| Assets | Maintaining a record of all property borrowed by staff. |  |  |  |  | X |  |
| Assets | Maintaining a record of all property on loan to Heads. |  |  |  | X |  |  |
| Estate Management and Buildings | Ensure all aspects of the academies estate including buildings are well maintained and repairs are carried out as soon as possible |  |  |  |  | X |  |
| Audit | Availability of records and documents for inspection by the auditor. |  |  |  |  |  | X |
| Audit | Implementing recommendations arising from an audit inspection. |  |  |  |  |  | X |
| Audit | Receiving the report and management letter from an external audit and the management response to the audit and management letter. |  | X |  |  |  |  |
| Finance | Receiving the Responsible Officer’s (RO) Report and the management response to the RO report. |  | X |  |  |  |  |
| Finance | Adopting and promoting a Confidential Reporting Policy. |  | X |  |  |  |  |
| Finance | Maintaining a register of pecuniary and business interests for Trustees via the Clerk to the Board. |  | X |  |  |  |  |
| Finance | Maintaining a register of pecuniary and business interests for staff via the Clerk to the Board. |  |  |  |  | X |  |
| Finance | Providing reconciled bank statements for inspection by the auditor |  |  |  |  |  | X |
| Finance | Maintaining a record of all cash holdings in the academy. |  |  |  |  |  | X |
| Finance | Overseeing the preparation of the annual budget plan and ensuring it links to the priorities established by the Development Plans. |  |  |  |  |  | X |
| Finance | To approve the first formal budget plan each financial year\*. |  | X |  |  |  |  |
| Finance | To approve and send to the EFA the annual report |  | X |  |  |  |  |
| Finance | Notifying the approved budget to the DfE/EFA by the agreed timescale.  |  |  |  |  |  | X |
| Finance | Keep under review The Trust's actual financial performance throughout the year including approving the Mid-year Income and Expenditure Budget Review.  |  |  |  |  |  | X |
| Finance | Review the financial position at the end of the financial year.  |  | X |  |  |  |  |
| Finance | Approving transfer between budget headings (virements) within agreed limits (specified in finance manual). |  |  |  |  | X |  |
| Finance | Establishing procedures for staff to claim expenses. |  | X |  |  |  |  |
| Finance | Setting policy for charging and remission fees for pupil/student activities |  |  | X |  |  |  |
| Finance | Approving a lettings policy and fees. |  |  | X |  |  |  |
| Finance | Rendering accounts promptly. Receipting and banking promptly all income intact. Not cashing personal cheques. Recording cash passed from one person to another. |  |  |  |  |  | X |
| Finance | Writing off of debts above £1,000 |  | X |  |  |  |  |
| Finance | Writing off of debts below £1,000 |  |  |  | X |  |  |
| Finance | Setting aside funds for short-term or long- term investments. |  | X |  |  |  |  |
| Finance | Ensuring that all contracts and agreements conform to the Standing Orders. |  |  |  |  |  | X |
| Finance | Authorising purchases up to £10,000 |  |  |  |  | X |  |
| Finance | Approving purchases between £10,000 and £20,000 for an academy |  |  |  | X |  |  |
| Finance | Authorising purchases between £20,000 and £50,000 |  | X |  |  |  |  |
| Finance | Accepting tenders and authorising contracts for goods, works and services over £50,000 in value. |  | X |  |  |  |  |
| Finance | Receipting and custody of all tenders |  | X |  |  |  |  |
| Finance | Approving procurement projects over £50,000 |  | X |  |  |  |  |
| Finance | Making payments only when goods have been received to the correct price, quantity and quality standard |  |  |  |  |  | X |
| Finance | Paying the correct person and amount supported by an invoice |  |  |  |  |  | X |
| Finance | Retaining and storing invoices, vouchers and other financial records in a secure way for the defined period |  |  |  |  |  | X |
| Finance | Approving applications for Business/Credit Cards. |  | X |  |  |  |  |
| Finance | Notifying the Trustees of any matters affecting payments to employees |  |  |  |  |  | X |
| Finance | Certifying pay documents and other time records |  |  |  |  |  | X |
| Finance | Complying with VAT and CIT regulations |  |  |  |  |  | X |
| Finance | Administering of voluntary funds |  |  |  |  |  | X |
| Finance | Appointing an independent external Auditor and Responsible Officer |  | X |  |  |  |  |
| Finance | Approving audited annual accounts |  | X |  |  |  |  |
| Finance | To investigate financial irregularities |  | X |  |  |  |  |
| Security | Controlling systems, security and privacy of data. |  | X |  |  |  |  |
| Date Protection | Registering under Data Protection legislation. |  | X |  |  |  |  |
| Risk Assessment | Maintain a risk register for each academy Reported to Audit Committee |  |  |  |  | X |  |
| Risk Assessment | Reviewing insurance cover in the light of a risk assessment. |  | X |  |  |  | X |
| Business Continuity Plan | To annually review the BCP and report to the Audit Committee |  |  |  | X | X |  |
| Critical Incident Plan | To annually review the CIP and report to the Audit Committee |  |  |  | X |  |  |
| Staffing | Performance management of Principals  |  |  |  | X |  |  |
| Staffing | Approve performance management of Principals targets and salary review withy Chair of Trust |  | X |  |  |  |  |
| Staffing | Appointment of Deputy and Assistant Principal \* C Ex & Chair of AGB to attend |  |  |  |  | X |  |
| Staffing | Appointment of all other teaching staff |  |  |  |  | X |  |
| Staffing | Appointment of all support staff |  |  |  |  | X |  |
| Staffing | Disciplinary/capability procedures in consultation with HR |  | X |  |  |  |  |
| Staffing | Dismissal or Suspension of Chief Executive, Finance Director or Principal |  | X |  |  |  |  |
| Staffing | Dismissal or Suspension of other academy staff |  |  |  |  | X |  |
| Staffing | Determining dismissal payments/early retirement |  | X |  |  |  |  |
| Staffing | Performance management policy for all staff, except Principal |  | X |  |  |  |  |
| Staffing | Implement a performance management policy for all staff |  |  |  |  | X |  |
| Teaching and Learning | Ensure curriculum fulfills legal requirements |  |  |  |  | X |  |
| Teaching and Learning | Develop curriculum policy and its implementation |  |  |  |  | X |  |
| Teaching and Learning | Responsible for standards of teaching and learning  |  |  |  |  | X |  |
| Teaching and Learning | Responsible ensuring pupil progress is a priority and is closely monitored |  |  |  |  | X |  |
| Teaching and Learning | Special Needs Policy approval |  |  | X |  |  |  |
| Teaching and Learning | Responsible for ensuring all pupils with special needs receive appropriate support |  |  |  |  | X |  |
| Teaching and Learning | Responsibility for the appropriate use of pupil premium funding to ensure those pupils in receipt of this funding optimize their performance |  |  |  |  | X |  |
| Teaching and Learning | Responsible for producing and implementing an assessment policy, with guidance on marking |  |  |  |  | X |  |
| Teaching and Learning | Ensuring there is a very positive rewards scheme for success and effort in all aspects of educational experience including academic, cultural and sporting activities. |  |  |  |  | X |  |
| Teaching and Learning | Responsible for ensure a provision of RE in line with national policy |  |  |  |  | X |  |
| Teaching and Learning | Sex education Policy approval in line with national policy |  |  | X |  |  |  |
| Teaching and Learning | Responsible for ensure the requirements for collective worship are met |  |  |  |  | X |  |
| Teaching and Learning | Ensure the balanced treatment of political issues and prohibit political indoctrination |  |  |  |  | X |  |
| Teaching and Learning | To prohibit discrimination of any type through curriculum delivery or behaviours, ensuring a balanced treatment of such issues |  |  |  |  | X |  |
| Teaching and Learning | To establish and implement an attendance policy, with appropriate sanctions and rewards |  |  |  |  | X |  |
| Teaching and Learning | To establish and implement a behaviour including drugs and social media policy, with appropriate sanctions and rewards |  |  | X |  |  |  |
| Admissions | To ensure there is an admissions policy which conforms to legislation and this is freely available to parent/ carers and potential pupils/students |  |  | X |  |  |  |
| Admissions | Admission applications decisions |  |  | X |  |  |  |
| Information to parents/carers | Newsletters and letters to parent carers |  |  |  |  | X |  |
| Information to parents/carers | Trust website with direct link to each Academy |  | X |  |  |  |  |
| Information to parents/carers | Individual Academy website linked to Trust Website |  |  |  |  | X |  |
| Information to parents/carers | Implementation of home-academy agreement |  |  |  |  | X |  |
| Information to parents/carers | Implement regular feedback from parent/carers and children and young people and report customer satisfaction to AGB and Trust  |  |  |  |  | X |  |
| Complaints | Establish and publish a complaints policy and procedures |  | X |  |  |  |  |
| Complaints | Complaints Stage One  |  |  |  |  | X |  |
| Complaints | Complaints Stage Two  |  |  | X |  |  |  |
| Complaints | Complaints Stage Three |  | X |  |  |  |  |

**Annex 4. List of Policies and Key Guidance Documents and related delegation**

A 2/3 year review cycle, noting as local and national policy changes dates may have to change.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Policies/ DocumentStatus | Policy - Key document | Review Cycle | Date | Trust | AGC | P |
|  | **General**  |  |  |  |  |  |
| DfE Stat D | Governance Framework  | 1 yr | July | X |  |  |
|  | Scheme of delegation & Policy Schedule | 1 yr | July | X |  |  |
| LA | Safeguarding, Child protection & Prevent | 1 yr | Oct |  | X |  |
|  DfE Stat D | Admissions Arrangements | 1 yr | May |  | X |  |
| Academy | Mobile Devices – Staff and Pupils | 2 yrs | Jan |  | X |  |
| DfE Stat P | Data Protection | 3 yrs | Dec | X |  |  |
| Gov Stat P | General Data Protection Regulations  | 1 year | July | X |  |  |
| DfE Stat D | Complaints Procedures | 3 yrs | Dec | X |  |  |
| DfE Stat D | Freedom of Information | 3 yrs | Dec | X |  |  |
| DfE Stat D | Equality Information & Equality Duty | 3 yrs | Dec | X |  |  |
| DfE Stat D | Website Compliance | 1 yr | July | X |  |  |
|  | Critical Incident Plan | 1 yr |  |  | X |  |
|  | Risk Register | 1 yr | Apr | X | X | X |
|  | Business Continuity Plan | 1 yr | Apr |  |  | X |
|  | Academy Self Review | 1 yr | Dec | X | X |  |
|  | Academy Development Plans | 1 yr | Jan |  | X |  |
|  | **Employment Policies and Procedures** |  |  |  |  |  |
| DfE Guid | Employment Manual | 1 yr | May | X |  |  |
| DfE | Performance Management Policy | 1 yr |  |  |  | X |
|  | **Finance and Audit** |  |  |  |  |  |
| ESFA | Finance Policy and Procedures | 2 yrs | Dec | X |  |  |
| ESFA | Audit Policy and Procedures | 3 yrs | Dec | X |  |  |
| ESFA | Counter Fraud Policy | 2 yrs | Dec | X |  |  |
| ESFA | Treasury Management Policy | 2 yrs | July | X |  |  |
| DfE Stat P | Charging and Remissions Policy | 2 yrs | Nov |  | X |  |
|  | **Children and Young People**  |  |  |  |  |  |
| DfE Stat P | Behaviour Policy - Bullying & social media | 2 yrs | Jan |  | X |  |
| DfE Guid | Attendance Policy and Procedures | 2 yrs | Mar |  | X |  |
| Academy | Assessment & Monitoring Pupil Progress  | 1 yr | Nov |  |  | X |
| Academy | Monitoring Middle Leadership plan | 2 yr | Sept |  |  | X |
| Academy | Marking Policy | 2 yrs | Mar |  |  | X |
| Academy | Homework Policy | 2 yrs | Mar |  |  | X |
| DfE | Pupil Premium Policy and Strategy | 1 r | Sept |  | X |  |
| DfE Stat P | Sex Education | 3 yrs | Jun |  | X | X |
| DfE Stat P | Special Educational Needs | 2 yrs | Jun |  | X |  |
| Academy | Curriculum Policy and Subject Policies | 2 yrs | Jan |  |  | X |
| DfE | RE and Collective Worship | 3 yrs | Jan |  |  | X |
| LA | Early Years Foundation Stage Policies | 2 yrs | Mar |  |  | X |
| DfE Stat D | Home-school agreement | 3 yrs | Mar |  | X |  |
| Academy | School Uniform Policy | 3 yrs | Jan |  | X |  |
| DfE Guid | School Prospectus | 1 yr | Mar |  |  | X |
|  | **Premises**  |  |  |  |  |  |
| DfE Stat P | Health and Safety | 2 yrs | Jun |  | X |  |
| DfE Stat P | H&S Fire Safety Policy | 3 yrs | Jun |  | X |  |
| DfE Stat P | H&S Fire Emergency Plan | 1 yrs | Jun |  | X |  |
| DfE Stat D | Premises Management | 3 yrs | Jun |  |  | X |
| DfE Stat D | Accessibility Plan | 3 yrs | Jun |  | X |  |