

APPENDICES

SCHEME OF DELEGATION
JANUARY 2024 VERSION ONE

Appendix A -Governance Delegation Matrix

A delegation matrix (a simple table documenting delegated responsibilities) supports the Trust's SoD by providing a simple reference that covers statutory and essential responsibilities. Separate terms of reference for each of the board's committees can also be referenced.

The different levels of delegated power are listed below:

(A) Accountable (Approver): The individual/body with the ultimate sign-off, scrutiny, and oversight.

(R) Responsible(Implement / Deploy): The person/body who implements the approved activity.

(C) Consults: The recognized expert/s who provides the Approver(s) and opinions will be sought from this individual/group, whilst the facts are being collated on a given matter.

(I) Inform (Informee): Those who are kept up to date on progress, often only on completion of the task or deliverable, and with whom there is just one way communication.

*Highlighted - Statutory or comply with articles of association or funding agreements

No	Board, Committee, and Business	Members	Board	CEO/CFO	Executive Principal Headteacher	Committees	Local Committees
Trust Business							
1	Appoint and remove members.	A (R-Chair)	I	I	I		
2	Appoint and remove trustees.	A	R	I	I	I	I
3	Elect chair of trustees	I	A/R	C	I	I	I
4	Appoint and remove board chair.	I	A/R	I		I	I
5	Establish and review the trust governance structure.	I	A/R	C			
6	Agree named safeguarding trustee.		A/R				
7	Agree on trustee leads and nominated roles.	I	A/R	I		I	I
8	Appoint/remove committee chairs.		A	C	I	R	R
9	Appoint/remove committee members.		A	C	I	R	R
10	Appoint trust governance professional.	I	A/R	C	C		
11	Agree on committee clerking arrangements.		A/R	C	C	I	I
12	Articles of association: review	C	A	R	I		
13	Articles of association: ratify.	A		R	I		
14	Complete the annual review and ratify the scheme of delegation.	I	A/R	R	I	I	I
15	Agree on committee terms of reference.	I	A/R	C	C	C	C
16	Complete annual trust board self-review	I	A/R	I			
17	Complete review of local governance	C	A	C	I	R	R
18	Publish governance arrangements on trust websites it is compliant.		A	R			
19	Submit an annual report on the performance of the trust to members and publish it.	I	A	R			
20	Commission's external review of board effectiveness every three years.	I	A	R			
21	Comply with Companies House and annually update Trustees/Directors or when there is a change. (Including Company Secretary)	C	A/R	C	I		
22	Update and publish Members, Trustees, and Governor's declarations and conflicts of interests or when they change.		A	R (CFO)			
23	Agree and publish Whistle Blowing policy	I	A	R	C	I	I
Vision & Strategy							
1	Determine the trust's vision, strategy, and key priorities.	C	A	R	C	I	I
2	Determine Local Institute strategy and development plans.	I	I	C	R		A

3	Determine trust-wide policies that reflect the trust's ethos and values.	I	A	R	C	I	I
4	Determine Local Institute Policy	I	I	C	R		A
5	Establish a risk register and conduct regular reviews.		A	R (CFO)	C		
6	Monitor Risk at the associate appropriate level.		A	R	R	R	R
7	Ensure engagement with stakeholders.		A	R	C	R	R
8	Developing stakeholder partnerships across the trust		R	R	R	R	R
9	Developing stakeholder partnerships at college/school level.			I	R		R
Finance and Estates							
1	Appoint and remove external auditors.	A/R	C	C	I		
2	Appoint and performance manage chief financial officer.	I	A	R			
3	Produce trust's scheme of financial delegation.		A	R		I	
4	Receive external auditors' reports.	A	I	C	I	R (compliance)	
5	Action recommendations made by external auditors.	I	A	R	I	R (F, R & S)	I
6	Produce annual reports and accounts in line with the Commission's Statement of Recommended Practice.	I	A	R			
7	Submit ESFA-required reports and returns.		A	A/R		R (compliance)	
8	Agree budget plan to support delivery of trust strategic priorities.		A	A/R		R (F, R & S)	
9	Set college/school Budget Plans		A	A/R	C		R
10	Review & Monitor Budget Plan		A/R	A/R	C	R (F, R & S)	R
11	Carry out Trust benchmarking and trust-wide value-for-money evaluation.		A	R			
12	Carry out local benchmarking and Local value-for-money.		C	R			R
13	Approve trust-wide resource, estate vision, strategy, and asset management plan.		A/R	R		R (F, R & S)	
14	Establish local resource, estate vision, strategy, and asset management plan.		C	R			R
15	Monitor Trust estate to ensure it is safe and well-maintained		A	R	C		R
Human Resource, People and Pay							
1	Appoint and dismiss the CEO/Accounting Officer.	C	A (R-Chair)	I			
2	Performance management CEO.	I	A (R-Chair)	I		C (Succession)	
3	Agree on CEO pay and reward.	I	A	C (CFO)		R (Succession)	
4	Conduct Trust Executive Team performance management.	I	C	A/R		C (Succession)	
5	Agree on Trust and local pay and reward.		A	R	C	R (Succession)	C
6	Review and agree on staff appraisal procedure and pay progression.		A	R	I	R (Succession)	
7	Determine Trust Executive Team staffing structure.	I	C	A	I	C (Succession)	
8	Trust Executive Team appointments and dismissal		I	A/R		C (Succession)	I
9	Trust-wide pay policy, terms and conditions of employment		A	R	I	C (F, R & S)	C
10	Determine disciplinary and capability policies.		A	R		C (F, R & S)	
11	Implement disciplinary and capability procedures – CEO.		A (R-Chair)				
12	Implement disciplinary and capability – central team.		A	R			
13	Implement disciplinary and capability procedures – Local Institutes.		A	C		C	R
14	Approval of exit payments/early retirement/pension discretion (above a certain threshold)		A	C		R (Succession)	
Education							
1	Approve trust curriculum and curriculum strategy.		A	R	C	I	
2	Approve local curriculum and curriculum strategy.		I	A	R		C
3	Ensure high standards of teaching and learning across the Trust and locally in line with the Trust ethos.		A	R	R	R (Compliance)	R
4	Delivery of curriculum in line with local development plan		I	A	R		A
5	Set targets for trust outcomes and Trust improvement plans.		A	R	R		I
6	Plan and deliver local improvement interventions and strategies.		I	A			R
7	Agree on trust behaviour policy.		A	R	R	C (Compliance)	C
8	Implement behaviour policy.		I	C	A/R		R

9	Review permanent and fixed-term exclusions.			I	A/R		A
10	Agree on admissions policy.		C	A			A
11	Admissions appeal process		A	C	A/R		R
12	Determine complaints policy.		A	R	C	C (Compliance)	C
13	Implement complaints procedures.		A	C	R		R
Safeguarding							
1	Ensure appropriate safeguarding policies and procedures are in place as per latest KCSIE guidance		A	R	C	I	I
2	Ensure that the college / school meets IT monitoring and filtering standards		A	R	C	I	I
3	Ensure all Members, Trustees and Governors received appropriate safeguarding training	R	R	A	I	R	R
4	Ensure an appropriate designated safeguarding lead is in place		A	C	R	I	I
5	Awareness of Multi Agency working in relation to safeguarding		I	A	R	I	I
6	Awareness of the Data Protection Act 2018 and the UK General data protection (GDPR)		I	A	R	I	I

APPENDIX C

FINANCE DELEGATION

(Note the following is as per the Trust's Financial Regulations Appendix I)

FINANCIAL DELEGATION

- All commitments to expenditure, other than those which are one of the “permitted Exceptions”- see below, must be approved in accordance with the table below
- For all purchases, procurement guidelines should be followed
- Goods and services will need to be tendered if their total cost exceeds Government Procurement Regulations.
- It is the responsibility of the person carrying out procurement, and the Budget Holder to follow the procurement limits set out below. The value limits refer to estimated cumulative expenditure with one supplier for the bundle of goods or services being procured.
- The finance software is programmed where possible to facilitate these limits, but it is not possible to programme all scenarios. Budget holders and authorised signatories are responsible for ensuring the limits are adhered to.
- Orders must not be split or otherwise organised or contrived to avoid these criteria.

VALUE (EXCLUDING VAT)	PROCUREMENT ROUTE	BUDGET STATUS	AUTHORISED BY	WAIVER TO NUMBER OF QUOTES
0 - £4,000	1 quote	In Budget	Budget Holder	Principal & CFO
		Over Budget	Budget holder and line manager	
£4,001 - £10,000	2 quotes	Any	Budget holder and line manager	TET
£10,000 - £15,000	2 quotes	Any	Budget holder and line manager & TET	TET
£15,000- £90,000	3 quote	Any	Budget Holder and line manager & TET	TET, reported retrospectively to Finance & Resources

£90,001 and above	Competitive Tender, see App 3. Tender values above the threshold for public sector procurement, must be posted on the Gov Find a Tender Service, FTS		Budget Holder and line manager and TET Board approval on recommendation of Finance & Resources Committee	Trust Board on recommendation of Finance & resources Committee
-------------------	---	--	---	--

FINANCIAL DELEGATION LIMITS

Permitted Exceptions to the requirement to get quotes as specified above

The following are the permitted exceptions to the requirement to get quotes. Note we still require the principle of “best value” to be applied. In all cases, consideration should still be given to, **and rationale documented, the** alternative ways of achieving the goal, and how value for money, transparency and fairness has been achieved. This rationale must be approved in accordance with the above table

1. Expenditure to renew, develop, enhance and modify core college systems, including student records (Pro Solution), finance (PS Financials), HR/ payroll (Cintra), online payments (Wisepay), training (Smartlog), room bookings (School, Bookings), IT back up, classroom management software (Impero and Lanschool).
2. Renewal of maintenance contracts for equipment that can only be serviced/ maintained by the supplier in order to preserve guarantees and warranties
3. Renewal of maintenance contracts for specialist equipment or services, eg fire and security monitoring service, alarm equipment
4. Procurement of goods/ services for which there is only one supplier.
5. Procurement of second hand goods where it is not possible to get completely like for like quotes. In this situation, the rationale setting out how value for money has been achieved versus new goods option, as well as between options, should be documented, and the whole life cycle considered
6. Procurement of professional services from the Approved Professional Services Provider list.

CONTRACTS

Contracts of whatever type, income and expenditure, including operating leases, building leases, lasting longer than one year require the following approval:

Value over Life of contract	Authorisation
Up to £10,000	Budget holder, line manager and CFO
£10,001 to £90,000	Budget holder, line manager and TET
Above £90,000	Budget holder, line manager and TET, and Trust Board approval on recommendation of Finance & Resources committee

BAD DEBT WRITE OFF

Unpaid debts may not be held longer than 12 months after the end of the accounting year. Bad debts may be written off in accordance with the following:

	Authorisation
Up to £7,000	Principal and CFO
Above £7,000	Board approval on recommendation of the Finance & Resources Committee
Above £45,000 (as per Academy Trust Handbook)	ESFA

AUTHORISATION OF PAYROLL, INCLUDING PAYMENTS TO HMRC AND PENSION PROVIDERS

Two signatories are required, either one from Tier 1 and one from Tier 2, or two from Tier 2 as follows:

Tier 1	Tier 2
Principal	CFO
Director of Human Resources	CEO

PAYMENT AUTHORISATION

Two signatories are required, either one from Tier 1 and one from Tier 2, or two from Tier 2 as follows:

Tier 1	Tier 2
Principal	CFO
Director of Human Resources	CEO

DISPOSAL OF EQUIPMENT

Budget holders wishing to dispose of items must obtain the purchase and Net Book Value (NBV) from the Finance Department. The following limits apply, and approval must be obtained prior to disposal.

Purchase cost and Net Book Value:	Authorisation
up to £300	Budget Holder
£301 to £25,000	Principal and CFO
Above £25,001	TET and Board approval on recommendation of the Finance & Resources Committee