



# Scheme of Delegation

## Document Intent

The Scheme of Delegation (SoD) is a key document in defining the lines of accountability and responsibility within the Shaw Education Trust, to ensure that the Members, Trustees, Executive Leaders, Academy Councillors and Principals understand their roles and responsibilities.

The Shaw Education Trust reserves the right to delegate and vary levels of accountability according to the performance of the academy. The SoD is complimented by the following key governance documents:

Role	Essential Key DoSG&Guments
All	<ul style="list-style-type: none"> <li>• The Trust's Governance Handbook</li> <li>• <a href="#">The DfE Governance Handbook 2020</a></li> <li>• <a href="#">A Competency Framework for Governance 2018</a></li> <li>• <a href="#">The Academies Trust Handbook</a></li> <li>• <a href="#">The Nolan Principles</a></li> <li>• The Vision and Values of the Shaw Education Trust</li> </ul>
Members	<ul style="list-style-type: none"> <li>• <a href="#">Articles of Association: constitution of the Academy Trust specifying the composition of the membership and how it conducts business.</a></li> <li>• Guidance page on the role of a member.</li> </ul>
Trust Board and Sub-Committees	<ul style="list-style-type: none"> <li>• The Trust Board's Terms of Reference which specify the composition, remit and delegated functions.</li> <li>• <a href="#">The Essential Trustee</a></li> <li>• Trustee's Code of Conduct</li> </ul>
Regional Board and Sub-Committees	<ul style="list-style-type: none"> <li>• Constitution and Terms of delegation: specifying composition, remit and delegated functions.</li> </ul>
Academy Councils	<ul style="list-style-type: none"> <li>• Constitution and Terms of delegation: specifying composition, remit and delegated functions.</li> <li>• Academy Council Code of Conduct</li> </ul>

## Personnel listed in the Scheme of Delegation

The table below highlights only those individual or team leaders who are mentioned within the SoD. However, all SET Central Team and Academy Staff are involved in ensuring that responsibilities within the SoD are carried out.

Personnel listed in the Scheme of Delegation		
C-Suite	Chief Executive Officer (CEO)	Jo Morgan
	Deputy Chief Executive Officer (DCEO)	Kerry Inscker
	Chief Finance Officer (CFO)	Helen Turner
	Chief Learning Officer (CLO)	Julie Yarwood
	Chief Specialist & Innovation Officer (CSIO) (includes Director of Special School Education)	Phil Harrison
	Chief People Officer (CPO)	Stephen Watson
Directors	Director of Digital Transformation (DDT)	James Jackson
	Director of Financial Resource Management (DFRM)	Elaine Turner
	Director of Infrastructure (DoI)	Pete Potts
	Director of Safeguarding & Governance (DoS&G)	Brian Duffy
	Director of Secondary Education (DSE)	Lee Barber

Other	Marketing & Communications manager (M&CM)	Chris Spender
	Data Protection Officer (DPO)	Chris Spender / Natalie Kennedy
	School Improvement Directors (SIDs)	Various colleagues named above linked to individual Academies
	Human Resources Business Partners (HRBPs)	Bilal Ahmed Joanne Collingwood

### **Order of Sections**

### **Page No.**

<b>Governance – Members &amp; Trust Board</b>	<b>5</b>
<b>Governance – Academy Council</b>	<b>7</b>
<b>Strategy</b>	<b>8</b>
<b>Education and Curriculum</b>	<b>9</b>
<b>Safeguarding</b>	<b>13</b>
<b>Human Resources</b>	<b>15</b>
<b>Health &amp; safety</b>	<b>19</b>
<b>Infrastructure</b>	<b>20</b>
<b>ICT Management</b>	<b>22</b>
<b>Data</b>	<b>23</b>
<b>Marketing &amp; Communications</b>	<b>24</b>
<b>Finance</b>	<b>25-42</b>

	Governance	Is authority delegated from the Members?	Is authority delegated from the Board of Trustees?	CEO & Accounting Officer (whilst not in office as Trustee)	Chief Finance Officer
Governance - Members and Trust Board	Appointment of Members (Up to 2 Sponsor appointments. Minimum of 3 members, DfE recommends 5 members)	No - Members vote to appoint other Members through a special resolution (75% of members agree) - Article 15A	No delegated accountability		
	Removal of Members	No - Members vote to remove other Members through a special resolution (75% of members agree) - Article 13			
	Appointment of Trustees - must not be less than 3 (Article 46: Up to 5 Sponsor Trustees and 6 independent Trustees up to 2 Parent Trustees)	Yes - Members can appoint Trustees in accordance with Article 50	Trustees can appoint Trustees (co-opt) in accordance with Article 47 & 58	Recommends to Board	Accountable for ensuring GIAS and Companies House are updated with Trustee appointments
	Appointment of the CEO	Yes	The Trustees appoint the CEO (Article 107)	No delegated accountability	
	Appointment of the CEO as a Trustee	No - Members can appoint the CEO as a Trustee by ordinary resolution (Article 57)	No delegated accountability		
	Removal of Trustees	Can remove Trustees in accordance with Article 66 by ordinary resolution (51% of members agree)	Trustees can resign from Office (Article 65) or can be removed by the person or persons that elected them (Article 66)	Recommends to Board	Accountable for ensuring GIAS and Companies House are updated with Trustee removals
	Appointment and removal of the Clerk to the Trust Board	Yes	Trustees appoint the Clerk in accordance with Article 81	Recommends to Board	No delegated accountability
	Appointment of the Chair to the Board	Yes	Trustees elect a Chair and Vice-Chair from among their number on an annual basis (Article 82)	No delegated accountability	
	Appointment of Trust Board Sub-Committee Chairs	Yes	Trustees elect a Chair and Vice-Chair of Sub-Committees from among their number on an annual basis (Article 101)	No delegated accountability	
	Appointment of Trustees to Trust Board Sub-Committees	Yes	Trustees appoint through ordinary resolution a maximum of 5 Trustees to each sub-committee of the board.	Can be appointed as Trustee to all sub-committees with the exception of the Audit and Risk Committee where attendance is by invitation.	No delegated accountability
	Appointment of the Accounting Officer	Yes	The board of Trustees appoint the Accounting Officer (CEO) through ordinary resolution (51% of Trustees agree)	No delegated accountability	
	Approval of terms of reference for Trust Board subcommittees	Yes	Trustees approve TOR for subcommittees	Recommends to Board	No delegated accountability
	Approve Annual Accounts	Yes - Members receive the Annual Accounts at the AGM	The board of Trustees approval the Annual Accounts through ordinary resolution (51% of Trustees agree)	Reports to the Board	Accountable for ensuring that the annual accounts are filed with Companies House within the appropriate timeframe
	Appointment of the External Auditors	No - Appoints the External Auditor in accordance with the Academies Financial Handbook	Makes recommendation for external auditor to the members	Makes recommendation to the Board, Supports the Trustees & Members to carry out a proper procurement process.	
	Appointment of the Internal Auditors	Yes	Appoints the internal auditors. May delegate to the Audit and Risk Committee	Recommends to Board	No delegated accountability
	Amendment to the Articles of Association	No - Can amend the Articles of Association by special resolution (75% of members agree)	No delegated accountability		
	Approval of the Scheme of Delegation	Yes	Approves the SoD through ordinary resolution (51% agree).	Recommends to Board	

Ensures effective governance in line with the Governance Handbook and operates within the "Nolan Principals"	Must Comply	Must Comply	Must Comply. Monitors and reports	Must Comply. Monitors and reports.
Comply with all obligations of the Funding Agreement including the Academies Financial.	Must Comply			
Comply with all regulations affecting the Trust (including charity law, company law, employment law and Health and Safety)	Must Comply			
Operates the Trust and the Academies by the objects outlined in the Articles of Association.	Must Comply			
Ensures the organisation has a clear vision and sets a strategy as a robust framework for setting priorities, creating accountability and monitoring progress to realise the organisations vision.	Yes	Approves the vision and sets the strategy for the Trust	Recommends to Board	Quality Assurance of Governance across the Trust
Review and challenge the progress of the Trust against strategic objectives and KPI's	Yes	Reviews and challenges and holds Trust leaders to account for progress against the strategic objectives and KPI's	Reports to the Board	Quality Assurance of Governance across the Trust
Ensuring that there are appropriate financial controls so that there is regularity, probity and value for money in relation to the management of public funds	Yes	Accountable for ensuring appropriate financial controls ensuring regularity, probity and value for money in relation to the management of public funds	Reports to the Board	Quality Assurance of Governance across the Trust
Take out Director Indemnity Insurance Cover	Yes	Yes	Oversight and Monitoring	Responsible for making adequate arrangements
Acquisition of legal entities	No	Recommendations to Board	Provision of professional advice	Provision of professional advice
Maintenance of register of interests	Yes	Yes	Monitors	Ensure Trustee register is maintained
Entering into, or withdrawing from, a formal partnership	Yes but dependent on financial value and level of risk	Recommends to Members where appropriate.	Recommends to Trustees	Provision of professional advice
Authorised to approve Trust Scheme of Delegation	Yes	Approves	Makes recommendation to the Board.	Makes recommendation to the CEO
Reporting on Academy Councillors on GIAS and academy website	Yes	Yes	Receives compliance reports and reports	Accountable for ensuring GIAS and website is up to date for SET Members and Trustees. Quality assures Academy level governance

Governance - Academy Council	Governance	Is authority delegated from the Board of Trustees?	Chief Executive Officer & Accounting Officer (CEO)	Chief Finance Officer (CFO)	Director of Safeguarding & Governance (DoS&G)	National Directors of Education	Academy Council	Principal
	Recruitment procedures for Academy Councils	No	Recommends to Board	Supports CEO with recommendations to the Trust Board			No Delegated Accountability	
	Appointment of Academy Councillors	Yes	Approves appointment	Quality Assurance through DoG	Ensures due process followed and recommends to the CEO	Makes recommendation to DoG	Makes recommendation to DoG	Makes recommendation to the AC
	Appoint Chair of Academy Council	Yes	Receives notification of Chair and Vice Chair appointments within 10 working days of appointment.				Notifies the DoG of Chair and Vice Chair appointments within <b>10 working days of appointment</b> via email to DoG or via minutes of meetings	No Delegated Accountability
	Removal of Academy Councillors	Yes	Authorises removal of Academy Councillors				Makes recommendation to DoG	No Delegated Accountability
	Appoint & Remove Governance Professional to the Academy Council	Yes	Approves appointment if required by DoG					Makes recommendation to the AC
	Ensuring at least 2 parent governors appointed to Academy Council	Yes	Approves Academy Council membership					No Delegated Accountability
	Appointment of Academy Council link councillors: SEND/Inclusion, Safeguarding, Statutory Grants, plus others.	Yes	Overview	Quality Assurance through DoG	Quality Assure that each AC have link councillors	No Delegated Accountability	Appoints link councillors who carry out designated responsibilities on behalf of AC	Ensures academy lead professional in each area communicates with AC link regularly
	Approval of SET Governance Handbook (Part 3) for Academy Council (includes ToR)	Yes	Approves Handbook	Quality Assures Handbook and recommends to CEO	Reviews and updated SET Gov Handbooks inc. Terms of References and recommends to CFO and CEO	No Delegated Accountability	Adopts TOR from SET Governance Handbook	No Delegated Accountability
	Authorised to approve/amend <b>academy level Scheme of Delegation (SoD)</b>	Yes	Approves SoD for central team	Makes recommendation to the CEO for Central team SoD. Receives compliance audit reports and reports to CEO	Quality Assures the Academy SoD's and reports internal compliance / quality assurance to the CFO	Provision of Professional Advice	Authorises Academy level Scheme of Delegation. Ensures it is adhered to.	May further delegate accountabilities within Academy Team. Must ensure all delegated authority is recorded
	Develop policy and procedures	No, but some policies may be varied according to local operational need	Recommends policies to the Trust Board	Quality Assurance through DoG	Provides quality assurance, oversight, and advice.	Advises AC & Principal on local policies	Review and monitor implementation of central and local policy and recommends local changes to SIDs	Responsible for delivery of central policy and recommends local policy to AC
	Reporting on Academy Councillors on GIAS and academy website	Yes	Receives compliance reports		Receives compliance reports and ensures Academies respond	Accountable for managing the performance of the Principal	Oversight and monitoring	Must ensure that all changes to the AC are reported to the DfE through GIAS. All changes recorded on the academy website

	Strategy	Is authority delegated from the Members?	Is authority delegated from the Board of Trustees?	Chief Executive Officer (CEO)	Members of C-Suite (where relevant)	Directors (where relevant)	Academy Council	Principal
Strategy	Overall strategy of SET	Yes	No	Responsible for setting strategy, with the Board	Provides financial & operational assistance in developing the strategy	Provides educational advice in developing the strategy	Contributes	Ensures SET strategy is incorporated into local planning
	Deliver the strategic objectives of the Trust and Academies	Yes	Yes	Accountable for the delivery of the Trust strategic objectives where delegated.	Accountable for the delivery of the Trust strategic objectives where delegated.	Accountable for the delivery of the Trust strategic objectives where delegated.	Accountable for oversight and monitoring of the academies performance against strategic objectives	Accountable for the delivery of Academy strategic objectives
	Admission of new academies to SET	Yes	No	Responsible for making recommendations to Board	Provides due diligence advice in relation to potential new academies	Provides due diligence advice in relation to potential new academies	No delegated accountability	
	Approval of academy development and improvement plans	Yes	Yes	Receives reports. Reports to the Board	Supports the process	Accountable for the quality assurance of development planning across the MAT. Report to the CEO	Accountable for the approval and monitoring of academy improvement plans, reporting of issues to the SIDs	Responsible for development and delivery of academy improvement plans



		Education/Curriculum	Is authority delegated from the Board?	Chief Executive Officer (CEO)	DCEO, CSIO, National Directors	Chief Learning Officer (CLO)	Academy Council	Principal
Education and Curriculum	Academy Improvement Plans and self-evaluation	Approval of academy improvement plans in line with the strategic aims of the Trust	Yes	Receives reports. Reports to the Board	Supports the process	Accountable for the quality assurance of development planning across the MAT. Reports to the CEO	Accountable for the approval and monitoring of academy improvement plans, reporting of issues to SIDs	Responsible for development and delivery of academy improvement plans
		Post-Ofsted Action Plan sign off for any academy receiving Grade 4	Trustee approval required	Reviews and makes recommendation to Board	Accountable for the quality assurance and monitoring of plans	Accountable for the quality assurance of support (and brokering thereof) to the Academy	Review of the academy plan - provision of support and challenge	Accountable for the production and successful delivery of plans
		Carrying out the self-evaluation process and the areas for improvement with particular regard to outcomes and success criteria	Yes	Reports to the Education Performance and Standards Committee	Accountable for the quality assurance and monitoring of self-evaluation and report progress to the CEO	Accountable for highlighting and sharing best practice across the Trust	Approval and monitoring of the self-evaluation form	Accountable for the production and maintenance of the academy self-evaluation form and recommends to AC
	Key Performance Indicators	Approval, setting and monitoring of the performance of the Trust, Academies including student achievement and attendance; teaching and learning; and student wellbeing.	Trustee approval required at ESP Committee	Responsible for proposing SET and local targets to the Board and providing appropriate reporting via the ESP	Accountable for setting local targets and providing appropriate reporting to ESP committee via the CEO. Accountable for the Performance Management of the Principal		Review of local target setting and responsible for holding Principal to account	Reports to AC and Board via subcommittees
	Reporting	Reporting Academy educational performance against KPI's at least termly to the Board of Trustees on the performance of the Trust	Yes	Reports to the Education Performance and Standards Committee	Accountable for the quality assurance and monitoring of performance against KPI's	Accountable for reporting on the impact of the Institute of Education for commissioned support against KPI's. Must respond to issues raised with academy performance and ensure there is capacity to deliver school improvement.	Accountable for monitoring the academy performance against KPI's and holding the academy leadership team to account	Accountable for achieving the required level of performance against KPI's
		Assemble data for pupil assessment and other returns	Yes	Reports to the Education Performance and Standards Committee	Accountable for the quality assurance and monitoring of academy reporting	Can support systems for effective reporting within an academy setting	Accountable for the oversight, monitoring and review of the accuracy and maintenance of pupil data	Accountable for ensuring pupil data is accurate and maintained. Reports progress to AC.
	Quality of Teaching	Ensuring the appropriate levels of support, challenge and intervention to support delivery of education outcomes	Yes	Reports to the Education Performance and Standards Committee	Accountable for the Performance Management of the Principal. Accountable for the quality assurance and monitoring of the quality of teaching	Accountable for supporting academies with developing policies and improvement strategies for quality of teaching	Accountable for the oversight, monitoring and review of educational outcomes	Accountable for ensuring that there are appropriate levels of support, challenge and intervention to support delivery of educational outcomes.

		Education/Curriculum	Is authority delegated from the Board?	Chief Executive Officer (CEO)	DCEO, CSIO, National Directors	Chief Learning Officer (CLO)	Academy Council	Principal
Education and Curriculum	Curriculum	Setting the curriculum for the Academies and reviewing its effectiveness.	Yes	Reports to the Education Performance and Standards Committee	Accountable for the quality assurance and monitoring of the effectiveness of the academy curriculum	Accountable for supporting the SID team with the quality assurance of the curriculum and then providing further support as required.	Accountable for the oversight, monitoring and review of the effectiveness of curriculum plans and implementation	Accountable for the successful development and delivery of curriculum plans. Reports to AC.
		Ensuring that the legal requirements for children with special educational needs are met and that they are given support for learning	Yes	Reports to the Education Performance and Standards Committee	Accountable for the quality assurance and monitoring of the effectiveness of the academy curriculum for pupils with SEND	Accountable for supporting the SID team with the SEND review process and then providing further support as required.	Accountable for the oversight, monitoring and review of the effectiveness of curriculum plans for pupils with SEND. Must nominate a member of the AC to lead this area.	Accountable for the development and delivery of curriculum ensures compliance with the legal requirements for pupils with SEND and that support is given for their learning.
		Extended Curriculum - To decide to offer additional activities and to decide what form these should take	Yes	Reports to the Education Performance and Standards Committee	Accountable for the quality assurance and monitoring of the effectiveness of the extra-curricular activities within the academy	Accountable for creating systems and processes to share best practice across the Trust.	Accountable for the oversight, monitoring and review of the extra-curricular activities within the academy	Accountable for ensuring that there is a wide, varied and high quality extra- curricular offer for pupils within the academy
	School Visits	Approval of school visits	Yes	Yes delegates to SIDs and Principals	Approves any international school visits	No delegated accountability	Recommends International visits to the national Directors. Oversight and monitoring of UK visits/trips.	Can approve visits/school trips within the UK. Accountable for ensuring there is a robust Risk Assessment and sign off in place for all visits (including International trips after approval from National Directors).
	Pupil Premium	Reviewing and challenging the value for money / return on investment for the Pupil Premium in terms of educational outcomes and narrowing the achievement gap	Yes	Reports to the Education Performance and Standards Committee	Accountable for the quality assurance and monitoring of the effectiveness of the use of Pupil Premium funds	Accountable for supporting the SID team with the Pupil Premium review process and then providing further support as required.	Accountable for the oversight, monitoring and review of the use of Pupil Premium funds. Should nominate a member of the AC to lead in this area.	Accountable for ensuring that Pupil Premium funds improve educational outcomes and narrow the achievement gap for PP pupils and producing the required reports.

		Education/Curriculum	Is authority delegated from the Board?	Chief Executive Officer (CEO)	DCEO, CSIO, National Directors	Chief Learning Officer (CLO) / Chief People Officer (CPO)	Academy Council	Principal
Education and Curriculum	Education Policy	Approval of education policy (e.g. off site visits, RE provision, Collective worship etc.)	Trustee to approve the Policy Tracker matrix which delegates responsibility of policy approval across members of the Executive Team and Principals	Makes appropriate policy recommendations to the board for approval	Accountable for ensuring robust appropriate policies are developed	Accountable for ensuring robust appropriate policies are developed in relation to People and Culture across the Trust with support from SET HR teams where required. (CPO)	Accountable for ensuring SET policies are used by the academy	Accountable for the delivery of education against the policy framework. Accountable for ensuring where SET policies refer to an annex for local adaptation these are in place. Accountable for other local policy creation and delivery as delegated by Trustees.
	Assessment, Data and Examinations	Ensuring rigorous, accurate and appropriate assessment systems are in place including compliance with external examinations and SET policy requirements. There are reports to parents as appropriate.	Yes	Receives reports from the National Directors. Reports to the Education Performance and Standards Committee	Accountable for the quality assurance of assessment data and processes. Accountable for the Performance Management of the Principal.	Providing support and advice where required (CLO)	Accountable for the oversight and monitoring of assessment information.	Accountable for ensuring rigorous, accurate and appropriate assessment systems are in place including compliance with external examinations requirements. Makes data available for SET SIDs upon request.
	Admissions	Policies and criteria including requests to increase / reduce the PAN and over- subscription criteria.	Yes	Approves the submission. Where needed, submits the business case to the DfE/ESFA.	Accountable for the quality assurance of admissions policy and criteria and recommends a business case for the change in PAN to the CEO. Must ensure due process has been followed by the academy	Providing support and advice where required (CLO)	Consulted. Must ensure that decision to reduce/increase PAN is clearly documented in AC Minutes	Accountable for ensuring DfE/ESFA procedures are followed. Must consult with the SID.
		Appeals	Yes	Oversight and monitoring	Accountable for the quality assurance of the academy appeals process		Informed of the process.	Accountable for submitting information to the local authority to inform the appeals committees. Authorised to attend admission appeals (this may be delegated)
		Exclusions - Permanent Exclusions	Yes	Reports to the Education Performance and Standards Committee	Accountable for the quality assurance of exclusion processes. Approver of any Permanent Exclusions (Nat Dirs)		Accountable for the delivery of the management process	Accountable for ensuring all procedures are followed correctly, and in line with legal requirements . Makes request for approval to SIDs.

		Education/Curriculum	Is authority delegated from the Board?	Chief Executive Officer (CEO)	DCEO, CSIO, National Directors	Chief Learning Officer (CLO)	Academy Council	Principal
Education and Curriculum	Exclusions	Exclusions - Fixed Term Exclusions	Yes	Reports to the Education Performance and Standards Committee	Accountable for the quality assurance of exclusion processes	Providing support and advice where required	Accountable for the delivery of the management process	Accountable for ensuring all procedures are followed correctly and in line with legal guidelines. The Principal is the only person who can make decisions about fixed term exclusions.
		Exclusions - Appeals	Yes	Reports to the Education Performance and Standards Committee	Accountable for the quality assurance of exclusion processes		Accountable for the delivery of the management process	Accountable for ensuring legal procedures are followed
		Exclusions - Reinstatement of excluded Pupils	Yes	Reports to the Education Performance and Standards Committee	Accountable for the quality assurance of the reinstatement process.		Accountable for the delivery of the management process	Accountable for ensuring all procedures are followed correctly and in line with legal guidelines
	Student Management	Accountable for managing issues in relation to students through appropriate policies	Yes	Reports to the Education Performance and Standards Committee	Accountable for the quality assurance of student issues	Providing support and advice where required	Accountable for the oversight, monitoring and review of student issues	Accountable for enacting related policies for student issues
	Academy Operating Arrangements	Term dates and length of the academy day	Yes	Approves term dates and the length of the academy day	Makes recommendations to CEO	Providing support and advice where required	Consulted	Accountable for providing a business case for change to the Regional Director
		All year-round operating agreements	Yes	Approved all year-round operating agreements	Makes recommendations to CEO		Consulted	Accountable for providing a business case for change to the Regional Director
	School Meals	School Meals - ensure provided to appropriate nutritional standards	Yes	Receives quality assurance reports from Operations Team in regard to school meal quality and compliance at academy level	Accountable for the Performance Management of the Principal.	Providing support and advice where required	Accountable for the oversight, monitoring and review of the compliance with nutritional standards	Accountable for ensuring school meals provide appropriate nutritional standards
		School Meals - Provision of free school meals to those meeting criteria	Yes	Receives quality assurance report for compliance with process	Accountable for the Performance Management of the Principal.		Accountable for the oversight, monitoring and review of the provision of meals for those meeting the criteria	Accountable for ensuring the provision of free school meals for those meeting the criteria. Actively encourages eligible families to apply.

	Safeguarding	Is authority delegated from the Board?	Chief Executive Officer (CEO)	Deputy Chief Executive Officer (DCEO)	Director of Safeguarding & Governance (DoS&G)	Chief People Officer (CPO)	National Directors of Education	Academy Council	Principal	Designated Safeguarding lead (DSL)
Safeguarding	Complete and maintain a Single Central Register (SCR) - for Central Team SET employees	Yes	Oversight and monitoring and accountable for performance of Chief People Officer	Accountable for the performance management of the Chief People Officer & DoS	No delegated accountability	Accountable for ensuring the SCR is in place for the central team and informs CEO	Communication with CPO if relevant	No delegated accountability		
	Complete and maintain a Single Central Register (SCR) - for the Trustee Board	Yes		Accountable for the performance management of the DoS	Accountable for ensuring the SCR is in place for the Trustee Board via HR	Coordinates the SCR process and notifies the DoS	No delegated accountability			
	Complete and maintain a Single Central Register (SCR) - for Academy employees and Academy Councillors. HR files are maintained in accordance with Safer Recruitment.	Yes		Accountable for the performance management of the DoS Reports to CEO	Accountable for quality assuring academy SCR's	Supports the central quality assurance process	Accountable for managing the performance of the Principal	Accountable for ensuring compliance checks are made on SCR	Accountable for ensuring that a compliant SCR is in place and maintained for the academy and checks at least once per term	Ensures SCR is checked internally by relevant colleague
	Appoint a Board member as lead safeguarding trustee	No - Chair of the Board ensures a trustee holds this responsibility and regular agenda point on full board meetings	Oversight and monitoring	Communicates with link Trustee as appropriate	Meets once per term with SG Trustee to discuss Trust Board SG Report	No delegated accountability				
	Appoint a safeguarding Academy Councillor	Yes	Oversight and monitoring	Accountable for the performance management of the DoS	Accountable for ensuring that each AC has a SG councillor and communicates regularly with them and provides training and support	No delegated accountability		Chair of Academy Council is accountable for ensuring a safeguarding councillor is in post	No delegated accountability	Meets with AC link each term
	Ensure an annual safeguarding audit is completed at each academy	Yes	Receives report	Accountable for the performance management of the DoS	Accountable for the Quality assurance of the audit and practice in academies Reports to DCEO.	No delegated accountability	Accountable for managing the performance of the Principal	Accountable for ensuring a SG audit takes place and that response to any necessary actions are swift and continuous	Accountable for the safeguarding audit outcomes and required actions. Accountable for the performance management of the DSL	Accountable for the completion and update of the SG audit and SG folder
	Ensure an annual safeguarding audit is reported to Trustee Board each full meeting	Yes	Reports to the full Trust board.	Accountable for the performance management of the Director of Compliance. Reports to CEO	Produces report for COO to report to Trustee Board.			Accountable for the provision of data as necessary to enable the reporting process		
	Ensure appropriate members of staff and academy councillors are trained in safer recruitment. Ensures all appointments comply with Safer Recruitment and HR files are maintained in accordance with SET policy	Yes	Monitor via COO		Supports with signposting/delivering appropriate training.			Accountable for ensuring at least one member of every Principal, Executive or central team recruitment panel has completed safer recruitment training and ensures that HR files are maintained in accordance with SET policy following recruitment which complies with Safer Recruitment.	Accountable for ensuring at least one member of every recruitment panel has completed safer recruitment training. Accountable for ensuring appointments comply with Safer Recruitment and HR files are maintained in accordance with SET policy.	Accountable for successful completion of safer recruitment training and regularly updates their knowledge in this area Ensures panels have a SR colleague for all interviews

	Safeguarding	Is authority delegated from the Board?	Chief Executive Officer (CEO)	Deputy Chief Executive Officer (DCEO)	Director of Safeguarding & Governance (DoS&G)	Chief People Officer (CPO)	National Directors of Education	Academy Council	Principal	Designated Safeguarding lead (DSL)
Safeguarding	Ensure each academy has an appropriately trained designated safeguarding lead (DSL) and deputy DSL(s)	Yes	Oversight and monitoring	Accountable for the performance management of the Director of Safeguarding. Reports to CEO	Accountable for ensuring that each academy has a DSL in place and supports with signposting/delivery of appropriate training. Accountable for ensuring that the DSL has the appropriate level of training as identified through the Safeguarding audit.	Accountable for quality assuring that each school has a named person as DSL on the iTrent system	Accountable for managing the performance of the Principal	Accountable for ensuring the DSL is in post and has appropriate training and time to carry out duties	Accountable for ensuring that a DSL is always available to staff and pupils and the person is named as such on the iTrent HR system	Must attend and complete the appropriate level of training every 2 years and carry out specifics of role in accordance with KCSiE
	Ensure a trust wide Safeguarding & Child Protection Policy is in place and compliant with statutory guidance	No	Approves Policy for Board consideration	Accountable for the quality assurance of the policy and performance management of the DoSG&G. Recommends to CEO	Accountable for creation of policy ensuring compliance with statutory guidance and recommends to DCEO/C-Suite	No delegated accountability	Accountable for managing the performance of the Principal	Must be knowledgeable of policies, supports and challenges Principal	Accountable for ensuring that policies are in place and enacted	Accountable for ensuring policy is communicated to all academy staff and available to stakeholders
	Ensure all relevant linked safeguarding policies are in place in each academy and compliant with statutory guidance	Yes	Oversight and monitoring	Accountable for the performance management of the DoSG&G. Reports to CEO	Accountable for creation of linked policies as stated on SET Policy Tracker		Accountable for managing the performance of the Principal	Must be knowledgeable of policies, supports and challenges Principal	Accountable for ensuring policies are in place and enacted	Accountable for ensuring relevant policies communicated to all and enacted
	Ensure academy staff receive regular and appropriate safeguarding training	Yes		Accountable for the performance management of the DoSG&G. Reports to CEO	Accountable for ensuring academies participate in relevant and robust training as required.			Ensures appropriate training takes place and a log is in place.	Accountable for ensuring staff receive regular and appropriate safeguarding training. Reports to AC and DoS when appropriate	
	Ensure SET central team receive regular and appropriate safeguarding training	Yes	Oversight and monitoring	Accountable for the performance management of the DoSG&G. Reports to CEO	Accountable for creating a SET central team safeguarding training calendar and quality assures completion by central team	Receives/delivers regular and appropriate training		No delegated accountability		
	Ensure that files related to the protection of children are well-organised and held securely	Yes	Oversight and monitoring	Accountable for the performance management of the DoSG&G. Reports to CEO	Accountable for quality assurance of the practice in academies via Folder and visits. Reports to DCEO	No delegated accountability	Accountable for the performance management of the Principal	Quality assures arrangements for the storage of records	Accountable for ensuring systems of high quality are in place- QA DSL practice. Reports to AC, SIDs and DoSG&G when relevant	Accountable for ensuring that files related to the protection of children are well-organised and held securely
	Ensure that a policy is in place and details the procedures following allegations made about staff including Principals	Yes	Liaises with DCEO & SIDs	Supports the process		Liaises with SIDs, DCEO and DoS when appropriate	Liaises with CPO, CEO/AC Chair and/or Principal on all allegations	Accountable for working with LADO/HR/SIDs if allegation made about Principal	Accountable for working with LADO on relevant cases (or delegating to SLT)	No delegated accountability
	Ensure internet filters and monitoring procedures in place	Yes	Oversight and monitoring	Accountable for ensuring SET central filters and monitoring procedures are in place through management of Director of Digital Transformation	Along with Dir Digital Trans, ensure all academies are implementing statutory M&F procedures	No delegated accountability	Accountable for the performance management of the Principal	Responsible for ensuring academy has systems in place	Accountable for the performance management of the DSL	Accountable for the liaison with Network staff and AC to communicate procedures to each other

Human Resources		Human resources	Is authority delegated from the Board ?	Chief Executive Officer (CEO)	Chief People Officer (CPO)	Human Resources Business Partners (HRBP)	National Directors of Education	Academy Council	Principal
	Culture	To create a positive culture across the Trust. Ensure equality, diversity, and tolerance.	Yes	Reports to the Trust Board and relevant committees	Accountable for promoting a positive culture across the Trust. Provides support and training as required. Accountable for measuring the quality of culture across the Trust and reporting to the CEO.	ALL SET CENTRAL TEAM RESPONSIBLE FOR PROMOTING A POSITIVE CULTURE ACROSS THE MAT	Accountable for the quality assurance and monitoring of culture and ethos. Responsible for recording and reporting incidents within academies to the Board via the CEO/CPO.	Accountable for the oversight, monitoring and review of academy culture	Accountable for ensuring that there are robust procedures in place and provide necessary intervention/reporting
	Grade of posts (teaching & support staff)	Creation and approval of new and revised Job Descriptions and posts	Yes	Receives reports and monitors	Accountable for the performance management of the HRBP's. Reports to the CEO	Quality assures the job description and equal opportunities pan MAT. Evaluates the grading of the post. Supports and advises the Principal. Reports risk to the CPO	Approval of new job descriptions and posts in liaison with SET HR and SET finance where appropriate.	Accountable for oversight and monitoring consistent with school staffing model.	Accountable for the creation of the Job Evaluation Questionnaire and sends to SET HR. Recommends new job description and post to the RD for approval.
		Authorised to evaluate jobs and grades	Yes	Authorises job evaluations and grades	Receives reports from HRBP's, monitors and assures cross-organisational grading/equality of pay and reports to CEO.	Responsible for oversight and cross-organisational grading. Evaluates new Job Description and allocates appropriate pay scale. Informs Principal.		Accountable for oversight and monitoring of business case and consistent with school staffing model.	Creates the Job Evaluation Questionnaire and submits to SET HR for evaluation. Once evaluated authorised to distribute.
		Authorised to agree/vary employment Terms & Conditions - hours and working weeks	Yes	Authorises variations to hours and working weeks for Executive Team and Principals. Receives reports and monitors.	Authorises variation to hours and working weeks for SET central team (excluding Executive and Principals). Accountable for the performance management of the HRBP's. Reports to the CEO	Accountable for quality assurance of the consistent application of terms and conditions across SET	Accountable for managing the performance of the Principal	Accountable for the oversight and monitoring of local changes to hours and working weeks within SET terms and conditions	Accountable for approval of local staff hours or working weeks in accordance with SET terms and conditions
	Recruitment	Recruitment and appointment of CEO	No - Trustees appoint the CEO	No delegated accountability					
		Recruitment and appointment of CFO	No - Trustees appoint the CFO	Appoints CFO jointly with Board	No delegated accountability				
		Recruitment and appointment of Executive Team Members and Principals	Yes- but may be involved	Appoints Executive Team and Principals	Involved in process (Executive Team)	Supports the recruitment and appointment process	Involved in process (Principals)	Involved in process (Principals)	No delegated accountability but may, by invitation be involved
		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	Supports the recruitment and appointment process. Accountable for the quality assurance of academy processes.	Approves academy business case for additional roles. Authorised to appoint staff within own teams as agreed with CEO.	Involved in process as appropriate	Can appoint to replacement posts in the original budgeted unless it is a role marked as "do not replace" by SET. Where additional roles are required (not accounted for in the original annual budget) a business case should be submitted to the RD for approval.
		Safer Recruitment and recruitment processes	Yes	Receives reports and monitors	Accountable for the recruitment processes within the SET Central team. Receives reports and monitors. Reports to the CEO	Accountable for the quality assurance of process and compliance; advises on best practice. Reports to the CPO	Accountable for the Performance Management of the Principal. Supports the process of Safer Recruitment and legislative practice across the Trust	Involved in the Safer recruitment process and decision making	Accountable for carrying out the recruitment process in line with Safer Recruitment and the SET Recruitment and Selection Policy. Ensures HR files are maintained appropriately
		Signing of employment contracts	Yes (but Chair must sign CEO contract)	All employment contracts are accompanied with a welcome letter signed by the CEO	No delegated accountability				



		Human resources	Is authority delegated from the Board ?	Chief Executive Officer (CEO)	Chief People Officer (CPO)	Human Resources Business Partners (HRBP)	National Directors of Education	Academy Council	Principal
Human Resources	Pay Policy	Annual approval of pay policy	No	Makes recommendation to Board	Contributes to recommendation to CEO	Accountable for the quality assurance of process and compliance. Makes recommendations on the annual pay policy to the CPO	Accountable for the Performance Management of the Principal. Quality assures recommendations for pay increments to CEO within own team and Academy	Accountable for maintaining an awareness of the Trust pay policy and operates within the policy and procedures.	Accountable for operating within the pay policy and submits information upon request
		Determination of pay ranges - including appointments outside range in the salary structure and the awarding of allowances in accordance with the STPCD	Yes (except CEO)	Determines pay ranges for Principals and central staff	Responsible for oversight and cross-organisational grading	Quality assures for consistency across the Trust	Approval of changes to pay ranges, TLR's, SEN and discretionary payments in accordance with SET policy and HR guidance.	Accountable for the quality assurance of the business case to HR. Maintains an awareness of SET pay ranges and scales.	Can authorise changes to pay ranges, and award additional TLR, SEN and discretionary allowances in exceptional circumstances. Requests approval from the RD
		Value of other discretionary allowances	Yes (except CEO)	Approval of discretionary allowances	Makes recommendation to CEO for discretionary allowances for the central operations team	Provides support and advice	Reviews proposal from Academies and makes recommendation to CEO. Recommends discretionary allowances for the central education team	Academy council proposes to RD/CFO	Proposals for other allowances
		Annual Pay Progression and Appeals Process	Yes to Nominations and Remunerations Committee	Makes recommendations to N and R Committee for SET	Makes recommendation to CEO for annual pay progression for the central operations team	Provides support and advice	Reviews proposal from Academies and makes recommendation to CEO. Recommends Annual pay progression within own teams	Academy council proposes to RD	Recommends to AC
		Setting Executive Pay	No	Makes recommendation to Board	Contributes to recommendation to CEO	Accountable for benchmarking executive pay across the Multi-academy Trust sector and makes recommendations to the CPO	No delegated accountability		
	Pension Policy & Discretions	Handling of all pension matters (teachers and support staff)	Yes	Oversight and monitoring	Reviews and quality assures the handling of all pension matters. Accountable for the Performance management of the HR and Payroll team. Oversees Pension audit processes. Reports the exceptions to CEO	Accountable for ensuring appropriate pension arrangements and proper administration. Recommends approval of ill-health, flexible, early retirement cost and actuarial strain costs (redundancy) to CFO.	Finance Section, no longer in HR		
		Approval of use of Pension Policy Discretions	Yes	Oversight and monitoring	Reviews and quality assures the Pension discretions policy. Approves use of the Discretions Policy. Reports exceptions to the CEO.	Accountable for recommendation of Pension Policy discretions to CFO.	Finance Section no longer in HR		



		Human resources	Is authority delegated from the Board ?	Chief Executive Officer (CEO)	Chief People Officer (CPO)	Human Resources Business Partners (HRBP)	National Directors of Education	Academy Council	Principal
Human Resources	Operation of Policies	Approval of employment policies	No	Makes recommendations to Board	Receives and reviews employment policies and recommends to CEO	Accountable for the creation and recommendation of employment policies to the CEO, CPO in compliance with legislation and DfE directives	No delegated accountability		
		Objective setting and performance appraisal	Yes (except CEO)	Accountable for setting objectives and performance appraisal of C Suite	Accountable for ensuring C-Suite set objectives and performance appraisal of own teams	Accountable for setting objectives and performance appraisal of own teams	Accountable for the setting of Principal's targets with AC	Oversight monitoring of Academy QA	Accountable for conducting appraisal arrangements for own team and ensures pan Academy QA
		Approval of formal restructure plans	Yes	Approves the restructure business case	Receives the restructure business case from the AC and recommends to the CEO	Quality assurance of process and compliance; advises on best practice	Oversight of the restructure plans. Accountable for the performance management of the Principal	Accountable for review of the restructure business case and recommends to the CFO. Supports in leading the process in the school.	Accountable for creation of formal restructure plan (with support from SET HR) and establishment of a business case for approval. Leads the process in the school.
		Following a misconduct panel, 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	May issues warnings in own team and attend panels. Supports the process across the Trust.	Involved where appropriate	Accountable for monitoring the level of action taken. Participates in the formal panel.	May issue warnings and disciplinary measures
		Suspension	Yes (except CEO)	Authorised to suspend Principals and all other central staff.	Informs CEO	Quality assurance of process and compliance; advises on best practice	Informed. Reports and makes recommendations to CEO, DCEO and CPO	Informed	May suspend academy employee <b>only</b> following consultation with SET HR and Regional Directors
		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	Accountable for giving advice and support the Trust leadership team in dismissal procedures	CEO or other executive team member must be involved in dismissal panels.	Part of formal panel (minimum of 3 panel members)	
		Appeals - Gross misconduct or misconduct	Yes (except where CEO has heard original case)	CEO or other executive team member must be involved in appeals procedures	CEO or other executive team member must be involved in appeals panels	Accountable for giving advice and support the Trust leadership team in appeals procedures	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	
	Data Management	Maintenance and data entry into central HR software	Yes	Receives reports	Accountable for authorisation of software upgrades or changes in accordance with budget provision and legislation requirement.	Recommends business case for change to CPO	Accountable for the Performance Management of the Principal	Receives Reports	Accountable for ensuring the accuracy and completeness of data entry into central HR Software

## DISCIPLINARY CASES AND DISMISSALS delegation model

## DISCIPLINARY, CAPABILITY (PROFESSIONAL &amp; ILL HEALTH), REDUNDANCY (The

Post	Delegated authority	Appeal
Chief Executive	Board member	3 Board members
Executive Team (C Suite)	Chief Executive	3 Board members
ELT	C Suite/ Chief Exec	3 Board members
Principals	C Suite/Chief Executive	Board Member
Subject Directors (Inc. Director of Teaching School and SCITT)	C Suite/Chief Exec	Board Member, Chief Executive
Vice Principal and SLT Members	Principal, RD	C Suite
All other Academy posts	Principal	ELT
Operations central posts	C Suite	C Suite/ Chief Exec
Finance central posts	CFO	C Suite/ Chief Exec

## SIGNATURE ON LETTER OF APPOINTMENTS

Role	Delegated authority
Chief Executive	Chair of Board
C Suite/ELT	Chief Executive
Principal	Chief Executive
All other posts	Chief People Officer
Teachers Pay-Threshold/UPS	Chief People Officer

## STAFFING RESTRUCTURES

Delegated authority
CEO, Regional Directors, Chief Finance/People Officer, HR, Principal, Chair of Academy Council

## GRIEVANCE

Post	Delegated authority	Appeal
Chief Executive	Board Member	Chair of Board
C Suite	Chief Executive	Board member
ELT	C- Suite	Chief Executive
Principal	C Suite	Chief Executive/C Suite
Vice Principal/SLT member	Principal	ELT
All other academy posts	Principal	ELT
All central finance posts	CFO	Chief Executive
All operational posts	C Suite	Chief Executive

## PERFORMANCE MANAGEMENT

Role	Delegated authority
Chief Executive	Chair and 1 Board member
C Suite	Chief Executive
ELT	Chief Executive/ C Suite
Principals	ELT
Finance core team	CFO
Operations core team	C Suite
All other academy posts	Principal and academy line management structure

	Health & Safety	Is authority delegated from the Board?	Chief Executive Officer (CEO)	Deputy Chief Executive Officer (DCEO)	Director of Infrastructure (DoI)	National Directors / SIDs	Academy Council	Principal
Health and Safety	To institute Health and Safety and associated policies	Yes	Reviews and reports to the Finance and Resources committee	Quality assures and reviews the policy framework	Accountable for ensuring that there is a robust Health and Safety (including associated policy) framework	Accountable for managing the performance of the Principal	Accountable for monitoring implementation of local policy	Accountable for implementation of local policy
	Ensuring the adequacy of health and safety practice throughout SET	Yes		Quality assures program of assurance	Accountable for quality assurance and monitoring of implementation of policy within the academy		Ensures Academy arrangements are adequate	Accountable for implementation of policy. Reports to Academy Council.
	Critical incident planning	Yes			Quality assures and monitors. Hold academy Critical incident plans and reviews as appropriate		Ensures critical incident plans are adequate and in place	Accountable for implementation of policy. Reports to Academy Council.
	Health and Safety RIDDOR reporting	Yes			Accountable for the quality assurance and monitoring of the effectiveness of academy processes.		Accountable for ensuring academy arrangements are adequate	Accountable for implementation of policy. Reports to Academy Council.
	Health and Safety Accident reporting	Yes			Accountable for the quality assurance and monitoring of the effectiveness of academy reporting processes. Reporting of exceptions.		Accountable for ensuring that accident reporting arrangements are in place and actions followed up	Accountable for the implementation of accident reporting arrangements. Must ensure a plan for remedial action is followed up and reported to the AC.
	Statutory training	Yes		Quality assures board report	Monitors and supports with SET statutory training for H&S and reports to Board		Accountable for the monitoring of academy statutory training for H&S	Accountable for ensuring that there are arrangements for statutory training for H&S
	Statutory compliance testing	Yes		Quality assures program of assurance & reporting	Accountable for the development and monitoring of SET Policy. Provision of statutory compliance infrastructure and access to specialist support services. Reports to Board		Accountable for checking procedures are in place and monitors outcomes	Accountable for the implementation and monitoring of local statutory compliance testing (ABM)
	Academy health and safety arrangements including committee and use of risk assessments	Yes			Accountable for the quality assurance and monitoring of the effectiveness of academy reporting		Nominates an Academy Councillor for H&S. Receives reports of H&S committee/resources sub- committee. Accountable for monitoring outcomes	Accountable for ensuring that there is a H&S committee and that it meets at least 3 times a year (can be part of the resources committee)
	Fire risk assessment	Yes		Quality assures program of assurance	Accountable for the development and monitoring of SET Policy. Provision of fire risk assessment infrastructure and access to specialist support services. Ensures Academies have appropriate risk assessments in place through a programme of Quality Assurance.		Accountable for supporting academy processes and monitoring outcomes	Accountable for ensuring operational arrangements are in place and effective
	Asbestos risk assessment	Yes			Accountable for the development and monitoring of SET Policy. Provision of asbestos assessment infrastructure and access to specialist support services. Ensures Academies have appropriate risk assessments in place through a programme of Quality Assurance.		Accountable for monitoring the impact of operational arrangements	Accountable for ensuring operational arrangements are in place and effective
	Water Hygiene (including Legionella)	Yes			Accountable for the development and monitoring of SET Policy. Provision of water hygiene management infrastructure and access to specialist support services. Ensures Academies have appropriate risk assessments in place through a programme of Quality Assurance.		Accountable for monitoring the impact of operational arrangements	Accountable for ensuring operational arrangements are in place and effective
	General monitoring and action plans in relation to safety of sites including buildings conditions	Yes		Monitors and reviews quality assurance	Accountable for the quality assurance and monitoring of operational arrangements		Accountable for monitoring the impact of operational arrangements	Accountable for ensuring operational arrangements are in place and effective

		Infrastructure	Is authority delegated from the Board?	Chief Executive Officer (CEO)	DCEO / CFO	Director of Infrastructure (DoI)	Chief financial Officer (CFO) & Director of Finance Resource Management (DFRM)	National Directors	Academy Council	Principal
Infrastructure	Insurances	Annual Risk Review & Premium Renewal	Yes	No delegated accountability	Accountable for the approval of the annual risk review and premium renewal	No delegated accountability	Accountable for ensuring best value for insurance premium renewal and recommends to the CFO	Accountable for managing the performance of the Principal	Oversight and monitoring	Accountable for ensuring that insurance certificates are visible in the school reception area. Accountable for ensuring all assets are insured by notifying to SET central team.
		To ensure that there are appropriate levels of building insurance and public liability	Yes	Receives reports.	Accountable for the oversight and quality assurance of insurance levels across the Trust	Informs the process	Accountable for ensuring that there are appropriate levels of building insurance and public liability across the Trust	No delegated Accountability		
		Insurance claims	Yes	Receives reports.	Receives reports.	Supports the process and reports significant issues that impact on the effective operation of the school to the DCEO & CFO	Accountable for monitoring and reconciling income from insurance claims	Accountable for managing the performance of the Principal	Oversight and monitoring	Accountable for ensuring insurance claims are made to cover loss/damage or other insurable incidents within a timely manner
	Estates Management	Developing academy buildings and facilities estate long term strategy or master plan	Yes	Approves the long-term strategy for the SET Estate	Makes recommendations to the CEO	Recommends the long term strategy and master plan to the DCEO. Creates the operational development plan. Works with Principals to identify opportunities and threats.	Accountable for ensuring assets are maintained on the SET Assets register (value of assets are greater than £3,000)	Contribute to the strategic development plan	Accountable for the oversight of academy development plans	Accountable for contribution to a long term strategy for the development of buildings and facilities. Recommends to the DoI
		Producing and maintaining buildings, including developing properly funded maintenance plan	Yes	Receives reports.	Accountable for the performance management of the DoEHS. Reports to the CEO	Creates strategic master plan and operational delivery plan. Works with principals to identify opportunities and threats. Supports and quality assures the academy processes	No delegated Accountability	Accountable for managing the performance of the Principal	Accountable for the oversight of academy maintenance plans and Health and Safety	Accountable for the maintenance of buildings. Ensuring there is a funded maintenance plan. Must ensure Health and Safety issues are prioritised.
	Fixed Assets	Management of capital projects	Yes	Yes	Accountable for the performance management of the DoEHS. Reports to the CEO	Accountable for ensuring that SET centrally managed capital projects are delivered in accordance with statutory guidelines and within budget	Accountable for ensuring assets are maintained on the SET Assets register (value of assets are greater than £3,000)	Accountable for managing the performance of the Principal	Ensures management and governance arrangements are appropriate.	Accountable for ensuring capital projects are managed in accordance with statutory guidelines and within budget
		Acquiring a freehold on land and buildings	No - ESFA approval required	Recommend approval to Board for submission to ESFA	Recommend approval to CEO for submission to Board	Recommends approval to DCEO/CFO for submission to Board	No delegated Accountability		Recommend approval to CEO for submission to Board	No delegated Accountability
		Disposal of a freehold on land and buildings								
		Disposing of heritage assets								
		Disposal of assets - not land, buildings or heritage	Yes - but must approve over £5k	Receives reports.	Authorised to Review and approve up to £5k	No delegated Accountability		Accountable for the Performance Management of the Principal	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 £39,999 (formal tender process)				Authorised up to £20K (minimum of 3 quotes)	Powers delegated to Principal up to Academy Council threshold
		Asset Register	Yes	Receives reports.	Authorised to Review and approve	Accountable for the quality assurance of academy asset registers. Accountable for the maintenance of the SET asset register in accordance with SET policy	Accountable for maintenance of a consolidated assets register for accounting purposes for capital purchases over £3k		Monitor asset register	Accountable for maintenance of an Assets Register in accordance with SET policy
		Security Of Assets	Yes	Receives reports.	Oversight and must report to Board by exception	Accountable for the quality assurance of academy security of assets. Accountable for ensuring the security of SET assets in accordance with SET policy	No delegated Accountability		Monitor security of assets	Accountable for the security of assets in accordance with SET policy
		Loan of Assets	Yes	Receives reports.	Authorised to Review and approve	Accountable for the quality assurance of academy loan of assets. Accountable for maintaining the loan of SET assets in accordance with SET policy			Monitor loan of assets	Accountable for the loan of assets in accordance with SET policy

	Risk Management	Maintenance of a Risk Register	Yes	Receives reports.	Accountable for management of the performance of the DOI. Reports to the CEO	Accountable for ensuring that the SET Central Risk register is maintained and key risks impacting on SET academies is communicated to Principals. Reports to DCEO & CFO	Accountable for advising and reporting financial risk to the DoI for inclusion on the SET Risk Register		Accountable for ensuring that the risk register is reported at the full AC meeting. Risks are considered and mitigated.	Accountable for ensuring there is an Academy Risk Register that reflects the overarching risks identified by SET. The Risk register must be reported to the AC at each full AC meeting.
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ICT Network Management		Is authority delegated from the Board?	Chief Executive Officer (CEO)	Deputy Chief Executive Officer (DCEO)	Director of Digital Transformation (DDT)	National Directors of Education	Academy Council	Principal
ICT Network Management	Office 365 tenant to connect all academies across the Trust.	Yes	Receives reports.	Oversight and monitoring Accountable for the Performance Management of the DDT.	Accountable for quality assuring network systems across the Trust and line managing SET IT team	Accountable for the Performance Management of the Principal	Oversight and monitoring	Accountable for ensuring that SET Office 365 tenant used within academy to enable efficient and safe SET communications
	Authority to replace servers within academy	Yes						Accountable for ensuring that selection of replacement servers is compliant with SET Protocols
	Ensuring quality filtering and firewalls systems that enable safe and effective digital learning	Yes						Accountable for ensuring that filtering and firewall systems are compliant with SET Protocols
	Ensuring quality broadband systems (Wi-Fi) to enable effective digital learning	Yes						Accountable for ensuring that broadband systems are compliant with SET Protocols and enable extended digital learning.
	Maintenance of network infrastructure	Yes						Accountable for maintaining a quality ICT Network infrastructure.
	Procurement of Telephone systems & Photocopiers (See Financial DAF - Procurement)	Yes						Accountable for ensuring effective systems that are "best value" and ensuring that telephone systems and photocopier selection is compliant with SET Protocols
	Back-Up of data	Yes						Accountable for ensuring that there are regular back-ups on systems to ensure data retention in accordance with SET Policy

	Data	Is authority delegated from the Board?	Chief Executive Officer (CEO)	Deputy Chief Executive Officer (DCEO)	Data Protection Officer (DPO)	National Directors of Education	Academy Council	Principal
Data	Data audit and Mapping	Yes	Receives reports	Performance Management of the DPO. Reviews and reports to CEO and Trust board	Quality assurance of data management within the school and advises on best practice	Accountable for the managing the performance of the Principal	Accountable for the oversight, monitoring and review of the effectiveness and compliance of school processes	Accountable for data audit and mapping.
	Ensuring Data Security and Privacy controls are in place and monitored	Yes						Accountable for ensuring Data Security and Privacy controls are in place and monitored.
	Information and cyber security controls including encryption	Yes						Accountable for information and cyber security controls including encryption
	Pupil, staff and visitor consent	Yes						Accountable for ensuring pupil, staff and visitor consent
	Data Processing Impact Assessments	Yes		Approves DPIA's following consultation with CEO	Recommends DPIA's to COO		Ensures privacy by design is adhered to as key tenet of GDPR	Accountable for management of data processing impact assessments
	Freedom of information requests	Yes		Performance Management of the DPO. Reviews and reports to CEO and Trust board	Quality assurance of data management within the school and advises on best practice		Accountable for the oversight, monitoring and review of the effectiveness and compliance of school processes	Accountable for management of Freedom of information requests
	Subject Access Requests	Yes						Accountable for management of subject access requests
	Data breach investigations	Yes		DPO will advise and report to ICO. DPO will make recommendations to the school following a breach or a potential breach	Accountable for ensuring all data breach investigations are carried out and reported to the AC and DPO			
	Reporting to ICO and board	Yes		Reports to ICO and CEO	Makes recommendations to COO		Supports Principal on investigation where necessary	Accountable for leading and conducting the initial investigation and reports findings to DPO
	Document retention compliance	Yes		Performance Management of the DPO. Reviews and reports to CEO and Trust board	Quality assurance of data management within the school and advises on best practice		Accountable for the oversight, monitoring and review of the effectiveness and compliance of school processes	Accountable for ensuring documentation is retained in line with SET's retention schedule
	Policy Management	Yes		Review and Quality assure SET central policy	Design and implement SET central policies in relation to GDPR			Accountable for the enforcement of SET central and school specific GDPR policies
	Data Controller Contract, Checks and Management	Yes		Performance Management of the DPO. Reviews and reports to CEO and Trust board	Quality assurance of data management within the school and advises on best practice			Accountable for the management of data controller contracts and checks
	Monitoring and evaluating the status and effectiveness of privacy controls	Yes						Accountable for the monitoring and evaluation of the status and effectiveness of privacy controls
Data	Implement any recommendations made by the DPO within the timeframes set.	Yes	Receives reports	Performance Management of the DPO. Reviews and reports to CEO and Trust board	Accountable for quality assuring recommendations made are implemented within the timeframes set	Accountable for the managing the performance of the Principal	Accountable for the oversight, monitoring and review of the effectiveness and compliance of school processes	Accountable for ensuring any recommendations made by the DPO are implemented within the timeframes set
	Ensure data is disposed of in a manner appropriate to the type of data, including digital data.	Yes			Quality assurance of data management within the school and advises on best practice			Accountable for the appropriate management of data disposal
	Maintain an up-to-date and compliant archiving system which is labelled with the relevant retention periods.	Yes						Accountable for ensuring there is an up-to-date and compliant archiving system labelled with the relevant retention periods
	Ensure role-appropriate training is undertaken by all staff members.	Yes						Accountable for ensuring that role-appropriate training is undertaken by all staff members
	Ensure websites information is compliant (Ofsted and non-Ofsted compliance such as WCAS, AFH, Governance Handbook, GDPR statutory requirements etc.)	Yes						Accountable for ensuring that the school website and Academy Council information is compliant

	Marketing and Communications	Is authority delegated from the Board?	Chief Executive Officer (CEO)	Chief People Officer (CPO)	Marketing and Communications Manager (M&CM)	National Directors of Education	Academy Council	Principal
Marketing and Communications	Press release to national or local press	Yes	Authorises press statements. Writes and releases press statements as appropriate.	Accountable for the line management of the MarComs Manager. Can write press statements on behalf of the Trust and recommends to the CEO.	Quality Assures press release content and recommends to CEO. Provides Principals and the central team with guidance and training. Accountable for Press Management and partnership liaison. Responsible for monitoring the press and social media coverage across the Trust.	Can write press releases on behalf of the Trust but must be in consultation with SET MarComs Manager and approval via CEO. QA and support Principals to write releases.	Can write press releases on behalf of the academy in partnership with the Principal but must be approved by SET MarComs Manager via CEO	Can write press releases on behalf of the academy but must be approved by SET MarComs Manager via CEO
	Trust branding	Yes	Agrees branding across the Trust and approves models and strategy. Responsible for recommending to the SET Board a full re-brand if required.	Accountable for the line management of the MarComs Manager. Responsible for ensuring financial planning is viable. Responsible for ensuring procurement is in line with AFH.	Responsible for leading and producing the Trust's branding strategy. Recommends approach to CPO/CEO as appropriate. Accountable for ensuring compliance with the agreed brand strategy. Responsible for quality assuring academy approaches, informing RDs of non-compliance. Responsible for ensuring Academy staff are trained and have clarity on expectations via a style guide.	Consulted on any changes to Trust/Academy branding. Responsible for ensuring compliance with Trust branding in their academy.	Informed of any changes to Trust branding.	Consulted then informed of any changes to Trust branding. Responsible for ensuring compliance with Trust Branding.
	Academy branding including signage; letterheads; websites; business cards; banners; publications; letters; colours; logos; merchandise	Yes	Final approval of all signage and branding for academies.	Accountable for the line management of the MarComs Manager. Responsible for ensuring financial planning is viable. Responsible for ensuring procurement is in line with AFH.	Responsible for supporting school teams with the processes. Makes recommendations to CPO/CEO on their behalf.	Consulted on Academy branding.	Responsible for approving Principal recommendations.	Responsible for scoping and procuring designs. Makes recommendation to AC for any changes. Final plans to MarComs Manager to ensure SET branding is visible if appropriate, for support and recommendation to CEO.
	Communications Strategy	Yes	Approves strategy	Accountable for the line management of the MarComs Manager. Recommends strategy to CEO.	Responsible for designing and implementing the strategy. Accountable for ensuring compliance across the Trust via quality assurance checks.	Contributes to the communications strategy as per the plan. Ensures Principals adhere to the strategy during FLMA sessions.	Contributes to the communications strategy as per the plan	Contributes to the communications strategy as per the plan
	Marketing including advertising and prospectus	Yes	Approves strategy	Accountable for the line management of the MarComs Manager. Recommends strategy to CEO.	Responsible for designing and implementing the strategy. Recommends to CPO.	Contributes to the marketing strategy as per the plan.	Supports the Principal with marketing decisions and approach	Responsible for academy marketing and materials. Seeks support as required from MarComms Manager.
	Internal communications	Yes	Approves approach	Accountable for the line management of the MarComs Manager. Recommends approach to CEO.	Ensures internal communications, including intranet align with branding. Responsible for quality assuring compliance across teams. Responsible for leading the generation of standardised Documentation frameworks.	Contributes to the Trust internal communications	No delegated accountability	Contributes to the Trust internal communications
	Social media	Yes	Reviews report and presents to Board	Accountable for the line management of the MarComs Manager. Recommends report to the CEO.	Accountable for monitoring social media-reporting incidents- measuring impact. Responsible for social media strategy and delivery. Responsible for quality assurance of central team social media and academies by link.	Has regional overview and oversight	Monitors the Academy's use of social media via committees	Ensures social media is used in line with Trust policy across the academy. Responsible for ensuring school has at least one social media channel.
	HR materials	Yes	Approves Documentation	Accountable for the line management of the MarComs Manager. Accountable for the line management of Head of HR. Recommends approach to the CEO.	Designs and delivers a corporate approach to HR paperwork for employees, including welcome packs; standardised advertising materials; branding. Quality assures this is being used across the Trust.	Contributes to the Documentation	Contributes to the Documentation	Contributes to the Documentation. Aligns all material to comply with the Trust approach.
	IOE	Yes	Delegates to DPC	Accountable for line management of MarComs manager	Works to DPC on IOE strategy and approach	Contributes to the Documentation	No delegated accountability	



# **Finance**

## **Scheme of Delegation and Compliance Framework**

## **Index & Quick Links**

<b><u>Page</u></b>	<b><u>Content</u></b>
27	<a href="#"><u>Purpose</u></a>
27	<a href="#"><u>Roles and Responsibilities</u></a>
28	<a href="#"><u>Removal of Financial Delegation</u></a>
29	<a href="#"><u>Scheme of Delegation: ATH Section 1: Income Generation</u></a>
30	<a href="#"><u>Scheme of Delegation: ATH Section 2: Risk Management</u></a>
31	<a href="#"><u>Scheme of Delegation: ATH Section 3: Financial Planning</u></a>
32	<a href="#"><u>Scheme of Delegation: ATH Section 3: Internal Scrutiny/Audit</u></a>
35	<a href="#"><u>Scheme of Delegation: ATH Section 4: Purchasing, Procurement and Contracts Management</u></a>
37	<a href="#"><u>Scheme of Delegation: ATH Section 4: Preparation and Audit of Financial Accounts</u></a>
38	<a href="#"><u>Scheme of Delegation: ATH Section 5: Delegated Authorities (ESFA)</u></a>
40	<a href="#"><u>Scheme of Delegation: ATH Section 6: The Regulator and Interventions (ESFA)</u></a>
42	<a href="#"><u>Policies</u></a>

## **Purpose**

The [Academies Trust Handbook](#) (ATH) states in regards to Financial oversight that:

**2.1** Trustees and management **must** maintain robust oversight of the academy trust.

**2.2** The trust **must** take full responsibility for its financial affairs and stewardship of assets and use resources efficiently to maximise outcomes for pupils.

**2.4** The board cannot delegate overall responsibility for the academy trust's funds. However, it **must** approve a written scheme of delegation of financial powers that maintains robust internal controls. The scheme of delegation should be reviewed annually, and immediately when there has been a change in trust management or organisational structure.

The purpose of this document, therefore, is to set out the powers that the Shaw Education Trust Board have delegated, and to identify the key roles that will be held to account for discharging the Trust Boards duties in compliance with the Academies Trust Handbook 2022 and related legislation and policy.

## **Roles and Responsibilities**

### ESFA

Where a role is not clearly defined within the Scheme of Delegation for the ESFA, then it should be understood that they will act as the regulator and will hold the Trust to account accordingly.

### Trustees

Unless delegation is withdrawn from the ESFA, the Trustees have responsibility for the robust oversight of the academy trust (ATH 2.1). The Trustees may wish to delegate authority for decision making and this document provides clarity to Trust employees where this is the case. Trustees will apply the highest standards of conduct, ensure robust governance, comply with charitable objects, with duties as company directors, with charity law and funding agreements. Trustees will hold to account those to which it has delegated authority and will receive assurance through board meetings and the reporting of monthly management accounts.

### Chief Executive Officer / Accounting Officer

The Chief Executive Officer (CEO) who is also the Accounting Officer (AO), will be responsible for holding Executive and Senior Leaders to account. The Accounting Officer will receive recommendations from the executive and decide based on this information. For the purposes of this scheme of delegation, where the CEO/AO is unable to carry out their responsibilities, these will be delegated to the Deputy CEO (DpCEO).

### Chief Education Officers (all phases)

The Chief Education Officers (ChEO) will be responsible for:

- To hold Academy Councils and Principals to account for financial probity.

- Supporting the Chief Financial Officer (CFO), Director of Finance Resource Management (DoFRM) and Finance Professionals (FP) by intervening with schools if there are reported issues on financial management and budgetary control.
- To support the removal of barriers to enable the Finance Team to meet its strategic aims and objectives through effective communication.
- To support best practice in financial management

#### CFO and Finance Leadership team

The CFO will have responsibility for ensuring compliance with the Academies Trust Handbook, SET Financial Regulations and applicable regulations and policy. The CFO may delegate to, and will be supported in discharging these duties by:

- The Director of Finance Resource Management
- Head of Financial Accounting and Reporting
- Risk and Compliance Manager
- SET Executive Leadership Team (where applicable)

The CFO will be held to account by the AO/CEO and Trustees.

### **The Academy Council/Principals**

The Academy Council (AC) will be responsible for:

- Holding the Principal and School Leaders to account for financial probity and compliance.
- Ensuring compliance with the Academies Trust Handbook, SET Scheme of Delegation, SET Financial Regulations, policies, and processes.
- Ensuring that all transactions that are reportable to the ESFA (as detailed in this document) are not carried out without prior authorisation from the approvers as noted in this Scheme of Delegation.
- Supporting the Chief Education Officers, Chief Financial Officer (CFO), Director of Finance Resource Management (DoFRM) and Finance Professionals (FP) by intervening if there are reported issues on financial management and control and budgetary control.
- To ensure localised best practice in financial management

### **Removal of Delegation**

The Trust may, where it deems that there has been non-compliance with this Scheme of Delegation or where there are concerns about the effectiveness of budgetary or internal controls remove financial delegation from the Academy Council. In the event of this happening, the academy will be liable for the costs of a trust Finance Professional to manage delegation on their behalf.

## Scheme of Delegation

### ATH Section 1: Income

#### Key – Roles:

Del? – Delegated

TB – Trust Board

CFO – Chief Financial Officer

DoFRM – Director of Finance Resource Management

ESFA – Education and Skills Funding Agency

AO/CEO – Accounting Office/CEO

HoFR – Head of Financial Accounting and Reporting

AC/PR – Academy / Principal

#### Key - Actions:

AP: Approves

LE: Seeks Legal Advice

RP: Responsible

AS: Receives Assurance

MC: Must Comply

RE-L: Reports/QA Local Position

CO: Contributes

NA: No Authority

RE-T: Reports/QA Trusts Position

HA: Holds to Account

RC: Recommends

Link to ATH	Task	Del?	ESFA	TB	AO/CEO	CFO	HoFR	DoFRM	AC/PR
2.24	<b>Must</b> manage the cash position robustly and select KPIs and measure performance regularly.	✓		RA	HA	RP	RE-T	RE-L	NA
2.25	<b>Must</b> ensure investment with a cautious approach ensuring that risk is managed properly	✓		RA	HA	RP	CO	CO	NA
	Approval to borrow money (bank or sponsor loan)	×	AP	RC	HA	RE-T	CO	CO	NA
2.26	<b>Must</b> obtain ESFA approval for novel, contentious and/or repercussive investments	×	AP	RC	HA	RE-T	CO	CO	NA
3.14	<b>Must</b> ensure that information submitted to DfE and ESFA affecting funding is accurate and compliant	✓		RA	HA	RE-T	CO	RE-L	MC
*SFR (6)	Authority to open a bank account and approve signatories	✓		AP	HA	RE-T	CO	CO	NA
*SFR (6)	<b>Must</b> ensure all funds owed to the Trust (excluding those raised for other charities) are banked to the Shaw Education Trust Bank Account in accordance with the Shaw Education Trust Financial Regulations	✓		AS	HA	RE-T	RP	RP	MC
*SFR (6)	<b>Must</b> ensure Gift Aid is claimed in accordance with regulations	✓		AS	HA	RE-T	RP	RE-L	MC
*SFR (6)	<b>Must</b> ensure the academy Lettings and Charges and Remissions policy are reviewed and updated regularly	✓		AS	HA	RE-T	CO	RP	MC
*SFR (6)	Sales Invoices <b>must</b> be raised on the finance system and the correct VAT applied.	✓		AS	HA	RE-T	RP	RE-L	MC
*SFR (6)	There <b>must</b> be a monthly review of outstanding debtors and significant efforts should be made to chase payment	✓		AS	HA	RE-T	CO	RP	MC

\*SFR= Must comply with SET Financial Regulations.

## **Section 2 ATH: Risk Management**

### **Key – Roles:**

Del? – Delegated

AO/CEO – Accounting Office/CEO

RCM – Risk and Compliance Manager

DoFRM – Director of Finance Resource Management

TB – Trust Board

CFO – Chief Financial Officer

HoFR – Head of Financial Accounting and Reporting

AC/PR – Academy / Principal

### **Key - Actions:**

AP: Approves

LE: Seeks Legal Advice

RP: Responsible

AS: Receives Assurance

MC: Must Comply

RE-L: Reports/QA Local Position

CO: Contributes

NA: No Authority

RE-T: Reports/QA Trusts Position

HA: Holds to Account

RC: Recommends

<b>Link to ATH</b>	<b>Task</b>	<b>Del?</b>	<b>TB</b>	<b>AO/CEO</b>	<b>CFO</b>	<b>RCM</b>	<b>HoFR</b>	<b>DoFR M</b>	<b>AC/PR</b>
2.38	<b>Must</b> maintain a risk register	√	AS	HA	RE-T	RP	CO	RE-L	MC
2.39	Management of risks <b>must</b> include contingency and business continuity planning	√	AS	HA	RE-T	RP	CO	RE-L	MC
2.40	<b>Must</b> have adequate insurance. Insurance documentation must be displayed in the school's reception for public viewing.	√	AS	HA	RE-T	RP	CO	RE-L	MC
2.42	<b>Must</b> cooperate with audit/risk managers and act on recommendations	√	AS	HA	RE-T	MC	MC	MC	MC
2.43 to 2.48	<b>Must</b> have published procedures for whistleblowing and respond properly and fairly.	√	AS	HA	RE-T	RP	MC	MC	MC

## Section 3 ATH: Financial Planning

### Key – Roles:

Del? – Delegated

AO/CEO – Accounting Office/CEO

HoFR – Head of Financial Accounting and Reporting

AC/PR – Academy / Principal

TB – Trust Board

CFO – Chief Financial Officer

DoFRM – Director of Finance Resource Management

### Key - Actions:

AP: Approves

LE: Seeks Legal Advice

RP: Responsible

AS: Receives Assurance

MC: Must Comply

RE-L: Reports/QA Local Position

CO: Contributes

NA: No Authority

RE-T: Reports/QA Trusts Position

HA: Holds to Account

RC: Recommends

Link to ATH	Board of Trustees	Del?	TB	AO/CEO	CFO	HoFR	DoFRM	AC/PR
2.6, 2.7 2.8a, 2.9	<b>Must</b> ensure the Trust remains a going-concern	√	AS	HA	RP	RE-T	RE-L	MC
2.6, 2.7 2.8a, 2.10 2.11	<b>Must</b> approve and submit 3-year budget to the ESFA and minute the approval. Budgets <b>must</b> be accurate, based on realistic assumptions and reflective of lessons learned from previous years.	√	AP	HA	RE-T	RP	RE-L	MC
2.6, 2.7 2.8c	<b>Must</b> approve a Reserves Policy	√	AP	HA	RE-T	RP	CO	MC
2.6,2.7 2.9	<b>Must</b> ensure rigour and scrutiny in budget management	√	AS	HA	RP	MC	MC	MC
2.6,2.7 2.10	<b>Must</b> approve the use of balances bfwd from prior years	√	AS	HA	AP	CO	RE-L	MC
2.6,2.7 2.15, 2.16	<b>Must</b> approve and submit a BFR using the ESFA online form in July each year.	√	AP	HA	RE-T	RP	RE-L	MC
2.6,2.7 2.17	<b>Must</b> notify the ESFA if a deficit annual budget is being set within 14 calendar days.	√	AS	HA	RP	CO	CO	MC
2.6, 2.7 2.18-2.22	The Trust <b>must</b> prepare monthly management accounts.	√	AS	HA	RE-T	RP	RE-L	MC
2.6,2.7 2.22	<b>Must</b> select KPIs and measure performance “regularly”	√	AS	HA	RP	RE-T	RE-L	MC

### **Section 3: Internal Scrutiny/Audit**

#### **Key – Roles:**

Del? – Delegated

AO/CEO – Accounting Office/CEO

RCM – Risk and Compliance Manager

DoFRM – Director of Finance Resource Management

TB – Trust Board

CFO – Chief Financial Officer

HoFR – Head of Financial Accounting and Reporting

AC/PR – Academy / Principal

#### **Key - Actions:**

AP: Approves

LE: Seeks Legal Advice

RP: Responsible

AS: Receives Assurance

MC: Must Comply

RE-L: Reports/QA Local Position

CO: Contributes

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Link to ATH	Task	Del?	TB	AO/ CEO	CFO	RCM	HoFR	DoFR M	AC/PR
2.6, 3.1, 3.2, 3.8, 3.13, 3.15, 3.16, 3.17, 3.20, 3.21	<b>Must</b> have sound internal control reviewed through a program of internal scrutiny of financial and non-financial controls and risks across the whole trust.	√	AP	HA	RE-T	RP	CO	CO	MC
3.23	<b>Must</b> provide an annual summary of internal scrutiny to the ESFA by 31 December, and provide other internal scrutiny reports on request	√	AS	HA	RE-T	RP	CO	CO	MC
3.2, 3.5, 3.8, 3.15	<b>Must</b> appoint an external auditor	x	AP						
4.5, 4.6, 4.7	The external audit contract and regularity engagement (4.15) <b>must</b> be in writing; <b>must</b> not cover other services and <b>must</b> allow for the removal of auditors	√	AS	HA	RE-T	RP	CO		
4.8	<b>Must</b> notify ESFA immediately of the removal or resignation of the auditors in accordance with the ATH section 4.8	√	AS	HA	RE-T	RP			
4.9, 4.10	<b>Must</b> prepare information, at DfE's request, for the sector annual report and accounts	√	AS	HA	RE-T	CO	RP	CO	MC
3.2, 3.5, 3.8, 3.15, 3.17, 4.5, 4.17	Appointment of Internal Auditors	x	AP	HA	RE-T	CO	CO	CO	
3.2	Management of risks <b>must</b> include contingency and business continuity planning	√	AS	HA	RE-T	RP	CO	RE-L	MC
1.24, 3.6, 3.8, 3.12	<b>Must</b> have a risk and audit committee	x	MC						



**Key – Roles:**

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AO/CEO – Accounting Office/CEO

RCM – Risk and Compliance Manager

DoFRM – Director of Finance Resource Management

TB – Trust Board

CFO – Chief Financial Officer

HoFR – Head of Financial Accounting and Reporting

AC/PR – Academy / Principal

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NA: No Authority

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RC: Recommends

Link to ATH	Task	Del?	TB	AO/ CEO	CFO	RCM	HoFR	DoFRM	AC/P R
2.42, 4.16	<b>Must</b> cooperate with audit/risk managers and act on recommendations in an appropriate, reasonable, and timely manner	√	AS	HA	RE-T	MC	MC	MC	MC
3.14	Must ensure funding returns are accurate and in compliance with funding criteria.	√	AS	HA	RE-T	CO	RP	CO	MC
3.15 3.23	Internal Scrutiny report <b>must</b> be returned to the ESFA annually (31 December)	√	AS	HA	RE-T	RP	CO	CO	MC
3.16	<b>Must</b> ensure internal scrutiny findings are reported to the A&R Committee promptly	√	AP	HA	RE-T	RP	CO	CO	MC
3.22	Governance statement includes internal scrutiny options applied and reasoning.	√	AS	HA	RE-T	CO	RP	CO	
3.22	Outcomes of internal scrutiny work <b>must</b> inform the AO's Statement of Regularity in the annual accounts.	√	AS	HA	RE-T	CO	RP	CO	

## Section 4: Purchasing, Procurement, Contracts Management, Payments

### Key – Roles:

Del? – Delegated

AO/CEO – Accounting Office/CEO

DOI – Director of Infrastructure

DoFRM – Director of Finance Resource Management

TB – Trust Board

CFO – Chief Financial Officer

HoFR – Head of Financial Accounting and Reporting

AC/PR – Academy / Principal

### Key - Actions:

AP: Approves

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MC: Must Comply

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RC: Recommends

Link to ATH	Board of Trustees	Del?	TB	AO/CEO	CFO	HoF&R	DoFRM	AC
2.27,2.28 2.35	Place orders for goods and services, entering contracts.	✓	AP	AP>= £100k	AP>= £??k	Up to £2.5k	AP>= £??k	AP<= £20k
2.27,2.28 2.35	<b>Must</b> ensure spending decisions represent value for money and that public funds have been used as intended by Parliament.	✓	AS	HA	RP-T	CO	RP	MC
2.27 2.28 2.35	<b>Must</b> ensure a competitive tendering policy is in place and applied, and the procurement rules and thresholds in the Public Contracts Regulations 2015 and Find a Tender service are observed	✓	AS	HA	RP-T	CO	RP	MC
2.35	The trusts funds <b>must not</b> be used for purchase of Alcohol	✓	AS	HA	RP-T	CO	RP	MC
<b>Ordering and Supplier payments</b>								
* SFR (7)	Authorised to create vendors	✓	AS	HA	RP-T	CO	RP	RE-L
* SFR (7)	Authorised to sign off vendor payments (Dual Authority)	✓	AS	AP	AP	AP	AP	RE-L
* SFR (7)	Official Shaw Education Trust purchase orders must be used, ensuring that funds exist within approved budgets to meet expenditure.	✓	AS	HA	RP-T	CO	RE-L	MC
* SFR (7)	Invoices <b>must</b> be processed for payment through the SET finance system within 5 working days of receipt	✓	AS	HA	RP-T	RP	RE-L	MC
* SFR (7)	There <b>must</b> be a separation of duties between the person authorising expenditure, raising purchase orders, and receiving goods	✓	AS	HA	MC	MC	MC	MC
* SFR (7)	The payment of Pro-Forma invoices <b>must</b> be approved by the Trust prior to any payment being made	✓	AS	HA	AP	CO	RE-L	MC
* SFR (7)	Schools <b>must</b> Check that the supplier is registered with Companies House and checks <b>must</b> be made to verify bank details. All new vendor requests <b>must</b> be approved by the principal prior to submitting to the Trust for set-up on the finance system.	✓	AS	HA	MC	MC	RP	MC

\*SFR (7) refers to the SET Financial Regulations and the applicable section

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Link to ATH	Board of Trustees	Del?	TB	AO/CEO	CFO	HoF&R	DoFRM	AC
* SFR (7)	Checks <b>must</b> be undertaken to establish if the supplier is employed or self-employed for tax purposes.	✓	AS	HA	RE-T	CO	RE-L	MC
* SFR (7)	Authorised to set up BACs payments	✓	AS	HA	RE-T	RP	CO	NA
* SFR (7)	The CFO <b>must</b> approve all Direct Debit schemes within the Trust. Standing Orders are not permitted.	✓	AS	HA	AP	CO	RE-L	MC
* SFR (7)	A prepayment <b>must</b> be posted where the net value of the invoice is greater than £1,500	✓	AS	HA	RE-T	RP	RE-L	MC
* SFR (7)	Supplier Payments <b>must not</b> be made by cheque	✓	AS	HA	MC	MC	MC	MC
<b>Purchase Cards</b>								
* SFR (7)	Authority to process purchase card applications	✓	AS	AP	CO	RP	CO	NA
* SFR (7)	Authority to set purchase card credit limits	✓	AS	AP	CO	RP	CO	NA
* SFR (7)	Schools <b>must</b> notify the central finance team if purchase card users no longer work for the Trust or if use of the card has been withdrawn	✓	AS	HA	RE-T	MC	RE-L	MC
* SFR (7)	All charge card purchases <b>must</b> be supported by a receipt or invoice and recorded and analysed in accounting records	✓	AS	HA	RE-T	MC	RE-L	MC
* SFR (7)	Schools <b>must</b> ensure that a monthly reconciliation with the charge card statement is undertaken	✓	AS	HA	RE-T	MC	RE-L	MC
<b>Expenses</b>								
* SFR (7)	<b>Must</b> comply with the Travel and Subsistence Policy	✓	AS	HA	RE-T	MC	RE-L	MC
* SFR (7)	<b>Must</b> ensure that line manager approves expenses (or AC/Trustee for the most senior member of staff)	✓	AS	HA	RE-T	MC	RE-L	MC

\*SFR (7) refers to the SET Financial Regulations and the applicable section

**Key – Roles:**

Del? – Delegated

AO/CEO – Accounting Office/CEO

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RE-L: Reports/QA Local Position

CO: Contributes

NA: No Authority

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RC: Recommends

Link to ATH	Board of Trustees	Del?	TB	AO/ CEO	CFO	HoF&R	DoFRM	AC
<b>Petty Cash</b>								
* SFR (7)	All Petty Cash expenditure <b>must</b> be accompanied with a corresponding receipt and entered onto the Finance System. Petty Cash payments <b>must</b> be limited to £20.	✓	AS	HA	RE-T	CO	RE-L	MC
* SFR (7)	A monthly reconciliation of cash in hand against Petty Cash transactions <b>must</b> be carried out and verified by an independent person	✓	AS	HA	RE-T	CO	RE-L	MC

\*SFR (7) refers to the SET Financial Regulations and the applicable section

## **ATH Section 4: Preparation and Audit of Accounts**

### **Key – Roles:**

Del? – Delegated

TB – Trust Board

CFO – Chief Financial Officer

DOI – Director of Infrastructure

DoFRM – Director of Finance Resource Management

ESFA – Education & Skills Funding Agency

AO/CEO – Accounting Office/CEO

CPO – Chief People Officer

HoFR – Head of Financial Accounting and Reporting

AC/PR – Academy / Principal

### **Key - Actions:**

AP: Approves

LE: Seeks Legal Advice

RP: Responsible

AS: Receives Assurance

MC: Must Comply

RE-L: Reports/QA Local Position

CO: Contributes

NA: No Authority

RE-T: Reports/QA Trusts Position

HA: Holds to Account

RC: Recommends

<b>Link to ATH</b>	<b>Task</b>	<b>Del?</b>	<b>Trust Board</b>	<b>AO/CEO</b>	<b>CFO</b>	<b>Ho AFR</b>	<b>Do FRM</b>	<b>AC/PR</b>
4.1,4.10 4.13,4.15	<b>Must</b> maintain accounts in accordance with the Charity Commission's Statement of Recommended Practice (SORP) and ESFA's Accounts Direction	√	AS	HA	RE-T	RP	CO	NA
4.2, 4.3, 4.4	The Annual Accounts <b>must</b> be audited and submitted to the ESFA by 31 December; published on the trust website by 31 January and filed with Companies House (Co. House) by 31 May and provide to Members at the AGM.	√	AS	HA	RE-T Files @ Co. House	RO	CO	RE-L
5.2, 5.3	Must make financial disclosures in the annual accounts in line with the ATH and ESFA Accounts Direction	√	AS	HA	RE-T	RP	CO	CO
* SFR	Must submit the Annual Accounts Return (AAR) within the timeframe and in line with ESFA requirements	√	AS	HA	RE-T	RP	CO	CO

## ATH Section 5: Delegated Authorities

### Key – Roles:

Del? – Delegated

TB – Trust Board

CFO – Chief Financial Officer

DOI – Director of Infrastructure

DoFRM – Director of Finance Resource Management

ESFA – Education & Skills Funding Agency

AO/CEO – Accounting Office/CEO

CPO – Chief People Officer

HoFR – Head of Financial Accounting and Reporting

AC/PR – Academy / Principal

### Key - Actions:

AP: Approves

LE: Seeks Legal Advice

RP: Responsible

AS: Receives Assurance

MC: Must Comply

RE-L: Reports/QA Local Position

CO: Contributes

NA: No Authority

RE-T: Reports/QA Trusts Position

HA: Holds to Account

RC: Recommends

Link to ATH	Task	Del?	ESFA	TB	AO/CEO	CFO	CPO	DoI	Ho AFR	Do FRM	AC/PR
5.5 5.44	ESFA <b>must</b> approve novel, contentious and/or repercussive transactions prior to the transaction occurring.	×	AP	RC	HA	RE-T	CO	CO	CO	RE-L	MC
5.3, 5.7 to 5.13	ESFA <b>must</b> approve staff severance payments where the non-statutory/non-contractual element is greater than £50,000 and <b>must</b> consider points 5.7-5.13 of the ATH for all values.	×	AP> £50k	AS	AP < £50k	NO	RP		CO	RE-L	MC
5.2 5.14, 5.15	ESFA <b>must</b> approve compensation payments greater than £50,000 and <b>must</b> consider points 5.14 and 5.15 of the ATH for all values.	×	AP> £50k	AS	AP < £50k	NO	RO		CO	RE-L	MC
5.2, 5.17	ESFA <b>must</b> approve all ex-gratia payments.	×	AP	AS	RE-T	NO	RP		CO	RE-L	MC
5.2 5.19 5.20	ESFA <b>must</b> be notified of the writing off debts and losses and guarantees, letters of comfort and indemnities within delegated limits.	×	RA	AS	HA	RP LE		CO	CO	RE-L	MC
5.2, 5.23	ESFA <b>must</b> approve acquisition or disposal of freehold land and buildings	×	AP	RC	HA	RE-T		RP LE	CO	RE-L	MC
5.2, 5.23	ESFA <b>must</b> approve disposal of heritage assets	×	AP	RC	HA	RE-T		RP LE	CO	RE-L	MC
5.2, 5.27 5.28	ESFA <b>must</b> approve the granting of a leasehold on land and buildings	×	AP	RC	HA	RE-T		RP LE	CO	RE-L	MC
5.26,5.28 5.33,5.34	ESFA <b>must</b> approve a finance lease on assets	×	AP	RC	HA	RP RE-T		LE	CO	RE-L	MC
5.2,5.27 5.28	ESFA <b>must</b> approve the taking up of a leasehold or tenancy agreement on land or buildings for a term of more than seven years.	×	AP	RC	HA	RE-T		RP LE	CO	RE-L	MC

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DoFRM – Director of Finance Resource Management

ESFA – Education & Skills Funding Agency

AO/CEO – Accounting Office/CEO

CPO – Chief People Officer

HoFR – Head of Financial Accounting and Reporting

AC/PR – Academy / Principal

### Key - Actions:

AP: Approves

LE: Seeks Legal Advice

RP: Responsible

AS: Receives Assurance

MC: Must Comply

RE-L: Reports/QA Local Position

CO: Contributes

NA: No Authority

RE-T: Reports/QA Trusts Position

HA: Holds to Account

RC: Recommends

Link to ATH	Task	Del?	ESFA	TB	AO/CEO	CFO	HoAFR	DoFRM	AC/PR
5.30 5.31	GAG Pooling ( <b>must</b> not pool PFI) and there <b>must</b> be an appeals mechanism	√		AS	HA	RP	CO	RE-L	MC
5.2 5.32	Trusts must maintain a Policy on Gifts, Hospitality, Awards, Prizes, and other benefits	√		AS	HA	RP – Gov??	CO	RE-L	MC
5.33	The ESFA <b>must</b> approve all borrowing (including finance leases and overdraft facilities)	×	AP	RC	HA	RP	CO	RE-L	MC
2.5, 5.36,5.45 5.46,5.47 5.48	Trusts <b>must</b> have a register of all related party / business interests in accordance with sections 5.45-5.48 of the ATH and must publish on the academy or trust website	√		AS	HA	RP	CO	RE-L	MC
5.36 to 5.39	Related Party Transactions <b>must</b> be managed across the Trust in accordance with sections 5.36-5.40 of the ATH	√		AS	HA	RP	CO	RE-L	MC
5.40	The trust <b>must</b> keep sufficient records and make sufficient disclosures in their annual accounts regarding Related Party Transactions	√		AS	HA	RP	CO	RE-L	MC
5.41	Related Party Transactions exceeding £20k per annum <b>must</b> be reported and approved by the ESFA in advance of the transaction taking place	x	AP > £20k	AS	HA	RE-T	RP	RE-L	MC
5.41	Related Party Transactions below £20k <b>must</b> be notified to the ESFA using the online form.	√	RA	AS	HA	RE-T	RP	RE-L	MC
5.49,5.53 5.55,5.58 5.59	The trust must pay no more than “cost” for goods or services from related parties (outlined in 5.49 of the ATH) exceeding £2,500 cumulatively in a financial year.	√		AS	HA	RE-T	RP	RE-L	MC

## **ATH Section 6: The regulator and interventions**

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<b>Link to ATH</b>	<b>Task</b>	<b>Del?</b>	<b>ESFA</b>	<b>TB</b>	<b>AO/CEO</b>	<b>CFO</b>	<b>Ho AFR</b>	<b>Do FRM</b>	<b>AC/PR</b>
6.2	<b>Must</b> arrange for letters to trusts' accounting officers to be discussed by the board and must be used to consider strengthening the trusts' systems	x	AS	HA			MC		
6.4	<b>Must</b> provide the trust with access to books, records, information, explanations, assets, premises, and staff to assist with its audits	x	AS	HA			MC		
6.5	<b>Must</b> provide the ESFA with permission for any third party to provide requested information where there are concerns or an investigation on-going in the Trust	x	AS	HA			MC		
6.6	<b>Must</b> retain records for at least 6 years after the period to which the funding relates	x	AS	HA			MC		
6.7	<b>Must</b> send a financial management and governance self-assessment for new constituents joining the trust.	x	AP	HA			MC		
6.9	<b>Must</b> submit a financial management and governance self-assessment for new constituents joining the trust.	x	AP	HA			MC		
6.11	<b>Must</b> be aware of the risk of fraud, theft and irregularity and address with proportionate controls and appropriate action	x	AS	HA			MC		
6.12	<b>Must</b> notify the ESFA of fraud or theft over £5,000, individually, or cumulatively, or of any value where unusual or systematic	x	AP	HA			MC		
6.16	<b>Must</b> be aware of cyber crime and put in place proportionate controls and appropriate action where a cyber security incident had occurred	x	AS	HA			MC		
6.17	<b>Must</b> obtain permission from ESFA before paying any cyber ransom demands	x	AP	HA			MC		



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Link to ATH	Task	Del?	ESFA	TB	AO/ CEO	CFO	Ho AFR	Do FRM	AC/ PR
6.18, 6.20	<b>Must</b> comply with a Notice to Improve (Ntl)	x	AS	HA			MC		
6.19	<b>Must</b> publish the Ntl on the trust's website until it is lifted	x	AS	HA			MC		
6.21	<b>Must</b> obtain the ESFA's approval to waive any delegated authorities	x	AS	HA			MC		
6.29	<b>Must</b> cooperate with NAO and provide help, information, and explanation	x	AS	HA			MC		

## **Policies**

The following table details the owner of policies. The owner must ensure that Policies reflect statutory and regulatory requirements and internal SET processes. All policies will be quality assured by the CFO.

<b>Policy</b>	<b>Owner</b>
16-19 Bursary Policy	Director of Finance Resource Management
Anti-Fraud and Corruption Policy	Risk and Compliance Manager
Best Value Policy	Director of Finance Resource Management
Budgetary Controls Policy	Director of Finance Resource Management
Central Funds Policy	Director of Finance Resource Management
Charges and Remissions Policy	Director of Finance Resource Management
Gifts and Hospitality Policy	Risk and Compliance Manager
Insurance Policy	Head of Finance Accounting and Reporting
Lettings Policy	Director of Finance Resource Management
Procurement Policy	Director of Finance Resource Management
Related Party and Register of Business Interests Policy	Risk and Compliance Manager
Risk Management Policy	Director of Finance Resource Management
Travel and Subsistence Policy	Head of Finance Accounting and Reporting
Treasury Management and Investment Policy	Head of Finance Accounting and Reporting
Whistleblowing Policy	Risk and Compliance Manager