



Scheme of Delegation

2018-2019

United by our values, we place children and young people first in everything we do.

Contents:

- Scheme of delegation relating to:
 - Governance
 - Strategic
 - Financial
 - Human Resources
 - Health and Safety
 - Education and Curriculum

- Glossary:

Term	Meaning
AO	Accounting Officer
CEO	Chief Executive Officer
CFO	Chief Financial Officer
CLT SLT	City Learning Trust Senior Leadership Team
CaLT	Campus Leadership Team (Constituent Principals / Headteachers)
DoO	Director of Operations
ESFA	Education and Skills Funding Agency
LGC	Local Governing Committee
LA	Local Authority

Scheme of Delegation – General Principles

- The Board and Local Governing Committees will work collaboratively and in partnership at all times.
- The Board will make decisions, following consultation with Local Governing Committees where it deems appropriate, on matters which affect all academies in the trust: Local Governing Committees will make decisions on matters which affect individual academies only.
- Local Governing Committees and Principals / Headteachers of academies in the trust should be as autonomous as appropriate and have as much freedom as possible.
- Local Governing Committees and Principals / Headteachers will have maximum delegation of responsibility and decision making for the strategic direction and day-to-day operation of their academies unless there is a cause for concern.
- The Board will put in place effective arrangements for monitoring and evaluating the performance of Local Governing Committees and academies.
- The Board will take action, including the full or partial withdrawal of delegated authorities to individuals, groups and Local Governing Committees should the individual, group, or Local Governing Committee, fail to carry out their duties and responsibilities effectively.
- The governance arrangements of good schools/academies joining the trust will remain in the main unchanged except where changes are required in order to comply with legal or statutory requirements, or to ensure operational effectiveness in line with the Trust's vision and aims.
- The Board will consult or inform Local Governing Committees on proposals for the composition, membership, structure, and terms of reference for Local Governing Committees and subcommittees, on arrangements for the recruitment and appointment of governors, and on arrangements for the introduction of the Trust's multi-academy governance arrangements.
- The Board will inform Local Governing Committees before putting in place any arrangements which directly affect Local Governing Committees and individual academies and before taking any decisions on policy or procedural matters.
- Local Governing Committees will report regularly and frequently to the Board and will make available all relevant data and information on performance.
- The Scheme of Delegation is in place to mitigate against financial, operational and performance risks. The Trust reserves the right to delegate varying levels of authority to academies according to their earned autonomy status. This will be monitored and reviewed regularly.
- The Board and CEO / AO will host a performance management environment, set clear KPIs and targets for the Academy Principals and their teams.

Delegated authorities: 2018/2019

Type: Governance

Item No.	Item	Delegated from Board of Trustees?	CEO / AO	CFO	CLT SLT	CaLT	LGC	Principal / Headteacher
1.1	Appointment of Trustees	No	Refer to Articles of Association					
1.2	Removal of Trustees	No	Refer to Articles of Association					
1.3	Appointment of Chair of Board	No	Refer to Articles of Association					
1.4	Approval of terms of Reference for Local Governing Committees	No	Recommendations to the Board		Recommendations to the CEO			
1.5	Recruitment procedures for LGC s	No	Refer to Terms of Reference for LGCs					
1.6	Approval of Chair of Academy LGC	No	Refer to Terms of Reference for LGCs				Recommendations to the CEO	Recommendations to the LGC
1.7	Policy & removal of LGC members	No	Refer to Terms of Reference for LGCs				Recommendations to the CEO	Recommendations to the LGC
1.8	Appoint & remove Clerk to the Trustees / LGC	No	Recommendations to the Board					
1.9	Authorised to approve/amend organisational scheme of delegation	No	Recommendations to the Board	Recommendations to the CEO				
1.10	Take out <i>Director Indemnity Insurance Cover</i>	No	Recommendations to the Board	Responsible for arrangements				
1.11	Acquisition of legal entities	No	Recommendations to the Board	Responsible for seeking professional advice				
1.12	Maintenance of register of interests	Yes		Responsible for ensuring register is maintained			Yes	Responsible for maintenance of LGC register

Item No.	Item	Delegated from Board of Trustees?	CEO / AO	CFO	CLT SLT	CaLT	LGC	Principal / Headteacher
1.13	Entering into, or withdrawing from, a formal partnership	No, but may be delegated in some cases based on financial value and level of risk	Recommendations to the Board	Provision of professional advice				
1.14	Develop trust wide policy and procedures	No, but some trust policies may be varied to support constituent academy needs	Recommendations to the Board	Recommendations to the CEO and seek professional advice			Recommendations to the CEO in relation to local needs	Implementation of local policies and recommendations to LGC

Delegated Authorities: 2018/2019

Type: Strategic

Item No.	Item	Delegated from Board of Trustees?	CEO / AO	CFO	CLT SLT	CaLT	LGC	Principal / Headteacher
2.1	Strategic business planning and organisational structure across CLT	No	Responsible for setting the strategy	Recommendations to the CEO	Recommendations to the CEO			
2.2	Admission of new academies to CLT including the development of Free School applications	No	Recommendations to the Board	Responsible for due diligence and seeking professional advice				
2.3	Admission of new sponsored academies to the CLT	No	Recommendations to the Board	Responsible for due diligence and seeking professional advice				
2.4	Entering into Funding Agreements	No	Can sign					
2.5	Setting of CLT KPIs	No	Responsible for setting the KPIs for the Trust	Supports with professional advice				
2.6	Approval of academy development and improvement plans	Yes			Quality assures development planning across the Trust	Responsible for developing Trust development and Improvement plans	Approval* and monitoring of academy improvement plans *exception with academy causing concern	Responsible for the development and delivery of academy improvement plans

Delegated Authorities: 2018/2019

Type: Finance

Item No.	Item	Delegated from Board of Trustees?	CEO / AO	CFO	CLT SLT	CaLT	LGC	Principal / Headteacher
3.1	Completion and approval of CLT annual accounts and reports to funding and regulatory bodies	No	Review	Recommendation to CEO and Board				
3.2	Completion and return of other accounting returns	Yes		Authorised to arrange				
3.3	Complete annual & periodic reports to Board and / or ESFA	Yes		Authorised to arrange				
3.4	Complete PAYE returns	Yes		Authorised to arrange				
3.5	Complete VAT returns	Yes		Authorised to arrange				
3.6	Assurance over adequacy of systems of internal control (compliance with AFH)	No	Provides assurance in capacity as AO to ESFA	Provides assurance to CEO and Board			Provides assurance to the Board	Provides assurance to CFO and LGC
3.7	Approval of financial regulations	No		Recommendation to the Board				
3.8	Appointment of internal auditors	No		Manage process				
3.9	Top slice / pooling arrangements	No	Recommendation to the Board	Recommendations to the CEO				
3.10	GAG / Carry Forward balance	Yes – set Trust threshold limits (8% GAG max)	Approval of Trust carry forward above threshold	Recommend to CEO carry forward above threshold				
3.11	Approval of annual Trust budgets	No	Endorsement to Board as AO	Compilation, review and preparation with recommendations to the Board			Review and authorisation of academy budget prior to submission to CFO	Preparation of academy budget for review by LGC

Item No.	Item	Delegated from Board of Trustees?	CEO / AO	CFO	CLT SLT	CaLT	LGC	Principal / Headteacher
3.12	Receipt and review of management accounts	No	Endorsement to Board as AO	Review of monthly management accounts. Preparation of monthly summary to Board			Regular review of budget position	Management of academy budget spend and reporting to LGC
3.13	ESFA financial returns	No	Endorsement to Board as AO	Manage process				
3.14	Approval of expenditure not included in the annual budget	Yes	AO can approve up to the value of £75,000	CFO can approve Principal requests CFO can approve up to the value of £50,000		CaLT can request up to £25,000 expenditure from CFO		Primary Heads can request up to £10,000 from CFO Secondary Heads can request up to £15,000 from CFO
3.15	Deficit budgets and repayment plans	No	Recommendations to the Board	Preparation of repayment plan / professional advice				
3.16	Placing orders for good and services and entering into SLA. <i>*total value must be assessed over the full term of the contract</i>	Yes where value is less than £75,000. Authorisation minuted as per Trust finance policy / OJEU limits / formal tender process	AO can approve up to the value of £75,000 with a formal tender process / minuted approval at Board	CFO can approve Principal requests CFO can approve up to the value of £50,000 with a formal tender process / minuted approval at Board		CaLT can request up to £25,000 expenditure from CFO		Primary Heads can request up to £10,000 from CFO Secondary Heads can request up to £15,000 from CFO
3.17	Compliance with Trust tendering process	Yes	Assurances to the Board	Manage process with DoO and report spend to the Board			Compliance with Trust policy – minimum 3 quotes for expenditure over £3,000	Compliance to Trust policies
3.18	Trust procurement policy	No	Endorsement to Board as AO	Recommendations to the Board				
3.19	Approval to borrow money – not allowed within the funding	No	Recommendation to Board	Recommendation to CEO				
3.20	Open a bank account	No	Approved signatory	Approved signatory				
3.21	Cashflow management	Yes		Oversight and report to Board				
3.22	Investment policy	No		Recommendations to the Board				

Item No.	Item	Delegated from Board of Trustees?	CEO / AO	CFO	CLT SLT	CaLT	LGC	Principal / Headteacher
3.23	Payroll – starters, leavers and amendments	Yes		Oversees systems of internal control and authorises changes				
3.24	Payroll - administration	Yes		Final authorisation of CLT payroll				Authorisation of academy payroll
3.25	Payroll - system	No	Recommendations to the Board	Recommendations to the CEO				
3.26	Purchasing – authorised to create vendors on the accounting system	Yes		Authorised				
3.27	Management of asset register	Yes		Oversight and report to Board			Regular review of assets	Monitor and report to LGC

Delegated Authorities: 2018/2019

Type: Human Resources

Item No.	Item	Delegated from Board of Trustees?	CEO / AO	CFO	CLT SLT	CaLT	LGC	Principal / Headteacher
4.1	Approval of annual staffing budgets	No	Reviews costed staffing plans and makes recommendations to the Board	Reviews costed staffing plans and makes recommendations to the CEO			Reviews annual staffing plans	Prepares and reviews annual academy staffing plans
4.2	Authorised to increase academy / organisational staffing	Yes	Can authorise staffing changes beyond approved budget	Recommends staffing changes within approved budget. Reports changes to the Board	Recommendations to the CEO	Recommendations to CLT SLT		
4.3	Job description sign off	Yes	Agrees JD	Provides advice on JD			Approves JD at academy level	Agrees JD
4.4	Job evaluation and procedures	No		Initiates job evaluation procedures				Part of the process where applicable
4.5	Authorised to evaluate job grades	Yes		Responsible for oversight and cross-organisational grading				Makes grading proposals to HR for consideration
4.6	Authorised to agree / vary basic employment T&Cs	No		Ensures consistent application of T&Cs				Part of the process where applicable
4.7	Recruitment, appointment and remuneration of CEO / AO and CFO	No						
4.8	Recruitment, appointment and remuneration of executive leaders	No	Appoints post jointly with the Board					
4.9	Recruitment and appointment of Principals / Headteachers	No	Appoints posts jointly with the Board				Part of the process	

Item No.	Item	Delegated from Board of Trustees?	CEO / AO	CFO	CLT SLT	CaLT	LGC	Principal / Headteacher
4.10	Recruitment and appointment of other academy senior leaders	Yes – may be involved in process	Consulted with	Leads process for central and as requested by academy leads			Involved in process	Authorised to appoint own staff with consultation
4.11	Recruitment and appointment of other staff	Yes		Authorised to appoint staff within own staff			<i>Should</i> be involved in the process	Authorised to appoint staff
4.12	Recruitment processes	Yes	Oversees recruitment process	Ensures legislative practice is followed			<i>Should</i> be involved in the process	Recruits in line with CLT policy
4.13	Signing of employment contracts	Yes – but Chair must sign CEO contract	Signs contracts of executive leaders and academy leads	HR team sign other employment contracts				Signs all academy staff contracts (except own)
4.14	Annual approval of pay policy (including pay awards, pay point values, etc)	No	Recommendations to the Board	Recommendations to the CEO			Recommendations to the Board	Recommendations to the LGC
4.15	Determination of pay ranges	Yes (except CEO)	Pay ranges for leadership staff	Responsible for oversight and cross-organisational grading			Recommendations to the Board	Recommendations to the LGC
4.16	Appointment of outside range in salary structure	Yes	Authorised	Approves and reports to Board			Recommendations to the CEO	Recommendations to the CEO
4.17	Allocation of TLR / SEN values	Yes	Approves if exceeds total budget after consultation with CFO	Ensures consistency across the Trust			Oversight of academy staffing costs	Proposal for new posts
4.18	Value of any other discretionary allowances	Yes (except CEO)	Authorised to approve	Reviews proposal and recommend to CEO			Oversight of academy staffing costs	Proposal for other allowances
4.19	Appropriate tax arrangements in place for senior employees	No	Endorsements as AO	Manage process				
4.20	Annual pay progression process	Yes	Approves and authorises	Ensures consistency			Recommendations to the Board	Oversight of appraisal and recommendations to the LGC

Item No.	Item	Delegated from Board of Trustees?	CEO / AO	CFO	CLT SLT	CaLT	LGC	Principal / Headteacher
4.21	Handling of all pension matters	Yes		Makes arrangements				
4.22	Approval of use of discretions	No	Recommendations to the Board	Provides professional advice				
4.23	Approval of CLT employment policies	No	Recommendations to the Board	Recommendations to the CEO			Adopts CLT policy	
4.24	Objective setting and performance appraisal	Yes (except CEO)	Appraisal for those line managed	Appraisal for those line managed			Assists in leadership appraisals	Appraisal arrangements for staff
4.25	Approval of formal restructure plans	No	Recommendations to the Board	Recommendations to the CEO			Approve and recommend to the Board	Propose plans
4.26 *	Approval of severance or redundancy agreements	No	Recommendations to the Board	Recommendations to the CEO			Informed as appropriate	Part of the process
4.27	Authority to issue warnings or other disciplinary measures except dismissal	Yes	Issue across own team and academy leaders	Issue across own staff			Part of the process	Issue across own staff
4.28	Authorisation of settlement agreements	No	Recommendations to the Board	Negotiations and recommendations to CEO			Part of the process	Part of the process
4.29	Suspension	Yes (except CEO)	Yes - senior leaders and central team	Yes – own staff			Informed as appropriate	Issue across own staff
4.30	Dismissal	Yes	Direct HR	HR must be involved. Report to Board			Part of process	Part of process
4.31	Appeals	No	Direct HR to manage	HR must be involved. Report to Board			May be called upon to boost appeal capacity	

*Refer to City Learning Trust Disciplinary Policy, appendix 3 – *disciplinary action summary table from*

Delegated Authorities: 2018/2019

Type: Health and Safety

Item No.	Item	Delegated from Board of Trustees?	CEO / AO	DoO	CLT SLT	CaLT	LGC	Principal / Headteacher
5.1	Health and safety policy	Yes	Informed as appropriate	Recommendations to the Board			Monitors implementation	Implements policy
5.2	Adequacy of health and safety practice throughout the CLT	Yes	Informed as appropriate	Oversees arrangements and reports to Board			Ensures academy arrangements are robust	Oversees arrangements
5.3	Critical incident and emergency plan	Yes, but monitors	Informed as appropriate	Holds all CI plans, reviews as appropriate			Ensures CI plans are robust	Holds and reviews CI plan
5.4	H&S RIDDOR planning	Yes	Informed as appropriate	Ensures RIDDOR reporting in place			Receive RIDDOR reports and action	Ensures RIDDOR reporting
5.5	H&S accident reporting	Yes	Informed as appropriate	Monitoring and reporting of exceptions			Receive H&S reports and action	Ensures arrangements in place
5.6	Statutory training	Yes	Informed as appropriate	Monitors and reports to Board			Monitors training	Ensures arrangements in place
5.7	Statutory compliance testing	Yes	Informed as appropriate	Implements, monitors and reports to Board			Receives training and actions	Monitors compliance
5.8	Academy H&S arrangements including committee and use of risk assessments	Yes	Informed as appropriate	Provides professional advice and monitors			Receives academy reports	Ensures H&S is reported to LGC
5.9	Fire risk assessments	Yes	Informed as appropriate	Ensures all academies have valid FRAs			Receives academy reports and actions	Ensures FRA in place
5.10	Asbestos risk assessment	Yes	Informed as appropriate	Ensures all academies have valid assessments			Receives academy reports and actions	Ensures asbestos RA in place
5.11	General monitoring and action plans to ensure site safety and building conditions	Yes	Informed as appropriate	Reports to Board			Receives academy reports and actions	Building safety monitoring / action in place

Item No.	Item	Delegated from Board of Trustees?	CEO / AO	DoO	CLT SLT	CaLT	LGC	Principal / Headteacher
5.12	Estates management (inc PFI arrangements)	Yes	Informed as appropriate	Oversees arrangements and reports to Board			Ensures academy arrangements are robust	Oversees arrangements
5.13	Buildings and premises conditions review (inc PFI arrangements)	Yes	Informed as appropriate	Monitoring and reporting of exceptions			Ensures academy arrangements are robust	Oversees arrangements
5.14	Business continuity plan	Yes	Recommendations to the Board	Provides professional advice			Receives academy reports	Managing the process

Delegated Authorities: 2018/2019

Type: Education & Curriculum

Item No.	Item	Delegated from Board of Trustees?	CEO / AO	CFO	CLT SLT	CaLT	LGC	Principal / Headteacher
6.1	Approval and monitoring of achievement and attendance data	No	Proposing targets and reporting progress		Recommendations to the CEO		Review local target setting and support in holding academy lead to account	Reports to LGC
6.2	Approval and monitoring of targets and quality of T&L	No	Proposing targets and reporting progress		Recommendations to the CEO		Review local target setting and support in holding academy lead to account	Reports to LGC
6.3	Approval of academy development plans	Yes	Trust priorities link to academy development plans		Recommendations to the CEO		Monitor academy improvement plans	Reports to LGC
6.4	Post-Ofsted sponsorship of schools or academies causing concern	No	Recommendations to the Board		Recommendations to the CEO			
6.5	Post-Ofsted academy action plan sign off for Good or better	Yes					Monitor post-Ofsted planning	Recommendations to LGC
6.6	Curriculum planning, implementation and review	Yes	Oversees development and delivery		Provides professional advice	Develop curriculum plan	Monitor effectiveness of curriculum plan	Deliver curriculum plan
6.7	Sign off agreed CLT educational policies	No	Recommendations to the Board		Provides professional advice			
6.8	Sign off agreed local educational policies	Yes	Approves local policies				Approval of policy	Recommendations and reports to LGC
6.9	Term dates	Yes	Authorises				Consulted	Recommendations to CEO
6.10	Length / organisation of academy day	Yes	Authorises				Recommendations to CEO	Recommendations to LGC
6.11	Fixed term exclusions	Yes		Monitors			Receives report	Authorised, report to LGC and CFO
6.12	Permanent exclusions	Yes	Authorises	Monitors			Receives report	Authorised, report to CEO, CFO, LGC and follows LA system

Item No.	Item	Delegated from Board of Trustees?	CEO / AO	CFO	CLT SLT	CaLT	LGC	Principal / Headteacher
6.13	Exclusion appeals	Yes	Reports to the Board	Monitors			Receives report	Follows LA system
6.14	Admission policies and criteria	No	Makes policy recommendations to the Board				Consulted	Recommendations to CEO
6.15	Admission appeals	Yes	Reports to the Board				Receives report	Follows LA procedure