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Shaw Education Trust

Delegated Authority Framework

Agreed by Board of Directors 2016

Review Due: 2017

- N.B The trust reserves the right to delegate varying levels authority to academies according to their earned autonomy status. This will be monitored and reviewed regularly against a financial and educational performance matrix

- N.B 2 The Board/CEO will develop a performance management environment, set clear KPI's and targets for the ELT, Principals and their team. The Board/CEO reserves the right to intervene or remove this delegation wholly or in parts where they believe targets are not being met

Organisational Delegated Authority Framework

Governance	Is authority delegated from the Board?	CEO	CFO/ELT	Academy Council	Principal
	Central	Central	Central	Academy	Academy
Appointment of Directors	No	Recommendations to Board			
Removal of Directors	No	Recommendations to Board			
Approval of terms of reference for subcommittees and for Academy Council	No	Recommendations to Board	Recommendations to CEO		
Recruitment procedures for Academy Councils	No	Recommendations to Board			
Appointment of Academy Councillors	No	Recommendations to Board		Recommendations to CEO	Recommendations to AC
Appoint Chair of Academy Council	No	Recommendations to Board		Recommends to CEO	
Removal of Academy Councillors	No	Recommendations to Board		Recommendations to CEO	
Appoint & Remove Clerk to the Board of Directors	Yes	Recommendations to Board		Recommendations to CEO	
Appoint Chair of Academy Council Shaw Education Board as trustee	No	Recommendations to Board		Recommendations to CEO	
Appoint & Remove Clerk to the Academy Council	Yes			Appointment of clerk	Recommendations to Academy Council
Ensuring at least 2 parent governors appointed to Academy Council	No	Monitors Academy Council membership		Recommendations to CEO	
Authorised to approve/amend organisational scheme of delegation	No	Recommendations to Board	Recommendations to Board		
Take out Director Indemnity Insurance Cover	Yes		Responsible for making adequate arrangements		
Acquisition of legal entities	No	Recommendations to Board	Provision of professional advice		
Maintenance of register of interests	Yes		Responsible for ensuring register is maintained	Responsible for ensuring register is maintained	
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 Board	Provision of professional advice		

Governance	Is authority delegated from the Board?	CEO	CFO/ELT	Academy Council	Principal
	Central	Central	Central	Academy	Academy
Develop policy and procedures	No, but some policies may be varied according to local operational need	Recommendations to Board	Provision of professional advice	Review and monitor implementation and recommends local changes to CEO	Development of local policy recommends to AC

Organisational Delegated Authority Framework

Education/Curriculum	Is authority delegated from the Board?	CEO	CFO	Academy Council	Principal
		Central	Central	Academy	Academy
Approval and monitoring of SET and academy targets for student achievement and attendance	No	Responsible for proposing SET and local targets to the Board and providing appropriate reporting		Review of local target setting and responsible for holding Principal to account	Reports to AC and Board via subcommittees
Approval and monitoring of SET and academy targets for quality of teaching and learning	No	Responsible for proposing SET and local targets to the Board and providing appropriate reporting		Review of local target setting and responsible for holding Principal to account	Reports to AC and Board via subcommittees
Approval and monitoring of SET and academy targets around student wellbeing	No	Responsible for proposing and SET local targets to the Board and providing appropriate reporting		Review of local target setting and responsible for holding Principal to account	Reports to AC and Board via subcommittees
New and updated educational policy	No	Makes recommendation to Board			
Approval of academy development and improvement plans	Yes	Responsible for linking Academy plans to SET Strategic plan and checking quality		Delegated authority for approval and monitoring of academy improvement plans	Provides plans to Academy Council for approval
Post-Ofsted Action Plan sign off	No	Makes recommendation to Board			
Post-Ofsted Academy Action Plan sign off	Yes	Review and approves final plan		Delegated authority for approval and monitoring of academy post-OFSTED planning	Makes recommendations and reports to AC
Curriculum: Planning, implementation and review	Yes	Oversees development and delivery of effective curriculum plans		Monitors effectiveness of curriculum plans	Develops and delivers curriculum plans
Sign off of SET educational policies (e.g. off site visits, RE provision, Collective worship etc)	No	Makes recommendations to Board			
Sign off of local academy educational policies and procedures (e.g. extra curricular activities, exams, behaviour, marking policies)	Yes	Approves policies and procedures		Recommends to CEO for approval. Then is responsible for the implementation and monitoring of local academy policies and procedures	Makes recommendations and reports to academy council
Term dates	Yes	Authorises term dates		Consulted	Makes recommendations to CEO

Education/Curriculum	Is authority delegated from the Board?	CEO	CFO	Academy Council	Principal
Length/ organisation of Academy day	Yes	Authorises organisation and Academy day		Consulted	Makes recommendations to CEO
Fixed term exclusions	Yes	Reports to the Board		Receives report monitors and tracks patterns	Follows LA procedures and reports to AC
Permanent exclusions	Yes	Reports to the Board		Delivers the management process	Follows LA procedures
Exclusion appeals	Yes	Reports to the Board		Delivers the management process	Follows LA procedures
Admissions policies and criteria	Yes			Consulted	Follows LA procedures 11-16

Organisational Delegated Authority Framework

Strategy	Is authority delegated from the Board?	CEO	CFO/ELT	Academy Council	Principal
		Central	Central	Academy	Academy
Overall strategy of SET	No	Responsible for setting strategy	Provides financial advice and assistance in developing strategy		
Admission of new academies to SET	No	Responsible for making recommendations to Board	Provides due diligence advice in relation to potential new academies		
Admission of new sponsors to SET	No	Responsible for making recommendations to the Board			
Approval of academy development and improvement plans	Yes		Quality assures development planning across the MAT	Delegated authority for approval and monitoring of academy improvement plans, reporting exceptions to the Board	Responsible for development and delivery of academy improvement plans

Organisational Delegated Authority Framework

HEALTH AND SAFETY	Is authority delegated from the Board?	CEO	ELT	Academy Council	Principal
	Central	Central	Central	Academy	Academy
Health and Safety Policy	Yes, but monitors		Makes recommendation to Board	Responsible for implementation of local policy	Responsible for implementation of local policy
Ensuring the adequacy of health and safety practice throughout SET	Yes, but monitors		Oversees SET arrangements and reports to Board	Ensures Academy arrangements are adequate	Reports to Academy Council
Critical incident planning	Yes, but monitors		Holds SET and Academy Critical incident plans and reviews as appropriate	Ensures critical incident plans are adequate and in place	Reports to Academy Council
Health and Safety RIDDOR reporting	Yes, but monitors		Ensures RIDDOR reporting is in place		
Health and Safety Accident reporting	Yes, but monitors		Monitoring and reporting of exceptions	Ensures that accident reporting arrangements are in place	Ensures that accident reporting arrangements are in place
Statutory training	Yes, but monitors		Monitors SET statutory training for H&S and reports to Board	Monitors Academy statutory training for H&S	Ensures that there are arrangements for statutory training for H&S
Statutory compliance testing	Yes, but monitors		Implements and monitors SET statutory compliance testing and reports to Board	Checks procedures are in place and monitors outcomes	Monitors local statutory compliance testing (ABM)
Academy health and safety arrangements including committee and use of risk assessments	Yes		Quality assures the local governance	Receives reports of H&S committee (or part of resources sub)	Ensures the H&S committee is in place (or part of resources sub) and reports to Academy Council
Fire risk assessment	Yes, but monitors		Ensures all academies have valid risk assessments in place	information only	Ensures operational arrangements are in place
Asbestos risk assessment	Yes, but monitors		Ensures all academies have valid risk assessments in place	Ensures operational arrangements are in place	Ensures operational arrangements are in place
General monitoring and action plans in relation to safety of sites including buildings conditions	Yes, but monitors		Reporting to Board	Ensures operational arrangements are in place	Ensures operational arrangements are in place

Organisational Delegated Authority Framework* See addendum

Human resources	Is authority delegated from the Board ?	CEO	CFO/FD	ELT	Council	Principal
Staff Structure						
Approval of annual staffing budgets	No	Reviews costed staffing plans and makes overall budget recommendation to Board	Reviews costed staffing plans and makes overall budget recommendation to CEO		Reviews annual staffing plans	Prepares annual staffing plans
Authorised to Increase Academy/Organisational Headcount (Establishment) within existing staffing budget (replacement only)	Yes	Can authorise (with CFO) changes beyond overall budget	Can authorise changes within overall budget; reports changes in headcount to F, A & R committee			Can authorise replacement posts within existing staffing budget
Job Description sign off	Yes			Quality Assures JD in terms of equal opportunities pan MAT	Approval of JD	Agrees JD and recommends to SET HR
Grade of posts (teaching & support staff)						
Job evaluation policy & procedures	No			Implements JE procedures		
Authorised to evaluate jobs and grades	Yes	Authorises job evaluation and recommends to the Board		Responsible for oversight and cross-organisational grading		Makes grading proposals to HR / with HR input
Authorised to agree/vary basic employment Terms & Conditions	No			Ensures consistent application of T&Cs		
Recruitment						
Recruitment and appointment of CEO	No					
Recruitment and appointment of CFO	No	Appoints CFO jointly with Board				
Recruitment and appointment of Executive Team Members and Principals	Yes	Appoints Executive Team and Principals jointly with Board			Involved in process	
Recruitment and appointment of other Senior Leaders	Yes - but may be involved	Authorised to appoint other Senior leaders	Leads process for own teams	Leads process for own teams	Involved in process at Academy	Leads process for own teams with ELT representation on the panel
Recruitment and appointment of other staff	Yes	Authorised to appoint staff in line with identified strategy	Authorised to appoint staff within own teams	Authorised to appoint staff within own teams	Involved in process as appropriate	Authorised to appoint staff within own teams within approved headcount
Recruitment processes	Yes	Carries out recruitment processes in line with SET procedures		Ensures legislative and best practice compliance in recruitment processes		Carries out recruitment processes in line with SET procedures
Signing of employment contracts	Yes (but Chair must sign CEO contract)	Signs contracts of CFO and Principals		SET HR team sign other employment contracts		

Human resources	Is authority delegated from the Board ?	CEO	CFO/FD	ELT	Council	Principal
Pay Policy						
Annual approval of pay policy, including pay awards, pay point values, etc	No	Makes recommendation to Board	Makes recommendation to Board	Contributes to recommendation made by CFO		
Determination of pay ranges	Yes (except CEO, CFO, Exec Team, Principals)	Determines pay ranges for Leadership staff		Responsible for oversight and cross-organisational grading	Consulted	Consulted
Appointment outside range in salary structure	Yes	Approves	Approves and reports to Audit committee		Recommends to CEO	Proposal for new range to AC
Allocation of TLR / SEN values	Yes	Approves if exceeds total budget	Ensures consistency	Responsible for MAT oversight	Responsible for Academy oversight	Recommends to AC
Value of other discretionary allowances	Yes (except CEO, CFO, Exec Team, Principals)	Approval of discretionary allowances	Reviews proposal and makes recommendation to CEO	Proposals and advice on other allowances		Proposals for other allowances
Annual Pay Progression	No (under new policy Board has final sign off)	Makes recommendations to Board	Ensures consistency	Ensures consistency	Approval and recommendations to CEO	Oversight of appraisal and recommendation to AC Finance Sub-Committee
Pension Policy & Discretions						
Handling of all pension matters (teachers and support staff)	Yes			Makes appropriate pension arrangements and ensures proper administration		Responsible to ensure Academy systems are in place
Approval of use of discretions	No	Makes recommendations to Board		Makes recommendation to CEO		
Operation of policies						
Approval of employment policies	No			Makes recommendations to Board		
Objective setting and performance appraisal	Yes (except CEO, CFO)	Appraises Principals and CFO with Board / Council as appropriate	Appraisal arrangements for own team	Oversight of process	Assists in Principal appraisals, and SLT appraisals	Appraisal arrangements for own team
Approval of formal restructure plans	Yes	Makes recommendations to Board	Makes recommendations to Board	Makes recommendations to Board with CFO	Consulted and part of the process	Part of Process
Approval of severance or redundancy agreements	Yes	Makes recommendations to Board	Makes recommendation to Board via CEO	Makes recommendations to Board via with CFO	Consulted and part of the process	Part of Process
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 issue warnings in own teams and attend panels	Part of formal panel and monitors the level of action	May issue warnings and disciplinary measures
Authorisation of settlement agreements	No	May negotiate and make recommendation to Board	May negotiate and make recommendation to Board	Makes recommendations to Board with CFO		

Human resources	Is authority delegated from the Board ?	CEO	CFO/FD	ELT	Council	Principal
Suspension	Yes (except CEO, CFO)	Yes (Principals and other staff)	Yes (own team)	Yes (own team)	Informed	May suspend following consultation with central HR

Organisational Delegated Authority Framework

* Delegated authority only applies where Academies have delegated responsibility. Where responsibilities have been withdrawn all delegated responsibility sits with the CEO and CFO

Finance	EFA	Is authority delegated from the Board?	CEO	CFO/ELT	Academy Council	Principal
			Central	Central	Academy	Academy
STATUTORY REPORTING						
Completion and approval of annual accounts and reports to funding and regulatory bodies		No	Review	Recommendation to CEO and Board		
Completion and submission of other accounting returns		Yes		Authorised		
Completing annual & periodic financial reports to Board and/or DFE/EFA (including income/expenditure, cash flow, projections etc).		Yes		Authorised		
Authorised to complete PAYE returns		Yes		Authorised		
Authorised to complete VAT returns.		Yes		Authorised		
SYSTEMS OF INTERNAL FINANCIAL CONTROL						
Assurance over adequacy of systems of internal financial control		No	Provides assurance to EFA as AO	Provides assurance to CEO and Board		
Approval of financial regulations		No		Recommendation to Board		
Appointment of external auditors		No	Reports to Board			
Appointment of internal auditors		No	Reports to Board	Management of appointment process		
BUDGET & MANAGEMENT REPORTING						
Pooling arrangements by the Multi-Academy Trust		No	Recommend approval to Board	Recommend approval to CEO		
GAG balances / carryforward		Yes	Approval of balances held over carryforward threshold	Recommend approval of balances held over carryforward threshold	Approve a carry-forward threshold: Secondary 5% of GAG - Primary/Special 8% of GAG	Approve a carry-forward threshold: Secondary 5% of GAG - Primary/Special 8% of GAG
EFA Grant Claims		Yes where the value is less than £150,000	Approval of claims up to £150,000	Recommend approval of claims up to £150,000		
EFA Returns		No	Recommend approval to Board	Recommend approval to Board		
Approval of annual budget		No	Endorsement as Accounting Officer	Oversight of preparation, review of budget plans, recommendation to Board	Review of detailed academy financial plans and budget tracking	Preparation of detailed academy financial plans and budget tracking

Finance	EFA	Is authority delegated from the Board?	CEO	CFO/ELT	Academy Council	Principal
			Central	Central	Academy	Academy
Receipt and review of management accounts		No		Review of academy management accounts and preparation of summary report to Board	Periodic review of academy financial position	Accountable for local academy financial position
Approval of expenditure not provided for in the annual budget		Yes	Authority to approve over £20,000	Authority to approve over £20,000	Authority to approve up to £20,000	Powers delegated to Principal up to Academy Council threshold
Authority to make budget virements		Yes where the value is less than £100,000	Authorised up to £99,999	Authorised up to £99,999	Authority to approve up to £20,000	Powers delegated to Principal up to Academy Council threshold
PURCHASING & PROCUREMENT						
Placing orders for goods and services, entering into contracts		Yes where value is less than £100k (OJEU limits to be observed)	Authorised up to £99,999 (formal tender process)	Authorised up to £99,999 (formal tender process)	Authorised up to £20K (minimum of 3 quotes)	Powers delegated to Principal up to Academy Council threshold
Authority to accept other than the lowest quote		Yes where value is less than £100k (OJEU limits to be observed)	Authorised up to £99,999 (formal tender process)	Authorised up to £99,999 (formal tender process)	Authorised up to £20K (minimum of 3 quotes)	Powers delegated to Principal up to Academy Council threshold
Ensuring compliance with tendering processes		Yes		Report to Board		
BANKING AUTHORITY & CASH MANAGEMENT						
Approval to borrow money (bank or sponsor loan, overdraft)	Yes	No	Recommend approval to Board for submission to EFA	Recommend approval to CEO for submission to Board		
Cashflow Management, Treasury & Investment		Yes		Authorised to Review and approve. Investment details to be informed to Audit committee		
Open a bank account and approve signatories		No	Can be approved signatory	Can be approved signatory		
Applications for business charge card accounts		No	Can be approved signatory	Can be approved signatory		
TRANSACTION PROCESSING						
Payroll - Starters, leavers and amendments		Yes	Authorises changes	Oversees systems of internal control; authorises changes	Monitors staffing and performance	Authorises changes
Payroll - Administration		Yes	Final Authorisation of SET payroll	Final Authorisation of SET payroll		Authorises monthly payroll costs for the academy

Finance	EFA	Is authority delegated from the Board?	CEO	CFO/ELT	Academy Council	Principal
			Central	Central	Academy	Academy
Purchasing - Authorised to create vendors on accounting system		Yes		Authorised		
Income		Yes		Authorised		
Authorisation of expense claims (cannot authorise ones own expenses)		Yes	Authorised	Authorised	Authorised for Principal	Authorised
Control account reconciliation		Yes		Authorised		
Write-off bad debts	Transactions >1% of annual income or £45k individually; or 2.5% or 5% of annual income cummulatively	Yes - up to EFA limits	Authorised up to £5k	Authorised up to £5k	Authorised up to £2k	Powers delegated to Principal up to Academy Council threshold
FIXED ASSETS						
Management of capital projects		Yes		Ensures management and governance arrangements are appropriate and reports to Board		
Acquiring a freehold on land and buildings	EFA approval required	No	Recommend approval to Board for submission to EFA	Recommend approval to CEO for submission to Board		
Disposal of a freehold on land and buildings	EFA approval required	No	Recommend approval to Board for submission to EFA	Recommend approval to CEO for submission to Board		
Disposing of heritage assets	EFA approval required	No	Recommend approval to Board for submission to EFA	Recommend approval to CEO for submission to Board		
Disposal of assets - not land, buildings or heritage		Yes - but must approve over £5k		Authorised to Review and approve up to £5k	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 £99,999 (Formal tender process)	Authorised up to £20K (minimum of 3 quotes)	Powers delegated to Principal up to Academy Council threshold
Asset Register		Yes		Authorised to Review and approve	Monitor asset register	Maintain asset register
Security Of Assets		Yes		Oversight and must report to Board by exception		
Loan of Assets		Yes		Authorised to Review and approve		

Finance	EFA	Is authority delegated from the Board?	CEO	CFO/ELT	Academy Council	Principal
			Central	Central	Academy	Academy
INSURANCES						
Annual Risk Review & Premium Renewal		Yes		Authorised to Review and approve		
LEASING						
Taking up a finance lease	EFA approval required	No	Recommend approval to Board for submission to EFA	Recommend approval to CEO for submission to Board		
Taking up a leasehold on land and buildings	EFA approval for lease >7 years	No	Recommend approval to Board for leases <7years	Recommend approval to Board for leases <7years		
Taking up any other lease		Yes but must have Board approval for over £40,000	Recommend approval to Board for leases agreements up to £40,000 (total contract period)	Recommend approval to Board for leases agreements up to £40,000 (total contract period)		
Granting a lease on land and buildings	EFA approval required	No	Recommend approval to Board for submission to EFA	Recommend approval to Board for submission to EFA		
SPECIAL PAYMENTS						
Staff Severance	Approval over £50k	Yes	Approval up to £50k	Approval up to £50k	Recommendation to CEO	Recommendation to Academy Council
Compensation	Approval over £50k	Yes	Approval up to £50k	Approval up to £50k	Recommendation to CEO	Recommendation to Academy Council
Ex gratia payments	Approval over £50k	Yes	Approval up to £50k	Approval up to £50k	Recommendation to CEO	Recommendation to Academy Council