

SENDAT Scheme of Delegation

Incorporating the Record of Financial Responsibility (RFR)

This policy is reviewed annually by the Full Board

Ref:	09-2023
Author:	S Prickett / L Chapman
Issued:	September 2023
Reviewed by:	Finance Committee
Changes	V11 thorough review and inclusion of the RFR. RFR updated September 2023 in line with changes to reporting requirements and increased academies
Approved by:	
Next review:	Summer term 2024

Introduction

The Scheme of Delegation sets out the delegated powers between the different bodies involved in the governance and operation of SENDAT and member academies.

The bodies may include:

1. Trust Board of Directors
2. Chief Executive Officer as Accounting Officer
3. Trust Finance Committee (inc. Audit and Pay Committee)
4. Trust Provision, Standards and attainment Committee
5. Local Academy Boards
6. Trust Leadership Group comprising Trust Heads of Service including:
 - a CEO
 - b School Improvement Leads
 - c Heads of School/Academy/Centre

The delegated powers are broken down into different levels in line with the Trust's principles of governance, leadership and operation. The delegated autonomy for individual academies is aligned with the need for the Trust to fulfil its corporate responsibilities and accountabilities to the Department for Education, Education Skills Funding Agency, Charities Commission, HMRC and Companies House.

The different levels of delegated 'power' are listed below but it should be noted that not every task requires all levels of delegated power to be defined:

- Approve (A)
- Recommend/Review (R)
- Propose (P)
- Monitor & Report (M)
- Consult (C)
- Implement (I)

The Scheme of Delegation should be read in conjunction with the Terms of Reference for the relevant body. While the Scheme is designed to be comprehensive it will not cover every task.

#	Task Key: Approve (A), Recommend/Review (R) Propose (P), Monitor & Report (M), Consulted (C), Implement (I)	Notes	Board	CEO/Account Officer	Finance committee	Provision, Standards &	LAB	Leadership Group	School improvement	Head of School
1.	Governance									
1.1.	Approve/Adopt Trust Articles of Association	Members only	R				C	C		
1.2.	Approve Trust Board Terms of Reference		A					R		
1.3.	Approve Trust Scheme of Delegation		A		R			P		
1.4.	Approve new convertor or sponsored academies joining MAT		A				C	R		
1.5.	Establish Trust Committees		A		R	R				
1.6.	Approve Trust Committee Terms of Reference		A		R	R	C	C		
1.7.	Approve Local Academy Boards (LAB) Terms of Reference		A				R	R		
1.8.	Establish LAB Task & Finish Groups						A	R		
1.9.	Appoint Chair of Trust Board		A							
1.10.	Appoint Chair/Vice Chair of LAB		A				R			C
1.11.	Remove Chair/Vice Chair of LAB	In exceptional circumstances	A				R			C
1.12.	Appoint (and remove) LAB members		A				R			C
1.13.	Appoint (and remove) Chair(s) of Trust Committees		A		C	C				
1.14.	Appoint (and remove) Trust Committee members		A		R	R				
1.15.	Appoint (and remove) Clerk to Trust Board		A	P						
1.16.	Appoint (and remove) Clerk to LAB		A	P			R			
1.17.	Organise calendar of Trust Board and LGB meetings	With Clerk to Board	A	P	C	C	C			
1.18.	Approve Directors Expenses Policy		A		R					
2.	Trust & Academy Performance, Curriculum and Teaching									
2.1.	Trust Strategic Development Plan (TSDP) Inc 1-3 years Academy Plans		AM	CM	C	C	C	IR	I	I
2.2.	Academic Performance Targets		AM	M		C	R	IR	I	I

#	Task Key: Approve (A), Recommend/Review (R) Propose (P), Monitor & Report (M), Cultured (C), Implement (I)	Notes	Board	CEO/Account Officer	Finance committee	Provision, Standards &	LAB	Leadership Group	School improvement	Head of School
2.3.	Individual Academy Performance Review <i>e.g. SEF</i>		AM	R			R	R		P
2.6.	Teaching & Learning Policy	Trust policy	AM			AM	M	RI	R	PI
2.7.	Curriculum Policy	Trust policy				A	CM	PRI		RI
2.8.	Sex Education policy	Trust policy				A	CM	CM		PI
2.10.	Inclusion policy	Trust policy				AM	CM	C I		i
3.	Staff Policies and Pay (NB: This list is not exhaustive)									
3.1.	Pay & Remuneration Policy	Trust policy	A		R	C	PM	P		I
3.2.	Performance Management Policy	Trust policy	A			RM	M	R	CPI	I
3.3.	Disciplinary Policy	Trust policy	A			RM	M	R	C	I
3.4.	Capability Policy	Trust policy	A			RM	M	R	C	I
3.5.	Whistleblowing Policy	Trust policy	A		R	R M	M	R	C	I
3.6.	Adoption of Transferring T&Cs		A		R	R				
4.	Staff Management									
4.1.	CEO/Exec Headteacher, CFOO & Head of Specialism appointment		A	C	C	C		C		C
4.2.	Trust Centre staff structure & complement		A	P	R	P	C	C		
4.3.	Trust Central staff appointments	Within approved complement		A		C		C		
4.4.	Academy staff structure & complement		A	R		P	C	P	P	I
4.5.	Teaching and support staff appointments						CM	C		A
4.67.	Suspension of CEO/Exec Headteacher		A	P		R				
4.7.	Return of CEO/Exec Headteacher after suspension		A	P		R				
4.8.	Dismissal of CEO/Exec Headteacher		A	P		R				
4.9.	Suspension of Heads of Specialism & Senior Leadership	As per policy	A	A						PC
4.10.	Return of Heads of Specialism & Senior Leadership after suspension		A	A						PC
4.11.	Dismissal of Heads of Specialism & Senior Leadership		A	A						PC

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4.12.	Suspension of teaching and support staff			A						R
4.13.	Return of teaching and support staff after suspension	As per policy		A						R
4.14.	Redundancy of staff		A	R	C	R	C	R	C	CI
4.15.	Restructuring of staff		A	R	CR	CR	M	R		I
5.	Financial Governance & Management									
5.1.	Trust & Academy Financial Regulations & Procedures	Some are statutory	A	MI	R	C		CI		I
5.2.	Appoint Trust auditors	MEMBERS	R		P					
5.3.	Trust overarching 3-5 year Budget Plan		A	PM	R					
5.4.	Trust overarching 1 year Budget		AM	PM	RM					
5.5.	Trust Management Accounts		A	M	AM					
5.6.	Trustees' Report & Annual Statutory Accounts		A	P	R					
5.8.	Trust Academies Accounts Return to ESFA			A						
5.9.	Response to Auditor's Management Letter		A	C	R					
5.10.	Individual Academy 3-5 year Budget Plan		A	CM	R			CI		CI
5.11.	Individual Academy 1 year Budget		A	CM	R			CI		CI
5.12.	Academy Management Accounts		A	CM	AM					CI
6.	Financial Authorisation for full details refer to Record of Financial Responsibility									
6.1.	Expenditure or contracts identified within approved budget plan	As per RFR						C		A
6.2.	Expenditure or contracts identified outside approved budget plan	As per RFR	A	R	A			C		P
6.4.	Expenditure over OJEU limit	As per RFR	A	R	R					
6.5.	Compensation/settlement payments up to £15,000		M	A	M					C

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6.6	Compensation/settlement payments above £15,000 up to £50,000		A	P	R					C
7.	Academy Policies & Procedures (NB: This list is not exhaustive)									
7.1.	Academy times, terms and holidays			A		R	C	PC	C	
7.2.	Change of Academy Age Range		A	R		R	C	C		C
7.3.	Expansion of Academy PAN		A	R	C	R	C	C		C
7.4.	Extension of Academy provision		A	R	R		C	C		C
7.5.	Extended services on-site			A				R	C	R
7.6.	Child Welfare & Safeguarding Policy	Trust policy	A	RM		A M	C M	R	M	CI
7.7.	Attendance Policy	Trust policy	A	RM		A		R		MCI
7.8.	Attendance Plan		A	RM		A		R		MCI
7.9.	Pupil Premium Policy	Trust policy	A	RM		A		R		MCI
7.10.	Pupil Premium Plan		A	RM	A			R		MCI
7.11.	Academy Visits Policy	Trust policy	A	RM		R		C	M	I
7.12.	Pupil Behaviour & Exclusions Policy	Trust policy	A	RM		R		C	M	I
7.13.	Short-term Exclusion	As per policy		A		M	M		P	R
7.14.	Return after short-term exclusion			A						R
7.15.	Permanent Exclusions			A		M	M			R
7.16.	Appeals against Permanent Exclusion	Panel req.	I A	C						C
7.17.	Complaints Procedure	Trust policy	A	RM		AM	M	C		C
7.18.	Complaints Appeals	Panel req.	I A	M		M				
7.19.	Admissions Policy	Trust policy	A	R		R	M	C		P
7.20.	Admissions allocation of places			A						P I
7.21.	Admissions Appeals	Tribunal		ARM		M				
7.22.	Academy prospectus			A			C	R		RC
7.23.	Academy website	Trust Minimum Specification	M	AI		M	M	R		PRI
7.24.	Academy logo & branding	Trust Minimum Specification	M	AI		M	M	R		P I

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7.25.	Academy uniform	Trust Minimum Specification		M		A	C	R		P I
8.	Premises & Assets									
8.1.	Premises Management/Development Plan	Trust plan	A	R	RM		C	R		C
8.2.	Health & Safety Policy	Trust policy	A	RM		RM	CM	R	R	I

Record of Financial Responsibility

Value for Money

Accounting officers are personally responsible and publically accountable for achieving the best possible value for money in their organisation.

Value for Money (VFM) is not necessarily about the lowest price, it's about getting the right balance between quality and cost and a widely accepted definition of VFM refers to three elements:

Economy: Minimising the costs of resources used

Efficiency: Relationship between outputs and the resources used to produce them

Effectiveness: Extent to which objectives have been achieved

It is therefore essential that minutes of director meetings accurately reflect the discussions and decisions relating to securing value for money for the academy and that the academy retains all related documents so as to demonstrate that all actions have been to safeguard public funds and in the best interests of the students.

Financial Reporting Arrangements

Who	Monthly	½ Termly	Annually
Full Board		Minutes of Resources & Provision Committee Management Accounts	Annual Budget Plan for approval Outturn Statement Annual Statutory Accounts & Trustee Report Audit Summary Memorandum
Finance Committee Including Chair of Trust	Management Accounts		Draft Annual Budget Plan Including Curriculum Cost Centre Budget Report Outturn Statement Annual Statutory Accounts & Trustee Report Audit Summary Memorandum
CEO	Management Accounts		Draft Annual Budget Plan Including Curriculum Cost Centre Budget Report Outturn Statement Annual Statutory Accounts Audit Summary Memorandum
CFOO	Management Accounts		
Heads of School / Budget Holders	School & Departmental Budget Reports (Available at any time on request)		

Summary of Financial Authorisation Levels

Delegated Duty	Value	Delegated Authority	Method
Nominal Journals (including year end) between Nominals/Cost centres	Up to £10,000	CFOO & Finance Officer	Narrative audit trail within Finance System.
	£10,001 and over	As above plus CEO, with reporting to the Audit & Finance Committee	As above plus documentation to evidence requirement
Ordering Goods and Services	Up to £1,000	Budget Holder/Head of School	Principle of best value to be followed as detailed in finance procedures. Amount to be within budget plan allocation
	Over £1,001 to £12,000	As above plus CFOO	
	Over £12,001 to £25,000	As above plus CEO (NB: if over £12k & only one quote obtained then approval of Chair Of Resources or Chair of Board required)	
	Over £25,001	As above plus Resource Committee (If not already identified in approved budget plan or expenditure previously approved by Resource Committee or Full Board)	Tender arrangements to apply over £50,000 including advertising in Find a Tender Service (FTS)(if over the threshold)
Signatories for Cheque payments authorisations and other bank transfers	Any	Two signatories from: -CFOO -CEO -2 of Head of School / HT -Director of Safeguarding	Usual division of duties
BACS Payment	Any	BACS one signatory	Online processing with usual division of duties
Signatories for ESFA grant claims and ESFA returns	Any	Two signatories (or as required by EFA) from -CFOO -CEO	

Delegated Duty	Value	Delegated Authority	Method
Signatories for Additional hours/Absence returns/Casual staff hours claims/Travel claims	Any	Two signatories to include: Line Manager / Member of Academy SLT / CFOO / CEO	Official forms to be used Appropriate segregation of duty
Signatories to approve Letting of premises	Any	One signatory from -Finance Officer -CFOO -CEO -Deputy Head/Head of School	SENDAT Estates Manager reviews lettings policy. Lettings managed locally by each academy
Petty cash	Purchases up to £20 Reimbursements over £10 by BACS	-Budget holder/Head of School -Academy SLT	Official forms to be used.
Petty cash; cash advance	Up to £350	Two signatures from -Budget Holder -CFOO	Official forms to be used
Disposal of fixed assets	Up to £1000	CEO	Land, Buildings or Heritage Assets may not be disposed of without ESFA approval
	If with residual net book value £1001 and over	Audit & Finance Committee	
Disposal of equipment (not on fixed asset register)	Up to £1000 OR up to £100 if item is to be disposed of to an employee or Member/Director or LAB representative	CEO	See Redundant Equipment Policy
	Over £1000 OR over £100 If item is to be disposed of to an employee or Member/Director or LAB representative	As above plus Resource Committee	
Writing off bad debts	Up to £1000	CEO	See Bad Debt Policy
	Over £1001	Audit & Finance Committee	

Bank Account Details

Main Account

Bank Account Name	Sort Code	Account Number
SENDAT	30-64-22	23022268
Bank Signatories <i>(minimum 2)</i>		
1) Lawrence Chapman	2) Sue Prickett	3) Georgina Lewis
	5) Graham Alcock	6)

Payment Cards Expenditure – Purchase Card

Number of Cards Allowed:	Monthly Limit	Monthly Limit
FOUR	LC £2,000	ZH £3,000
Individual Cardholders		
1. Lawrence Chapman	2. Zoe Hobbs	

Income

Limit above which receipts must be issued for cash received:		
£0.00	The school receipts all cash received. (except diner money and uniform unless asked)	
Insurance Limits: Cash kept in locked safe	Insurance Limits: Cheques	Insurance Limits: In Transit
£10,000	£250,000	£5,000

SENDAT Certifying Officers

Name	Document Type(s) (e.g. Orders / Invoices / Petty Cash / Pay Documents / Lettings)	Individual Transaction Limit
Lawrence Chapman	All	See limits identified in tables above
Sue Prickett	All	See limits identified in tables above
Georgina Lewis	All	See limits identified in tables above

Member of Trust Leadership Group or Director	Certifying CEO's expenses & reimbursements	
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