



Scheme of Delegation Part 3: Governance Decision Making Grids 2020-21

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For review:	Board of Trustees
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Foreword

Our Trust mission: 'love, learn, laugh', underpins our key aim to improve our pupils' lives and outcomes through outstanding educational practice and provision, while also setting challenging and aspirational goals designed to empower our pupils and enhance their life choices. The Trust currently run two schools. Manor, a SEN primary school, and The Avenue, a SEN school for 5-19 year olds.

This document is Part Three of a three part document. The Parts are divided as follows:

Part 1 - Governance Overview: Overview of Governance Structure, key articles, responsibilities and our approach to delegation.

Part 2 - Governance Structure and Procedure: Terms of Reference, communications between governance entities, meeting schedules and agendas, procedures and principles of governance.

Part 3 - Governance Decision Making Grids: Summary of decision making and responsibility matrix, financial delegation and policy overview. These documents when taken together provide the basis for meeting our duties and responsibilities, as determined by:

- The Companies Act 2006
- The Financial Handbook 2019
- The Governance Handbook 2019
- Keeping Children Safe in Education 2019
- The Charities Governance Code

Additional support and guidance for the Trust is maintained through membership of Brent Chairs and Vice Chairs Programme, Brent School Partnership (BSP), the National Governance Association (NGA), the Confederation of Schools Trust (CST), and through the use of the Institute of Company Secretaries and Administrators (ICSA) twin publications Academy Governance Handbook (2019), and Academy Governance Checklists (2019).

Jayne Jardine CEO
Paul Sommerfeld, CEO

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Part 3: Governance and Decision Making Grids

Appendix 8: Decision and Responsibility Matrix

This Appendix sets out significant decisions and responsibilities. For each thematic section, text introduces the philosophy and ethos of the trust, which sets the context for the subsequent decisions / accountabilities.

The key to the table is:

BoT – Board of Trustees

LAB – Local Academy Board

FARC - Finance and Resources Committee

ARC – Audit, Risk and Compliance Committee

CEO – Chief Executive

AO – Accounting Officer

HoS – Head of School of an academy within the Trust

CFO – Chief Finance Officer via the Accounting Officer

BM - Business or Finance Manager at an academy via the Headteacher or CFO.

GP – Governance Professional

Note: Actions taken by a properly constituted sub group, or delegated to an individual trustee or to Chief Executive, Head of School, or Chief Finance Officer, are taken on behalf of the Board of Trustees.

Governance

The Board is accountable for all decisions of the Trust, and the performance of all schools within the Trust. The CEO is accountable to the Board for the performance of the Trust and effective use of public funds. Each LAB and Head of School is responsible for the performance of their school(s).

The Board of Trustees approves the Scheme of Delegation for the Trust, and this details the committee structure along with terms of reference and membership, and outlines who is able to make what decisions (including approving policies). The Scheme of Delegation is reviewed at least annually. The Scheme of Delegation allows for the Trustees to vary the delegation to each LAB or office holder in response to the performance of and risk associated with that school.

Each sub group/committee (such as Board) elects its own chair and determines its detailed working arrangements within the framework set by the Scheme of Delegation. The BSAT Board selects the LABs Chair.

	Standard delegation							Audit, Risk and Compliance	Potential variation
	BoT	LAB	Finance s and Resourc es	CEO / AO	HoS	CFO	Other		
Appointing / removing Members							Members		
Appointing / removing Trustees (besides CEO)							Members		
Approving the Articles of Association							Members and Sec of State		

Approving a change of name of the Trust							Members		
Appointment of external Auditors							Members		
Appointing / removing the Chair and Vice-Chair of Board of Trustees	✓								
Appointing / dismissing the Gov Prof'l to the Board	✓								
Appointing the Chair of a committee.							Each Sub Group/Committ ee		
Appointing the Chair of LABs	✓								
Appointing and removing co-opted Trustees	✓								
Establishing additional committees or Working Groups etc. (including Terms of Reference and membership)	✓ for BSAT	✓ for LAB							
Approving the Scheme of Delegation (Part 1, 2 and 3)	✓								
Approving the Annual Report and Accounts	✓						Members receive		

Determine whether other school(s) should join, or whether any school(s) should leave, the Trust	✓								
Approving the 'role description' for Trustees/LAB members	✓								

Financial management

The Board is accountable for the financial performance of the Trust, including receipt of all income due to the Trust and for the effective and efficient expenditure of public funds. The Accounting Officer is accountable to the Board and DfE for expenditure of public money, and the Chief Finance Officer leads the finance function to ensure that the financial policies and procedures approved by the Board are implemented consistently. The Board will approve assurance work to verify that these controls operate appropriately.

It is expected that the budget setting and budget monitoring processes are a combination of 'bottom up' and 'top down' processes – i.e. the Board would set the approach to central service charge and the delegated funds for each school (which would be expected to be the remainder of the funds provided for that school via the GAG and other government funding streams), each school would then develop a budget within its delegated funds in conjunction with the CFO and CEO, and the overall budget for the Trust would then be approved by the Board. Budget monitoring would similarly be undertaken at school and Trust level and reported to CFO/CEO, LABs and the Board throughout the year, with a focus upon any potential variances and actions required to ensure that expenditure is within approved levels.

The Accounting Officer is accountable to the Board for compliance of the Trust with the Funding Agreements and the Academies Financial Handbook; the CFO is responsible for ensuring this compliance.

	Standard delegation							Audit, Risk and Compliance	Potential variation
	BoT	TA LAB	Finances and Resources	CEO / AO	HoS	CFO	Other		
Maintaining a register of pecuniary and business interests of staff, governors, trustees and members						✓ for Staff	GP for BoT / Members		
Approving financial procedures (including treasury and accounting policies)	✓		✓						
Approving programme of extended assurance							✓		
Approving actions following external audit recommendations / findings	✓						✓		
Approving banking arrangements			✓						
Approving the approach to cross-charging / central service charge	✓								
Approving the budget each financial year in accordance with DfE timeframes (including use of any historic accumulated reserves)	✓								

Approving the submission of applications for revenue or capital grants	✓		✓						
Approving applications for business / procurement processing			✓			✓			
Submitting HMRC returns as required						✓			
Authorising expenditure for approved budgets, where financial procedures (such as procurement) have been followed							As set in financial procedures		Alter level of financial authority of Head of School
Approving procurement waivers							As set out in financial procedures		Alter level of financial authority of Head of School
Approving the use of a projected in year underspend (vs approved budget)			✓						Board to retain final decisions
Approving virements between budgets							As set out in financial procedures		Alter level of financial authority of Head of School
Approving expenses							Line manager for staff, Chair for CEO		Alter level of financial authority of Head of School

Approving any disposal of non-land assets							As set out in financial procedures		Alter level of financial authority of Head of School
Approving any writing off of debts							As set out in financial procedures		Alter level of financial authority of Head of School
Entering into or granting a freehold or leasehold interest in land	✓		✓						
Investigating potential financial irregularities (not involving CEO, HT / HoS, or CFO)				✓				✓	
Investigating financial irregularities (involving CEO, HT / HoS, or CFO)	✓							✓	

HR / Staffing

For Headteacher/Heads of School, the Articles require that Trustees appoint a Headteacher/Head of School, but it is expected that the selection panel would include the CEO, Governors and Trustees, and that this selection panel would make a recommendation to the Trustees about whether to appoint and, if so, who. Similarly, Head of School performance management would involve the CEO with governor involvement, with a salary recommendation to Trustees. Trustees, seeking input from Heads of School, would undertake CEO performance management.

For Leadership and TLR posts, it is expected that any posts that become vacant would be discussed by the Trust SLT to consider the needs of the school and the overall trust. It would be the CEO's decision about whether to recruit for the same or a different post, and to instigate any consequent changes to budgets. Heads of School would make recruitment decisions for other staff within their schools, with an expectation that they would – through Trust SLT – collaborate with other schools to ensure a staffing structure that is as effective, efficient, and resilient as possible; this may include establishing new joint posts across two or more schools.

For other HR decisions, the principle is that Heads of School should generally make decisions where they affect that school only. The CEO where they affect the overall Trust, with Governors and Trustees involved for decisions regarding leadership posts or staff in those posts makes decisions.

	Standard delegation							Audit, Risk and Compliance	Potential variation
	BoT	TA LAB	Finance and Resources	CEO / AO	HoS	CFO	Other		
Approving the staffing establishment for the Trust			✓						
Approving the staffing establishment for a school		To advise Finance and Resources	✓						Require Board approval

Appointing the CEO and CFO	✓								
Appointing Heads of School	✓	✓		Involved					
Performance management of the CEO	✓								
Performance management of the Head of School (including salary)	✓	To advise trustees		✓					SIP involved
Performance management of the CFO				✓					
Approving the commencement of recruitment for posts on Leadership scale, TLR 1 or 2 scales, or support staff on the Leadership Team of a school				✓					
Approving the commencement of recruitment for posts other than posts appointed by the Board or CEO that are within the approved staffing establishment (i.e. like for like replacements or approved new posts)				Involved	✓				CEO decision
Appointing staff who directly report to the CEO or Head of School			✓	✓					
Appointing other teaching staff (including NQTs)					✓				CEO decision

Appointing other support staff		Involved		✓ Trust	✓ School		CFO / FM involved as necessary		CEO decision
Authorising payroll provision						✓	FM		
Authorising payroll						✓			
Initiating a review of staffing structures / arrangements				✓	✓			✓	CEO or HoS to initiate as appropriate (CEO approval if include Leadership / TLR posts)
Approval to implement changes to staffing structures / arrangements	✓	✓		✓					Board if include redundancies within Leadership / TLR; Finance and Resources if include other redundancies; CEO if no redundancies
Suspending or dismissing the CEO, CFO or a HoS	✓								
Suspending staff besides the CEO, CFO or a HoS				Involved	✓				

Dismissing staff besides the CEO, CFO or a HoS				✓ if Leadership / TLR	✓		This includes during probation period		
Approving any leaving payments (redundancy, dismissal, early retirement) in accordance with trust policy				✓	✓		Report to Finance and Resources as appropriate	✓	CEO decision

Educational provision and student matters

It is expected that the LGB and Head of School will determine the educational provision and student matters, with accountability to the CEO and Board for progress and performance of students. The LGB will recommend targets to the Board.

	Standard delegation							Audit, Risk and Compliance	Potential variation
	BoT	TA LAB	Finance and Resources	CEO / AO	HoS	CFO	Other		
Propose and determine changes to the school age-range, or the addition / removal or nursery or SEN provision		✓							Board finalise these decisions
Approving the school day and year		✓		✓	✓				Board finalise these decisions
Excluding a pupil (fixed term)				Notified	✓				May require CEO involvement
Excluding a pupil (permanently)				Notified	✓				May require CEO involvement
Consulting on and determining an admissions statement for the school		✓							Board finalise the decision
Objecting to a SEN Statement / EHCP naming the school				Notified	✓				CEO decision or require CEO involvement

Approving any actions required following any external assessments of school performance	✓	✓		Notified					
Approving the attendance, progress and attainment targets for the school	✓ Approve	✓ Review		✓ Propose					Board finalise the decision

Appendix 9: Summary of financial delegations

Role	Bank forms and government returns	Cheque Signing / BACS Approval *	Purchasing, Procurement and Contract Processing	Budget / Virements
Board of Trustees	<ul style="list-style-type: none"> - Approve government returns - Approve banking arrangements (and mandates for Trust account(s)) 		<ul style="list-style-type: none"> - Chair: Approve expenses of the CEO - Approve all orders and contracts above valued delegated to CEO or Finance and Resources Committee - Approve waivers requiring the specified number of quotations / tenders for contracts of any value - Approve annual staffing establishment 	<ul style="list-style-type: none"> - Approve and monitor budget - Approve virements over values delegated to Trust Finance and Resources Committee
Finance and Resources Committee	<ul style="list-style-type: none"> - Approve bank mandates 		<ul style="list-style-type: none"> - Approve school staffing establishment - Approve orders and contracts between CEO level and £250k - Approve any necessary procurement waivers for urgent contracts for the same values as for orders and contracts 	<ul style="list-style-type: none"> - Monitor revenue and capital budgets - Approve virements up to £50k
Chief Executive / Principal		<ul style="list-style-type: none"> - Cheque / BACS approver / signatory 	<ul style="list-style-type: none"> - Approve purchase orders and contracts up to £50k - Approve staff expenses - Authorise new starts / payroll amendments - Approve establishment of new temporary staff posts 	<ul style="list-style-type: none"> - Approve unlimited staff budget virements - Approve virements up to £20k for other budgets
Head teacher/ Head of School / Deputy		<ul style="list-style-type: none"> - Cheque / BACS approver / signatory 	<ul style="list-style-type: none"> - Authorise monthly payroll 	
CFO / Business Manager	<ul style="list-style-type: none"> - Prepare and submit returns (inc VAT) 	<ul style="list-style-type: none"> - Cheque / BACS approver / signatory 	<ul style="list-style-type: none"> - Approve purchase orders up to £10k - Certify goods receipt and authorise invoices for payment** - Authorise monthly payroll*** 	

* All cheques/BACS approval must have two signatories. These provisions apply to all accounts, public or private, operated by or on behalf of the Trust. Authorised signatories must not sign a cheque / authorise a payment relating to goods or services for which they have also authorised the expenditure.

** Any person who receives goods and certifies invoices for payment shall be independent of those who negotiated prices and terms and placed the official order

*** There needs to be a separation of duties between processing payroll adjustments and authorising payroll; if the CFO is to process adjustments then authorisation needs to be by a HoS/DH.

Appendix 10: Policy grid

Theme	Policy	Current policy / procedure				Future policy / procedure			Process for review			Notes
		Statutory?	Policy on web?	Last approved at Manor	Last approved at The Avenue	Single for trust	Parts A and B *	Per school	BSAT review date	Staff review lead	Future policy approved by	
Governance	Single Central Record	Y		April 19		Y		Monthly check	Termly meeting	CEO/HoS	Trust/ LAB	Consistent template
Governance	Register of Interests	Y	Y	Sept 18		Y		Annual for LAB	Annual	CEO/HoS	Trust	Annually or as changes for each individual
Governance	Scheme of Delegation (including committees and Terms of Reference)	Y		July 19		Y			Regular – at least annually	CoT	Trust	
Governance	Financial Procedures / Accounting policies (including investment / treasury, Governor / Trustee allowances , donations, anti-fraud, anti-bribery, procurement)	Y		Jan 18		Y			Annual	CFO	BoT/ LAB	

Governance	Charging and Remissions	Y	Y	Oct 18		Y			Autumn 2019	CEO	Finance and Resources	
Governance	Gifts and Hospitality			Oct 18		Y			Autumn 2019	CEO	Finance and Resources	
Governance	Lettings		Y	Jan 17		Y			Spring '19	CEO	Finance and Resources	
Governance	Health and Safety Policy	Y	Y	Brent		Y				CEO	Finance and Resources	Adapted for each school
Governance	Complaints	N	Y	Sept 18		Y			Summer 2019	CEO	BoT	
Governance	Data Protection and Secure Data Handling	Y		June 18		Y			Summer 2019	HCID	BoT/ LAB	Annual registration
Governance	Protection of biometric information of children in schools and colleges	Y									BoT/ LAB	
Governance	Business Continuity / Crisis Management / Disaster Recovery / Critical Incident			Oct 17		Y			Summer 2019	Head of Finance	Trust	Adapted for each school

Governance	Equality (including the info / targets, and including accessibility plan)	Y	Y	Oct 18		Y		Access plan for each sch	Autumn 2019	H/HoS	LAB	Policy every four years; information annually
Governance	Whistleblowing	Y		Brent								
Governance	Premises management documents	Y	Live document								Finance and Resources	
Governance	Freedom of Information publication policy	Y	Y	Brent								
Governance	Accessibility Policy	Y	Y	Autumn 2018				Y	Autumn 2019	H/HoS	LAB	Annual
Governance	Procedures for Handling Bomb Threats and Bomb Threat Checklist			Brent								
Education	Admissions Policy	Y	Y	July 18		Y			Autumn 2019	CEO	LAB/Trust	Annually by 28 Feb. One for each school required.
Education	Careers policy			-								

Education	Curriculum Statement			Dec 17				Y	Autumn 2018	H/HoS	LAB	
Education	Marking and Assessment / Feedback Policy			Sept 17				Y	Autumn 2019	DH Curric	LAB	
Education	SEND and SEND Local Offer	Y	Y	June 18				Y	Autumn 2019	H/HoS	LAB	Legislation requires GB + annual review
Education	Collective Worship			June 15							LAB	
Education	Relationships and Sex Education	N	Y	April 16				Y	Autumn 2019	H/HoS/SRE Lead	BoT/ LAB	
Education	Children with health needs who cannot attend school	Y									LAB	
Education	Pupil Premium Grant / FSM – value for money statement	Y	Y	Nov 18				Y	Autumn 2019	PP Lead	LAB	
Education	Homework Policy		Y	January 16				Y	Spring 2019	DH Curric	LAB	

Education	Promotion of British Values	Y	Y	Oct 16		Y			Autumn 2018	H/HoS	LAB	
Education	ICT Acceptable Use / Social Networking Policy		Y	Sept 15		Y			Autumn 2017	IT Lead	LAB	
Education	Educational Visits Policy			Brent								
Students	Uniform Policy		Y	-				Y	Autumn 2018			Part of prospectus
Students	Attendance (including holidays)		Y	Jan 15		Y				H/HoS	LAB	
Students	Safeguarding and Child Protection	Y	Y	Sept 18		Y			Autumn 2019	Safeguarding Lead	BoT / LAB	
Students	Code of Conduct (including Home – School Agreement) Exclusion	Y	Y	Jan 16				Y	Spring 2019	VP Pastoral	LAB	
Students	Behaviour and anti-bullying	Y	Y	Jan 18				Y	Spring 2019	VP Pastoral	LAB	
Students	Administration of Medicines in School and Students with Long Term Medical Needs	Y	Y	Oct 2018		Y			Autumn 2019	VP Pastoral		

Students	First aid in schools	Y									LAB / BoT	
Students	Register of pupils' admission to school and attendance	Y									LAB, HoS	
Students	Drugs Policy	Part of PSHED		Spring 2017				Y	Spring 2019	PSHE Lead/VP Pastoral	LAB	
Students	Prevent Duty / Preventing Extremism and Radicalisation	Y	Y Part of Safeguarding Policy	See Safe guarding								
Staff	Safeguarding Standards Required of Staff	Y		Sept 18		Y			Autumn 19	VP Pastoral	LAB	Annual update
Staff	Recruitment Policy (including induction / probation)			Brent							Finance and Resources	
Staff	Pay Policy	N		Sept 18		Y			Sept 2019	CEO	BoT	Annual update
Staff	Staff Disciplinary	Y		Brent							BoT	
Staff	Staff Grievance	Y		Brent							BoT	

Staff	Statement of Procedures for Dealing with Allegations Against Staff	Y		Brent							BoT / LAB	
Staff	Appraisal and Capability	Y		Brent							BoT / Finance and Resources	
Staff	Newly qualified teachers (NQTs)	Y									LAB	
Staff	Staff Absence Policy			Brent							BoT	