

# Scheme of Delegation

# Contents

Section	Page	
<b>1.0</b>	Powers and duties reserved for the Members	<b>4</b>
<b>2.0</b>	Powers and duties reserved for the Trust Board	<b>4</b>
<b>3.0</b>	Powers and duties reserved for the Audit and Risk Committee	<b>4</b>
<b>4.0</b>	Powers and duties delegated to the Finance Committee	<b>6</b>
<b>5.0</b>	Powers and duties reserved for the Remuneration Committee	<b>7</b>
<b>6.0</b>	Powers and duties reserved for the Local Governing Body	<b>7</b>
<b>7.0</b>	Financial powers and duties delegated to the CEO / Deputy CEO	<b>9</b>
<b>8.0</b>	Financial powers and duties delegated to the COFO	<b>9</b>
<b>9.0</b>	Financial powers and duties delegated to the Head of Finance	<b>9</b>
<b>10.0</b>	Financial powers and duties delegated to the Principal	<b>10</b>
<b>11.0</b>	Financial powers and duties delegated to other staff	<b>10</b>
<b>12.0</b>	Summary of financial authorisation Levels	<b>11</b>
<b>13.0</b>	Model of Governance	<b>12</b>



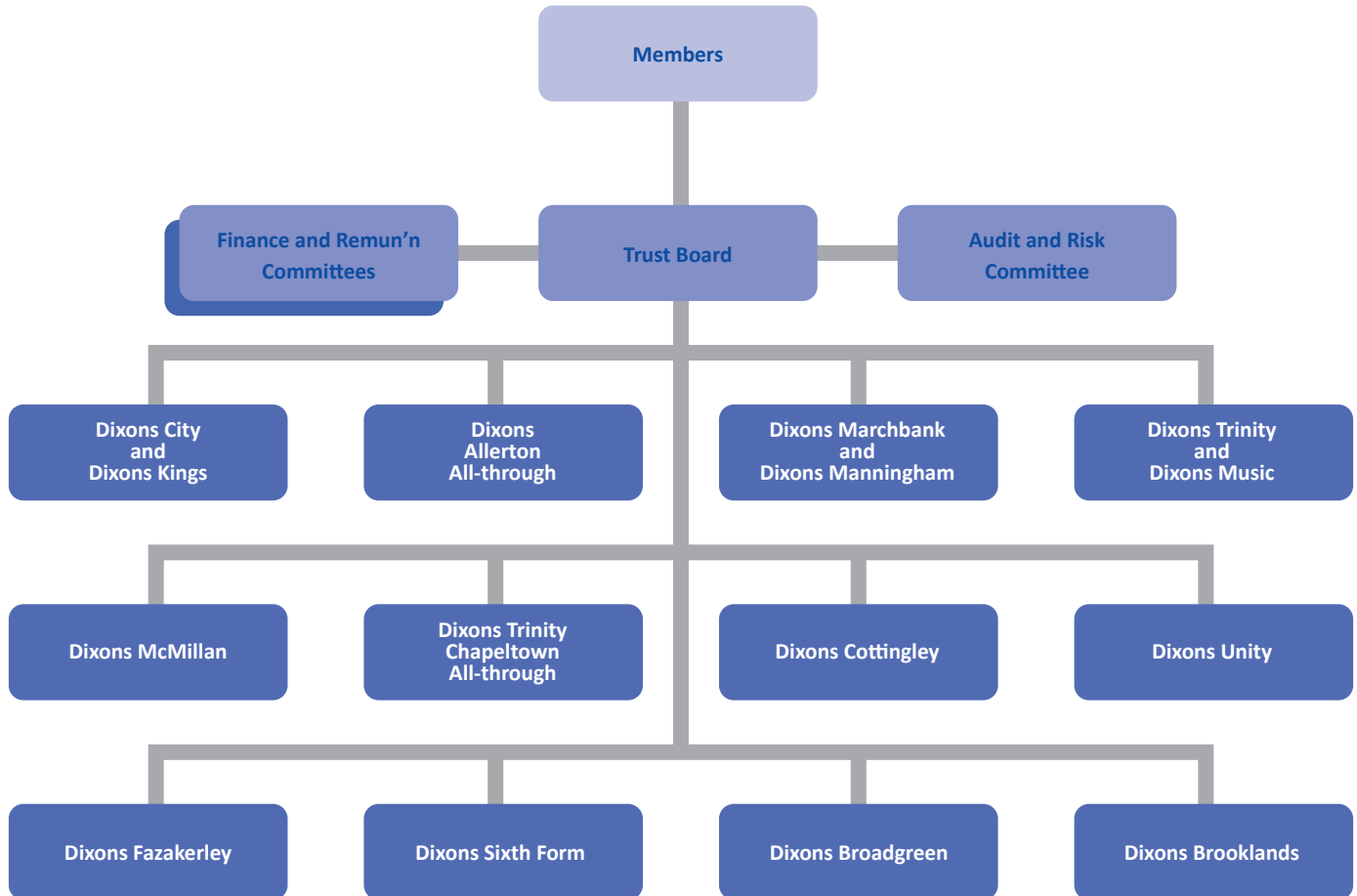
## Introduction

Dixons Academies Trust Ltd ("The Trust") is a Multi-Academy Trust whose mission is to challenge educational and social disadvantage by establishing high-performing non-faith academies which promote learning, develop character, value diversity and build cultural capital. By the age of 18 we want every student to have the choice of university or a high quality apprenticeship.

The Trust's model of governance is designed to recognize the overall responsibility of the Trust Board; the line management of Principals by the CEO and the Executive Team; and the support and challenge of the Local Governing Bodies.

The Dixons Academies Trust is a company limited by guarantee and a charity regulated by the department for education.

The governance structure of the Dixons Academies Trust is as below:



- The Members of the Trust define the Object, Purpose and Ethos of the Company, and can direct the Trust Board where required to ensure those elements are met.
- The Directors, who form the Trust Board, have overall responsibility and ultimate decision making authority for all the work of the Trust, including the establishing and running of schools and in particular each academy as a school. This is exercised principally through strategic planning and the setting of policy, holding the Executive Team to account and the oversight of financial control. It is managed through business planning, monitoring of budgets, performance appraisal, the setting and monitoring of standards and the implementation of quality assurance processes. In this work, the Board is aided by two committees: audit and risk and finance.
- The Directors delegate their responsibilities for the day-to-day oversight of each academy to a Local Governing Body (LGB) through a Scheme of Delegation (the Scheme). A single Local Governing Body may manage more than one academy but the funding granted for each academy must be applied only to that academy subject to the requirements of the Scheme. The Principal of each academy is an ex officio member of the LGB.
- Governors at all levels must abide by the Trust's Governor Code of Conduct.
- The Executive Team is the executive arm of the Board made up of the Deputy CEO, COFO, Executive Principals and Technology Director under the direction of the Chief Executive Officer (CEO). Its principal functions are:
  - to direct and support the operation of each academy, developing strategic plans and policies in core areas of the operation in accordance with the direction of the Trust Board. These include risk, teaching and learning, leadership development, training, finance, HR and ICT. The executive team specifies management controls and reporting requirements; audits the associated processes, procedures and outcomes in each academy; identifies and delivers appropriate training and support; holds Principals to account; and reports to the Board on progress and concerns.
  - to manage the conversion of schools to academies. The Executive carries out due diligence across the academy to establish its position and identify any action required, and, with the DfE, LA and solicitors, manages the associated legal processes.



## 1.0 Powers and duties reserved for the Members

The Members shall meet no less than twice per year and shall be quorate when 50% of the members attend.

The Members are responsible for:

- appointing the Members, and up to nine of the Directors / Trustees
- dismissing any member or Trustee
- instructing the Trust Board by special resolution to take specific action
- defining the Object, Purpose and Ethos of the Trust
- amending if necessary the Articles of the Trust, in agreement with the DfE
- appointing the external auditors

## 2.0 Powers and duties reserved for the Trust Board

The Trust Board forms the governing body, the board of directors and board of trustees of the Trust. Within the Objects of the MAT, the Trust Board is responsible for ensuring clarity of vision and ethos, setting the strategic direction, holding the executive to account, and overseeing financial performance. They have the power to appoint:

- as many trustees as they wish
- the Chair and Vice-Chair of the Trust Board (on an annual basis)
- the Chief Executive Officer

In so far as the business of each academy is concerned, the responsibility of the directors (also known as trustees) is to determine the policy and procedures of the academy and to consider and respond to strategic issues. The Directors are free to decide what constitutes a strategic issue.

The Trust Board shall meet no less than three times per year and shall be quorate when 50% of the directors / trustees attend.

**The Board is responsible for:**

- approval of a written scheme of delegation of its financial powers and duties to its Local Governing Bodies, its Finance Committee, its the Audit and Risk Committee, the Executive Team, Principals, and other staff. The scheme must satisfy the Trust Board's ultimate responsibility for ensuring that there are adequate operational controls in place for all the financial processes within the Trust. The Scheme of Delegation should be operated in conjunction with the Financial Policy and Handbook of the Trust
- formal approval of the annual consolidated Trust budget at least six weeks prior to the start of each financial year
- considering budgetary control reports from the Finance Committee at every meeting, with relevant explanations and documentation where required
- authorising significant financial transactions, as laid out in Section 11
- holding any bank account in which any money of the Trust is deposited and then operated by the Finance Department in the name of the Trust. All cheques and orders for the payment of money from such an account shall be signed by at least two signatories authorised by the Trust Board
- ensuring the appointment of external auditors
- receiving, approving and acting upon (as appropriate) a report and recommendations from the Audit and Risk Committee on the financial statements and approving the audited financial statements prior to submission to the ESFA by 31 December
- receiving, approving and acting upon (as appropriate) the reports of the Audit and Risk Committee on the use of resources, systems of internal financial control, and discharge of financial responsibilities
- receiving, approving and acting upon (as appropriate) regular reports and recommendations from the Finance Committee on the annual budgets, financial performance against those budgets, the application of resources across the Trust, longer term financial plans, and business cases for expansion or other major developments across the Trust
- informing the DfE if it suspects any irregularity affecting resources
- the Directors will have the absolute discretion to review this Scheme of Delegation at least on an annual basis and to alter any provisions of it

## 3.0 Powers and duties delegated to the Audit and Risk Committee

### 3.1 Authority

- 3.1.1 The Audit and Risk committee is authorised by the Trust Board of the Dixons Academy Trust to investigate any activity within its terms of reference, and to seek any information it requires from staff, who are requested to co-operate with the committee in the conduct of its enquiries. The Audit and Risk Committee is authorised to obtain independent professional advice if it considers this necessary. The committee is an advisory body and has no executive powers.

### **3.2 Membership and quoracy**

- 3.2.1 The Committee shall be appointed by the Trust. At least two members shall be members of the Trust Board
- 3.2.2 The Chair of Trust Board shall not be a member of the Committee, nor shall any member of the Finance Committee. The normal term of office will be four years.
- 3.2.3 The committee shall comprise of at least four members with a quorum being two members (one of whom must be a Trustee).
- 3.2.4 To assist it in discharging its function, the Committee may co-opt up to two additional members (not being Members of the Trust) with appropriate financial and / or audit experience. The Trust Board must give its prior approval to any such nominations.
- 3.2.5 Decisions to be made at meetings of the Committee shall be determined by a majority of the votes of members present and voting. Where there is an equal division of votes, the Chair shall have a second or casting vote.

### **3.3 Chairing**

- 3.3.1 The Chair and Vice-Chair of the Audit and Risk Committee shall be appointed by the Trust Board and must be a Trustee.

### **3.4 Attendance**

- 3.4.1 The COFO will be an attendee. The Chair of The Trust Board shall have the right to attend any meeting of the Committee. Others, such as the CEO, and appropriate internal and external audit representatives will attend by invitation of the Chair.

### **3.5 Key purpose**

- 3.5.1 The purpose of the Audit and Risk Committee is to monitor the integrity of the financial statements; to review the governance, internal control and risk management systems; and to review the internal and external audit services. It also gives recommendations to the Trust Board where it considers that action and improvement is needed.

### **3.6 Functions and duties**

#### **3.6.1 Governance, risk management and finance**

##### **The Committee will:**

- Review the annual accounts, financial statements and statements on internal control and Governance of the Trust to ensure that they can be recommended to the Trust Board for approval.
- Review internal and external audit reports and make recommendations to the Trust Board.
- Consider all relevant reports, including reports on the Trust's accounts, achievement of value for money and the response to any management letters.
- Review the effectiveness and integrity of systems of internal control established to ensure that the aims, objectives and key performance targets of the organisation are achieved in the most economic, effective and environmentally preferable manner.
- Review the effectiveness of systems to assess and manage risk and ensure they are robust.
- Ensure the Trust has an effective risk register in place to manage risk and said register includes contingency and business continuity planning.
- Review the operation of the academy's code of practice for members of the Trust Board, Local Governing Bodies and the code of conduct for staff.
- Consider any other matters where requested to do so by the Trust Board.

#### **3.6.2 Internal audit**

##### **The Committee will:**

- consider and make recommendations to the Trust on the appointment, reappointment and removal of the internal auditors
- ensure independence in internal audit by establishing and maintaining appropriate reporting lines whereby internal audit report directly to the committee
- direct the Trust's programme of internal scrutiny
- ensure that risks are being addressed appropriately through internal scrutiny
- report to the board on the adequacy of the Trust's internal control framework, including financial and non-financial controls and management of risks
- consider and monitor management's responses to any major internal audit, and the timely and appropriate implementation of any recommendations
- ensure that risks are being addressed appropriately through internal scrutiny
- meet with the internal auditors at least once a year to discuss their remit and any issues arising from the internal audits carried out
- monitor and review the effectiveness and quality of the internal audit function to ensure it provides appropriate independent assurance to the Trust and value for money

#### **3.6.3 External audit**

##### **The Committee will:**



- assess the effectiveness and resources of the external auditor to provide a basis for decisions by the Trust’s members about the auditor’s reappointment or dismissal or retendering
- discuss with the external auditor the nature and scope of each forthcoming audit and to ensure that the external auditor has the fullest co-operation of staff
- review the external auditor’s plan each year
- advise Trust Board on the Trust’s annual and long-term audit programme
- review the annual report and accounts
- review the auditor’s findings and actions taken by the Trust’s leadership in response to those findings
- meet with the external auditors at least once year to discuss their remit and any issues arising from the audit

### **3.7 Frequency of meetings**

3.7.1 The Audit and Risk Committee will meet not less than three times per year.

### **3.8 Reporting**

3.8.1 The Audit and Risk Committee will regularly report via its Minutes to Trust Board.

3.8.2 The Audit and Risk Committee will provide a written annual report to the Trust Board and the Trust’s Accounting Officer that outlines the activities of the Audit and Risk Committee as they relate to the year under review and to the terms of reference of the committee. The report will also include the Committee’s opinion on the adequacy and effectiveness of the Trust’s risk management, control and governance processes, and for securing economy, efficiency and effectiveness. The committee will also make recommendations on the reappointment or dismissal or retendering of the external auditor, and their remuneration.

### **3.9 Review of terms of reference**

3.9.1 The terms of reference will be reviewed annually by the Audit and Risk Committee and recommended to the Trust Board for their approval.

## **4.0 Powers and duties delegated to the Finance Committee**

### **4.1 Authority**

4.1.1 The Finance Committee works in accordance with the relevant part of section 4 of the Scheme of Delegation: Powers and duties reserved for the Finance Committee. The Committee reports to the Trust Board and is authorised to act on its behalf within its delegated powers. The Finance Committee is authorised to obtain independent professional advice if it considers this necessary.

### **4.2 Membership and quoracy**

4.2.1 The Committee shall be appointed by the Trust Board. At least two members shall be members of the Trust Board. The Chair of Trust Board shall not be a member of the committee (other than in exceptional circumstances), nor shall any member of the Audit and Risk Committee. The normal term of office will be four years.

The Committee shall comprise of at least four members with a quorum being two members, one of whom must be a Trustee. To assist it in discharging its function, the Committee may co-opt up to three additional members (not being members of the Trust) with appropriate financial and / or audit experience. The Trust must give its prior approval to any such nominations. Decisions to be made at meetings of the Committee shall be determined by a majority of the votes of members present and voting. Where there is an equal division of votes, the Chair shall have a second or casting vote.

### **4.3 Chairing**

4.3.1 The Chair and Vice-Chair of the Finance Committee shall be appointed by the Trust Board and must be a Trustee.

### **4.4 Attendance**

4.4.1 The COFO / Head of Finance will be attendees. The Chair of the Trust Board shall have the right to attend any meeting of the Committee. Others, such as the CEO, and appropriate internal and external audit representatives will attend by invitation of the Chair.

### **4.5 Key purpose**

4.5.1 The purpose of the Finance Committee is to monitor the financial performance of the Trust; to ensure that the Trust complies with the Academies Trust Handbook; to authorise spending within the limits laid out in Section 11 below; to oversee the annual budgeting and the medium-term financial plan; and to recommend or otherwise the statutory accounts for Board approval.

### **4.6 Functions and duties**

The Finance Committee shall be responsible for:

- exercising the powers and duties of the Trust Board in respect of the financial administration of the Trust, except for those items specifically reserved for the Trust Board, the Local Governing Bodies and those delegated to the Principal and other staff
- reporting on decisions taken under delegated powers to the next meeting of the Trust Board
- reviewing the annual Trust budget prior to the start of each financial year and recommending its acceptance, or otherwise to the Trust Board

- considering budgetary control reports on the Trust's financial position at every meeting, taking appropriate action to contain expenditure within the budget and report to the Trust Board
- reporting to the Trust Board all significant financial matters and any actual or potential overspending
- authorising financial transactions of the Trust as laid out in Section 11
- ensuring that the Head of Finance has put in place arrangements for adequate insurance cover
- ensuring that there are annual independent checks of assets and the asset register
- reviewing the draft financial statements and highlighting any significant issues to the Trust Board, prior to submission to the Secretary of State by 31 December

#### **4.7 Frequency of meetings**

4.7.1 The Finance Committee will meet three times per year.

#### **4.8 Reporting**

4.8.1 The Finance Committee will regularly report via its Minutes to Trust Board.

#### **4.9 Review of terms of reference**

4.9.1 The terms of reference will be reviewed annually by the Finance Committee and recommended to the Trust Board for their approval.

## **5.0 Powers and duties delegated to the Remuneration Committee**

### **5.1 Authority**

5.1.1 The Committee reports to the Trust Board and makes decisions on Trust-wide decisions on staff pay. The remuneration committee is authorised to obtain independent professional advice and benchmarking if it considers this necessary.

### **5.2 Membership and quoracy**

5.2.1 The Committee shall be appointed by the Chair of the Trust Board from the Directors and Members of the Multi-Academy Trust. No member of the Audit and Risk Committee shall be a member of the Remuneration Committee. The normal term of office will be four years. The Committee shall comprise of three members with a quorum being two members. Decisions to be made at meetings of the Committee shall be determined by a majority of the votes of members present and voting. Where there is an equal division of votes, the Chair shall have a second or casting vote.

### **5.3 Chairing**

5.3.1 The Remuneration Committee shall be chaired by the Chair of the Trust Board or his / her nominee.

### **5.4 Attendance**

5.4.1 The CEO will be an attendee, having prepared recommendations to the Committee and making available national benchmarking information.

### **5.5 Key purpose**

5.5.1 The purpose of the Remuneration Committee is to set rates of senior staff pay; to make any discretionary PRP awards if targets are met; to approve any annual bonus to staff if one can be afforded; and to set the annual inflation increase for all staff.

### **5.6 Functions and duties**

5.6.1 The Remuneration Committee shall be responsible for:

- setting rates of senior staff pay
- making any discretionary PRP awards if targets are met
- approving any discretionary annual bonus to staff budget permitting
- setting the annual inflation increase for all staff

### **5.7 Frequency of meetings**

5.7.1 The Remuneration Committee will meet not less than once per year.

### **5.8 Decisions**

5.8.1 The Remuneration Committee will confirm its decisions in writing to the CEO, who will then authorise the Head of Finance to action them.

### **5.9 Review of terms of reference**

5.9.1 The terms of reference will be reviewed annually by the Remuneration Committee and recommended to the Trust Board for their approval.

## **6.0 Powers and duties delegated to the Local Governing Body**

### **6.1 General provisions**

6.1.1 A meeting of the Local Governing Body at which a quorum (50% of those entitled to attend and vote) is present may exercise all the powers so delegated.

6.1.2 In the exercise of its powers and functions, the Local Governing Body may consider any advice given by the Principal and any other executive officer as well as the Directors.

## **6.2 Ethos and values**

6.2.1 Whilst the Local Governing Body shall be responsible for ensuring that the academy is conducted in accordance with its ethos and values, the determination of the Trust's overarching ethos and mission statement shall be the responsibility of the Directors.

6.2.2 At all times, the Directors and the Local Governing Body shall ensure that the academy is conducted in accordance with the object of the Trust, the terms of the trust governing the use of the land which is used for the purposes of the academy and any agreement entered into with the Secretary of State for the funding of the academy.

## **6.3 Finance**

6.3.1 The accounts of the Trust shall be the responsibility of the Directors but the Finance Department shall provide accurate and timely information about the finances of the Academy to the LGB at their meetings, and the LGB has both a right and a duty to scrutinise the accounts of its academies.

6.3.2 The Local Governing Body shall follow the advice of the Head of Finance, who shall ensure that proper procedures are put in place for the safeguarding of funds and that the requirements of the Academies Trust Handbook are observed at all times as well as any requirements and recommendations of the Directors and the Secretary of State.

6.3.3 The Local Governing Body shall have the responsibility for the allocation of ring-fenced funding such as Pupil Premium, Sports Premium and Catch-Up Premium, and for holding the Principal to account for their impact on students' learning.

6.3.4 The Local Governing Body shall inform the Directors of any need for significant unplanned expenditure and will discuss with the Directors, and others as the Directors shall require, options for identifying available funding.

6.3.5 The Local Governing Body shall formally review the annual academy budget for approval by the Trust Board.

6.3.6 Authorising permanent changes to the academy's staffing structure within an agreed budget.

6.3.7 Maintenance of a Register of Business Interests for all governors and those academy staff with financial responsibilities.

## **6.4 Premises**

6.4.1 The maintenance of the buildings and facilities used in respect of the academy is the responsibility of the Local Governing Body, who shall have regard at all times to the safety of the users of the buildings and the facilities and the legal responsibilities of the Directors (and / or any others) as owners of such buildings and facilities.

6.4.2 The Executive and the Trust Estates Manager will be responsible for developing a ten-year estate management strategy that will identify the suitability of building and facilities in light of long term curriculum needs and the need for and availability of capital investment to meet the Local Governing Body's responsibility to ensure the buildings and facilities are maintained to a good standard.

6.4.3 The responsibility for any disposals or acquisitions of land to be used by the Trust will be that of the Directors.

## **6.5 Resources**

### **6.5.1 Principal**

The Directors shall appoint the Principal, in consultation with the Local Governing Bodies. The Directors and the Local Governing Body may delegate such powers and functions as they consider are required by the Principal for the internal organisation, management and control of the academy (including the implementation of all policies approved by the Directors and the Local Governing Body and for the direction of the teaching and curriculum at the academy).

### **6.5.2 Other staff**

6.5.2.1 The Local Governing Body shall be responsible for the appointment and management of all other staff to be employed at the academy provided that the Local Governing Body shall:

- comply with all policies dealing with staff issued by the Directors from time to time
- take account of any pay terms set by the Directors
- adopt any standard contracts or terms and conditions for the employment of staff issued by the Directors
- manage any claims and disputes with staff members having regard to any advice and recommendations given by the Directors

6.5.2.2 The Local Governing Body shall carry out the performance management of all senior staff (involving the CEO or EP in the appraisal of the Principal) and shall put in place procedures for the proper appraisal of all staff, as well as their pay progression, following decisions made by the Remuneration Committee.

## **6.6 Curriculum and standards**

6.6.1 The Local Governing Body shall be responsible for the setting and review of the curriculum but shall have regard to any views of the Directors in recognition of the mission of the Trust as well as the Directors' obligation to the Secretary of State to provide a broad and balanced curriculum.





6.6.2 The Local Governing Body shall be responsible for the standards achieved by the academy and the students attending the academy but shall follow such advice and recommendations of the Directors as they might issue from time to time.

#### **6.7 Regularity Matters**

6.7.1 The responsibility for the satisfaction and observance of all regulatory and legal matters shall be the Directors but the Local Governing Body shall do all such things as the Directors may specify as being necessary to ensure that the Trust is meeting its legal obligations.

#### **6.8 Operational matters**

6.8.1 The Local Governing Body will adopt and will comply with all policies of the Directors communicated to the Local Governing Body from time to time.

6.8.2 Both the Directors and all members of the Local Governing Body have a duty to act independently and not as agents of those who may have appointed them and will act with integrity, objectivity and honesty in the best interests of the Trust and the academy and shall be open about decisions and be prepared to justify those decisions except in so far as any matter may be considered confidential.

6.8.3 The Local Governing Body will review its local policies and practices on a regular basis, having regard to recommendations made by the Directors from time to time, in order to ensure that the governance of the academy is best able to adapt to the changing political and legal environment.

6.8.4 The Local Governing Body shall provide such data and information regarding the business of the academy and the students attending the academy as the Directors may require from time to time.

6.8.5 The Local Governing Body shall work closely with and shall promptly implement any advice or recommendations made by the Directors in the event that intervention is either threatened or is carried out by the Secretary of State and the Directors expressly reserve the unfettered right to review or remove any power or responsibility conferred on the Local Governing Body under this Scheme of Delegation in such circumstances.

6.8.6 The Local Governing Body shall be responsible for the annual review of the academy's admissions policy before recommending its approval by the Trust Board.

6.8.7 Any decision to expand the academy shall be that of the Directors, who shall have regard to the views of the Local Governing Body.

#### **6.9 Annual review**

6.9.1 This Scheme of Delegation shall operate from the effective date in respect of any named academy. Where applicable, it will be based on the framework Scheme of Delegation that will have been put in place on the incorporation of the Trust and will have been attached to Trust's first Articles of Association.

6.9.2 The Directors will have the absolute discretion to review this Scheme of Delegation at least on an annual basis and to alter any provisions of it.

6.9.3 In considering any material changes to this Scheme of Delegation or any framework on which it is based, the Directors will have regard to and give due consideration of any views of the Local Governing Body.

#### **6.10 Meetings**

6.10.1 The Local Governing body will meet not less than four times per year. The Chair of The Trust Board shall have the right to attend any meeting of the Local Governing Body.

6.10.2 Local Governors who fail to attend two meetings per year, without providing apologies, may be removed from office.

### **7.0 Powers and duties delegated to the CEO / Deputy CEO**

The CEO (or Deputy in the absence of the CEO) shall be responsible for:

- fulfilling the role of Accounting Officer of the Trust
- authorising financial transactions in line with the arrangements laid out in Section 11
- approving all senior staff salary amendments

### **8.0 Powers and duties delegated to the COFO**

The COFO shall be responsible for:

- authorising financial transactions in line with the arrangements laid out in Section 11

### **9.0 Powers and duties delegated to the Head of Finance**

The Head of Finance shall be responsible for:

- preparing, after discussion with the CEO and Executive Team, an annual draft budget plan for consideration by the Finance Committee and Trust Board before the start of the relevant financial year
- monthly monitoring of expenditure and income against the approved budget and submitting reports on the academy's financial position to every meeting of the Finance Committee. Any actual or potential material overspending shall be reported to the Finance Committee



- authorising financial transactions in line with the arrangements laid out in section 11
- operating financial controls in line with the Academies Trust handbook and other regulations
- ensuring the appropriate segregation of duties between staff responsible for processing orders, receiving deliveries and processing payments
- notifying the Finance Committee on any eventuality that could affect the Trust's insurance arrangements
- maintaining a permanent and continuous register of all items of furniture, equipment, vehicles and plant in the Trust
- insuring all of the assets used by the Trust will be the responsibility of the Head of Finance
- maintaining the standards of control for such systems in operation within the trust to include the use of properly licensed software, and for the security and privacy of data in accordance with the UK Data Protection Act and the EU General Data Protection Regulation

## 10.0 Powers and duties delegated to the Principal

The Principals have delegated powers and functions in respect of internal organisation, management and control of their academy, the implementation of all policies approved by the Trust Board and for the direction of teaching and the curriculum.

The Principal shall be responsible for:

- reviewing income and expenditure reports with the Finance Department, highlighting actual or potential overspending
- authorising financial transactions in line with the arrangements laid out in section 11
- ensuring the arrangements for collection of income, ordering of goods and services, payments and security of assets are in accordance with the Financial Policy and Procedures
- ensuring that all contracts and agreements conform to the Financial Policy and Procedures
- approving new staff appointments within the authorised establishment
- certifying the payment of salaries each month, in conjunction with the Head of Finance
- ensuring that proper security is maintained at all times for all buildings, furniture, equipment, vehicles, stocks, stores, cash, information and records etc under his / her control
- the operation of financial processes within the academy, ensuring that adequate operational controls are in place and that the principles of internal control are maintained
- ensuring that full, accurate and up to date records are maintained in order to provide financial and statistical information
- ensuring that all records and documents are available for audit by the appointed external auditors and Audit and Risk Committee

## 11.0 Powers and duties delegated to other staff

Members of staff with delegated responsibilities should be aware that these must be exercised in accordance with Financial Policy and Procedures.

The following responsibilities are delegated to other staff in addition to the Principal, COFO and Head of Finance:

- budget holders are responsible for checking and certifying monthly statements of expenditure against their delegated budget and for reporting any errors or irregularities to the Head of Finance. Any actual or potential overspending shall also be reported to the Head of Finance / COFO
- departmental budget holders can authorise orders up to £1,000 provided it is within the scope and remaining balance of their delegated budget
- the following members of staff, in addition to the Principal and Head of Finance, are authorised to open tenders in the presence of another authorised person:
  - CEO / COFO
  - Executive Principal
  - Operations Manager / Functional Lead
- the following members of staff are authorised to receive and check goods:
  - budget holders
  - administrators nominated by the budget holder
- Budget holders can authorise time records and authorise overtime within their delegated budget



## 11.0 Summary of financial authorisation levels

Delegated Duty	Value	Delegated Authority Budgeted Spend	Delegated Authority Unbudgeted Spend	Method
<b>Ordering goods and services (raising requisitions)</b>  <b>Signatories for cheques, BACS payment authorisations and other bank transfers</b>	Up to £999	Budget holder	Budget holder	Minimum of three quotes  Over £50k requires a formal tendering process including advertising in FTS (if over FTS threshold)
	£1,000 to £4,999	As above plus Operations Manager / Functional Lead	As above plus Operations Manager / Functional Lead	
	£5,000 to £14,999	As above plus either Principal or Senior Financial Controller	As above plus either Principal or Senior Financial Controller	
	£15,000 to £24,999	As above plus Executive Principal or Head of Finance	As above plus Executive Principal or Head of Finance	
	£25,000 to £99,999	As above plus COFO	Finance Committee	
	Over £100,000	As above plus CEO	Trust Board	
	Over £250,000	Finance Committee		
Authority to accept other than lowest quotation or tender	Approval from the delegated authority at the next level up			
<b>Signatories for DFE grant claims and DFE returns</b>	Any	Two signatories (or as required by DFE) from: - Executive Principal - Head of Finance - CEO / COFO		
<b>Disposal of assets (Excluding land and buildings: DfE approval needed)</b>	Up to £999	Operations Manager / Functional Lead		
	£1,000 to £9,999	Principal / Head of Finance		
	£10,000 plus	As above plus the CEO/ COFO		
<b>Write-off of bad debts</b>	Up to £10,000	Head of Finance and Executive Principal		
	£10,000 to £45,000	As above plus CEO / COFO		
	Over £45,000	As above plus DFE approval		
<b>Purchase or sale of any freehold property</b>	Any	DFE approval required		
<b>Granting / take up of any leasehold or tenancy agreement exceeding 3 years</b>	Any	DFE approval required		
<b>Raising invoices to collect income</b>	Up to £50,000	Operations Manager / Functional Lead		
	£50,001 to £100,000	As above plus Principal / Head of Finance		
	Over £100,000	As above plus CEO / COFO		
<b>Payroll</b>	BACs Run	Financial Controller or Head of Finance		Operations Manager / FL and Principal review and approve
	Honoraria £0 - £1500	Functional Lead or Principal		
	Honoraria over £1500	As above plus CEO		
	£5,000 and over	As above plus Trust Board		
	£50,000 and over	As above plus ESFA		



## 12.0 Model of Governance

### Academy Principal (Delivers on academy performance and operations)

### LGB

(Monitors and challenges academies)

### Executive and Operations

(Approves key items and supports academies)

### Trust Board

(Ultimately accountable and approves all statutory policies and finance)

	<ul style="list-style-type: none"> <li>Develops and implements academy strategy, culture and ethos in line with overall Trust mission.</li> <li>Develops and then proposes academy priorities and academy improvement plan (AIP), including suggesting targets.</li> <li>Initiates academy expansion strategy.</li> <li>Delivers as per AIP and targets.</li> <li>Develops and proposes curriculum model.</li> <li>Leads assessment processes.</li> <li>Improves teaching quality through performance management, CPD, etc.</li> <li>Commissions Trust AIP support.</li> </ul>	<ul style="list-style-type: none"> <li>Supports and challenges and then agrees the development of the AIP, SEF and academy expansion strategy.</li> <li>Supports the Principal to develop and implement local academy culture and ethos.</li> <li>Supports and challenges, and then agrees, the academy curriculum model.</li> <li>Monitors academy performance against AIP and targets by reviewing and challenging Principal updates and data analysis. LGB will also receive Trust Review reports and KPIs.</li> </ul>	<ul style="list-style-type: none"> <li>Approves: <ul style="list-style-type: none"> <li>academy culture and ethos</li> <li>academy targets</li> <li>AIP and academy priorities</li> <li>curriculum model and behaviour policy</li> </ul> </li> <li>Develops and approves academy expansion strategy - can also initiate academy expansion strategy.</li> <li>Deploys support to academies, including: implementing AIP; improving teaching quality; managing assessment processes; analysing academy data.</li> <li>Monitors academy performance.</li> </ul>	<ul style="list-style-type: none"> <li>Ensures clarity of vision and ethos, and sets the strategic direction of the Trust.</li> <li>holds Executive to account on academy improvement and all operational areas</li> </ul>
<p><b>Principal recruitment, appraisal</b></p>		<ul style="list-style-type: none"> <li>LGB Chair or rep: <ul style="list-style-type: none"> <li>engages in Principal recruitment – veto right</li> <li>engages in appraisals with Executive Principal or CEO</li> <li>engages in Principal Performance Related Pay through appraisal</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Conducts Principal recruitment: <ul style="list-style-type: none"> <li>conducts appraisals with engagement from LGB Chair</li> <li>makes pay recommendations to the remuneration committee</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Remuneration committee approves salary and PRP.</li> </ul>
<p><b>Finance and procurement</b></p>	<ul style="list-style-type: none"> <li>Delivers budget and financial targets.</li> <li>Works with finance dept. to prepare and propose budget and 3-year forecasting.</li> <li>Works with Finance Dept. on preparation of monthly and end-of-year academy finance documents.</li> <li>Finds and implements local academy procurement opportunities.</li> <li>Manages delivery of IT contract locally.</li> <li>Provides feedback to Executive on performance of central services.</li> </ul>	<ul style="list-style-type: none"> <li>Supports and challenges on the development of the budget.</li> <li>Receives timely and accurate financial information.</li> <li>Accountable for Pupil Premium, Catch-Up, Sports Premium and SEND expenditure.</li> <li>Monitors and challenges academy finances, particularly against budget and the use of resources vs. education plans.</li> <li>Monitors and challenges locally-led procurement.</li> </ul>	<ul style="list-style-type: none"> <li>Sets financial policies.</li> <li>Recommends to Trust Board: <ul style="list-style-type: none"> <li>academy budgets and forecasts</li> <li>use of reserves and endowments</li> <li>central recharge</li> </ul> </li> <li>Recommends academy finance targets to finance committee of Trust Board.</li> <li>Supports Principals with academy finances.</li> <li>Responsible for all MAT finances.</li> <li>Finds, implements and manages Trust-wide procurement opportunities.</li> </ul>	<ul style="list-style-type: none"> <li>Accountable for ensuring financial compliance and sustainability.</li> <li>Appoints Finance and the Audit and Risk Committees.</li> <li>Approves use of reserves and inter-academy loan process</li> <li>Approves: <ul style="list-style-type: none"> <li>Trust budget and central recharge</li> <li>financial targets for academies</li> <li>use of capital endowments</li> <li>running academy deficit</li> <li>financial statements</li> </ul> </li> </ul>

## Trust Board

## Executive and Operations

## LGB

## Academy Principal

	<ul style="list-style-type: none"> <li>Ensures HR policies and processes are implemented in line with policy, including: performance appraisals and pay reviews, ER (unless against a Principal), local academy recruitment (unless for Principal or new Dixons academy, then Executive conducts).</li> <li>Develops and presents staff restructure proposals.</li> <li>Liaises with local level unions.</li> <li>Develops and retains great staff in academies.</li> <li>Has the power to dismiss, in line with Trust policies and having consulted the Executive.</li> </ul>	<ul style="list-style-type: none"> <li>Scrutinises significant staff restructures.</li> <li>Monitors implementation of key HR policies, esp. pay and performance.</li> <li>Responsible for additional HR activities including: <ul style="list-style-type: none"> <li>Chair leads on complaints against Principal, guided by Executive</li> <li>supplies representation for hearings and tribunals</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Sets HR and recruitment policies.</li> <li>Approves significant staff restructures.</li> <li>Conducts recruitment of a Principal for a new Dixons academy.</li> <li>Supports academies with ongoing HR guidance.</li> <li>Responsible for additional HR activities including: <ul style="list-style-type: none"> <li>supplying representation for hearings</li> <li>conducting Staff Consultative Committee as required</li> <li>liaising with national level unions when required</li> </ul> </li> <li>Recruits Trust operational staff.</li> <li>Recommends Trust pay scales.</li> </ul>	<ul style="list-style-type: none"> <li>Accountable for all HR compliance.</li> <li>Approves all statutory policies.</li> <li>Approves recruitment of a Principal or for a new Dixons Academy.</li> <li>Conducts recruitment of a CEO and the Executive; approved by Members.</li> <li>Chair leads on complaints against CEO (guided by independent advice).</li> <li>Remuneration Committee: <ul style="list-style-type: none"> <li>sets pay policy</li> <li>makes decisions on senior salaries, ranges and PRP</li> </ul> </li> </ul>
<p><b>Safeguarding, H&amp;S and other compliance</b></p>	<ul style="list-style-type: none"> <li>Ensures compliance with statutory obligations and mandatory Trust policies, including H&amp;S, safeguarding, SEND, admissions and exclusions.</li> <li>Provides information for FOI requests</li> <li>Responds to all academy level complaints.</li> </ul>	<ul style="list-style-type: none"> <li>Monitors academy implementation of statutory compliance and risk management.</li> <li>Leads on non-safeguarding complaints against Principal.</li> <li>Appoints link governor for safeguarding and SEND (mandatory).</li> </ul>	<ul style="list-style-type: none"> <li>Drafts statutory and Trust policies.</li> <li>Leads on safeguarding issues against the Principal.</li> <li>Supports academies as needed, e.g. admissions, safeguarding, H&amp;S, etc.</li> <li>Responsible for additional activities, including: <ul style="list-style-type: none"> <li>lead admissions appeals</li> <li>coordinates response to FOI requests</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Accountable for all compliance.</li> <li>Approve all statutory policies.</li> </ul>
<p><b>Comms and community</b></p>	<ul style="list-style-type: none"> <li>Delivers on academy communications strategy and academy visual identity.</li> <li>Manages parent, community, local stakeholder and academy media engagement.</li> <li>Leads on LA communications.</li> <li>Refers any reputational risk to the CEO.</li> </ul>	<ul style="list-style-type: none"> <li>Supports family communications and community engagement.</li> </ul>	<ul style="list-style-type: none"> <li>Develops comms toolkit and guidance.</li> <li>Manages crisis communications and reputational risk.</li> <li>Supports Principals with LAs and families as needed.</li> <li>Leads on marketing for the Trust and academies and develops brand guidelines.</li> </ul>	<ul style="list-style-type: none"> <li>Approves any changes to the overall Dixons Academies brand.</li> </ul>
<p><b>Capital projects</b></p>	<ul style="list-style-type: none"> <li>Leads proposal development for significant building projects and refurbishments.</li> <li>Leads on project delivery with engagement from Executive and LGB especially on procurement and CDM compliance.</li> </ul>	<ul style="list-style-type: none"> <li>Supports and challenges the development of academy building / refurbishment proposals.</li> <li>Monitors academy building projects.</li> </ul>	<ul style="list-style-type: none"> <li>Approves significant building projects and smaller refurbishments if over £25K or if academy is in deficit.</li> <li>Supports significant building project delivery.</li> <li>Engages in project delivery for procurement if subject to OJEC procurement law and CDM.</li> </ul>	<ul style="list-style-type: none"> <li>Accountable for all compliance with building projects.</li> <li>Engages in procurement process for significant projects.</li> <li>Grants initial approval of all building projects.</li> </ul>



## Compliance delegations

	Academy Principal	LGB	Executive and operations	Trust Board
<b>Health and Safety</b>	<ul style="list-style-type: none"> <li>Responsible for local implementation of policies, including development of academy procedures and internal reporting on statutory requirements.</li> <li>Tailors Trust policy to their academy.</li> <li>Appoints Designated Senior Lead (DSL).</li> <li>Manages all safeguarding complaints (exc. against Principal) with Executive engagement.</li> <li>Responsible for referrals for children at risk, outside academy environment.</li> </ul>	<ul style="list-style-type: none"> <li>Monitors academy compliance with H&amp;S policies and statutory obligations as well as challenging academies to ensure best practice is followed.</li> <li>Signs off academy safeguarding policy.</li> <li>Monitors implementation of safeguarding through reports from DSP on the measures being taken to ensure compliance.</li> <li>Ensures the list of aspects to monitor is in the safeguarding policy.</li> </ul>	<ul style="list-style-type: none"> <li>Drafts Trust H&amp;S policies.</li> <li>Monitors academy H&amp;S by arranging inspections / audits.</li> <li>Supports implementation, as needed.</li> <li>Drafts Trust safeguarding policy.</li> <li>Responsible for dealing with any complaint against Principal.</li> <li>Consulted in responding to any complaint against a staff member.</li> <li>Supports academies to assess the need for referrals for children at risk.</li> </ul>	<ul style="list-style-type: none"> <li>Accountable for ensuring a safe and healthy environment for staff, students and other persons on Trust premises.</li> <li>Approves H&amp;S policy.</li> <li>Accountable for all legal responsibilities.</li> <li>Approves Trust safeguarding policy.</li> </ul>
<b>Safeguarding</b>	<ul style="list-style-type: none"> <li>Sets academy specific SEND policy.</li> <li>Appoints qualified SENCo.</li> <li>Responsible for implementation in line with all relevant statutory requirements.</li> </ul>	<ul style="list-style-type: none"> <li>Monitors and challenges implementation of SEND policy and performance of SEND students.</li> </ul>	<ul style="list-style-type: none"> <li>Drafts Trust SEND policy.</li> <li>Engaged on academy SEND policy.</li> <li>Supports academies and monitors implementation.</li> </ul>	<ul style="list-style-type: none"> <li>Accountable for all legal responsibilities.</li> <li>Approves SEND policy.</li> </ul>
<b>Equalities</b>	<ul style="list-style-type: none"> <li>Responsible for ensuring compliance with all aspects of equalities legislation.</li> </ul>	<ul style="list-style-type: none"> <li>Monitors the performance of sub-groups.</li> </ul>	<ul style="list-style-type: none"> <li>Scrutinises Stage 2 complaints and protected characteristics.</li> </ul>	<ul style="list-style-type: none"> <li>Sets employee equalities objectives.</li> </ul>
<b>Admissions</b>	<ul style="list-style-type: none"> <li>Participates and negotiates with LA over local fair access / in-year placements protocols – and then implements.</li> </ul>	<ul style="list-style-type: none"> <li>Recommends Academy Admissions Policy.</li> <li>Kept informed of major aspects such as policy and appeals.</li> <li>Monitors fair access in line with guiding principles.</li> </ul>	<ul style="list-style-type: none"> <li>Drafts mandatory admissions policy and responsible for its implementation.</li> <li>Manages admissions appeals.</li> <li>Sets guiding principles for fair access / in year protocols; provides expertise.</li> </ul>	<ul style="list-style-type: none"> <li>Accountable for all legal responsibilities.</li> <li>Approves academy admissions policies.</li> </ul>
<b>Exclusions</b>	<ul style="list-style-type: none"> <li>Responsible for issuing an exclusion, informing all relevant parties and managing any appeal processes.</li> </ul>	<ul style="list-style-type: none"> <li>Informed of every permanent exclusion and monitors FTE frequency and trends.</li> <li>Makes final decision if governors' panel needed.</li> </ul>	<ul style="list-style-type: none"> <li>Drafts mandatory exclusions policy.</li> <li>Provides expert supports to help manage exclusions appeals (esp. for independent review panel).</li> </ul>	<ul style="list-style-type: none"> <li>Accountable for all legal responsibilities.</li> <li>Approves exclusions policy.</li> </ul>
<b>FOI requests</b>	<ul style="list-style-type: none"> <li>Provides information needed to respond to FOI requests.</li> </ul>	<ul style="list-style-type: none"> <li>Engaged as needed to respond accurately to requests.</li> </ul>	<ul style="list-style-type: none"> <li>Responds to all FOI requests.</li> </ul>	<ul style="list-style-type: none"> <li>Accountable for ensuring Trust fulfils FOI / data protection statutory obligations.</li> </ul>
<b>Finance</b>	<ul style="list-style-type: none"> <li>Accountable for financial probity and best value in academy expenditure.</li> </ul>	<ul style="list-style-type: none"> <li>Registers and publishes all pecuniary and business interests.</li> </ul>	<ul style="list-style-type: none"> <li>Responsible for Trust-wide financial regularity, propriety and compliance.</li> <li>Prepares EFA returns and Annual Report.</li> </ul>	<ul style="list-style-type: none"> <li>Accountable for Trust-wide financial regularity, propriety and compliance.</li> <li>Responsible for Scheme of Delegation.</li> <li>Acts on the advice of its Finance and the Audit and Risk Committees.</li> </ul>



## Governor and staffing delegations

	Members	Trust Board	Executive	Principal	LGB
Agree and review Articles of Association	A	R			
Appoint / remove Members	A				
Appoint / remove Trustees and Directors	A	R			
Appoint / remove LGB Chair		A	R	C	
Appoint / remove LGB members		A	C		R
Appoint / remove Clerks		A	R		
Role descriptors for Trustees / Committees / Chairs / LGBs		A	C		
Appoint / remove CEO/Deputy CEO		A			
Appoint / remove COFO		A	R		
Appoint / remove Executive Principal		A	R		
Appoint / remove Principal		A	R		C
Appoint / remove SLT			A	R	C
Appoint / remove Staff			C	A	
Annual pay policy		A	R		
Annual Bonuses		A	R		
CEO appraisal and pay award		A			
COFO appraisal and pay award		A	R		
Executive Principal appraisal and pay award		A	R		
Principal and VP pay appraisal and pay award		A	R		
SLT pay appraisal and pay award			C	R	✓
Staff pay appraisal and pay award				R	✓

Key: Approve Recommend Consulted

A	R	C
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