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# The Southfield Trust Scheme of Delegations 2017

## POLICY REGARDING THE DELEGATION OF THE SOUTHFIELD TRUST FINANCIAL POWERS AND DUTIES

### INTRODUCTION

As Trustees of The South Downs and Lindfield Special Schools with responsibility for managing a delegated budget. Many of the Trust's responsibilities will be delegated to a committee of Trustees and to the Executive Head Teacher. To ensure that sound financial control is maintained, this policy statement clearly specifies the extent of delegation and responsibility at this Trust.

In accordance with the principles of financial control outlined in the Academies Financial Handbook. The meeting of the Trustees which adopted this Scheme of Delegation did have a quorum of the membership of the Southfield Trust when completed.

The Scheme of Delegation must be operated in conjunction with the Scheme for Financing Schools, Financial Regulations and Standard Financial Procedures and Contract Standing Orders for schools. We require our own written local internal financial rules to support the Scheme, our policy and to detail operational procedures.

The purpose of this Scheme of Delegation is to ensure that the academy maintains and develops systems of financial control, which conform with the requirements both of propriety and of good financial management. It is essential that these systems operate properly to meet the requirements of our funding agreement with the Secretary of State for Education, through the Education Funding Agency (EFA).

<b>ACADEMY TRUST: SCHEME OF RESERVATION AND DELEGATED AUTHORITY</b>				
<b>Subject</b>	<b>Reserved to the Board</b>	<b>Delegated to Chair and/or Vice Chair</b>	<b>Delegated to Committees</b>	<b>Delegated to Chief Executive Officer</b>
<b>Governance</b>	Review & approval of governance arrangements including: <ul style="list-style-type: none"> <li>• The schedule of TRUST Board meetings, &amp; format of agendas;</li> <li>• Approval of minutes;</li> <li>• TRUST Committee structures and terms of reference including those of the Local Governing Body (LGB);</li> <li>• Levels of delegated authority including limits of financial authority;</li> <li>• Policy on Trustee induction &amp; appraisal, &amp; TRUST Board review &amp; development;</li> <li>• Trustee Code of Conduct &amp; Conflict of Interest Policy.</li> </ul>	Approval of TRUST Board agendas & draft minutes for circulation to the TRUST Board.  Final decision on interpretation of any aspects of the operation of the TRUST Board or its Committees.	<b>Local Governing Bodies (LGBs):</b>  Review and approval of: <ul style="list-style-type: none"> <li>• LGB Sub Committees &amp; their terms of reference;</li> <li>• The cycle of LGB meetings.</li> </ul>	Contribution to review & development of the LGBs.  Planning/organisation of LGB meetings, preparation of agendas, papers & minutes in liaison with the Chairs of the LGBs.  Contribution to review & development of the Trust's governance arrangements including liaison with the Trust's legal advisers.  Planning/organisation of TRUST Board meetings, preparation of agendas, papers & minutes in liaison with the Chair.  Ensuring the effective servicing and support of Committees.  Developing a management scheme of reservation and delegation and ensuring its effective implementation.
	Appointment of: <ul style="list-style-type: none"> <li>• Trustees;</li> </ul>	Recommendation to the TRUST Board re: Committee Chairs & Members (incl.	<b>Governance Committee:</b>  Review of TRUST Board	Advising: <ul style="list-style-type: none"> <li>• The LGB Chairs in making recommendations re its</li> </ul>

	<ul style="list-style-type: none"> <li>the Chair of Trustees;</li> <li>Committee Chairs &amp; Members</li> </ul> <p>TRUST Board reserves the right to determine the composition of the LGB but will normally ordinarily exercise the right to appoint 2 trustees as Chairs and Vice Chairs of the LGBs</p>	<p>Chair &amp; Vice Chair of the LGB).</p>	<p>skills requirements and recruitment of new Trustees, with recommendations to the TRUST Board.</p> <p><b>Local Governing Bodies:</b></p> <p>Appointment of Governors beyond the Chair and vice chair &amp; chairs and members of LGB Sub Committees.</p> <p>Making appropriate arrangements for the election of parents and staff to the LGB.</p>	<p>membership</p> <ul style="list-style-type: none"> <li>The LGB Chairs in making recommendations re LGB Committee Chairs and membership</li> </ul> <p>Reviewing and making recommendations re supporting:</p> <ul style="list-style-type: none"> <li>Governance Committee in making recommendations re TRUST Board membership its Committee Chairs &amp; members (incl. Chair &amp; Vice Chair to the LGBs).</li> </ul>
<p><b>Strategy &amp; Planning</b></p>	<p>Approval of the Trust's:</p> <ul style="list-style-type: none"> <li>Vision, mission &amp; values;</li> <li>Strategic direction;</li> <li>Strategic and annual operating plans &amp; budgets.</li> </ul> <p>Approval of the Schools' Development Plans, Post</p>		<p><b>Local Governing Bodies:</b></p> <p>Detailed scrutiny of the School Development Plans, Post Inspection Action Plans &amp;/or School Improvement Plans &amp; advice to the TRUST Board.</p>	<p>Supporting the TRUST Board in developing/setting the Trust's overall strategy including:</p> <ul style="list-style-type: none"> <li>Early consultation with the TRUST Board;</li> <li>Drafting propositions for Committee/TRUST Board review;</li> <li>Development of strategic &amp; operating plans &amp; budgets for review by Committees/approval by the TRUST Board.</li> </ul>

	<p>Inspection Action Plans &amp;/or School Improvement Plans.</p> <p>Detailed scrutiny &amp; challenge of the business aspects of the Trust's strategic &amp; annual plans &amp; budgets.</p>			<p>Ensuring the School Development Plans aligns with the Trust's strategy</p> <p>Supporting the Trust's growth strategy through presenting recommendation and competing appropriate bid processes etc.</p>
<p><b>Education Policy</b></p> <p>(Relating to Education, Communication, and other initiatives)</p>	<p>Approval of the Trust's:</p> <ul style="list-style-type: none"> <li>• Education policy;</li> <li>• Communications &amp; systems for ensuring effective stakeholder engagement;</li> <li>• Quality Assurance framework.</li> </ul> <p>Monitoring of policy implementation &amp; decision making on action required.</p> <ul style="list-style-type: none"> <li>• Health &amp; Safety;</li> <li>• School term dates/holidays;</li> </ul>		<p><b>Local Governing Bodies:</b></p> <p>Delegated authority in relation to:</p> <ul style="list-style-type: none"> <li>• the conduct of the Schools;</li> <li>• promoting high standards of educational achievement in line with the overall strategic direction of the Trust;</li> <li>• ensuring that the curriculum for the Schools is appropriate, balanced, broadly based and operates</li> </ul>	<p>Advising on and supporting the development and implementation of the Trust's:</p> <ul style="list-style-type: none"> <li>• Education policy;</li> <li>• Communication processes, including systems for ensuring effective stakeholder engagement;</li> </ul> <p>Ensuring the effective management of the schools and other initiatives in line with policy/quality standards (including ensuring provision of information, advice and support on national education policy to the Local Governing Bodies).</p> <p>Advising on and supporting the development and implementation of a Quality Assurance framework for TRUST Board approval.</p>

			<p>within the context of the school's statement of values and ethos as agreed by the Trust;</p> <ul style="list-style-type: none"> <li>• the admission arrangements to the Trust</li> </ul> <p>Approval of school policies relating to:</p> <ul style="list-style-type: none"> <li>• Curriculum;</li> <li>• Sex Education;</li> <li>• Religious education &amp; collective worship;</li> <li>• Public examinations;</li> <li>• Admissions;</li> <li>• Safeguarding &amp; promotion of pupils' health &amp; welfare;</li> <li>• Behaviour &amp; Discipline;</li> <li>• Pupil records &amp; reports;</li> <li>• Other requirements as set out in the Trust's Articles or by regulation/legislation.</li> </ul>	
<b>Performance Management</b>	Approval of the Trust's performance management & reporting framework including key performance indicators.		<p><b>Local Governing Bodies:</b> Detailed scrutiny of performance against the School Development Plans, Post Inspection Action Plans</p>	<p>Development and operation of the schools' performance management &amp; reporting frameworks for approval by the LGBs.</p> <p>Implementing the Trust's complaints policy at school</p>

	<p>Monitoring of performance in implementing the strategy and managing the Trust, &amp; decision-making on action required.</p> <p>Approval of the Trust's Complaints Policy &amp; decision making on appeals in line with the policy.</p> <p>Detailed scrutiny of the Trust's:</p> <ul style="list-style-type: none"> <li>• performance management &amp; reporting framework</li> <li>• business performance against plans &amp; budgets;</li> </ul> <p>Monitoring of complaints in line with the Complaints Policy.</p>		<p>&amp;/or School Improvement Plans, &amp; decision making re action required.</p> <p>Oversight of complaints about the schools in line with the Complaints Policy.</p>	<p>level.</p> <p>Supporting and facilitating the FRC's responsibilities for overseeing:</p> <ul style="list-style-type: none"> <li>• performance management &amp; reporting framework ;</li> <li>• business performance against plans &amp; budgets;</li> </ul> <p>Formulating and making recommendations to the Trust Board.</p> <p>Development of the Trust's complaints policy for approval.</p> <p>Management &amp; reporting of complaints in line with the policy.</p> <p>Delivery of the strategy and operational management of the Trust &amp; reporting on progress.</p>
<p><b>Finance and Investments</b></p>	<p>Approval of Financial Regulations/Standing Orders.</p> <p>Approval of:</p> <ul style="list-style-type: none"> <li>• Opening/closing of bank accounts &amp;</li> </ul>			<p>Management, oversight and reporting of day to day expenditure within school budgets.</p> <p>Development of the Trust's Financial Regulations/Standing Orders for review/approval.</p> <p>Management of the Trust's finances in accordance with</p>

	<p>cheque signatories;</p> <ul style="list-style-type: none"> <li>• All loan agreements (including overdraft facilities, mortgages or other collateral or security);</li> <li>• Within budget revenue expenditures &gt; £50K.</li> <li>• All unbudgeted revenue expenditures &gt;£30K;</li> <li>• Covenants on prospective restricted donations<sup>1</sup></li> </ul> <p>Detailed scrutiny of re:</p> <ul style="list-style-type: none"> <li>• Financial Regulations/Standing Orders; All financial decisions reserved to the TRUST Board</li> </ul>			<p>Financial Regulations/Standing Orders.</p> <p>Authorisation of payment/signature of cheques in line with Financial Regulations/Standing Orders</p> <p>To make all financial decisions with regard to the Financial Regulations Policy reviewed annually.</p>
	Approval of the Trust's Reserves Policy.			Development of the Trust's Reserves Policy.

	<p>Approval of Investment Strategy &amp; Policy.</p> <p>Detailed scrutiny of</p>			<p>Recommendation on selection of providers and</p>
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<sup>1</sup>To be reviewed in revised Financial Standing Orders



	<p>Investment Strategy &amp; Policy.</p> <p>Approval of investment providers &amp; products.</p> <p>Detailed scrutiny of investment performance.</p>			<p>monitoring and reporting on performance.</p>
	<p>Monitoring &amp; review of financial performance of the Trust and decision making on action required.</p> <p>Approval of format of management accounts.</p> <p>Detailed scrutiny of financial performance</p>			<p>Preparation of management accounts &amp; financial reporting.</p> <p>Development of the Trust's financial reporting framework for approval.</p>
<p><b>Internal Control and Risk Management</b></p>	<p>Approval of the Trust's systems of internal control including policies on:</p> <ul style="list-style-type: none"> <li>• Health &amp; Safety;</li> <li>• Data Protection;</li> <li>• Fraud prevention &amp; Detection;</li> <li>• Whistle Blowing</li> <li>• Safeguarding</li> </ul>		<p><b>Local Governing Bodies:</b></p> <p>Escalating to the TRUST Board any issues or concerns which might reasonably be expected to expose the Trust to significant reputational, business, financial, legal or other risk.</p>	<p>Escalating to the TRUST Board any issues or concerns which might reasonably be expected to expose the Trust to significant reputational, business, financial, legal or other risk.</p> <p>Development of systems of internal control &amp; risk management, relating to pupil provision, safeguarding, curriculum, teaching and learning and Health and Safety, ensuring their effective operation, &amp; reporting to LGB/the TRUST Board as appropriate.</p>

	<p>Approval of the Trust’s risk management strategy and annual review of Major risks.</p> <p>Approval 3 times per year of:</p> <ul style="list-style-type: none"> <li>• Health &amp; Safety reports;</li> <li>• Safeguarding &amp; decision on action required.</li> </ul> <p>Appointment of Trust’s Responsible Officer and Accounting Officer;</p> <p>Decision making on any other matter or prospective transaction which might reasonably be expected to expose the Trust to significant reputational, business, financial, legal or other risk.</p> <p>Any issues or concerns which might reasonably</p>			<p>Liaising with the Trust’s insurers &amp; legal advisers on any relevant issues &amp; reporting to the TRUST Board.</p> <p>Escalating to the TRUST Board any issues or concerns which might reasonably be expected to expose the Trust to significant reputational, business, financial, legal or other risk.</p> <p>Development of systems of internal control &amp; risk management ensuring their effective operation, &amp; reporting to the TRUST Board.</p> <p>Selection of insurers/level of cover for FRC approval.</p>
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	<p>be expected to expose the Trust to significant reputational, business, financial, legal or other risk.</p> <p>Detailed scrutiny re the Trust’s systems of internal control and risk management (incl. annual review of the full risk register).</p> <p>Approval of insurance providers &amp; level of cover, &amp; oversight legal/insurance issues.</p> <p>Monitoring &amp; investigation of any matters of concern within its TOR including seeking relevant professional advice.</p> <p>Review of school Health &amp; Safety reports &amp; decision on action required.</p>			
<p><b>Audit</b></p>	<p>Appointment of external auditors &amp; approval of changes to auditors’ terms</p>			<p>Supporting and cooperating with the work of external auditors as determined by the TRUST Board</p> <p>Preparation of Annual Report &amp; Accounts.</p>

	<p>of engagement.</p> <p>Review of external auditors management letter &amp; decisions re action on issues arising<sup>2</sup>.</p> <p>Approval of the Annual Report &amp; Accounts.</p> <ul style="list-style-type: none"> <li>• external auditor &amp; setting the scale of fees annually;</li> <li>• Approval of the scope of work;</li> </ul> <p>Consideration of management letter &amp; actions arising &amp; adoption of the Annual Report &amp; Accounts.</p>			<p>Responding to &amp; acting on issues raised in the management letter.</p> <p>Management of the process for appointment of external auditors.</p> <p>Planning &amp; liaison with external auditors.</p>
<b>Fundraising</b>	<p>Approval of the Trust's Fundraising Strategy &amp; Policy.</p> <p>Detailed scrutiny of Fundraising Strategy, Policy and performance</p>			<p>Advising on and identifying requirements for fundraising initiatives in line with strategy and policy</p> <p>Development of Fundraising Strategy and Policy for TRUST Board approval and ensuring its effective implementation.</p>

<b>Information Systems</b>	<p>Approval of Information Systems Strategy &amp; Policy.</p> <p>Detailed scrutiny of the Trust's Information Systems Strategy, Policy, &amp; performance.</p>		<b>Local Governing Bodies:</b> <p>Detailed scrutiny of educational management information in support of pupil and school performance and providing advice and information to the TRUST Board.</p>	<p>Supporting the implementation and operation of the schools' Information Systems.</p> <p>Development of an Information Systems Strategy &amp; Policy for approval, and ensuring its effective implementation and reporting to the LGB as appropriate.</p>
<b>Asset Management</b>	<p>Approval of the sale, purchase or disposal of any capital asset &gt; £50K value in line with provisions of the Funding Agreement.</p> <p>Detailed scrutiny of the Trust's asset management strategy and performance</p>			<p>Sale, purchase or disposal of capital assets &lt;£50K &amp; recommendations re purchase of land/property or sale of fixed assets &gt;£50K, in line with the provisions of the Funding Agreement.</p> <p>Development of a strategy for the management of fixed assets and its implementation.</p>
<b>Human Resources</b>	<p>Appointment of the CEO and other Trust Senior Managers</p> <p>Approval of the structure of the Trust's Executive Leadership Team (beyond the school) and each schools' SLT and staffing complement.</p> <p>Nomination of Trustees to</p>	<p>Leading in the process of recruiting the CEO &amp; making recommendations to the TRUST Board re an appointment.</p>		<p>Leads on the recruitment of the school's SLT in consultation with nominated Trustees.</p> <p>Reporting to Chair of LGB on regular basis</p> <p>Leads on the recruitment of the Trust's Executive Team (beyond the school) in consultation with nominated Trustees &amp; makes recommendations re appointments for TRUST Board approval.</p> <p>Development of the Executive Leadership Team structure.</p>

	support the CEO in the recruitment of Executive Team members/Schools SLT and approval of these appointments.			Reporting to a nominated Trustee on a regular basis
	<p>Approval of HR Strategy and Policies including Reward &amp; Remuneration Strategy &amp; annual pay award.</p> <p>Review HR Strategy and Policies including Reward &amp; Remuneration Strategy &amp; terms &amp; conditions of employment.</p> <p>Review staff annual pay award</p>			<p>Development of HR Strategy &amp; Policies for TRUST Board review &amp; approval.</p> <p>Appointment and management of all staff below SLT level in the school in line with agreed HR policy.</p> <p>Management of all staff in Executive Team beyond the school in line with agreed HR policy</p>
	<p>Approving a policy for the Executive team's appraisal</p> <p>Approving performance pay awards (or otherwise) of CEO.</p> <p>Reviewing levels of remuneration with independent expert</p>	<p>Recommending a policy &amp; procedure for the CEO's appraisal.</p> <p>Either directly or through nominating a relevant Trustee, setting and reviewing the CEO's objectives, carrying out a performance appraisal on</p>		<p>Setting the objectives of the school's SLT and staff, managing their performance &amp; making recommendations regarding their level of remuneration.</p> <p>Setting the objectives of the Executive Team (beyond the school) managing their performance &amp; making recommendations regarding their level of remuneration</p>

	<p>advice.</p> <p>Overseeing the appraisals of the CEO and making recommendations regarding any performance pay awards</p> <p>Approval of any performance pay awards for the School's SLT and Executive Leadership Team (beyond the school) on the basis of recommendations.</p>	<p>behalf of the TRUST Board and reporting on this to the TRUST Board.</p>		
	<p>Final appeals for all staff under Disciplinary and Grievance Policy.</p>			<p>Managing staff performance as per HR policy.</p>
<p><b>Advisers:</b></p>	<p>Appointment of the Trust's main legal advisers, investment advisers, &amp; approving the terms of their appointment.</p> <p>Approval of the Trust's bankers.</p> <p>Review recommendations re the</p>			<p>Manages process of review &amp; makes recommendations re selection/appointment &amp; on-going liaison.</p>

	Trust's main legal advisers, investment advisers & the terms of their appointment			
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