



E-ACT Scheme of Delegation

This policy was approved by Trustees as follows –

Board of Trustees

Date: February 2019

Frequency of review: Annually

ELT Owner: Chief Executive Officer

Author: Company Secretary / Chief Financial Officer

E-ACT Scheme of Delegation 2018-19

The E-ACT scheme of delegation is designed to detail the authorities delegated by the trustees to E-ACT employees and should be read in conjunction with E-ACT policies. This is a fluid document and will be updated as changes occur to the decision making processes of E-ACT.

The first section is a pure RACI for key decisions, and is not exhaustive i.e. not every decision or delegation captured in the Scheme is replicated in the initial RACI. This RACI will be developed and amended over time and represents the beginning a process to embed RACI within the E-ACT approach.

The second section is the Scheme of Delegation including the Scheme of Financial Delegation and is presented in the way we traditionally present its details; the A&C.

Key decision RACI

R - Responsible (all those who contribute to making the decision)

A - Accountable (the one person, or one body taking the final decision)

C - Consult (all those who have experience/knowledge that helps the decision makers)

I - Inform (all those who need to know about the decision)

	Members	Chair	Trust Board	ARC	FIN	EDU	PER	CEO	ELT	Regional Directors	Headteacher	AAG
Education												
Setting national curriculum framework			A			C		R	R	C	C	I
Changes to school day			I					A	C	C	R	I
Admissions arrangements, including changes			A					C	C	R	R	I
Term and INSET dates			I					A	C	R	C	I
Uniform decisions								I	I	C	A	I
Decision to close school for H&S reasons		I	I					C	C	A	C	I
Exclusions - fixed term								I	I	C	A	I
Exclusions - permanent		I				I		C	A	C	R	I
Exclusion appeal panel								I	I	A	C	R
Safeguarding		I	A	I*	I*	I*	I*	R	R	R	R	R
Finance												
Trust annual statutory accounts	I		A	C&I	C&I	I	I	R	R	C	I	I
Trust annual budget			A	I	R	C	I	R	R	C	C	I
Regional budget			I		I			A	R	R	C	I
Academy budget			I		I			A	R	R	C	I
Governance and Compliance												
Articles of Association changes	A		R	C	C	C	C	R	C	I	I	I
Scheme of Delegation changes			A	C	C	C	C	R	R	C	I	I
Policy approval			A	R	R	R	R	R	R	C	C	I
Statutory/regulatory filing			I	I	I			A	R	C	I	I
Strategic leadership												
Set vision, values & mission of trust		C	A	C	C	C	C	R	R	C	C	C
Operations												
SCA funding allocations					A			R	R	C	C	I
Health and Safety	R	R	R					A	R	R	R	R
Re-structures exceeding £100,000		I	A					C	R	C	C	I
Appointments / removals												
Staff hire with annual salary over £100,000		I			C		A	R	R			
Staff hire outside of budget (national/regional)			I		C			A	R	C		
CEO		R	A						C	C	C	I
ELT			A					R	I	I	I	
National team, E/ELT		C	I					A	R	I	I	I
Headteachers		I	I					A	R	I	I	C
Members	A	R	C&I					C&I	I	I	I	I
Trustees	A	R	C&I					C&I	C	I	I	I
AAG Chair	I	A	I					C	C	R	C	I
AAG members			I					I	I	C	A	R
Academy SLT								I	I	R	A	I
Academy teaching staff								I	I	C	A	I
Academy ops staff								I	R	A	C	I
Appeals and Hearings												
Admissions appeals								I	I	A	C	R
Disciplinary hearing CEO/ELT		C	I				A	R				
Disciplinary hearing national/regional teams		I	I					C	A&R		I	I
Disciplinary hearing headteacher		C	I			I	I	C	C	A&R		
Disciplinary hearing academy education staff								I	I	I	C	A & R
Disciplinary hearing academy operations staff								I	I	I	A & R	C
Formal grievance hearing - CEO/ELT		A&R										
Formal grievance hearing - national/regional teams		I	I				I	A	R			
Formal grievance hearing - headteacher		I	I			I	I	C	A&R	C		
Formal grievance hearing - academy education staff								I	I	I	A	R
Formal grievance hearing - academy operations staff								I	I	I	A & R	C

*denotes one of the Chairs should be informed in the event of a serious safeguarding matter on behalf of the Board and updated regularly

SCHEME OF DELEGATION:

Key¹

	Power of approval/ delegation of authority to
	Must be part of consultation process/ recommended by. Named roles represent the lead in the process to secure relevant approval i.e. this person is responsible for preparing and recommending the work to the relevant approver/main person to consult
EC	Education Committee
PC	Personnel Committee
FC	Finance Committee
ARC	Audit & Risk Committee
DBRC	Data Breach Response Committee
AAG	Ambassadorial Advisory Group
CEO	Chief Executive Officer
DCEO	Deputy Chief Executive Officer
CFO	Chief Financial Officer
COO	Chief Operating Officer
DCS	Director of Corporate Services
DPO	Data Protection Officer
RED	Regional Education Director ²
ROD	Regional Operations Director ³
RSL	Regional System Leader
DC	Trust-wide Director of Communications
RAB ⁴	Raising Achievement Board (Academy half termly performance meeting). Where listed, the items will be brought to that forum for the relevant approvals.
RPB ⁵	Regional Performance Board (RED & ROD half-termly performance meetings). Where listed, the items will be brought to that forum for the relevant approvals.

	Board of Trustees	Committee	CEO	ELT members	Regional Directors	Other	Headteacher	AAG
EDUCATION DECISIONS:								
Approve National Improvement strategy		EC			RED & ROD			
Approve Regional Educational Improvement strategy			(via RPB)	DCEO	RED			
Approve Academy Educational Improvement Strategies					RED & ROD		(via RAB)	(via RAB)
Approve Trust-wide curriculum statement and framework		EC		DCEO	RED			
Approve Regional curriculum framework			(via RPB)	DCEO	RED			
Approve Academy Curriculums ⁶			(via RPB)	(via RPB)	RED		(via RAB)	(via RAB)
Approve Trust self-evaluation				DCEO	RED			
Approve Regional self-evaluation			(via RPB)		RED & ROD			
Approve Academy self-evaluation					RED (via RAB)		(via RAB)	(via RAB)
Approve Trust's educational targets		EC		DCEO	RED			
Approve Regional educational targets		EC		DCEO	RED			
Approve Academy educational targets		EC		DCEO	RED		(via RAB)	(via RAB)
Approve Trust-wide Pupil Premium strategy and f/work		EC		DCEO	RED & ROD			
Approve Regional strategies for Pupil Premium expenditure			(via RPB)	DCEO	RED & ROD			
Approve Academy strategies for Pupil Premium expenditure					RED		(via RAB)	(via RAB)
Approval of QA'd half-termly Teaching strength in academy for RPB submission.					RED	Regional data lead		
Approval of QA'd half-termly Attendance and behaviour data for RPB submission.					RED	Regional data lead		
Approval of academy school census information prior to DfE submission (scrutinised at RPB) ⁷					RED	Regional data lead		
Pupil Exclusions⁸								
The decision to issue a fixed term pupil exclusion ⁹								
The decision to permanently exclude, pending a disciplinary committee meeting ¹⁰ .				DCEO	RED	RSL behaviour & attendance		

	Board of Trustees	Committee	CEO	ELT members	Regional Directors	Other	Headteacher	AAG
Premises/Asset Management								
Approve/ reject proposals for the acquisition/ disposal of land/buildings		FC		COO				
Approve major capital works and long-term building projects, based on annual conditions		FC		COO				
Health & Safety								
Authority to take action required to ensure that all Health & Safety policies and procedures are being adhered to at national level				COO				
Authority to take action required to ensure that all Health & Safety policies and procedures are being adhered to within the region					ROD			
Authority to take action required to ensure that all Health & Safety policies and procedures are being adhered to within the academies								
Legal								
Authority to seek legal advice from E-ACT's procured solicitors ¹³					ROD	DPO & Company Secretary		
Freedom of Information								
Authority to submit FOI responses on behalf of E-ACT						Company Secretary		
Information submission								
Delegation to QA and submit accurate PowerBI information to the national team as requested					ROD&RED			
Communications								
Approve all press responses identified as a risk to E- ACT's reputation (academy, regional or national level)	Chair					DC		
Approve all press responses at national level						DC		
Approve all press responses at regional &/ academy level					ROD	DC		
Approve any commissioned writing/opinion pieces for external parties from E-ACT staff.						DC		
Delegation to QA all academy websites within region to ensure all are fully compliant with Ofsted and regulatory requirements					ROD	DC		

	Board of Trustees	Committee	CEO	ELT members	Regional Directors	Other	Headteacher	AAG
ICT								
Approve a national IT strategy				COO				
Approve a regional IT strategy					ROD			
Operational Value for Money								
Approve national value for money operational projects		FC		COO				
Approve regional value for money operational projects				COO	ROD			
FINANCIAL DECISIONS¹⁴:								
Staffing Appointments								
Any staff hire with annual total salary over £100k per annum, permanent or temporary		PC		CFO				
Any national staff hire outside of agreed budget				CFO				
Any regional staff hire outside of agreed budget				CFO				
Any academy staff hire or salary increases outside of agreed budget					ROD			
All academy staff hire if part of agreed budget						Regional Finance lead		
Staff reorganisations								
Any re-organisation exceeding £100k		FC/PC						
Any re-organisation up to £100k and involving staff consultation or potential redundancy costs				CFO				
Any re-organisation not involving staff consultation or potential redundancy costs				CFO	ROD			
Decision to purchase Supplies (goods), Services and Works¹⁵ including leases (in budget)								
Expenditure over £100,000.		FC						
Expenditure over £25,000 and up to £100,000.				CFO				
Expenditure over £5,000 (and £10,000 for works) and up to and including £25,000					ROD			
Expenditure up to and including £5,000 for decisions to purchase goods and services.						Regional Finance lead		
Up to and including £10,000 for decisions to procure Works.						Regional Finance lead		
Approval of SSJs within delegated signing limits.					ROD			

	Board of Trustees	Committee	CEO	ELT members	Regional Directors	Other	Headteacher	AAG
Decision to agree to a Lease¹⁶ (in budget)								
Lifetime value of £100k or more								
Lifetime value of over £25,000 and up to £100,000				CFO				
Lifetime value of over £5,000 and up to £25,000					ROD			
Lifetime value of up to £5,000						Regional Finance lead		
Virements and Budget variances and out of Budget spend								
Out of budget expenditure over £100k		FC						
Out of budget expenditure up to £100k ¹⁷				CFO				
Approve action plan for any budget monitoring variances greater than £100k or 5% (whichever is lower) of overall budget				CFO				
All virements over £25k and up to £100k to be subject to approval by the Finance Director.				CFO				
All virements over £5k and up to £25k to be subject to approval by the Regional Operations Director and reported to the next regional RAB meeting.					ROD			
All budget allocations/virements less than £5k to be carried out by the regional Business Manager/lead as part of the day to day management of the academy budget.						Regional Finance lead		
Authorise Contracts (in budget)								
Any contract with a maximum value exceeding £100,000 or exceeding a five year term		FC						
Any contract with a maximum value between £5,000 (£10,000 for works) and up to £100,000 and up to a 5 year term				CFO				
When the contract is a Deed, involves a TUPE transfer, a Lease, an automatic roll-over/renewal, an E-ACT indemnity, a guarantee or warranty to a third party				CFO				
Any contract where the maximum value of the contract will be £5,000 (£10,000 for works) except where the contract is a Deed, involves a TUPE transfer, a Lease, an automatic roll-over/renewal, an E-ACT indemnity, a guarantee or warranty to a third party, and is a 1 year term or less								
Any income exceeding £50,000 per year		FC						
Any supply to third parties (other than renting halls, or gym						Regional		

	Board of Trustees	Committee	CEO	ELT members	Regional Directors	Other	Headteacher	AAG
space and equipment) ¹⁸						Finance lead		
Bank accounts								
Opening new bank accounts		FC		CFO				
GOVERNANCE DECISIONS:								
Approve amendments to Memorandum & Articles, subject to Charity Commission and DfE approval as appropriate						Members		
Approve a Scheme of Delegation of powers from the board to sub-committees and officers as appropriate						Company Secretary		
Approve statutory policies		as listed						
Authority to direct academies to comply with organisational policy or statutory requirements in relation to the remit of their role.								
Appointment of Members						Members		
Appointment of Trustees						Members		
Appointment of AAG Chairs	Chair				RED			
Appointment of AAG members								
Appointment of external auditor		ARC				Members		
Appointment of insurers								
Appointment of bankers and investment managers								
Receive the statutory annual accounts						Members		
Approve the statutory annual accounts								
Data Breaches								
Point of contact for all data breach notifications						DPO		
Lead on data protection breach investigations		DBRC			ROD	DPO		
Report data breaches to ICO						DPO		
Retrospectively assess the breach investigation and outcomes		ARC			ROD			
Report on outcome of breach to Board				COO		DPO		
Communication point for pupils and parents in relation to data breaches				DCEO				
Responsible for ensuring the security of the Trust's ICT infrastructure in relation to data breaches				COO				

	Board of Trustees	Committee	CEO	ELT members	Regional Directors	Other	Headteacher	AAG
Decision and action on whether to report a data breach to the Education and Skills Funding Agency		DBRC						
PEOPLE DECISIONS¹⁹:								
People Strategy & Policy								
Approve National Recruitment and development strategy		PC	CEO		RED & ROD			
Approve Regional Recruitment and development strategy					RED & ROD			
Approve annual cost of living pay award for all staff		PC/FC		COO/CFO				
Staffing Structures (within approved budgets)								
Approve staffing structure at National Level		PC						
Approve staffing structure at Regional Level					RED & ROD			
Approve staffing structure at Academy Level					(via RAB)			
Appointment²⁰ and removal²¹ of...								
CEO								
ELT Members								
National Team Staff,								
Regional Education Directors				DCEO				
Regional Operations Directors				COO				
Regional Team Members including operations staff								
Headteachers ²²				DCEO	RED			
Academy Senior Leadership Team				DCEO	RED			
Academy Teaching staff including SENCO, DSL & SPOC and education support staff ²³ .					RED/ROD			
Academy operations support staff					ROD			
Performance Management²⁴ of...								
CEO	Chair							
ELT Members								
National Team Staff								
Regional Education Directors				DCEO				
Regional Operations Directors				COO				
Regional Team Members								
Headteachers					RED			

	Board of Trustees	Committee	CEO	ELT members	Regional Directors	Other	Headteacher	AAG
Academy Senior Leadership Team								
Academy Teaching staff and education support staff.								
Academy operations support staff					ROD			
Approve Pay Progression²⁵ of...								
CEO	Chair	PC						
ELT Members		PC						
National Team Staff								
Regional Education Directors		PC		DCEO				
Regional Operations Directors		PC		COO				
Regional Team Members				DCEO / COO				
Headteachers		PC		DCEO	RED			
Academy Senior Leadership Team					RED			
Academy Teaching staff, and education support staff.					RED			
Academy operations support staff.					ROD			
Settlement Agreements²⁶								
All staff		PC						
Suspension of²⁷								
CEO	Chair	PC chair						
ELT Members	Chair	PC chair						
National Team Staff		PC chair						
Regional Directors		PC chair						
Regional Team Members								
Headteachers		PC chair			RED			
Academy Educational Senior Leadership Team					RED			
Academy Teaching staff and education support staff.					RED			
Academy operations support staff					ROD			
COMPLAINTS, HEARINGS, APPEALS AND PANELS								
Deals with formal parental or external complaints²⁸ (Stage 2 of policy) against....								
Chair of the Board		Vice chair						
Trustees		Chair						
CEO		PC member						

	Board of Trustees	Committee	CEO	ELT members	Regional Directors	Other	Headteacher	AAG
ELT Members								
National Team Staff								
Regional Education Directors								
Regional Operations Directors								
Regional Team Members								
Headteachers					RED			
Academy Senior Leadership Team								
Academy Teaching staff and education support staff								
Academy support staff and regional operations staff					ROD			
Stage 3 Parental or external complaints against...								
CEO / ELT members	Three trustees							
National Team Staff								
RED / ROD								
Regional Team Members								
Headteachers								
Academy Senior Leadership	RED with 2 independent panellists, one of which must be an ambassador. The RED will Chair the panel and will be the RED for the region, unless they have had prior involvement in the case.							
Academy Teaching staff including education support staff	RED with 2 independent panellists, one of which must be an ambassador. The RED will Chair the panel and will not be the ROD for the region in which the complaint against the academy support staff is employed within.							
Academy support staff and regional operations staff	ROD, with 2 independent panellists, one of which must be an ambassador. The ROD will Chair the panel and will not be the ROD for the region in which the complaint against the academy support staff is employed within.							
Disciplinary Hearings²⁹ of...								
CEO		PC member						
ELT Members		PC member						
National Team Staff				DCEO				
Regional Education Directors								
Regional Operations Directors								
Regional Team Members								
Headteachers					RED ³⁰			
Academy Senior Leadership Team					RED ³¹			
Academy Teaching staff and education support ³²								
Academy operations support staff					ROD ³³			

	Board of Trustees	Committee	CEO	ELT members	Regional Directors	Other	Headteacher	AAG
Formal Hearings³⁴ for Grievance claims made by...								
CEO		ARC member						
ELT Members		ARC member						
National Team Staff								
Regional Education Directors		PC member						
Regional Operations Directors		PC member						
Regional Team Members				DCEO				
Headteachers					RED ³⁵			
Academy Senior Leadership Team					RED ³⁶			
Academy Teaching staff and education support staff					RED			
Academy operations support staff					ROD			
Staff³⁷ appeals from...								
CEO	Three trustees							
ELT Members								
National Team Staff								
Regional Education Directors								
Regional Operations Directors								
Regional Level Team Members								
Head Teachers								
Academy Senior Leadership	Executive leadership team member, with two AAGs not from the academy							
Academy Teaching, education support, academy support and regional operations staff	RED or ROD, with 2 AAGs ³⁸							
Staff pay award appeals³⁹								
Academy Senior Leadership	Executive leadership team member, with two AAGs not from the academy							
Academy Teaching, education support, academy support, regional operations and national staff								
Appeals against use of General Annual Grant	3 Trustees							
Appeals against pooling of General Annual Grant	In line with Pooling of Reserves policy							

POLICIES

Policy name	Review period	Approved by	ELT owner	Category
Acceptable use of mobile phones	2 years	ELT	Director of Education	Education
Administration of medicines / support for children with medical needs	2 years	Education	Director of Education	Education
Admissions Policy	Annual	Academy	n/a	Education
Alcohol and other Substance Misuse Policy	2 years	ELT	Chief Operations Officer	Employment
Attendance for learning Policy	2 years	ELT	Director of Education	Education
Behaviour and Anti-Bullying Policy	2 years	Education	Director of Education	Education
Capability Policy	2 years	Personnel	Director of Governance	Employment
Charging and Remissions Policy	2 years	Finance	Chief Financial Officer	Operations
Child Protection and Safeguarding Policy	Annual	Education	Director of Education	Education
Code of Conduct	2 years	Personnel	Chief Operations Officer	Employment
Concerns and Complaints Policy	2 years	Education	Director of Education	Education
Conflicts of Interest Policy	2 years	ELT	CFO /Director of Governance	Operations
Curriculum Policy (Primary template)	2 years	ELT	Director of Education	Education
Curriculum Policy (Secondary template)	2 years	ELT	Director of Education	Education
Data Breach Policy	2 years	Audit	Director of Governance	Operations
Data Protection Policy	2 years	Audit	Director of Governance	Operations
Dignity at Work Policy	3 years	Personnel	Director of Governance	Employment
Disciplinary Policy and Procedure	2 years	Personnel	Director of Governance	Employment
Equal Opportunities Policy	4 years	Personnel	Director of Governance	Education
Equality and Diversity Policy	2 years	Personnel	Director of Governance	Employment
Flexible Working Policy	2 years	Personnel	Director of Governance	Employment
Freedom of Information Policy	2 years	Audit	Director of Governance	Operations
Gifts and Hospitality Policy	2 years	ELT	Director of Governance	Operations
Government Card Procurement Policy	2 years	ELT	Chief Financial Officer	Operations
Grievance Policy and Procedure	2 years	Personnel	Director of Governance	Employment
Health and Safety Policy	Annual	Audit	Chief Operations Officer	Operations
Homework Policy (Primary template)	2 years	ELT	Director of Education	Education
Homework Policy (secondary template)	2 years	ELT	Director of Education	Education
ICT Usage Policy	2 years	ELT	Chief Operations Officer	Operations

Policy name	Review period	Approved by	ELT owner	Category
Information and Records Retention Policy	2 years	Audit	Director of Governance	Operations
Information Security Policy	2 years	Audit	Director of Governance	Operations
Lettings Policy	2 years	ELT	Chief Financial Officer	Operations
LGPS Discretions Policy	3 years	Fin/Pers	Chief Financial Officer	Employment
Managing Changing Staffing Needs Policy	2 years	ELT	Chief Operations Officer	Employment
Marking & Feedback (Primary template)	2 years	ELT	Director of Education	Education
Maternity, Paternity, Adoption, Parental and Shared Parental Leave	2 years	Personnel	Chief Operations Officer	Employment
Online Safety Policy	2 years	ELT	Chief Operations Officer	Education
Pensions Auto Enrolment Policy	2 years	ELT	Chief Financial Officer	Employment
Procurement Policy	2 years	ELT	Chief Financial Officer	Operations
Provider access policy (template)	2 years	ELT	Chief Operations Officer	Operations
Pupil Premium Policy (template)	2 years	ELT	Director of Education	Education
Recruitment and Selection Policy	3 years	ELT	Director of Governance	Employment
Reference Policy	3 years	ELT	Director of Governance	Employment
SCR Personal Files Policy	2 years	ELT	Director of Education	Education
Sex & Relationships Policy (Primary template)	3 years	Education	Director of Education	Education
Sex & Relationships Policy (Secondary template)	2 years	Education	Director of Education	Education
Sickness Management Policy	2 years	ELT	Director of Operations	Employment
Social Media Policy	2 years	ELT	Director of Governance	Employment
Special Educational Needs and Learning Policy	Annual	Education	Director of Education	Education
Special Leave Policy	2 years	ELT	Director of Governance	Employment
Staff Expenses Policy	3 years	ELT	Chief Financial Officer	Operations
Support Staff Appraisal Policy	2 years	ELT	Director of Governance	Employment
Teacher Appraisal Policy	Annual	Personnel	Chief Operations Officer	Employment
Teacher Pay Policy	Annual	Personnel	Chief Operations Officer	Employment
Teaching & Learning Policy (Secondary template)	2 years	ELT	Director of Education	Education
Treasury Management Policy	Annual	ELT	Chief Financial Officer	Operations
Trips and Visits Policy	2 years	ELT	Director of Education	Education
Trustee and Ambassadors Expense Policy	2 years	Finance	Director of Governance	Operations
Uniform Policy (template)	3 years	ELT	Director of Education	Education
Whistleblowing Policy	2 years	Audit	CEO	Operations

¹ Please note that where a particular role is not specified e.g. 'Regional Director', this can be any member of staff at this level, e.g. Regional Education Director or Regional Operations Director. When both RED and ROD are listed, each leads their respective areas of work – Education (education/teaching matters) and Operations (operations inc finance/support staff matters).

² Responsible for academy and regional education Staff

³ Responsible for academy and regional operational staff including support staff

⁴ Where a time imperative means that it is impractical to wait until the next RAB meeting, approval must be sought in writing from the relevant approver and reported at the beginning of the next meeting.

⁵ Where a time imperative means that it is impractical to wait until the next RPB meeting, approval must be sought in writing from the relevant approver and reported at the beginning of the next meeting.

⁶ Please note that this will include all aspects of the curriculum, including subject range, examination board and learning time e.g. length of the school day. However, all decisions made in relation to academy curriculum must be in line with any nationally determined frameworks, for example specific examination boards for core subjects as approved by the Board of Trustees.

⁷ Process includes: (a) academy data lead submitting summary census information to HT and regional data lead (at the same time); (b) HT and regional data lead submitting QA'd recommendation to RED for approval; (c) RED approval of data; (d) HT submitting approved information to DfE, copying in to the corporate insights manager in the national team.

⁸ For exclusion panels, see the complaints, hearings appeals and panels section

⁹ Must report to RED within same working day.

¹⁰ The appropriate Regional System Leader must be consulted on all decisions to permanently exclude a pupil. Process includes: (a) academy data lead submitting summary census information to HT and regional data lead (at the same time); (b) HT and regional data lead submitting QA'd recommendation to RED for approval; (c) RED approval of data; (d) HT submitting approved information to DfE, copying in to the corporate insights manager in the national team.

¹¹ Unless specified, the decision to close a school can only be approved by the trustees

¹² When closure is required due to adverse weather conditions, the decision will be co-ordinated between the RED/ROD and headteacher following E-ACT internal process checklists e.g. snow pyramid

¹³ All legal advice should be sought under direction of an authorised person.

¹⁴ The scheme of financial delegation is based on expenditure based on the approved annual budget. Any out of budget expenditure must be escalated to the Chief Financial Officer for approval.

- Adherence to these limits is the responsibility of the signatory/ies and attempts to avoid the application of a particular threshold may result in disciplinary proceedings. Expenditure rules must not be circumnavigated deliberately or unintentionally through split invoicing, splitting contracts, etc. which may exceed an individual's limits.
- All approvals must be made in line with E-ACT's procurement guidelines and the ESFA Academies Financial Handbook
- No authority is delegated where the normal delegated authority has a pecuniary or other interest, as determined through their Register of Interest declarations, or where the decision would mean the academy or Trust would fail to stay within its budget. An approved budget is one approved by the E-ACT Board, except where virements or budget variances have been agreed.
- There may be occasions where the Chair of the Board may be required to take a decision on behalf of the Board where a time imperative precludes awaiting the next Board meeting. In these cases, the Chair of the Board will consult with the Chair of the Finance Committee, and any action taken will be reported at the next Board meeting.

¹⁵ Except those which would commit the academy / region / national team to an increase in its budget in any subsequent financial year and except any interest in land or property.

¹⁶ Operating leases only. Finance leases must not be entered into. All leases over 12 months to be approved by the Chief Financial Officer. All documents relating to lease agreements must be copied to the legal and procurement officers at national level for E-ACT records.

¹⁷ All budget monitoring variances to be scrutinized and action plan agreed by meeting following variance.

¹⁸ Prior to approval please notify the Chief Financial Officer who will check the benefit, insurance and tax position.

¹⁹ For grievance/disciplinary hearings see the complaints, hearings appeals and panels section

²⁰ The PC must be informed of all significant leadership appointments including Regional Education Directors, Regional Operations Directors, headteachers and senior national team members

²¹ Removals relates to dismissal not instigated by misconduct. I.e appointees dismissed within probation, or the first two years of employment

²² The AAG Chair or another academy ambassador must sit on one of the interview panels for the headteacher. If no AAG member available for that academy, another Chair from the region can be asked to sit on the panel

²³ The ROD must approve academy teaching staff etc appointments where there is a difference in pay grade that could have a detrimental effect on the budget.

²⁴ All annual performance appraisals must be completed by 31 October each year. The relevant delegated officer must ensure that all of their national, regional and academy teams (both education and operation) have had their performance appraisal completed within this time period.

²⁵ All pay progression approvals must be in line with approved national, regional and academy budgets for the respective year. The relevant ROD and / or Chief Financial Officer must therefore be involved in the process prior to the final approval being made.

²⁶ No settlement agreements will be signed off for payment unless the CEO has given approval for the settlement offer to be made. All agreements must be formally reported to the next PC meeting. Any settlement agreements over the value of £15,000 must be approved by the PC before agreement and signature.

²⁷ The relevant HR business partner must be consulted prior to suspension in order for full advice to be given, and the COO must be notified within the same working day as the suspension. Where the decision to suspend is against HR advice, the COO must be consulted before a final decision is confirmed. Please note that the ELT and CEO do not need to approve suspensions where authority to approve is granted at a lower level. However, the CEO and ELT may make suspensions at any level of the organisation. Please also note that where the suspension relates to the CEO, a member of ELT or headteacher following an investigation, a 24-hr cooling off period is required following presentation of evidence before the suspension is implemented.

²⁸ The delegated person dealing with stage 2 of the complaints policy may need to appoint an Investigating Officer to undertake an investigation and to present their findings in a report. Where an employee is involved in a complaint, the Investigating Officer must include an employee of senior status, or independent status (trustee), to the employee whom the complaint involves.

²⁹ Disciplinary hearings are made up of a single-person decision maker (as delegated), however the relevant HR business partner must be present to advise the decision maker where dismissal is a potential sanction. The delegated person hearing the disciplinary hearing must appoint an Investigating Officer to undertake the investigation and to present their findings to the disciplinary hearing. The Investigating Officer must be an employee of senior status, or independent status (trustee), to the employee whose misconduct is being investigated.

³⁰ The RED must be a RED from a different region from which the Headteacher works.

³¹ The RED will normally be the RED from the same region in which the academy SLT member works.

³² The Headteacher cannot be the disciplinary decision maker if they have had any involvement in the case, e.g. if they have been interviewed as a witness during the investigation.

³³ The ROD must be from a different region from which the academy support staff members works in.

³⁴ Grievance hearings are made up of a single-person decision maker (as delegated). The delegated person hearing the grievance hearing may need to appoint an Investigating Officer to undertake the investigation and to present their findings at the grievance hearing. The Investigating Officer must include an employee of senior status, or independent status (trustee), to the employee who has received a grievance against them. In all cases listed, if the grievance is against the person delegated to hear the grievance (eg. If an academy staff member makes a grievance against the headteacher), the grievance will be heard by the next level up on the scheme of delegated authority.

³⁵ The RED must be a RED from a different region from which the headteacher works.

³⁶ The RED will normally be the RED from the same region in which the academy SLT member works.

³⁷ The HR partner must be present to advise where the appeal is against a dismissal made by at the disciplinary hearing stage. Staff appeals encompass the following areas: Flexible working, Grievance, Disciplinary, Sickness management, Capability policy and Managing changing staffing needs

³⁸ The RED or ROD will Chair the panel. The RED/ROD will **not** be from the region in which the employee works, and will have no prior knowledge of the case.

³⁹ Unless specified, pay award appeals are heard by three trustees, not involved in the initial pay award approval, nor sitting on the personnel committee