

The *Active Learning* Trust

Active Learning Trust

Detailed arrangements to deliver the Scheme of Delegation

To be read in conjunction with the Financial Controls Manual and the HR Policies and Procedures of the Trust.

Our values

This detailed set of delegated responsibilities is based upon our values as a Trust, as set out below:

- We recognise each school is different – we don't look to impose a corporate style or identity on schools but we do have a common approach to maintaining the highest expectations.
- We believe our role is to help schools achieve excellence through the provision of support, advice and challenge of the highest quality.
- We are committed to a collaborative approach to our work, based on a shared understanding of what needs to be done, by whom and by when in order to maximise the impact of our work
- The Active Learning Trust seeks to promote a tolerant and informed view of the world and holds no political, cultural or religious affiliations. These core values underpin our commitment to provide the highest quality education for all our pupils so that they can go on to live fulfilling and responsible lives as active citizens.
- We will always be open and honest in our communication and welcome feedback.
- We always do what we say we will do.
- We will strive for excellence and quality in everything we do
- Our staff can expect support and advice of the highest quality, clarity about the expectations we have of them and the right and responsibility to share successes and concerns.
- We believe pupils in schools that are part of the Trust have the right to an excellent education and a responsibility to positively take part in school and community life to the best of their ability.

- We believe that parents are an important part of a child's education and it is the responsibility of the Trust and schools to engage positively with parents to secure their support to raise attainment.
- We believe that strong Local Boards, acting as part of the Trust's monitoring and evaluation of progress, are key partners to success.

Communication between the Board and Local Governing Bodies

The Board meets at least 5 times per year, with the requirement that local governing bodies meet twice a term. There are regular reports to LGBs from the Board and LGB members are invited to meet the senior leadership team of the central Trust at least twice each year. Much of the scheme of delegation is based upon policies and procedures that are provided to LGBs to ensure that the Trust acts within its legal and other responsibilities.

Members of Active Learning Trust Board

The Board of the Trust is made up of people with experience in the fields of education, business & finance and associated interests and activities.

At the time of writing there are 11 Directors of the Trust which include the Chair, Lesley Adams, four colleagues who have been Headteachers and 4 colleagues with extensive finance experience. Their details can be found at www.activelearningtrust.org/people.

Composition of Local Governing Bodies

Type of Member	Number	Term of Office	How they are appointed or elected
Principal/Headteacher	1	Indefinite	By appointment to the post (this position is filled by the Executive Headteacher where one is appointed)
Trust Governor	5-7	4 years	Delegated to the CEO, taking account of school views, with the exception of the chair of the LGB, who is appointed by the Trust board.
Teaching staff Governor	1	3 years	Teacher election – secret ballot to be organised by the relevant Academy
Support staff Governor	1	3 years	Support staff election – secret ballot to be organised by the relevant Academy
Parent Governor	2	3 years	Parent election – secret ballot to be organised by the relevant Academy
Clerk to the LGB	1	Indefinite	To be appointed by the Governing Body

Central Functions

A contribution of 4% of each academy's budget (calculated excluding certain income relating to individual pupils) is levied which enables all academies access to a whole range of functions and services as and when required. In addition, when necessary, specific charges are made for bespoke intervention when curriculum and performance require

Deployment of Central staff

The ultimate responsibility for the deployment of central staff belongs to the Chief Executive. This will be based on identified need.

In the tables below, the role of Executive Headteacher is shown and the delegation to that role applies when such a role has been approved for the relevant academy.

Budget Setting		
<p>All final Academy budgets must be submitted to the Board for ratification by 30 June each year. Indicative budgets must be in place by March each year. Budgets require authorisation by the Local Governing Body, Headteacher/Principal, Executive Principal, Director of Finance & Operations and Chief Executive Officer prior to being presented to the Board, to facilitate this budgets must be submitted duly confirmed by the Local Governing Body, Headteacher/Principal, Executive Principal to the Director of Finance & Operations in the prescribed format by 31st May each year</p>		
Delegated Duty	Delegated Authority	Comment
Admissions	Local Governing Body	All Academies will follow the ALT admission arrangements, which follow DFE guidance, and where applicable their own policies regarding nursery and post 16 admissions taking into account DFE guidance and any advice from the CEO.
Capital Programme – Central Programme	SLT/Board	A central programme of larger projects funded through Schools Capital Allocation (formulaic capital) are determined through the development of a three year plan by external property professionals, approved at SLT level and adopted by the Finance & Audit Committee of the Board.
Maintenance of appropriate reserve balances	Principal/Headteacher or Executive Principal/Headteacher delegated to Lead Finance Officer to ensure adequate levels of reserves are maintained and if balances rise above 8% there is a clear rationale for	Academy level verification at budget setting.

	retaining balances at this level.	
Health and Safety	CEO/Headteacher/Principal	It is the responsibility of ALT to ensure that health and safety laws are adhered to and the appropriate health and safety certificates are in place. All academies are obliged to use the Handsam recording system for Health & Safety. All Academies are obliged to follow ALT H&S Policies. The operational compliance of this function will be delegated on a day to day basis to the Headteacher and their team, and audited by ALT Central Team
Income Generation	Local Governing Body	Any income generated belongs to each individual Academy for them to invest in the future learning of the students.
Insurance	Principal/ Headteacher/Business Manager	Academies will use the Government's RPA and submit a copy of the certificate and other supplemental insurances to the Director of Finance & Operations on an annual basis
Investments	Director of Finance and Operations	ALT invests any surplus monies on behalf of each Academy in the most effective manner. All interest generated from such investments reverts back to the individual academy
Permanent Exclusions	Principal/Headteacher/Local Governing Body	All academies will follow the ALT exclusion policy which is based upon DFE guidance.
Safeguarding	Board/LGB/Headteacher/Principal	Each Academy will act in accordance with, and be bound by, all relevant statutory and regulatory provisions for safeguarding. All Academies will follow ALT policy on safeguarding (the same staff identification scheme will operate in all Academies).

Financial Levels of Authority

Delegated Duty	Value	Delegated Authority	Comment
	All procurement must be carried out in compliance with the principles of the EU Treaties., include the free movement of goods (Article 28 of the EC Treaty), the right of establishment (Article 43), the freedom to provide services (Article 49), non-discrimination and equal treatment, transparency, proportionality and mutual recognition. For most goods and services where contracts will have a value over their lifetime in excess of the OJEU threshold, a strict procedure must be followed in compliance with the Public Contracts Regulations 2006 and related regulations.		
Ordering good and services (including advertising of tenders and award of contracts)	Up to £20,000 (primary academies only)	Primary Academy Principal / Executive Principal or Nominated deputy, Asst Head or Bursar/Business Manager, and Budget Holders nominated by the Principal Director of Finance & Operations, Chief Executive Officer	If within approved budget level <ul style="list-style-type: none"> • Orders up to £5,000 at least a single written quotation is required • Orders over £5,000 and up to £30,000 require 3 written quotations
	Up to £50,000	Secondary Academy Principal / Executive Principal or Nominated deputy, Asst Head or Bursar/Business Manager and Budget Holders nominated by the Principal Director of Finance & Operations, Chief Executive Officer	If within approved budget level <ul style="list-style-type: none"> • Orders up to £5,000 at least a single written quotation is required • Orders over £5,000 and up to £30,000 require 3 written quotations • Orders over £30,000 are subject to a formal tender process
	£50,000 to £164,176 (EU threshold)	Director of Finance & Operations, Chief Executive Officer	Orders over £30,000 are subject to a formal tender process

	£164,1760 and above	Trust Board or Finance Committee	<ul style="list-style-type: none"> Contracts over EU thresholds for the time being (for guidance refer to www.ojec.com/Thresholds.aspx):to follow a compliant process under the Public Contracts Regulations 2006 and subsequent legislation
	Authority to accept other than lowest quotation or tender	Approval required in accordance with the delegated authority set out above	
Delegated Duty	Value	Delegated Authority	Comment
Authorising monthly salary payments	Unlimited	Principal/Headteacher or. Executive Principal/Headteacher delegated to lead Finance Officer with access control to HR Service Provider portal.	Academy level verification of accuracy of payroll draft data and report to Director of Finance & Operations on any anomalies
Delegated Duty	Value	Delegated Authority	Comment
Banking, including signatures for Cheques, BACS payment authorisations and other bank transfers		Addition or deletion of personnel shown on Bank Mandate done by CEO (or nominated officer). Any two signatures in line with the Bank Mandate	
Delegated Duty	Value	Delegated Authority	Comment
Signatories for grant claims and DfE/EFA Returns	Unlimited	The Director of Finance & Operations and one of the following: <ul style="list-style-type: none"> Trust Chair Chief Executive Officer 	Two signatories, or as required by DfE / EFA
Delegated Duty	Value	Delegated Authority	Comment

Disposal of assets	Up to £20,000 – either in one amount or aggregated over the year	Local Governing Body – Finance Committee – under advice from Director of Finance & Operations	Director of Finance & Operations to report to ALT Board
	Over £20,000	Chief Executive Officer, Trust Board and DfE	DfE approval required for disposal of assets funded with more than £20,000 of DfE grant or transferred from the LA at nominal consideration
Delegated Duty	Value	Delegated Authority	Comment
Write-off bad debts	Up to £200	Principal/Headteacher (or Executive)	Report to Director of Finance & Operations
	£201 - £5,000	LGB	Report to Director of Finance & Operations
	Over £5,000	Trust Board plus DfE approval	Report to ALT Board
Delegated Duty	Value	Delegated Authority	Comment
Purchase or sale of freehold property	No delegation	ALT Board plus DfE approval required	
Granting or taking up of any leasehold or tenancy agreement exceeding 3 years	No delegation	ALT Board, Chief Executive Officer plus DfE approval required	
Any guarantees, indemnities and letters of comfort entered into	No delegation	ALT Board, Chief Executive Officer plus DfE approval required	
Entering into lease arrangements – operating leases only	All	Headteacher/Principal in consultation with Director Finance & Operations	Copies of all leases must be submitted to the Director of Finance & Operations
Ex-gratia payments	No delegation	No delegated authority to make such payments	The Trust policies exclude the payment of ex gratia payments

HR Levels of Authority

APPOINTMENTS

All appointment panels must contain at least one member who has undertaken Safer Recruitment Training within the last 3 years.

The Chief Executive may nominate an alternative representative where there is difficulty in making up a panel

Chief Executive	Trust Board (minimum of 3 members), with up to 2 non-voting co-optees as required
Head of Academy (where reporting to Executive Principal/Headteacher)	Chief Executive, Executive Principal/Headteacher and Chair of Local Governing Body
Executive Principal/Headteacher	Chief Executive, Head of Standards. and Chair or Vice Chair of Local Governing Body
Principal/Headteacher	Chief Executive, Head of Standards and/or Head of HR (as determined by Chief Executive), an Executive Principal/Head of another ALT Academy and Chair or Vice Chair of the Local Governing Body.
Vice Principal/Deputy Headteacher/Assistant Principals/Headteachers	Chief Executive, Executive Principal/Head or Principal /Headteacher as applicable, together with Head of Standards and 1 representative of LGB.
Lead Finance Officer	Principal/Head, Vice Principal/Deputy Head and Director Finance & Operations and representative of LGB
Head of Department / Faculty	Principal/Head, appropriate Director of Subject (if applicable) and 1 other as determined by the Principal/Head
TLR Posts	Principal/Head (or nominated representative), Director of Subject (if applicable) and Head of Department/Key Stage
All other Teaching posts	Principal/Head (or nominated representative), Director of subject (if applicable) and Head of Department/Key Stage
All Support Staff posts (other than SLT posts)	Lead Finance Officer and 1 other determined by Principal /Head

HR CASEWORK LEADING TO DISMISSALS

For all cases leading to dismissals the following delegation model shall apply:

For matters relating to;-

- Discipline
- Capability (professional competence)
- Ill Health Capability
- Redundancy.
- Any other substantial situation

For all disciplinary cases and cases leading to dismissals the following delegation model shall apply in accordance with the applicable HR Policy in operation currently:

Posts	Delegated Authority	Appeal
Chief Executive	Chair of Trust Board	3 Board members who are not staff of the Trust (quorum 2)
Executive Principal /Executive Headteacher	Chief Executive or Board member if Chief Executive is unavailable	3 Board members who are not staff of the Trust (quorum 2)
Principal/Headteacher	Chief Executive (or Chair of Governors where HR Policy determines)	Local Governing Body Panel as HR Policy determines.
Head of Academy	Executive Principal/Executive Headteacher or CEO where the former not available	Local Governing Body panel as HR policy determines
Vice Principal/Deputy Head and Academy-based SLT posts	Executive Principal or delegated to Principal/Head	Local Governing Body panel as HR Policy determines

All other Academy posts	Principal/Headteacher or Local Governing Body Panel as HR Policy determines	Local Governing Body panel as HR policy determines
GRIEVANCE		
Posts	Delegated Authority	Appeal
Chief Executive	Board Member	Chair of Board
Executive Principal/Executive Headteacher	Chief Executive or Chair of Governors (as HR Policy determines)	Local Governing Body panel as HR policy determines
Principal/Headteacher	Chief Executive (or Chair of Governors if HR Policy determines)	Local Governing Body panel as HR policy determines
Vice Principal/Deputy Headteacher and Academy based SLT posts	Principal/Headteacher or Executive Principal/Headteacher	Executive Principal (where decision made by Principal/Headteacher or Chief Executive.
All other Academy based posts	Principal/Headteacher or (where applicable) Head of Academy	Executive Principal (where decision made by Head of Academy). In all other cases Local Governing Body panel as HR policy determines
OTHER HR FUNCTIONS		
Function	Delegated Authority	
Academy Settlement Agreements up to £49,999	Approval for settlement negotiation sought by Principal/Headteacher from Head of HR for approval of terms. Chief Executive to approve prior to final sign-off.	
Settlement Agreements in excess of £49,999	Approval to be sought from the EFA/HM Treasury prior to Chief Executive sign-off	
Signature of Letter of Appointments	Delegated Authority	
Chief Executive	Chair of Board	
Executive Principal/Headteacher	Chief Executive	
Principal/Headteacher	Chief Executive or Executive Principal/Headteacher as determined by the Chief Executive	

Head of Academy and Deputy/Vice Principals/Headteachers	Executive Principal/Head for Head of Academy. Head of Academy or Principal/Headteacher (as applicable) for Vice/Deputy roles.
All other Academy based posts	Principal/Head or Executive Principal/Head
Collective Agreements	Chief Executive or Head of HR if CEO unavailable
Teachers Pay – Threshold/UPS	Recommendation y by Principal/Head to LGB with right of appeal to LGB panel.
Function	Delegated Authority
Acting up Payments/Additional Payments <ul style="list-style-type: none"> • Chief Executive • Executive Principal/Head • Principal/Head • Vice Principal/Deputy Headteacher • All other Academy staff • Any additional payment for external or additional work (no ex-gratia payments allowed) 	<ul style="list-style-type: none"> • Chair of Board • Chief Executive or Head of HR if CEO unavailable • Chief Executive or Executive Principal/Head if applicable and as determined by Chief Executive. Head of HR to act on behalf of Chief Executive if CEO unavailable • Chief Executive or delegated to Principal/Head • Principal/Head • Principal/Head on the advice of the Head of HR

Function	Delegated Authority
<p>Performance Management</p> <ul style="list-style-type: none"> • Chief Executive • Executive Principal /Heads and Principal/Heads • Head of Academy • All other Academy posts 	<ul style="list-style-type: none"> • Chair of Board • Chief Executive with contributory role of Chair of Local Governing Body where requested after year 2 of Academy status. • Executive Principal/Headteacher • Principal/Headteacher or as delegated to other line managers in accordance with HR Policies.
<p>Staffing restructures</p> <p>Academy based</p>	<p>Chief Executive (may be delegated to Head of HR), Executive Principal/Head and/or Principal/Head with knowledge and approval of Chair of Governors (working within financial parameters)</p>
<p>Re-grading/Re-designation/increase in hours</p> <p>Chief Executive</p> <p>Executive Principal/Executive Headteacher,</p>	<p>Board, on the recommendation of the Personnel & Remuneration Committee</p> <p>.</p> <p>Chief Executive with approval of Chair of Personnel & Remuneration Committee where cost exceeds 10% of</p>

<p>Principal/Headteacher</p> <p>All other Academy Based Posts</p>	<p>annual salary</p> <p>Local Governing Body on the recommendation of the Chief Executive in accordance with HR Policies</p> <p>Executive Principal/Executive Headteacher or Principal/Headteacher or Head of Academy as appropriate.</p>
Creation of permanent new Academy -based posts	Local Governing Body in accordance with HR Policies and securing the LGB's staffing budget responsibilities
Creation of temporary new Academy-based posts of up to 1 year	Local Governing Body as delegated to Principal/Headteacher in accordance with HR Policies and securing the LGB's staff budget responsibilities
Revisions to Pay Terms & Conditions of Service	Trust Board (on recommendations from Personnel & Remuneration Committee I)
Decision to declare and/or make Redundancies	Rationale to declare potential redundancy situation via approval of Head of HR. Thereafter decision to make redundancies rests with the Local Governing Body with recommendations from Principal/Headteacher in accordance with HR Policies
Authorisation of redundancy/early retirement payments	Local Governing Body on recommendations of the Principal/Headteacher in accordance with HR Policies and Financial Controls Manual
Determination of Chief Executive's and Executive Principals ' pay	Trust Board on recommendation from Personnel &

range	Remuneration Committee
Determination of pay range for an individual post with the Academy	Executive Principal/Headteacher or Principal/Headteacher based on job evaluation recommendations from HR Service Provider.
Determination of pay progression of the Chief Executive	Trust Board based on performance management recommendations by Chair of the Board
Determination of pay progression of Executive Principals/Headteachers and , Principals/Headteachers within their pay grade	Chief Executive recommendation to the Remuneration & Personnel Committee of Trust Board on the basis of Performance Management
Determination of pay progression of all leadership and teaching posts below Principal/ Headteacher level within their pay grade (including Threshold Applications)	Principal/Headteacher, or (where applicable) Head of Academy on agreement with Executive Principal/Executive Headteacher , on recommendations to the Local Governing Body on the basis of Performance Management
Administration and Issue of employment contracts.	Template approval by Head of HR with administration then delegated to to Executive Principal/Headteacher or Principal/Headteacher (as appropriate)

N.B – Any other delegated Authority not described above would need to be referred to the Chief Executive for a decision or referral to the Trust Board.