

Governance framework

June 2017

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Introduction

1. The Institute for Apprenticeships ('the Institute') came into being on 1st April 2017 under the provisions of the Apprenticeships, Skills, Children and Learning Act 2009 ("the 2009 Act"), as amended by the Enterprise Act 2016. The Institute is a Crown non-departmental public body.
2. The Institute's main aim is to assure the quality of apprenticeships and provide advice to Government on future funding provision for apprenticeship training.
3. The Institute has several core functions:
 - a. developing and maintaining quality criteria for the approval of apprenticeship standards and assessment plans ¹
 - b. supporting the development of standards and assessment plans by employer groups and reviewing and approving them ²
 - c. publishing approved standards and assessment plans ³
 - d. advising on the maximum amount of Government funding that can be drawn down by employers for individual apprenticeship standards ⁴
 - e. ensuring that all end point assessments are quality assured. ⁵
 - f. quality assuring the delivery of apprentice end-point assessments where arrangements have not been approved or made for other persons to do it. ⁶

¹ 2009 Act, s A2A (4)

² 2009 Act, s A2A

³ 2009 Act, s A2

⁴ 2009 Act, s ZA3

⁵ 2009 Act, ss A2B A2C

⁶ 2009 Act, ss A2B (3)

4. The strategic aims of the Institute are to ensure the high quality of all apprenticeships in England, to give employers a stronger role in the leadership of a balanced apprenticeships system while having full regard to its general duties.
5. The Institute's powers and duties stem from chapter ZA1 and Schedule A1 of the Apprenticeships, Skills, Children and Learning Act 2009, as inserted by Schedule 4 of the Enterprise Act 2016.
6. In delivering its functions the Institute must have regard to the:
 - a. reasonable requirements of industry, commerce, finance, the professions and other employers about education and training within its remit
 - b. reasonable requirements of persons taking or wishing to complete an apprenticeship
 - c. need to ensure that education and training within apprenticeships is of an appropriate quality and represents good value for public funds.⁷
7. It must also have regard to the annual 'Strategic Guidance' that the Secretary of State publishes.⁸

Corporate governance

8. The Board as a whole has a responsibility to ensure that the Institute complies with its statutory responsibilities as set out in the 2009 Act, all other relevant legislation and government accounting rules in relation to its use of public funds. The Board is entrusted with public funds and therefore has a particular duty to observe the highest standards of corporate governance. This includes

⁷ 2009 Act, s ZA2 (1)

⁸ 2009 Act, s ZA2 (2)

ensuring and demonstrating integrity and objectivity in the transaction of its business and, wherever possible, following a policy of openness and transparency in the dissemination of its decisions.

Collective responsibility of the Board

9. The Board will act on a collective basis. It has collective responsibility for:
 - a. establishing the strategic direction of the Institute in line with the annual strategic guidance issued to the Institute and ensuring it discharges its statutory duties as set out in the Enterprise Act and within the available resources framework
 - b. determining the steps necessary to deal with any developments which are likely to affect the Institute's ability to discharge its statutory functions and keeping the Minister of State for Apprenticeships and Skills informed if any such developments arise
 - c. ensuring that any statutory or administrative requirements for the use of public funds are complied with
 - d. ensuring that the Institute operates within the limits of its statutory authority and any delegated authority agreed with DfE, and in accordance with any other conditions relating to the use of public funds and that, in reaching decisions, the Board acts in accordance with *Managing Public Money* and any subsequent guidance issued by central Government
 - e. ensuring that it receives regular financial information concerning the management of the Institute; is informed in a timely manner about any concerns about the activities of the Institute; and provides positive assurance to DfE that appropriate action has been taken on such concerns

- f. demonstrating high standards of corporate governance at all times, including by using the independent audit committee to help it address key financial and other risks.

10. As the body charged with governing the Institute's strategic direction, the Board will abide by the following principles:

- a. the Board will operate on the principles of collective responsibility, support and respect
- b. members will be provided with all information necessary to ensure vigorous debate and effective decision-making. Members may request any additional information they deem necessary to ensure that the decision making process is sufficiently well informed and robust
- c. Board members should speak with one voice in public on Institute matters. Board members should not make press or public statements in respect to the Institute's affairs without the permission of the Chair (or in the absence of the Chair the Chief Executive). Briefing and assistance for Board members making public statements will be provided
- d. decisions of the Board will normally be reached by consensus and only in exceptional circumstances should a formal vote be necessary. All decisions of the Board will be recorded. Minority views will not normally be made public although, if a vote is necessary, the outcome of that vote will be recorded in the Board minutes
- e. if a Board member resigns as a result of a disagreement with a Board decision, they may state the basis for the disagreement but may not publicly disclose the views of other Board members.

The Board

11. The 2009 Act provides that the Board consists of:

- a. the Chair
- b. the Chief Executive
- c. between 4 and 10 other members appointed by the Secretary of State⁹

12. The Board members, with the exception of the Chief Executive are known as non-executive members.

13. Non-executive members:

- a. will hold and vacate office in accordance with the terms of their appointment
- b. may resign from office at any time giving written notice to the Secretary of State
- c. must not be appointed for a term of more than five years
- d. can be re-appointed for further terms.¹⁰

14. The Secretary of State may remove a non-executive from office on either of the following grounds:

- a. inability or unfitness to carry out the duties of office
- b. absence from the Institute's meetings for a continuous period of more than six months without the Institute's permission.¹¹

⁹ 2009 Act, paragraph 2 of Schedule A1

¹⁰ 2009 Act, paragraph 3 of Schedule A1

¹¹ 2009 Act, paragraph 3 (5) of Schedule A1

15. There is an expectation that Board members will serve on at least one Board Committee.

16. Quorum for the board will be four members.

The Chair

17. The Chair and Board are accountable to Parliament and the Minister of State for Apprenticeships and Skills for ensuring that the Institute fulfils its statutory purpose as set out in the 2009 Act. Communications between the Institute's Board and the Minister should normally be through the Chair. The Chair is responsible for ensuring that the Institute's affairs are conducted with probity. Where appropriate, these policies and actions should be clearly communicated and disseminated throughout the Institute.

18. In addition, the Chair has the following leadership responsibilities:

- a. formulating the Board's strategy
- b. ensuring that the Board, in reaching decisions, takes proper account of guidance provided by the Minister or the department
- c. promoting the efficient and effective use of staff and other resources
- d. delivering high standards of regularity and propriety
- e. representing the views of the Institute to external stakeholders and the general public.

19. The Chair also has an obligation to ensure that:

- a. the Board and its members are reviewed and are working effectively

- b. the Board has a balance of skills appropriate for directing the Institute's business, as set out in the *Government Code of Good Practice on Corporate Governance*
- c. Board members are fully briefed on terms of appointment, duties, rights and responsibilities
- d. the Chair, together with other Board members, receives appropriate training on financial management and reporting requirements and on any differences that may exist between private and public practice
- e. the Minister is advised of the Institute's needs when Board vacancies arise
- f. the performance of individual Board members is assessed if they are being considered for re-appointment
- g. there is a Board Governance Framework in place setting out the role and responsibilities of the Board consistent with the *Government Code of Good Practice for Corporate Governance*
- h. there is a code of practice for Board members (contained in this document) in place consistent with the *Cabinet Office Code of Conduct for Board Members of Public Bodies*.

20. The Board may appoint one of the non-executive members as Deputy to the Chair. This enables the Board to continue to operate in the absence of the Chair and is covered in the standing delegations.

The Chief Executive

21. The Chief Executive as Accounting Officer is personally responsible for:

- a. safeguarding the public funds for which he or she has charge

- b. ensuring propriety, regularity, value for money and feasibility in the handling of those public funds
- c. for the day to day operations and management of the Institute
- d. ensuring the Institute as a whole is run on the basis of the standards, in terms of governance, decision-making and financial management that are set out in Box 3.1 of *Managing Public Money*.

22. The Chief Executive is designated as Accounting Officer by HM Treasury. The Accounting Officer is personally responsible for safeguarding the public funds for which he or she has a charge, for ensuring propriety and regularity in the handling of those public funds and for the day-to-day operation and management of the organisation.

23. Where the Chief Executive holds another government position which may bring their position as Accounting Officer into a risk of conflict of interest, these personal responsibilities will be vested in the Deputy Chief Executive of the Institute. In these circumstances the Deputy Chief Executive will also be a member of the Institute's Board by virtue of the Accounting Officer role.

The Institute's Legal Adviser – any legal advice to the Board

24. The Legal Adviser is the Institute's senior legal adviser and gives legal advice to the Board and Committees.

25. The Legal Adviser is entitled to direct access to the Board and Committees and may at his or her discretion give legal advice during or outside meetings.

The Deputy Director responsible for finance and commercial

26. The Deputy Director responsible for finance and commercial fulfils the role of Finance Director as envisaged by *Managing Public Money* and gives advice to the Board and Committees on finance and related matters.

27. The Deputy Director responsible for finance and commercial is entitled to direct access to the Board and Committees and may at his or her discretion give relevant advice during or outside meetings.

The Board Secretary

28. The Board Secretary serves the Board but is not a member of it. They are responsible for convening meetings, recording those meetings and advising on procedure. The legitimacy of the Board's business depends on the proper conduct of its meetings, including the preparation of papers and minutes.

29. The Board Secretary will be entitled to offer advice during a meeting when questions of procedure are under discussion and shall intervene where they judge that the Board or the Chair may be at risk of breaching its own procedures or legal requirements for the conduct of business.

30. The Board Secretary will:

- a. ensure the smooth running of the activities of the Board and its Committees
- b. facilitate good information flows between the Board and members of staff
- c. provide impartial information and guidance on Board procedures and corporate governance
- d. facilitate the induction and professional development of Board members
- e. facilitate any urgent and/or electronic business procedures

31. The Chair, Board members and members of any Board Committee or Sub-Committee will have access to the Board Secretary for advice and assistance.

32. The Board Secretary will maintain a Register of Interests and a Register of Gifts and Hospitality for Members of the Board.

33. The Registers must be publicly available at the Institute's offices.

34. Planning and management of the Board's business are matters for the Chair, working closely with the Chief Executive and the Board Secretary. Proper advance planning of the Board's business is essential to good governance.

Such planning enables:

- a. key decisions to be made at the right time
- b. senior managers to know when papers are required and ad hoc demands on staff minimised
- c. the scheduling of Board and Board Committee meetings to be coordinated
- d. Board members to reserve dates for meetings well in advance
- e. the weight of business presented to any one meeting to be managed
- f. key deadlines to be met.

Executive attendance at meetings

35. The non-executive members of the Board will meet for a short session at the start of each meeting.

36. Members of the Executive and the Institute's Legal Adviser will normally attend meetings of the Board (other than the initial meeting identified in para 35). The Deputy Director responsible for finance and commercial will attend for the consideration of financial matters. On occasion non-executive board members may be asked to withdraw from the meeting for specific items of business. Other

members of staff may be requested to attend meetings of the Board to support the consideration of specific items of business.

Committees and Sub-Committees

37. The Board may establish Committees and any Committee established by the Board may establish Sub-Committees.¹² Board Committees and Sub-Committees may be established permanently or on a time-limited basis, for example to undertake a specific review. Only the Board may wind up a Committee or alter its purpose. The Committee which established a Sub-Committee may wind it up or alter its purpose.
38. Any Committee or Sub-Committee established will report back frequently on its work to the Board or Committee.
39. Membership of Committees and Sub-Committees must include at least two members of the Board or the Institute's staff. The membership of a Committee of the Board may include persons who are not Board members. The membership of a Sub-Committee may include persons who are not members of the Board Committee or of the Board.
40. Appointments to Board Committees and Sub-Committees will be for a period of up to three years or, in the case of members of the Board, until the Member's appointment to the Board expires. Appointments are renewable where appropriate.
41. The Board may make arrangements with the Secretary of State's approval for the payment of such remuneration and allowances as it thinks fit to any person who is a member of a Board Committee or Sub-Committee but is not a Board Member or a member of staff of the Institute.

¹² 2009 Act, paragraph 7 of Schedule A1

42. Membership of Committees and Sub-Committees, including the identification of a Chair of such Committees and Sub-Committees, will be proposed by the Chair of the Committee or Sub-Committee and agreed by the Board.
43. Terms of reference for Committees and Sub-Committees will be agreed by the Board. The Committee with responsibility for Audit should include at least one member with substantial financial / accounting / auditing experience.
44. Subject to the exception set out in Schedule A1 to the 2009 Act¹³ (see below) the Board may delegate its functions to the Chair, another Board Member, a Committee or Sub-Committee.
45. If the Chair is not a member of a Committee or Sub-Committee, they have the right of attendance at any meeting of that Committee or Sub-Committee in an observatory capacity. The Chair will not be entitled to vote on any matter before that Committee or Sub-Committee unless they are a member.
46. Chairs of Board Committees and Sub-Committees may meet as a group to discuss matters of mutual interest. If such a meeting is required a request should be made to the Board Secretary who will make arrangements. The Chair and Deputy will be invited to any such meeting.
47. The Board has established a number of permanent Committees which are detailed at Annex D.
48. The Board must at least once in any five-year period review its committee structure and the scope of each Committee's activities.

Role of Board members in supporting the Board's work programme

¹³ 2009 Act, paragraph 9 (2) of Schedule A1

49. Effective corporate governance requires that Board members abide by certain principles when making their own contributions to Board business, including:

- a. working co-operatively with fellow Board members in the Institute's best interests
- b. reaching a view on issues based upon proper and impartial consideration of the facts presented and not on the basis of predetermined or partisan views
- c. supporting corporate decisions whatever one's personal view on the matter under discussion
- d. respecting any decision of the Board that an item of business should remain confidential unless there is a legal requirement to waive confidentiality
- e. declaring any potential conflict of interest arising from discussions of business or from other aspects of membership

50. All Board members will contribute to the effectiveness with which the Board carries out its business by:

- a. playing a full and active role in Board meetings
- b. regular attendance at formal and informal meetings of the Board
- c. being adequately prepared for meetings
- d. respecting the Chair's authority in respect of the management of meetings

51. The Board must work within the delegated framework and the agreed rules which it has set. Some basic procedural rules are set out at Annex B of this framework. These cover such matters as rules of procedure for meetings of the Board and

any Committees or Sub-Committees including convening of meetings, quorum, voting, declarations of interest and the publication of papers. It is the responsibility of the Chair of each forum, guided by the Board Secretary, to ensure that these procedural rules are adhered to.

Delegations

52. Schedule A1 to the 2009 Act (as inserted by the Enterprise Act) enables the Board to delegate its functions to others with some limits.
53. The Board may delegate some of its functions to a member of the Board, a member of the Institute, a Board Committee or any other person. Any such delegation will be recorded as a formal resolution of the Board. Regardless of any delegation the Board remains ultimately accountable for and must take corporate responsibility for action taken.
54. A Board paper may ask for the final decision, or an aspect of a decision, to be delegated to the Chief Executive, either alone or jointly with the Chair. Such delegations may be subject to the completion of some final pieces of work. When the decision required is strategic, long term or complex in nature it will usually be delegated to the Chief Executive in consultation with the Chair. Decisions of an operational nature will usually be taken by the Chief Executive alone.
55. The Board will have the opportunity to review and adjust these delegation requests when it considers the paper requesting the delegation. Any person to whom it is proposed to make a delegation should be consulted before the Board paper is finalised.
56. When the Chief Executive is absent from the office for a period of time they will delegate their functions to another member of the executive. This delegation will be recorded. In the absence of the Chief Executive any action delegated to a member of the executive may be carried out by the person acting in that role.

57. In the absence of the Chair any delegations made to them may be taken by the Deputy.
58. The Board delegates to the Chief Executive, in consultation with the Chair, or in the absence of the Chair the Deputy, as appropriate, the discharge of all statutory functions other than:
- a. any matter reserved to the Board
 - b. any matter delegated to a Committee of the Board
59. Detail of the delegation of functions is given in the Scheme of Delegation at Annex E.
60. The Chief Executive, in consultation with the Chair, or in the absence of the Chair the Deputy, may delegate the discharge of some of the functions of the Institute to one or more members of staff. The Chief Executive will keep a list of such delegations.
61. The Board may make delegations or vary, revoke or add to existing delegations. Any delegation made by the Board may be limited or made subject to any conditions, for example, the Board may delegate a function only for a limited period of time or for a particular matter.
62. The Board may discharge a function itself even though it has delegated the discharge of that function.
63. The Board delegates to each Board Committee the discharge of those functions that fall within their respective terms of reference other than any matter reserved to the Board. The Board may instruct staff, or Board Committee, as to how to exercise a delegated authority.

64. Unless the Board imposes a condition to the contrary, a Board Committee may delegate the discharge of a function to a Sub-Committee subject to any conditions imposed by that Committee.

65. The Board authorises the Chief Executive to sign contracts or other documents on behalf of the Institute and to delegate this authority to one or more members of Institute staff.

Removal of the Chair and members of the Board

66. The Chair and members of the Board may only be removed from office by the Secretary of State on either of the following grounds:

- a. inability or unfitness to carry out the duties of office
- b. absence from the Institute's meetings for a continuous period of more than six months without the Institute's permission¹⁴

67. The Board does not therefore have the statutory power to remove the Chair from office. In the event that either of the grounds for removal are met, the Board may however make a submission to the Secretary of State asking him/her to remove the Chair. The Board does have the power to remove the Chief Executive.

Code of Conduct

68. Board members will comply with the Code of Conduct for Members of the Board as set out at Annex C.

Reviewing the Board's performance

69. The Board will review its own performance and that of its Committees regularly. A summary of the findings will be included in the Institute's Annual Report and Accounts.

¹⁴ 2009 Act, paragraph 3 of Schedule A1

70. The Chair will review the performance of all Board members regularly. The Chair's performance will be reviewed annually by an appropriate process.

Review of the Governance Framework

71. This Governance Framework will be reviewed after six months of operation and thereafter as and when required by the Board, but at least once every twelve months.

Annex A – Terms of Reference for the Institute’s Board

1. The Board of the Institute is established by the Apprenticeships, Skills, Children and Learning Act 2009 as amended by the Enterprise Act 2016.

Membership

2. The Act states that the Board consists of:
 - a. the Chair
 - b. the Chief Executive
 - c. between 4 and 10 other members appointed by the Secretary of State¹⁵
3. The Board members, with the exception of the Chief Executive, are known as non-executive members.
4. Non-executive members:
 - a. will hold and vacate office in accordance with the terms of their appointment
 - b. may resign from office at any time giving written notice to the Secretary of State.
 - c. must not be appointed for a term of more than five years
 - d. can be re-appointed for further terms¹⁶
5. Alternates are not permitted.

Role

6. The Board will act on a collective basis. It has collective responsibility for:

¹⁵ 2009 Act, paragraph 2 of Schedule A1

¹⁶ 2009 Act, paragraph 3 of Schedule A1

- a. establishing the strategic direction of the Institute in line with the annual strategic guidance issued to the Institute¹⁷ and ensuring it discharges its statutory duties as set out in the Act and within the resources framework available
- b. determining the steps necessary to deal with any developments which are likely to affect the Institute's ability to discharge its statutory functions and keeping the Minister of State for Apprenticeships and Skills informed if any such developments arise
- c. ensuring that any statutory or administrative requirements for the use of public funds are complied with
- d. ensuring that the Institute operates within the limits of its statutory authority and any delegated authority agreed with DfE, and in accordance with any other conditions relating to the use of public funds and that, in reaching decisions, the Board acts in accordance with *Managing Public Money* and any subsequent guidance issued by central Government
- e. ensuring that it receives regular financial information concerning the management of the Institute; is informed in a timely manner about any concerns about the activities of the Institute; and provides positive assurance to DfE that appropriate action has been taken on such concerns
- f. demonstrating high standards of corporate governance at all times, including by using the independent audit committee to help it address key financial and other risks.

Duties

7. The main duties of the Board are set out in the matters reserved for the Board (see Annex C).

¹⁷ 2009 Act, s ZA2 (2)

8. The Board will constructively hold the executive to account in the delivery of the Institute's functions.
9. The Board will set the tone of the organisation, leading by example.

Access

10. Meetings of the Board will normally be attended by the Deputy Director Corporate Effectiveness, the Deputy Director Finance & Commercial, the Board's Legal Adviser and the Board Secretary. Any other members of staff may be asked to attend meetings to assist the Board with its discussions on any particular matter.
11. The non-executive members of the Board will meet without any members of the executive team for a short session at the start of each meeting. This gives the opportunity for non-executive members to raise with the chair any matters of concern.
12. The Board may ask any or all of those who normally attend but who are not members of the Board to withdraw to facilitate open and frank discussion of particular matters.
13. A nominated Board member shall act as an access point for members of the Executive under the whistleblowing policy.

Meetings

14. The Board shall normally meet six times a year. The Chair of the Board may call additional meetings as he deems necessary.
15. A quorum shall be considered to be four members of the Board.

Reporting

16. Minutes will be taken of each meeting of the Board and will be ratified as an accurate reflection of the meeting at the subsequent Board meeting.

17. All papers will be public unless there is valid non-disclosure reason under the Freedom of Information Act 2000.
18. The Board will receive formal reports from each of the Board Committees in line with their individual terms of reference.
19. The Board will account for the activities of the Institute to Parliament in line with the Framework agreement.

Review

20. These terms of reference form part of the Institute's Governance Framework and will be reviewed each year when that framework is reviewed.

Annex B - Rules of procedure for meetings of the Board

Introduction

1. The Institute for Apprenticeships was established under the provisions of the Enterprise Act 2016, as inserted into the Apprenticeships, Skills, Children and Learning Act 2009 (“the 2009 Act”). The Institute is a Crown non-departmental public body.

Frequency of meetings

2. The Board shall meet at least six times in each financial year. The period between consecutive meetings of the Board shall be no greater than three months.
3. An emergency meeting of the Board may be called by the Chair or the Chief Executive where in their opinion an urgent matter has arisen, or following receipt of a written request to the Board Secretary, signed by at least two Board members, setting out the reason why a special meeting is required.
4. The Board may also hold development and strategy events. The purpose of such events will be to provide an opportunity to reflect more thoroughly on strategy and key issues and also to develop its working practices.

Location of Board meetings

5. Board meetings will usually be held in London or Coventry but may on occasion be held elsewhere. In exceptional cases Board members may participate in a meeting by video conference, telephone or any communication technique that allows all persons participating in the meeting to hear each other and to participate effectively.

Notice of meetings

6. Board meetings will normally be called well in advance and, in any event, with a minimum of five clear working days' notice. A Board meeting may exceptionally be called at less than five clear working days' notice. Notice of a Board meeting will be given to Board members in writing (including by email). Failure to receive notice of a Board meeting will not invalidate that Board meeting or any business transacted at it.

7. By the end of each calendar year, the Board Secretary will propose, for the Board's approval, a schedule of meetings of the Board and any Committees currently established for the financial year commencing the following April.

Agenda and papers

8. The agenda and papers for Board meetings will normally be circulated at least five clear working days in advance of the meeting.

9. The papers for each meeting shall comprise:
 - a. an agenda drawn up by the Board Secretary in consultation with the Chair and Chief Executive which shall indicate the matters to be discussed at the meeting

 - b. a copy of the draft minutes of the last Board meeting

 - c. reports covering the statutory functions of the Institute, including the exercise of delegated authorities

 - d. such other supporting documents and information relevant to the matters to be discussed as the Chief Executive may think appropriate

10. Non-receipt of papers by individual Board members does not invalidate a Board meeting or any business transacted at that meeting.

11. Where a meeting of the Board is called at short notice the Board Secretary shall distribute notice of the meeting and the papers relating to the business to be transacted at the earliest practical opportunity. Papers may be distributed by email.
12. With the permission of the Chair, papers may exceptionally be tabled at a Board meeting or circulated after the agenda.

Executive attendance at meetings

13. Members of the Executive and the Institute's Legal Adviser will normally attend meetings of the Board. On occasion executive staff may be asked to withdraw from the meeting for specific items of business. Other members of staff may be requested to attend meetings of the Board to support the consideration of specific items of business.

Other attendees at meetings

14. The Board may invite other individuals to attend meetings of the Board; for example, the Board may wish to hear a particular stakeholder's point of view on a matter. The invitation may be for the entire meeting or for specific items, and the invitee is not obliged to attend. Any individual attending a Board meeting in this capacity will not be entitled to vote and may be asked to withdraw from the meeting at any point.

Quorum

15. Any decision made by a properly constituted Board satisfying the requirements of these procedure rules shall be deemed to be a decision made by the Board.
16. In order to ensure that there has been proper input to, and scrutiny of, decisions it is necessary to have a quorum for meetings of the Board. The quorum for meetings of the Board shall be four Board members appointed at that time.

17. If a Board member cannot participate in a discussion and/or vote on any matter as a result of a declaration of interest (see the Code of Conduct for Members of the Board) they will not count in the quorum for that item.
18. If a quorum is not available for the discussion of any matter(s) this will be recorded in the minutes and the decision made will be ratified at the next quorate meeting of the Board.
19. If a Board meeting becomes inquorate during the course of the meeting any decisions made will be ratified at the next quorate meeting of the Board. If those members present at an inquorate meeting determine that a decision that falls to be taken by that meeting is of such significance that the decision should be taken by a quorum, that decision may be taken under the deferred decision provision at paragraphs 32 to 34 below.
20. All or any of the Board members may, in exceptional cases, participate in a Board meeting by video conference, telephone or any communication technique that allows all persons participating in the meeting to hear each other. Board members participating in this manner will be deemed to be present at the meeting, entitled to make decisions, vote, and be counted in the quorum.
21. Written comments on agenda items submitted by a Board member who is absent may be circulated to those Board members that are present and read out at an appropriate point in the meeting. This provision does not apply to members who are not permitted to participate in a matter as a result of the declaration of a conflict of interest.

Chair

22. If present, the Chair will preside over all Board meetings.
23. In the absence of the Chair, whether temporarily on the grounds of a declared conflict of interest or otherwise, the Deputy will chair the meeting.

24. In the event that both the Chair and Deputy are absent and the Chair has not nominated a Board Member to chair the meeting, a Board Member, chosen from amongst those present, will chair the meeting. In the event that this is necessary the Board Secretary will seek a nomination for Chair from amongst those present that members must agree on.

25. It is the responsibility of the Chair or member presiding at the meeting to:

- a. decide the order in which Board members will speak, ensuring that adequate views are sought in order to make informed decisions
- b. determine all matters of order, competence and relevance
- c. decide which matters are or are not out of order in terms of the meeting
- d. determine whether a vote is required
- e. maintain order in the meeting
- f. adjourn the meeting, if necessary, for whatever period of time they believe is appropriate.

Conflict of interest

26. All Board members must comply with the procedure for conflicts of interest set out in the Code of Conduct for members of the Board at Annex B1.

Order of business

27. The normal order of business at every meeting of the Board shall be:

- a. where the Chair and Deputy are both not present and the Chair has not nominated a Board member to chair the meeting, to select a member to chair the meeting
- b. to conduct non-executive discussion to enable any concerns to be raised
- c. to receive any apologies for absence
- d. to consider any declarations of interest
- e. to receive, modify (if necessary) and approve as a true and accurate record the minutes of the previous Board meeting; once approved the minutes will be signed by the Chair
- f. to deal with any matters arising from the minutes of the previous Board meeting in the order in which they appear
- g. to receive a report on any urgent decisions taken between meetings
- h. to consider such business as is set out on the agenda for the meeting
- i. to receive reports and recommendations from any Committee, Sub-Committee, of the Board
- j. to consider if the open Board papers may be published
- k. to consider, at the discretion of the Chair, any items of other business
- l. to consider any matters presented to the Board for information only.

28. The order of business may be varied by resolution of the Board at the Chair's discretion.

Voting

29. Decisions of the Board will normally be made by consensus rather than by formal vote. Failing consensus, decisions will be made by a vote when:

- a. the Chair (or in the Chair's absence the Deputy or member acting in that capacity) feels that there is a body of opinion amongst Board members at the meeting that disagrees with a proposal or has expressed reservations about it and no clear consensus has emerged
- b. a Board member who is present requests that a vote be taken and this is supported by at least one other Board member
- c. the Chair feels that a vote is appropriate.

30. If a vote is taken, the number voting for, against and any abstentions shall be recorded in the minutes. The Chair will cast their vote at the same time as the Board. Voting shall normally take place by a show of hands or such other means of assent or dissent as the Chair deems appropriate.

31. In the event of an equality of votes, the Chair shall have a second and casting vote. The decision will be carried by a simple majority. The Chair's ruling as to the outcome of such a vote shall be final.

Deferral of decision

32. Any Board member may propose to defer a decision on an agenda item in order that the Board can be provided with additional information to support the taking of that decision, or for any other reason. If this is agreed, the decision to defer the taking of the decision, together with the reason for doing so, will be recorded in the minutes of the meeting together with a proposed timescale for returning the matter to the Board for consideration.

33. A deferred decision may be taken through postal or email correspondence outside of the Board meeting, where this is agreed in the meeting.
34. All deferred decisions taken between Board meetings will be reported on and reflected in the minutes of the Board meeting subsequent to the decision being taken.

Urgency

35. During the course of the Institute's business, matters may arise between scheduled Board meetings that require urgent Board approval or discussion and cannot be postponed until the next convened Board meeting. Where decisions that would ordinarily be taken at Board meetings have to be made on an urgent basis they may be taken by the Chair, in consultation with the Chief Executive. A decision taken under this provision will be reported at the next Board meeting together with an explanation of the reasons for urgency. The decision will be recorded in the minutes of the Board meeting to which it is reported.
36. If the Chair and the Chief Executive, consider the urgent decision to be of a significant nature they will request the Board Secretary to arrange for the matter to be decided or discussed via electronic business or at an emergency Board meeting. The Board Secretary will be instructed to convene such a meeting.
37. In the case of a decision made by electronic business, in order for a recommendation to be approved:
- a. a response must be received from at least four Board members appointed at that time;
 - b. a majority of the responses received must be in favour of the recommendation.
38. The procedure for taking decisions by electronic business is at Annex B3 of this document.

39. If the Chair is unavailable, then the views of the Deputy will be sought on the matter. Similarly, if the Chief Executive is unavailable then the views of the member of the Executive nominated as acting Chief Executive, normally the Deputy Chief Executive, will be sought in their absence.

Governance and records

40. Any point of order alleging a breach of these procedure rules shall be heard immediately. The Chair's ruling on the point of order shall be final.

41. The Board Secretary or their representative will be present at meetings of the Board and any meetings of a Committee or Sub-Committee of the Board to advise and record any decisions made. If the Board Secretary or their representative is not present, no decision will be deemed to have been taken. The Chief Executive or the Chair will agree any representative of the Board Secretary.

42. The Board Secretary shall be responsible for ensuring that the minutes of the meeting, including a record of any resolution passed by the Board and any Committee or Sub-Committee, are retained. The Chair (or in the Chair's absence the Deputy or Board member acting in this capacity) will be asked to agree the minutes before they are presented to the Board for approval at the next Board meeting; once approved the minutes will be signed by the Chair.

43. Once approved by the Board the open minutes will be published on the Institute's website. Open papers will be published on the Institute's website shortly after the Board meeting at which they were considered. At the end of each meeting the Board will be asked to confirm that the open papers may be published; any material considered to be confidential will be redacted before publication.

Reserved matters

44. These matters are set out in Annex C and are reserved to the Board for decision. This does not preclude other matters being referred to the Board for decision.

45. Where it is a matter of judgement as to whether a matter is reserved to the Board or not the Chair in consultation with the Chief Executive (or in the absence of the Chair the Deputy) will determine whether the matter is reserved to the Board and should be referred to the Board.

Code of Conduct

46. Board members will comply with the Code of Conduct set out at Annex B1 at all times.

Application of Board procedure rules to Committees and Sub-Committees

47. These rules, where they can be appropriately applied, apply to all meetings of the Board, its Committees and Sub-Committees. These rules of procedure will not apply where the specific rules of procedure for the Committee or Sub-Committee already make provision for the activity to be undertaken and/or procedure to be followed at meetings of that Committee or Sub-Committee.

Annex B1 - Code of Conduct for Members of the Board

Introduction

Board members must observe the [Code of Conduct for Board Members of Public Bodies](#) at all times and in particular whenever they conduct Board business or act as a representative of it.

1. Board members must also abide by all Institute policies, with particular regard to the following policies:
 - a. Conflict of Interest
 - b. Whistleblowing
 - c. Gifts and Hospitality

2. The Board may add to this Code of Practice.

Annex B2 - Rules for dealing with Conflict of Interest

1. All Board members must declare any personal or business interests which may conflict with their responsibilities as members of the Board.

Register of interests

2. The Board Secretary shall maintain a Register of Board members' disclosable interests which shall be a public document and shall be reviewed from time to time to ensure that it remains accurate and up to date. Extracts from the Register will be published on the Institute's website. The purpose of the Register is to ensure transparency in relation to any interests of Board members, or of their spouses, partners and dependent children, that have the potential, or might be perceived as having the potential, to give rise to a conflict of interest.
3. For each Board member the Register must contain details of any of the following held or carried by that Board member, their partner, or immediate family:
 - a. employment details for the Board member including directorships and membership of directing bodies
 - b. details of any contracts to which the Board member is party and which will result in remuneration or receipt of grant
 - c. names of any organisations in which the Board member has a significant shareholding or other financial interest
 - d. details of any membership by the Board member of a professional body, subject association or trade union
 - e. any other interests that the Board member believes should be brought to the attention of the Institute

4. It is the duty of each Board member to declare to the Board Secretary any matter that is required to be included on the Register. If a Board member is in doubt as to whether a particular matter should be declared, they should declare it and the Board Secretary (in consultation with the Chair if appropriate) shall decide whether it should be included on the Register.
5. A Board member shall make a declaration of interests for the purposes of the Register immediately on taking up appointment as a Board member, and shall subsequently declare any new matter that is required to be included on the Register as soon as possible after it arises.
6. Board members may be required at any time to confirm to the Board Secretary that their current entries on the Register are accurate and up to date and the Board Secretary will ask them to do so at least once in every year. Each Board member must sign a form to confirm the accuracy of their entry on the Register if requested to do so by the Board Secretary.

Declaration of conflicts of interest at meetings of the Board

7. Before any item is discussed at a Board Meeting each Board member must disclose any conflict of interest that they believe may arise in relation to that item. If a Board member is in any doubt as to whether a particular matter constitutes a conflict of interest that should be disclosed, they should disclose it.
8. The Chair (or, in the absence of the Chair, the Deputy or other member acting in that capacity for the meeting in question) will decide if a matter disclosed by a Board member amounts to a significant conflict of interest that would prevent that Board member from participating in the discussion of the item under discussion. They may take advice from the Board Secretary and/or Legal Adviser in deciding this.
9. Where the Chair (or, in the absence of the Chair, the Deputy or other member acting in that capacity for the meeting in question) decides that any Board member does have a conflict of interest and that interest is of such significance

that the member should not participate in the item under discussion, that member should withdraw from the meeting.

Annex B3 – Procedure for electronic business

1. The Board Secretary will manage the process for electronic business set out below:
 - a. Papers will be produced for all items of electronic business clearly setting out the recommendations to the Board and options considered together with any supporting analysis necessary.
 - b. The Board Secretary will agree with the report author and the Chair a timeline for a decision to be taken. This will include sufficient time for the Board to read the report, seek clarification on the issues raised and to confirm the Board's decision on the recommendations in the report.
 - c. The Board Secretary will circulate the report to the Board electronically. Questions or points of clarification should be directed to the Board Secretary who will arrange for a response to be drafted and circulated to all Board members in line with the agreed timeline.
 - d. Board members should confirm their decision on the recommendations in the report by the deadline indicated in the timeline. Once this deadline has passed the Board Secretary will confirm to the Board and report author the decision of the Board.
 - e. In order for a recommendation to be approved:
 - a response must be received from at least four Board members
 - a majority of the responses received must be in favour of the recommendation

Annex C – Matters reserved to the Board

The following matters are reserved to the Board for decision.

Institute policy

1. Approval of the Institute's strategy and forward programme of work.
2. Approval of major items of Institute policy and associated criteria that raise new issues of principle including the:
 - a. Development and Approval process for apprenticeship standards and assessment plans
 - b. Approach to securing evaluations of apprenticeship assessments
 - c. Approach to reviewing, securing improvements or publishing recommendations where there is a risk around the quality of an apprenticeship assessment
 - d. Approach to the quality assurance of apprenticeship end point assessments
 - e. Approach to reviewing standards and assessment plans
 - f. Setting of quality thresholds and the ongoing review of the quality threshold for all approvals, reviews, securing improvements and withdrawal of standards and assessment plans
 - g. Approach to providing advice to the Secretary of State, including on funding bands
 - h. Approach to using data to inform activities
 - i. Approach to cross organisational engagement

3. Approval of the Institute's communications strategy.
4. Matters of strategic importance requiring public consultation and decisions arising from that consultation.

Organisational issues

5. Approval of the annual budget and any material changes to it.
6. Approval of the annual report and accounts, including readiness to lay before Parliament.
7. Decisions to commence or defend significant litigation.
8. Approval of the Institute's response to any significant external consultation of strategic importance to its functions.
9. Approval of any delegation in accordance with this Governance Framework and the variation or rescinding of any such delegation.

Management issues

10. Approval of major changes to the Institute's structure.
11. Determining the reward strategy for the Institute, including those performing services to the Institute.
12. Approval and strategic monitoring of the Institute's Health and Safety policies.
13. Oversight of the capability/capacity of the Institute to meet its statutory objectives.
14. General oversight of the discharge by the Executive of the Institute's business.

Contractual and other obligations with third parties

15. Approval of contracts in the ordinary course of business above £100,000.
16. Approval of any memoranda of understanding or formal agreements of strategic importance that the Institute may enter into with a third party.

Finance Reporting and controls

17. Review performance against the Institute's strategy, objectives and budget and ensure any corrective action is taken.

Board membership and other appointments

18. Appointment or removal of the Deputy if the Board determines that this appointment is necessary.
19. Appointment to or removal from Board Committees including identification of the Chair and the payment of such remuneration and allowances to any person who is a member of a Board Committee or Sub-Committee but who is not a Board member or a member of Institute staff.

Delegation of authority

20. Approval of terms of reference of Board Committees.

Governance

21. Undertaking regular reviews of the performance of the Board and Board Committees.
22. Approval and review of the Governance Framework other than technical changes which may be signed off by the Chair.
23. Approval and review of this schedule of matters reserved for a decision of the Board.

Statutory

24. Anything that is by law reserved to the Board.

Annex D – Permanently established Board Committees and other advisory groups

Introduction

1. The Board has established four committees:
 - Approval and Funding Committee
 - Quality Assurance Committee
 - Audit & Risk Assurance Committee
 - Remuneration Committee

2. The Board will also engage with other key industry participants through advisory panels and groups which will provide insight to and engagement with the Board. These advisory panels and groups will not be formal Board Committees and will not operate any delegated functions:
 - Stakeholder Reference Panel
 - Apprentice Panel
 - Apprenticeships Quality Improvement Group – the ‘Quality Alliance’

3. A brief summary of the core purpose of each Board Committee and panel / group is set out below.

Approval and Funding Committee

4. The Approval and Funding Committee will have delegated authority from the Board to make final decisions on whether to approve or reject standards and assessment plans that have been scrutinised by the Route Panels and where the Route Panel has made a preliminary determination.¹⁸ It will also ratify the funding band recommendations. The Executive will facilitate these processes and make final recommendations based on the Route Panels determinations, whether or not due process has been followed and any other evidence based insight available to the Executive.

¹⁸ 2009 Act, sections A2 and A2A

5. This Committee will meet frequently in order to expedite Approvals on behalf of the Board. Its meetings will be scheduled monthly (except August) and notice of cancellation will be provided by the Executive if there are no decisions required.
6. The membership will be three Board members. Two Board members will be identified for the duration of their Board membership, and the other position will rotate between remaining Board members. Quorum will be two Board members and decisions may be made by a simple majority. Business can be conducted electronically as this is a final ratification stage.
7. Route Panels, Peer Reviewers and the Executive will all feed into the Approval and Funding Committee (see below for more detail on the route panels and peer reviewer roles).
8. There will be a right of appeal (from the proposing trailblazer groups) to the full Board and the opportunity for the Approval and Funding Committee to remit any proposal that raises significant questions of policy or precedent to the Board for the consideration for the full Board.
9. There will be no right of appeal from the Executive; if, however, there is a significant concern about the exercise of a delegated authority, there will be a nominated Board member to whom the concern can be taken, in line with the whistleblowing policy.

Route Panels – not a Board Committee

There will be 15 sector-based Route panels of industry experts and assessment experts who will review and make considered determinations on whether or not to approve new or revised apprenticeship standards and assessment plans. They will bring a strategic perspective across each route.

The Route Panels will be convened when needed for the review of proposed standards and assessment plans. Their recommendations will feed into the Approval and Funding Committee via the Executive.

Peer reviewers – not a Board Committee

Reviewers of standards and assessment plans, providing commentary and recommendations to the relevant Route Panel.

Quality Assurance Committee

10. The role of this Committee is to review whether or not standards or assessment plans remain fit for purpose and whether end point assessments are being operated effectively.¹⁹ It will act as an expert adviser to the Board. This Committee will make recommendations to the Board on:
 - when to carry out or commission a regular review of standards and assessment plans and where there is a concern about the quality of assessments
 - Determining whether or not improvements are required to the quality of assessments and who must make these improvements
 - Determining whether or not reporting to the Secretary of State or other body is necessary
 - Determining whether or not a standard or assessment plan should be revised or withdrawn
 - Monitoring the consistency of End Point Assessment (EPA) delivery between the four External Quality Assurance (EQA) routes
11. This Committee will meet at least four times a year. This Committee will be chaired by a designated Board member and membership will comprise of three independent members (each with significant expertise in assessment), one additional Board member and up to two senior Institute staff. Quorum will be three members at least one of which must be a Board member.

¹⁹ 2009 Act, sections A2B – A2F

12. There will be no right of appeal from this Committee as decisions will be made by the Board.

Audit and Risk Assurance Committee

13. The purpose of this Committee is to support the Board in its responsibilities in terms of control, governance and risk management.
14. This Committee will meet four times a year. It will consist of at least two and no more than four Board members. The Committee may co-opt up to two external members who are independent of the Institute to fill any skills gaps. Quorum is two members.

Remuneration Committee

15. The purpose of this Committee is to establish and conduct a formal and transparent process for the remuneration packages for the Chair of the Institute, the CEO, Committee members, Route Panel Chairs and members and any other external members.
16. This Committee will meet twice a year. It will consist of at least two and no more than four Board members. Quorum is two members.

Stakeholder Reference Panel

17. The purpose of this Panel is to help the Board access a broad range of views and expertise about the impact of the Institute's work on apprenticeship quality and take-up through the involvement of a wide group of sector representatives. Its focus will be on dialogue and engagement as well as providing insight to the Board.
18. This panel will meet at least twice a year. It may meet on an ad hoc basis as required, for example, where its input is sought on the policies under development.

19. It is an advisory panel. There will be no decision making powers delegated to this panel. The panel will be chaired by either the Chair or the Chief Executive who will provide updates to the Board. Board members may attend the panel.

Apprentice Panel

20. The purpose of this Committee is to provide an apprentice perspective to the Board and to help ensure that apprentice views are adequately considered and represented within the Institute's policy making process. It will provide an opportunity for engagement and panel members will be encouraged to consult more widely with other apprentices in order to bring a range of perspectives to this panel.
21. This panel will meet at least four times a year. It may meet on an ad hoc basis as required, for example, where its input is sought on the policies under development.
22. It is an advisory panel. There will be no decision making powers delegated to this panel. Two representatives from the panel will attend the following Board meeting to provide input on the issues discussed by the panel.

Quality Improvement Group 'Quality Alliance'

23. This group, chaired by the Institute's Chief Executive, brings together the various government bodies whose roles together ensure the quality of apprenticeships. Its role will be to monitor quality across the sector and build effective coordination to improve quality where appropriate.
24. The group will meet quarterly and its membership will include the Chief Executives, Chief Regulators or their nominees of the following organisations:
 - Education and Skills Funding Agency (National Apprenticeship Service)
 - Ofsted
 - Ofqual
 - HEFCE (The Office for Students)
 - Quality Assurance Agency

- DfE

The outputs of this group will be reported openly to the Institute's Board.

Annex E – Scheme of Delegation

1. The Scheme of Delegation (set out below) is a schedule setting out various powers of authority by post holder. The principles of the Scheme of Delegation are as follows:
 - No financial or approval powers can be delegated to an officer in excess of the powers invested in the delegating officer.
 - Powers may only be delegated to officers within the organisational control of the delegating officer.
 - All delegated powers must remain within the financial and approval limits set out in the Schemes of Delegation.
 - All powers of delegation must be provided in writing, duly authorised by the delegating officer. Any variations to such delegated powers must also be in writing.
 - All applications for short-term powers of delegation which are not intended to be permanent, such as holiday cover, must be provided in writing by the delegating officer, prior to the period for which approval is sought.
 - Any officer wishing to approve a transaction outside their written delegated powers must in all cases refer the matter to the relevant line manager with adequate written powers, before any financial commitments are made in respect of the transaction.
 - A power is delegated on condition that it cannot be further delegated. Where this is not the case, the extent of the authority to delegate onwards must be stated in writing by the initial delegator, and details also provided in writing to the nominated Executive member.

2. Delegated limits to the Institute are set out in the Framework Document agreed between the DfE and the Institute. These are replicated below:

These delegated limits must be used in accordance with section 21 of the Framework Document, which sets out areas where the Institute should seek DfE approval before incurring any expenditure.

Capital Expenditure

Expenditure on the signing of new leases, renewals of existing leases, the non-exercise of lease break options, any new property acquisitions, new build developments, sale and leaseback, and any freehold sales as part of national property controls.	£100,000
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Gifts

The Institute shall record all gifts received in a gifts register.

Gifts received by the Institute	Unlimited
Gifts given in a financial year, any one gift or total of gifts to one person/organisation	£500

Losses and special payments

The write-off of losses or approval of special payments should only be carried out by staff authorised to do so by and on behalf of the Institute's accounting officer.

Losses, special payments, guarantees and indemnities	£20,000
Consolatory payments	£500

Special severance payments are novel and contentious and always require HMT approval. All redundancy payments outside contractual terms require DfE and Cabinet Office permission in all cases.

Contracts

Unlimited authority for contracts, subject to section 21 and the following exceptions which all require Cabinet Office approval, and in some instances, DfE clearance:

	DfE limits	Cabinet Office limits
Property, including facilities management	n/a	£100,000
Commercial control, including disputes <i>(the Institute must inform Cabinet Office and DfE of <u>any</u> dispute with a Government Strategic Supplier where the dispute is proposed for escalation to mediation, binding arbitration, could enter a formal dispute stage, or may result in early termination of a contract, but only seek Cabinet Office clearance for any settlement likely to exceed £10m)</i>	n/a	£10m
Advertising, marketing and communications	No lower limit – any contracts of this type	£100,000
Expenditure on any external facing digital service delivered through the internet	£25,000	£100,000
Digital projects using ID Assurance for the general public, domain name registration, any external facing digital transaction, websites or mobile apps	No lower limit – any contracts of this type	No lower limit – any contracts of this type
ICT contracts	£250,000	£5m
Services also delivered by independent shared service centres (back	n/a	£1m

office/administrative systems including finance, procurement and HR)		
Consultancy in cases where: new contracts are expected to exceed 9 months, existing contracts are to be extended beyond 9 months, or the expenditure is on procurement related consultancy	n/a	£20,000
External recruitment	£142,000	£142,000

DfE Referral Process

The Institute must refer all expenditure which exceeds the levels detailed in this appendix, or for which HM Treasury cannot delegate authority, to the DfE sponsor team as a business case covering:

- The nature and circumstances of the case;
- The amount involved;
- The legal advice (where appropriate);
- The management procedures that have been followed (including recovery procedures where the case is for a write-off);
- An assessment of the value for money argument;
- Any non-financial aspects such as presentational sensitivity;
- Whether there could be wider impact from the case.

When expenditure requires Cabinet Office approval, the Institute will notify the sponsorship team that it is seeking this approval and copy the relevant approval form to the sponsorship team when it is submitted to Cabinet Office.

General Scheme of Delegation

Functions of the Chief Executive	Delegated Executive and Financial Authority	Notes
Authority to share information held by the Institute with other persons.	Deputy Chief Executive	In accordance with the relevant public sector MoUs
Entering into contracts for the provision of goods and services to the Institute	Deputy Directors within their area of responsibility	In accordance with the Delegation of Financial Authority.
Authority to determine the organisation structure including number and grades of staff	None, remains with the Chief Executive.	This will normally be exercised by the CEO in conjunction with the Executive team
Authority to determine pay and conditions	None, remains with Chief Executive following consultation with Remuneration Committee	Subject to agreement with DfE - annual pay remit.
Authority of change the mix of grades of staff	Deputy Directors within their area of responsibility, remaining within their budget allocation.	No increase in the number of posts at SCS level can be made without the agreement of the Chief Executive
Authority to appoint staff	Deputy Directors within their area of responsibility	
Authority to dismiss staff	Deputy Directors within their area of responsibility	
Authority to commence and defend legal proceedings related to the work of the Institute including the settlement of proceedings.	Deputy CEO	In accordance with the Delegation of Financial Authority.

Statutory functions

Decision	Delegated Authority	Notes
Decision to publish standards and assessment plans	Deputy CEO	
Decision to approve or reject a standard	Approval & Funding Committee	As part of the decision making process there must be consideration of whether the sector is appropriate
Decision to approve or reject an assessment plan	Approval & Funding Committee	None
Approval of groups to write standards and plans (trailblazers)	Deputy CEO	This could be Deputy Director for Approvals i.e. an internal process.
Criteria for approving or rejecting standards, assessment plans & groups.	None, reserved for the Board	This needs to cover each stage of the process – i.e. internal sufficiency review, criteria / templates that peer reviewers use, Route panel review.
Securing independent evaluation of the quality of apprenticeship assessments	Deputy Director Apprenticeship Assessment & Quality	
Decision to carry out or commission a review (where	None, reserved for the Board	

Decision	Delegated Authority	Notes
risk of unsatisfactory assessments)		
Decision to make arrangements for the improvement of assessments	None, reserved for the Board	
Decision to report on findings of unsatisfactory quality of assessments	None, reserved for the Board	Build as part of decision process for above two decisions.
Determining a monitoring plan for the regular review standards and assessment plans	Chief Executive	The Institute needs to publish information about review intervals
Decision to withdraw or revise a standard or assessment plan	None, reserved for the Board	This will include remitting back to the trailblazers and then back through the approval process
Decision to reject a proposed standard or assessment plan before an independent assessment	Deputy Director Approvals	See criteria for approvals.
Provision of funding band advice	Approval and Funding Committee	

Financial Delegations

Authorising and signing contracts/variations/extensions/contract requisition forms within budget/Corporate Plan/Additional remit				
	Reserved to the Board	CEO	Deputy CEO & Deputy Directors	Delegated Manager

Contracts	Over £100,000	Up to £100k	Up to £50k	Up to £10k
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Contract Values and Procurement				
Full OJEU Process where applicable	In line with above financial authorisation levels	3 Quotes – authorised by Delegated Manager	Single Action Tender authorised by Delegated Manager	
Over £113k	Over £10k Full Tender process	Up to £10k	Up to £2k.	

Notes

All contracts, contract variations or extensions and consultants' agreements/contracts must be approved in writing by the nominated Executive member before signing, and signed copies must be retained by Procurement.

Contract variations and extensions must follow the Scheme of Delegation.

Low-Risk Projects – for non-core, low-risk, non-commercial or politically sensitive projects: Variations/extensions must be signed off in accordance with the Scheme of Delegation for the value of that variation/extension.

High-Risk Projects – for core, high-risk, commercial or politically sensitive projects: Variations/extensions must be signed off in accordance with the Scheme of Delegation for the aggregate value of the contract including the value of the variation/extension.

Letters of termination must be authorised by a Deputy Director or above.

Non-disclosure Agreements/Confidentiality Undertakings must be authorised by a Deputy Director or above.