

## SIA Board Scheme of Delegations

### Introduction

1. This scheme of delegation confirms the decisions which have been reserved to the Board and/or non-executive directors on the Board and describes the types of decisions which have been delegated to Board committees and the Chief Executive under paragraph 9, schedule 1 to the Act. These arrangements are referred to as Board delegated powers.
2. All operational and day-to-day management decisions are delegated to the Chief Executive, in line with his or her Accounting Officer responsibilities and his or her responsibilities for managing the organisation in accordance with the strategies and business plans approved by the Board.
3. All other decisions, apart from those delegated to the Chief Executive, and where appropriate executive directors and staff, are made by the Board.
4. The **SIA Board Terms of Reference** sets out the procedures that apply where, in relation to exceptionally urgent matters, or in exceptional circumstances, the Board is unable to convene to make a decision.

### Delegations framework

5. The Board has primary responsibility for setting the strategic aims and objectives of the SIA and holding it to account for performance against its objectives.
6. The Chair and Chief Executive have a number of personal responsibilities as part of their office. The Chief Executive, in particular, in their role as Accounting Officer, has a number of responsibilities direct to the Home Office and/or Parliament.
7. The Board and Accounting Officer remain accountable for their decisions, even those they have respectively delegated.
8. Any decisions delegated can be re-assumed by the Board or the Chief Executive respectively, with immediate effect.
9. Any deviation from the **SIA Scheme of Delegations** must have prior authority from both the Chair and Chief Executive. Any deviations, whether with prior authority or not, should be formally reported to the next Board meeting either directly or through the Audit and Risk Assurance Committee (depending on when the first opportunity arises).

**Matters reserved to non-executive directors**

10. Under clause 18 of the **SIA Governance Framework**, some matters cannot be delegated in any circumstances, from the non-executive directors, acting collectively. These are:
- establishing committees of the Board and approving their terms of reference
  - approving this **SIA Board Scheme of Delegations**
  - decisions relating to the organisational structure at executive director level.

**Matters reserved to the Board**

11. The Board reserves the following matters to itself for decision:

<p><b>Accountability to Parliament</b></p>	<ul style="list-style-type: none"> <li>• Approval of submissions or reports to Parliament produced by the SIA.</li> <li>• The Chief Executive remains personally responsible as Accounting Officer for financial management of the SIA and has a number of statutory duties, as set out in paragraph 20 of this document. Decisions made by the Board that impact on these responsibilities must have the agreement of the Chief Executive. If the Chief Executive and the Board cannot agree, the matter should be resolved in line with the procedure set out in Chapter 8.3 of Managing Public Money.</li> </ul>
<p><b>Setting the SIA strategic direction</b></p>	<ul style="list-style-type: none"> <li>• Approval of the SIA’s strategic plan, normally a three- year forward-facing plan ensuring that the SIA strategic direction aligns to its framework of policy and resources agreed by the Secretary of State.</li> <li>• Approval of the annual business plan, including agreeing key performance indicator measures and the annual budget.</li> <li>• Agreement to any material budgetary changes or financial commitments that would have a significant impact on the overall levels of income or expenditure.</li> </ul>
<p><b>Setting the high-level regulatory framework</b></p>	<ul style="list-style-type: none"> <li>• Approval of strategic decisions which are fundamental to the SIA’s role as a regulator and its delivery of its core statutory functions. For example, material strategic changes to the mandatory licensing or approvals criteria.</li> <li>• Approval of the principles of any formal public consultations that the SIA conducts.</li> <li>• Approval of any recommendations made to the Secretary of State regarding amendments to the Private Security Industry Act 2001</li> </ul>

	or proposals for the maintenance or improvement of standards in the private security industry
<b>Approval of key corporate governance policies and documents</b>	<p>Approval of:</p> <ul style="list-style-type: none"> <li>• The SIA Governance Framework</li> <li>• The SIA Board Governance Protocols</li> <li>• The SIA Board Terms of Reference</li> <li>• The Home Office Framework Agreement</li> <li>• Board minutes as an accurate record of the meeting</li> </ul>
<b>Approval of other strategic matters of significant impact</b>	<ul style="list-style-type: none"> <li>• Setting the risk appetite statement</li> <li>• Stakeholder engagement strategy</li> <li>• Strategic communication plans in respect of matters which are of material public, political or reputational significance</li> <li>• Legal strategy on matters affecting the constitution of the SIA</li> <li>• Approval of decisions concerning litigation that could have a material impact on SIA's reputation, finances or operation</li> <li>• Proceeds of crime distribution principles</li> </ul>

12. This does not preclude the Chair or the Board deciding other matters, non-reserved, should come to the Board for discussion or decision. The Board may decide on any matter it wishes within its legal powers.

**Matters delegated to Board committees**

13. The Board has agreed the terms of reference for both the Audit and Risk Assurance Committee and the People Committee and remains responsible for agreeing any changes to them.

14. The Committees act in an advisory capacity on behalf of the Board to the executive and/or are tasked with making recommendations to the Board on matters requiring Board approval.

15. The People Committee must be consulted on and provide approval of cases for redundancy, early retirement where there are financial implications, settlement in connection with a legal claim relating to a former or current employee and termination where SIA is liable for a lump-sum payment. This does not override any other approvals required, for example, from the Chief Executive or Cabinet Office.
16. This does not preclude the Board delegating a specific task or matter to either committee by resolution of the Board.

#### **Matters delegated to the Chief Executive**

17. The Board has delegated all responsibility for the day-to-day management of the SIA to the Chief Executive, in line with his or her responsibilities as Accounting Officer and for managing the organisation in accordance with the strategic and business plans approved by the Board.
18. For the avoidance of doubt, the Chief Executive's responsibilities and delegated decision-making authority includes:
  - a. All the functions and powers of the SIA as set out in the Act
  - b. All matters of organisational structure below the level of executive director
  - c. Delegation of financial and other authorities to the executive directors and staff
  - d. The management of SIA employees including all staff appointments and associated human resources issues
  - e. Signing off press and public statements where the statement is on a matter of major public, political or reputational significance
  - f. Identification of significant issues to be considered by the Board.
19. The Chief Executive, as Accounting Officer, remains directly and personally responsible to the Home Office Permanent Secretary for safeguarding the public funds for which they have charge, under the terms of HM Treasury guidance Managing Public Money.
20. The Chief Executive is accountable to Parliament for:
  - Signing the accounts and ensuring that proper records are kept relating to the accounts and that the accounts are properly prepared and presented in accordance with any directions issued by the Treasury or the Home Office
  - Signing the SIA Annual Report, including the Statement of Accounting Officer's Responsibilities and the Annual Governance Statement
  - Signing a Statement on Internal Control regarding the system of internal control for inclusion in the annual report and accounts
  - Ensuring that effective procedures for handling complaints about the SIA are maintained and made widely known within the SIA

- Acting in accordance with the terms of HM Treasury guidance Managing Public Money and other instructions and guidance issued from time to time by the Home Office, the Treasury and the Cabinet Office
  - Giving evidence, normally with the Principal Accounting Officer of the Home Office, when summoned before the Public Accounts Committee on the SIA's stewardship of public funds.
21. The Board authorises the Chief Executive to appoint any SIA employee to act on his or her behalf.
  22. Executive directors have the specific duties and responsibilities set out in their job descriptions and associated decision-making delegations.
  23. Acting collectively, the Chief Executive and the executive directors are responsible for agreeing the delegation of authority below executive director level and development of an executive level scheme of delegation for the organisation.

#### **Home Office financial delegation**

24. On an annual basis the Home Office's Accounting Officer, the Permanent Secretary, gives the SIA's Accounting Officer a formal financial delegation. A separate procurement delegation is issued to the appropriate procurement officer.
25. On an annual basis the Chief Executive issues sub-financial delegation letters to executive directors and in turn to the heads of function.
26. Other decision-making delegations made to staff are set out in the executive level scheme of delegation for the organisation.