

CABOT LEARNING FEDERATION

Delegated Authority Framework

Agreed by Board of Directors 4 October 2013

Review : June 2016

Agreed by Board of Directors 14 June 2016

Organisational Delegated Authority Framework

Strategy	Is authority delegated from the Board?	CEO	CFO	Chairs of Academy Council (COAC)	Academy Council	Principal
<i>location >>></i>		<i>Central</i>	<i>Central</i>		<i>Academy</i>	<i>Academy</i>
Overall strategy of CLF	No	Responsible for setting strategy	Provides financial advice and assistance in developing strategy	Consulted during strategy development	Consulted during strategy development	Consulted during strategy development
Admission of new academies to CLF	No	Makes recommendations to the Board	Provides due diligence advice in relation to potential new academies			
Admission of new sponsors to CLF	No	Makes recommendations to the Board				
Entering into Funding Agreements	No					
Entering into leases or other legal arrangements	No, but values less than £100k and low-risk agreements can be delegated	Can sign (some cases)	Can sign (some cases)			
Approval of academy development and improvement plans	Yes			Responsible for monitoring performance of academy improvement plans and reporting exceptions to the Board	Delegated authority for approval and monitoring of academy improvement plans, reporting exceptions to the Chair of Academy Council	Responsible for development and delivery of academy improvement plans

Organisational Delegated Authority Framework

Governance	Delegated authority?	CEO	CFO	Head of Compliance	Chairs of Academy Council (COAC)	Academy Council	Principal
<i>Location >>></i>	<i>Central</i>	<i>Central</i>	<i>Central</i>			<i>Academy</i>	<i>Academy</i>
Appointment of Directors	No	Recommendations to Board					
Removal of Directors	No	Recommendations to Board					
Approval of terms of reference for subcommittees and for Academy Council	No	Recommendations to Board	Recommendations to Board	Recommendations to Board	Recommendations to Board		
Recruitment procedures for Academy Councils	No	Recommendations to Board					
Appointment of Board appointed Academy Councillors (other than the chair)	Yes	Recommendations to COAC			Approve appointment of Academy Councillors and report to Board	Recommendations to COAC	Recommendations to COAC
Appoint Chair of Academy Council	No	Recommendations to Board			Recommendations to Board	Recommendations to Board	
Removal of Academy Councillors	Yes				Approve removal of Academy Councillors and report to Board	Recommendations to COAC	Recommendations to COAC
Appoint & Remove Clerk to the Board of Directors	No	Recommendations to Board					
Appoint & Remove Clerk to the Academy Council	Yes					Appointment of clerk	Recommendations to Academy Council
Authorised to approve/amend organisational scheme of delegation	No	Recommendations to Board	Recommendations to Board	Recommendations to Board			
Take out Director Indemnity Insurance Cover	Yes		Responsible for making adequate arrangements	Support CFO			
Acquisition of legal entities	No	Recommendations to Board	Provision of professional advice	Provision of professional advice			
Maintenance of register of interests	Yes		Responsible for ensuring register is maintained	Support CFO			
Entering into, or withdrawing from, a formal partnership	No, but may be delegated in some cases based on financial value and level of risk	Recommendations to Board	Provision of professional advice	Provision of professional advice			
Maintenance of Risk Management processes	Yes	Responsible for ensuring CLF risk register is maintained	Provision of professional advice	Responsible for managing risk register and risk management processes	Reviews relevant risks and contributes to process	Reviews relevant risks and contributes to process	Responsible for ensuring Academy risk register is maintained
Approval of CLF policies not specifically referenced elsewhere within this document	No, but may be delegated in some cases based on level of risk	Makes recommendations to Board	Makes recommendations to Board	Makes recommendations to Board	Delegated authority for approval of any policies specifically delegated to COAC		

Organisational Delegated Authority Framework

Education/Curriculum	Delegated authority?	CEO	CFO	Chairs of Academy Council	Academy Council	Principal
Approval and monitoring of CLF and academy targets for student achievement and attendance	No	Responsible for proposing CLF and local targets to the Board and providing appropriate reporting		Review of local target setting processes and reporting to Board	Review of local target setting and responsible for holding Principal to account	Reports to academy council and Board via subcommittees
Approval and monitoring of CLF and academy targets for quality of teaching and learning	No	Responsible for proposing CLF and local targets to the Board and providing appropriate reporting		Review of local target setting processes and reporting to Board	Review of local target setting and responsible for holding Principal to account	Reports to academy council and Board via subcommittees
Approval and monitoring of CLF and academy targets around student wellbeing	No	Responsible for proposing and CLF local targets to the Board and providing appropriate reporting			Review of local target setting and responsible for holding Principal to account	Reports to Academy Council , and Board via subcommittees
New and updated educational policy	No	Makes recommendation to Board				
Approval of academy development and improvement plans	Yes	Responsible for linking Academy plans to CLF Strategic plan		Reports exceptions as notified by Academy Council to the Board	Delegated authority for approval and monitoring of academy improvement plans, reporting exceptions to the Board via COAC	Reports to Academy Council
Post-Ofsted Federation Action Plan sign off	No	Makes recommendation to Board				
Post-Ofsted Academy Action Plan sign off	Yes			Review feedback and plans	Delegated authority for approval and monitoring of academy post-OFSTED planning	Makes recommendations and reports to academy council
Curriculum: Planning, implementation and review	Yes	Oversees development and delivery of effective curriculum plans			Monitors effectiveness of curriculum plans	Develops and delivers curriculum plans
Sign off of CLF educational policies (e.g. off site visits, RE provision, Collective worship etc)	Yes	Makes recommendations to Board	Makes recommendations to Board	Delegated Authority		
Sign off of local academy educational policies and procedures (e.g. extra curricular activities, exams, behaviour, marking policies)	Yes				Delegated authority for approval and monitoring of local academy policies and procedures	Makes recommendations and reports to academy council
Term dates	Yes	Authorises term dates			Consulted	Makes recommendations to CEO
Length/ organisation of Academy day	Yes	Authorises organisation and Academy day			Consulted	Makes recommendations to CEO
Fixed term exclusions	Yes				Receives report	Authorised, report to Ac Council
Permanent exclusions	Yes				Convenes hearing to review Principal decision	Authorised, report to Ac Council
Exclusion appeals	Yes				Authorised	See comment
Admissions policies and criteria	No	Makes recommendations to Board			Recommendation to board via COAC	Recommendation to board via Academy Council

Organisational Delegated Authority Framework

Finance	Delegated authority?	CEO	CFO	Head of Compliance	Academy Council	Principal
<i>Location >>></i>		<i>Central</i>	<i>Central</i>		<i>Academy</i>	<i>Academy</i>
STATUTORY REPORTING						
Completion and approval of annual accounts and reports to funding and regulatory bodies	No	Review	Recommendation to CEO and Board			
Completion and submission of other accounting returns	Yes		Authorised			
Completing annual & periodic financial reports to Board and/or DCSF (including income/expenditure, cash flow, projections etc).	Yes		Authorised			
Authorised to complete PAYE returns	Yes		Authorised			
Authorised to complete VAT returns.	Yes		Authorised			
SYSTEMS OF INTERNAL FINANCIAL CONTROL						
Assurance over adequacy of systems of internal financial control	No	Provides assurance to EFA as AO	Provides assurance to CEO and Board			
Approval of financial regulations	No		Recommendation to Board			
Appointment of internal auditors	No		Management of appointment process			
BUDGET & MANAGEMENT REPORTING						
Approval of annual budget	No	Endorsement as Accounting Officer	Oversight of preparation, review of budget plans, recommendation to Board		Review of detailed academy financial plans	Preparation of detailed academy financial plans
Receipt and review of management accounts	No		Review of academy management accounts and preparation of summary report to Board		Review of academy financial position	Accountable for local academy financial position
Approval of CLF budget and academy contributions	No	Recommendation to Board	Recommendation to Board			Consulted
Authority to make budget virements	Yes		Authorised to make budget virements and report to Board / Audit committee			
PURCHASING & PROCUREMENT						
Placing orders for goods and services, entering into contracts	Yes where value is less than £100k	Authorised £50K - £100K;	Authorised Up to £50k			Authorised Up to £5K within agreed budget
Waiver of CLF financial regulations in respect of purchasing	Yes		Yes, reported to Board			
Ensuring compliance with tendering processes	Yes		Yes, reported to Board	Responsibility for procurement activities		
BANKING AUTHORITY & CASH MANAGEMENT						
Approval to borrow money	No		Recommend approval by Board			

Finance	Delegated authority?	CEO	CFO	Head of Compliance	Academy Council	Principal
<i>Location >>></i>		<i>Central</i>	<i>Central</i>		<i>Academy</i>	<i>Academy</i>
Cashflow Management, Treasury & Investment	Yes		Authorised to Review and approve. Investment details to be informed to Audit committee			
Open a bank account and approve signatories	No	Can be approved signatory	Can be approved signatory	Can be approved signatory		Can be approved signatory
TRANSACTION PROCESSING						
Payroll - Starters, leavers and amendments	Yes	Authorises changes	Oversees systems of internal control; authorises changes	Can authorise payroll		Authorises changes
Payroll - Administration	Yes		Authorised - Utilisation of Payroll Bureau			
Purchasing - Authorised to create vendors on accounting system	Yes		Authorised			
Income	Yes		Authorised			
Authorisation of expense claims (cannot authorise ones own expenses)	Yes	Authorised	Authorised	Authorised		Authorised
Control account reconciliation	Yes		Authorised			
Write-off bad debts	Yes - up to £45k		Authorised			Authorised up to £1k
FIXED ASSETS						
Management of capital projects	Yes		Ensures management and governance arrangements are appropriate and reports to Board	Responsible for project management activity including capital projects		
Asset Register	Yes		Authorised to Review and approve			
Security Of Assets	Yes		Oversight and must report to Board by exception			
Disposal of Assets	Yes - but must approve over £20k		Authorised to Review and approve up to £20k			
Loan of Assets	Yes		Authorised to Review and approve			
INSURANCES						
Annual Risk Review & Premium Renewal	Yes		Authorised to Review and approve	Supports review and associated activities		

Organisational Delegated Authority Framework

Human resources	Delegated?	CEO	CFO	HRD	Council	Principal
Staff Structure						
Approval of annual staffing budgets	No		Reviews costed staffing plans and makes overall budget recommendation to Board		Reviews annual staffing plans	Prepares annual staffing plans
Authorised to Increase Academy/Organisational Headcount (Establishment) within existing staffing budget (replacement only)	Yes	Can authorise (with CFO) changes beyond overall budget	Can authorise changes within overall budget; reports changes in headcount to A&S committee			Can authorise replacement posts within existing staffing budget
Job Description sign off	Yes			Provides advice on JDs		Agrees JD
Grade of posts (teaching & support staff)						
Job evaluation policy & procedures	No			Implements JE procedures		
Authorised to evaluate jobs and grades	Yes			Responsible for oversight and cross-organisational grading		Makes grading proposals to HR / with HR input
Authorised to agree/vary basic employment Terms & Conditions	No			Ensures consistent application of T&Cs		
Recruitment						
Recruitment and appointment of CEO	No		Involved in process	Involved in process	Involved in process	Involved in process
Recruitment and appointment of CFO	No	Involved in process, advised Board				
Recruitment and appointment of Executive Team Members and Principals	No	Appoints Executive Team and Principals jointly with Board			Involved in process	
Recruitment and appointment of other Senior Leaders	Yes - may be involved	Authorised to appoint other Senior leaders	Leads process for own teams	Leads process for own teams	Involved in process	Leads process for own teams
Recruitment and appointment of other staff	Yes		Authorised to appoint staff within own teams	Authorised to appoint staff within own teams	involved in process	Authorised to appoint staff within own teams
Recruitment processes	Yes	Carries out recruitment processes in line with CLF procedures		Ensures legislative and best practice compliance in recruitment processes		Carries out recruitment processes in line with CLF procedures
Signing of employment contracts	Yes (but Chair must sign CEO contract)	Signs contracts of CFO and Principals		CLF HR team sign other employment contracts		
Pay Policy						
Annual approval of pay policy, including pay awards, pay point values, etc	No		Makes recommendation to Board	Contributes to recommendation made by CFO		
Determination of pay ranges	Yes (except CEO, CFO, Exec Team, Principals)	Determines pay ranges for Leadership staff		Responsible for oversight and cross-organisational grading		
Appointment outside range in salary structure	Yes		Approves and reports to Audit committee			Proposal for new range

Human resources	Delegated?	CEO	CFO	HRD	Council	Principal
Allocation of TLR / SEN values	Yes	Approves if exceeds total budget	Ensures consistency	Responsible for oversight		Proposal for new posts
Value of other discretionary allowances	Yes (except CEO, CFO, Exec Team, Principals)	Approval of discretionary allowances	Reviews proposal and makes recommendation to CEO	Proposals and advice on other allowances		Proposals for other allowances
Annual Pay Progression	No (under new policy Board has final sign off)	Ensures consistency	Ensures consistency	Ensures consistency	Involved in process for principal	Oversight of appraisal and recommendation to Remuneration committee
Pension Policy & Discretions						
Handling of all pension matters (teachers and support staff)	Yes			Makes appropriate pension arrangements and ensures proper administration		
Approval of use of discretions	No			Makes recommendation to Board		
Operation of policies						
Approval of Federation employment policies	No			Makes recommendations to Board		
Objective setting and performance appraisal	Yes (except CEO, CFO)	Appraises Principals and CFO with Board / Council as appropriate	Appraisal arrangements for own team	Oversight of process	Assists in Principal appraisals, and SLT appraisals	Appraisal arrangements for own team
Approval of formal restructure plans	No		Makes recommendations to Board	Makes recommendations to Board with CFO		Part of Process
Approval of severance or redundancy agreements	No		Makes recommendation to Board	Makes recommendations to Board with CFO		Part of Process
Authority to issue warnings or other disciplinary measures except dismissal	Yes	May issue warnings in own teams	May issue warnings in own teams	May issue warnings in own teams	Part of formal panel	May issue warnings in own teams
Authorisation of settlement agreements	No	May negotiate and make recommendation to Board	May negotiate and make recommendation to Board	Makes recommendations to Board with CFO		
Suspension	Yes (except CEO, CFO)	Yes (Principals and other staff)	Yes (own team)	Yes (own team)	Informed as appropriate	

Organisational Delegated Authority Framework

HEALTH AND SAFETY	Delegated?	CEO	Head of Compliance	Academy Council	Principal
<i>location >>></i>	<i>Central</i>	<i>Central</i>	<i>Central</i>	<i>Academy</i>	<i>Academy</i>
Health and Safety Policy	No		Makes recommendation to Board	Responsible for implementation of local policy	
Ensuring the adequacy of health and safety practice throughout CLF	No		Oversees CLF arrangements and reports to Board	Ensures Academy arrangements are adequate	Reports to Academy Council
Critical incident planning	Yes, but monitors		Holds CLF and Academy Critical incident plans and reviews as appropriate	Ensures critical incident plans are adequate and in place	Reports to Academy Council
Health and Safety RIDDOR reporting	Yes, but monitors		Ensures RIDDOR reporting is in place		
Health and Safety Accident reporting	Yes, but monitors		Monitoring and reporting of exceptions	Ensures that accident reporting arrangements are in place	Ensures that accident reporting arrangements are in place
Statutory training	Yes, but monitors		Monitors CLF statutory training for H&S and reports to Board	Monitors Academy statutory training for H&S	Ensures that there are arrangements for statutory training for H&S
Statutory compliance testing	Yes, but monitors		Implements and monitors CLF statutory compliance testing and reports to Board		Monitors local statutory compliance testing (ABM)
Academy health and safety arrangements including committee and use of risk assessments	Yes			Receives reports of H&S committee	Ensures the H&S committee is in place and reports to Academy Council
Fire risk assessment	No		Ensures all academies have valid risk assessments in place	information only	
Asbestos risk assessment	No		Ensures all academies have valid risk assessments in place		
General monitoring and action plans in relation to safety of sites including buildings conditions	No		Reporting to Board		

Organisational Delegated Authority Framework

Safeguarding	Is authority delegated from the Board?	Designated Director for Safeguarding	CEO	Chairs of Academy Council (COAC)	Academy Council	Academy Council Safeguarding Representative	Principal	Federation Designated Safeguarding Lead (FDSL)	Designated Safeguarding Lead (DSL)	HRD
<i>location >>></i>			<i>Central</i>		<i>Academy</i>	<i>Academy</i>	<i>Academy</i>	<i>Central</i>	<i>Academy</i>	<i>Central</i>
Policies and Procedures										
Ensure suitable Safeguarding Policy and associated procedures are in place across the federation	No	Assists CEO in formation of policy documents	Responsible for implementation of Safeguarding Policy and procedures	Safeguarding concerns escalated to board	Approves Safeguarding Policy and procedures at Academy level.	Ensures Academy Council approves the Safeguarding Policy	Adopts Safeguarding Policy and procedures and ensures they are communicated to, and implemented by, all staff	Contributes to the production and implementation of the Safeguarding Policy and procedures		
To be familiar with LA guidance and policy relating to safeguarding	Yes	Has current knowledge of LA guidance, legislation and policy relating to safeguarding				Provides feedback to COAC and the Designated Director for Safeguarding where appropriate		Has current knowledge of LA guidance, legislation and policy relating to safeguarding		
Monitor the effectiveness of the CLF Safeguarding Policy	Yes, but monitors	Monitors the effectiveness of the CLF Safeguarding Policy and reports concerns to the board	Ensures annual review of Safeguarding Policy takes place		Reviews the Safeguarding Policy annually	Provide advice to the Academy Council for the review of the Safeguarding Policy	Reviews effectiveness of the Safeguarding policy and makes recommendations for change where appropriate	Reviews effectiveness of the Safeguarding policy and makes recommendations for change where appropriate	Reports recommendations for changes to the Safeguarding policy to Principal	
Receive an annual report on the Federation's Safeguarding policy and procedures	No	Receives annual report and shares with board	Provides annual report to the Designated Director for Safeguarding			Provides feedback to the FDSL to assist with producing Federation safeguarding annual report		Assists CEO in producing annual report on Safeguarding	Provides feedback to the FDSL to assist with producing annual report	
Receive an annual report on the Academy Safeguarding policy and procedures	Yes				Receives annual Safeguarding report	Ensures an annual Safeguarding report is produced and presented to AC	Ensures Academy DSL produces Academy Safeguarding report		Produces Academy Safeguarding report	
Audits										
Ensure Annual Safeguarding audits take place and are appropriately reported to the board	Yes	Ensures annual safeguarding audits take place and reports received by the board	Commissions Annual Safeguarding audit			Ensure annual safeguarding audit takes place and that an action plan is produced	Produce academy action plan following annual safeguarding audit			
Training										
Attend all relevant training for nominated safeguarding Directors	Yes	Attends all relevant training								
Ensure all Designated Safeguarding Leads and their deputies receive appropriate training	Yes	Ensures up to date records are kept of all DSL training	Ensures all Designated Safeguarding Leads and their deputies receive appropriate training			Attends all required safeguarding training	Ensures all Academy Designated Safeguarding Leads and deputies receive appropriate training	Attends DSL training and ensures deputies are adequately trained	Attends all required training to meet with legislative and CLF requirements	
Ensure all central and academy staff receive required training	Yes		Ensures all staff receive appropriate training and records of this kept		Monitors training records		Ensures all academy staff receive required training and records of this kept			
Other										

Ensures each Academy Council appoints a Safeguarding Councillor representative	Yes			Ensures each Academy has a Safeguarding Councillor identified	Appoints a Safeguarding Councillor representative.					
Ensure Safer Recruitment procedures are implemented and adhered to	Yes, but monitors	Monitors the CLF Safer Recruitment processes	Ensures all senior leadership teams adhere to Safer Recruitment processes		Monitors Safer Recruitment processes	Monitors Safer Recruitment processes	Adheres to Safer Recruitment processes			Ensures a Safer Recruitment process is in place and understood by all academies.
Ensure Prevent agenda is implemented and adhered to	Yes, but monitors							Acts as Federation lead for the Prevent agenda	Acts as Academy lead for the Prevent agenda	
Confidential Safeguarding issues reported to LADO where appropriate	Yes	Reports safeguarding issues to LADO (if concerns are about CEO, Chair of Board will report concerns to LADO)	Reports safeguarding issues to LADO			Reports safeguarding issues to FDSL / LADO as appropriate		Reports safeguarding issues to FDSL / LADO as appropriate		
Operation of Safeguarding investigations	Yes	Commissions Safeguarding Investigations								