

Delegated Authority Framework

Agreed by Board of Directors March 2017
Review Due: September 2017

The Cabot Learning Federation (CLF) is a federation of schools that is sponsored by Rolls Royce PLC and The University of the West of England (UWE). It currently sponsors fourteen Academies and a Studio School in Bristol, South Gloucestershire, Weston super Mare and Bath. This means that we are responsible and accountable for the education of over 8000 students between the ages of 3 and 19 and for the employment and support of over 1500 staff. The co-sponsors of the Cabot Learning Federation are Rolls-Royce PLC and the University of the West of England (UWE).

The CLF's mission is to consistently deliver excellent educational experiences for pupils aged 3-19, improving their life chances and serving the communities of which we are a member.

The core purpose of CLF is at the **HEART** of the Organisation:

- Establish **High Expectations** for all that we seek to achieve;
- Create **Equality** of opportunity, removing disadvantage;
- Champion the success and life chances of **All Children**;
- Furnish pupils and staff with the **Resilience** to succeed as lifelong learners;
- Promote **Tolerance** and respect for ourselves, our communities and our environment.

As an exempt charity and company limited by guarantee, CLF is governed by a board of directors who are responsible for, and oversee, the management and administration of the trust and the academies run by the trust. Our Board is made up of 12 directors (6 appointed by each of our sponsors) and these directors are accountable to the Department for Education (DfE) and external government agencies, including the Charity Commission, for the quality of the education that CLF provides and the effective use of the associated academy funding.

The Delegated Authority Framework (DAF) defines the powers which are delegated from the CLF Board to other sub-committees or executive officers in order to facilitate the day to day running of the organisation ensuring compliance with the Academies Financial Handbook and the CLF Financial Regulations. While the DAF seeks to offer clarity on decision making powers, and does include specific authorities it cannot cover provide a definitive and exhaustive guide to decision making across every area of Federation business. To that end the CLF and its officers should seek to operate within the spirit of the framework holding to the culture of governance as defined by high transparency and high trust.

Organisational Delegated Authority Framework

Strategy	Is authority delegated from the Board?	CEO	Executive Team (including CFO)	Chairs of Academy Council (COAC)	Academy Council	Principal
<i>location >>></i>		<i>Central</i>	<i>Central</i>		<i>Academy</i>	<i>Academy</i>
Approves overall strategy of CLF	No	Responsible for setting strategy	CFO 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	Can make recommendations to the Board	Provides due diligence advice in relation to potential new academies			
Admission of new sponsors to CLF	No	Can make 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 improvement plans based on Self Evaluation Framework (SEF) or other assessment	Yes		Executive Principal quality assures Academy Improvement Plans and approves SEF	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 based on SEF

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 sub-committees and Executive Working Groups	No	Recommendations to Board	Recommendations to Board	Recommendations to Board	Recommendations to Board		
Appointment and removal of Board appointed Academy Councillors (other than the chair)	Yes	Recommendations to COAC			Approve appointment and removal of Academy Councillors and report to Board	Recommendations to COAC	Recommendations to COAC
Appoint and remove Chair of Academy Council	No	Recommendations to Board			Recommendations to Board	Recommendations to Board	
Removal of non sponsor appointed 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			Joint appointment of clerk		Joint 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			
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	Contributes to risk management processes	Responsible for managing risk register and risk management processes	Reviews relevant risks and contributes to process	Reviews relevant corporate risks and Academy Risk Register	Responsible for ensuring Academy risk register is maintained
Approval of CLF policies not specifically referenced elsewhere within this document, in accordance with the CLF Master Policies list	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 and Executive Principals	Chairs of Academy Council	Academy Council	Principal
Approval and monitoring of CLF and academy targets including for student achievement, progress 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
New and updated educational policy	No	Makes recommendation to Board			
Approval of academy improvement plans based on Self Evaluation Framework (SEF) or other assessment	Yes	Executive Principal quality assures Academy Improvement Plans and approves SEF	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 based on SEF
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 and assessment: 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 in accordance with the CLF Master Policies list	Yes	Makes recommendations to Board	Delegated Authority		
Sign off of local academy educational policies and procedures in accordance with the CLF Master Policies list	Yes			Delegated authority for approval and monitoring of local academy policies and procedures	Makes recommendations and reports to academy council
Set term dates	Yes	CEO Authorises term dates		Consulted	Makes recommendations to CEO
Set Length/ organisation of Academy day	Yes	CEO Authorises organisation and Academy day		Consulted	Makes recommendations to CEO
Issues fixed term exclusions	Yes		Receives report annually and reviews	Receives report	Authorised, report to Ac Council
Issues permanent exclusions	Yes		Receives report annually and reviews	Convenes hearing to review Principal decision	Authorised, report to Ac Council
Holds exclusion appeals	Yes			Authorised	Supports exclusion appeals as required.
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	HR Director & Head of Compliance	Audit Committee	Academy Council	Principal
<i>Location >>></i>		<i>Central</i>	<i>Central</i>		<i>Academy</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 DfE and EFA (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	Supports Internal Audit programme	Receives reports from internal audit and makes recommendations to Board		
Approval of financial regulations	No		Recommendation to Board				
Appointment of internal auditors	Yes		Management of appointment process	HOC Supports appointment process	Authorised		
BUDGET & MANAGEMENT REPORTING							
Approval of annual budget(s)	No	Endorsement as Accounting Officer	Oversight of preparation, review of budget plans, recommendation to Board		Review of detailed academy financial plans	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	Review of academy financial position	Accountable for local academy financial position
Approval of CLF Central 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				
RESERVES REQUESTS							
Authority to approve reserves requests	Yes where value is less than £100k	Authorised £50K - £100K;	Authorised Up to £50k			Reviews requests for Academies	Submits requests for Academies
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 Audit Committee		Receives reports from CFO		

Finance	Delegated authority?	CEO	CFO	HR Director & Head of Compliance	Audit Committee	Academy Council	Principal
<i>Location >>></i>		<i>Central</i>	<i>Central</i>		<i>Academy</i>	<i>Academy</i>	<i>Academy</i>
Ensuring compliance with tendering processes	Yes		Yes, reported to Board	HOC Responsibility for procurement activities			
BANKING AUTHORITY & CASH MANAGEMENT							
Approval to borrow money	No		Recommend approval by Board				
Cashflow Management, Treasury & Investment	Yes Approves policy		Authorised to Review and approve. Investment details to be informed to Audit committee				
Open a bank account and approve signatories	No (Authorised via Director signature)	Can be approved signatory	Can be approved signatory	HOC Can be approved signatory			Can be approved signatory
TRANSACTION PROCESSING							
Payroll - Starters, leavers and amendments	Yes	Authorises changes	Oversees systems of internal control and approves payroll	Can authorise payroll			Authorises changes
Payroll - Administration	Yes			HRD Authorised - Utilisation of Payroll Bureau			
Purchasing - Authorised to create vendors on accounting system	Yes		Authorised				
Authorises income including special grants and contracts under £100k	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 up to £45k				Authorised up to £1k
FIXED ASSETS							
Management of capital funding	Yes		Ensures management and governance arrangements are appropriate and reports to Board	HOC Responsible for centrally run 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	HOC: Oversight and must report to Board by exception			Responsible for local security arrangements
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							

Finance	Delegated authority?	CEO	CFO	HR Director & Head of Compliance	Audit Committee	Academy Council	Principal
<i>Location >>></i>		<i>Central</i>	<i>Central</i>		<i>Academy</i>	<i>Academy</i>	<i>Academy</i>
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	Academy 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	Yes	Can authorise (with CFO) changes beyond overall budget	Can authorise changes within overall budget; reports changes in headcount to FEG committee			Can authorise replacement posts within existing staffing budget
Job Description sign off	Yes			Approves 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		Submits information to allow evaluation process
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		Involved in process		
Recruitment and appointment of Permanent Executive Team Members and Principals	No	Appoints Executive Team and Principals jointly with Board		Involved in process	Involved in process of Principal appointment	
Recruitment and appointment of Interim Executive Team Members and Principals	Yes	Appoints Interim Executive Team and Principals		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	Can be involved in process	Authorised to appoint staff within own teams subject to safer recruitment training
Recruitment processes	Yes	Carries out recruitment processes in line with CLF procedures		Ensures legislative and best practice compliance in safe recruitment processes		Carries out recruitment processes and pre-employment checks in line with CLF procedures
Signing of employment contracts	Yes (but Chair must sign CEO contract)	Signs contracts of Exec team and Principals		CLF HR team sign other employment contracts		
Pay Policy						

Human resources	Delegated?	CEO	CFO	HRD	Academy Council	Principal
Annual approval of pay policy for teaching and leadership, including pay awards, pay point values, etc	No (via Remuneration Committee)		Makes recommendation to Board	Contributes to recommendation made by CFO		
Annual approval of pay policy for other staff, including Cost of living awards and pay progression.	No (via Remuneration Committee)		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 and Job Evaluation		
Appointment outside range in salary structure	Yes		Approves and reports to Audit committee			Proposal for new range
Allocation of TLR / SEN values	Yes		Approves if exceeds total budget	Responsible for oversight		Proposal for new posts within framework of pay policy in budget
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 (via Remuneration Committee)	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, CFO and Exec team 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	Makes recommendations to Board with CFO		Part of Process
Approval of severance or redundancy agreements	No (via Remuneration Committee)	Makes recommendations to Board	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		

Human resources	Delegated?	CEO	CFO	HRD	Academy Council	Principal
Suspension	Yes (except CEO, CFO)	Yes (Exec teams and Principals)	Yes (own team)	Yes (own team)	Informed as appropriate	Yes (own team)

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 concerns 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		

Organisational Delegated Authority Framework

General monitoring and action plans in relation to safety of sites including buildings conditions	No		Drafts action plans from audits, reporting to Board	Reviews progress against action plans	Implements action plans
---	----	--	---	---------------------------------------	-------------------------

Organisational Delegated Authority Framework

Safeguarding	Is authority delegated from the Board?	Designated Director for Safeguarding	Strategic Safeguarding Lead	Chairs of Academy Council (COAC)	Academy Council	Academy Council Safeguarding Representative	Principal	Federation Designated Safeguarding Officer (DSO)	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		
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 DSO to assist with producing Federation safeguarding annual report		Assists Strategic Safeguarding Lead in producing annual report on Safeguarding	Provides data and other feedback to the DSO to assist with producing annual report	
Receive a termly report on the Academy Safeguarding policy and procedures	Yes		Receives collated termly Safeguarding report		Receives and signs termly Safeguarding report	Ensures an termly Safeguarding report is produced and presented to AC	Meets DSL and ensures termly Academy Safeguarding report produced	Reviews reports and collates for Safeguarding Lead	Produces termly Academy Safeguarding report	
Audits										
Ensure Annual Safeguarding audits take place and are appropriately reported to the board	Yes	Ensures annual LA safeguarding audits take place and reports received by the board	Commissions CLF Safeguarding checklist and receive reports			Ensure annual LA safeguarding audit takes place and that Academy completes CLF checklist and next steps are agreed	Reviews audit and checklist and ensures next steps are implemented		Complete LA safeguarding audit and CLF checklist and provide initial next steps	
Training										
Attend all relevant training	Yes	Attends all relevant training and reads KCSIE	Attends all relevant training and reads KCSIE		Attends all relevant training and reads KCSIE	Attends all relevant training and reads KCSIE	Attends all relevant training and reads KCSIE	Attends all relevant training and reads KCSIE		
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 Monitors training records for Academy Staff and reports issues	Ensures all Academy Designated Safeguarding Leads and deputies receive appropriate training	Develops and implements 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	Monitors training records	Ensures all academy staff receive required training and records of this kept	Supports development and delivery of training		
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	Receives report on Prevent Agenda in safeguarding reporting	Monitors Prevent Agenda at CLF level			Monitors Prevent Agenda has been implemented in Academy	Ensures lead for the Prevent agenda is identified, trained and documented in Academy policy	Acts as Federation lead for the Prevent agenda	May act 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)	Is notified of referrals			Is notified of referrals	Reports safeguarding issues to LADO as appropriate	Is notified of referrals	Notifies Principal or DSO of concerns or referrals to LADO	
Operation of Safeguarding investigations	Yes	Reviews process for Commissioning Safeguarding Investigations	Supports safeguarding investigations				Commissions Safeguarding Investigations	Supports safeguarding investigations		Commissions Safeguarding Investigations