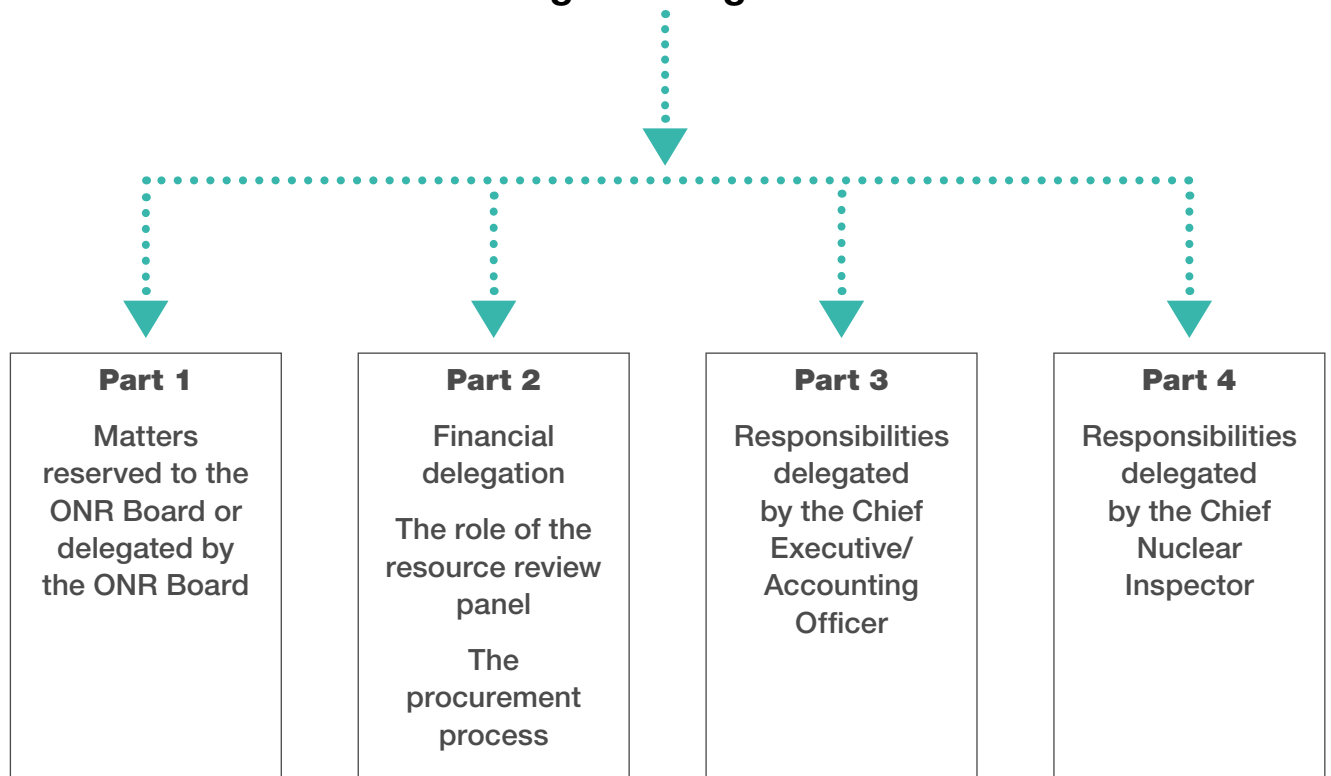




Scheme of delegation

ONR scheme of delegation

Scheme of delegation organisation chart



Introduction

1 Delegation creates the authority to carry out a task or to make a decision. This in turn creates responsibilities and the requirement that people to whom authority is delegated are prepared to be accountable for the decisions they have been asked to make. Anyone who makes a decision must be confident that they know the scope of their authority.

2 This Scheme of Delegation sets out who has the authority to make decisions within ONR. It is in 4 parts:

Part 1 Sets out the decisions reserved to the Board and those which it has delegated to:

- its Committees
- the Chief Executive
- the Chief Nuclear Inspector (CNI)

It also outlines the designated authorities and responsibilities given to the Chief Executive in his role as Accounting Officer.

Part 2 Sets out the role of the Resource Review Panel (RRP), the procurement process and the financial delegations in place.

Part 3 Sets out the responsibilities the Chief Executive has delegated to the members of his Senior Leadership Team (SLT), this includes in particular the Finance Director, HR Director and Director of Policy. It also makes reference as appropriate to those designated staff involved in the decision making process/delivery of specific functions.

Part 4 Sets out the decisions which the CNI has delegated to warranted nuclear inspectors within ONR to enable regulatory decisions to be taken at the appropriate level of the organisation.

High level principles of delegation

3 An important principle of delegation is that the person delegating remains accountable for the function which they may choose to delegate. Therefore, the Board, the Chief Executive/ Accounting Officer and the CNI in delegating authorities must assure themselves that what they have delegated is being discharged properly. In ONR

this is executed through the provision of information and reports to the Board and its Committees and other internal reporting mechanisms as appropriate.

- 4 Any functions which the Board has delegated can be reassumed by the Board if it decides to do so (except regulatory decisions in particular cases). Similarly any functions which the Chief Executive or CNI have delegated can be reassumed by them if they should so decide. With the exception of regulatory functions, if it chooses to do so, the Board can make a decision on a specific issue irrespective of the fact that it may have already delegated that authority.
- 5 Powers are delegated by the Board and the Chief Executive on the understanding that the Committees and officers to whom powers are delegated exercise those powers in the way intended and do not use their powers in a way which might be a cause for public concern or which might have an adverse impact on the reputation of ONR.
- 6 Other key principles of delegation which ONR applies are as follows:
 - Authority to make decisions should be aligned with the skills and knowledge needed to make relevant judgements. This will enable ONR to maximise efficiency and effectiveness and support the development of staff and make the best use of their skills.
 - Delegations should be in writing and must be published on the ONR website so that ONR can demonstrate that its delegations and decisions are taken transparently.
 - Staff to whom authority to make decisions is delegated must be clear about what decisions have been delegated to them, the limits of their authority, and that they are accountable for the decisions they make. The role holder making the decision may seek advice on information from other staff with knowledge relevant to the decision and **should** do so when necessary. Staff who are responsible for taking a decision may commission reports or seek information from relevant staff to inform their decision making.

Delegated Authorities and Responsibilities

- 7 ONR was established, under the Energy Act 2013, as an independent statutory body in order to support the Government's strategic aims and objectives for nuclear regulation. Its statutory functions are assigned by the Energy Act 2013 to ONR as a body corporate which, in practice, is to the ONR Board. It operates within a Framework Document agreed with the Department for Work and Pensions (DWP). *Appendix 2* details who can make decisions.

Ministerial Responsibilities

- 8 The DWP/ONR Framework Document sets out arrangements in respect of the respective DWP Ministerial responsibilities for ONR, which are as follows:

The Secretary of State for Work and Pensions - ONR governance and finance, and performance in relation to conventional health and safety. Has specific responsibility to appoint non-executive Board members, approve the remuneration and terms and conditions for any co-opted Board or Committee members; approve certain strategies and plans, and financial commitments, such as loans and borrowing money.

Other Ministerial responsibilities are as follows:

The Secretary of State for Energy and Climate Change - UK civil regulatory framework and policies. Appoints the ONR Non executive Board member for Security. (See para 15)

The Secretary of State for Defence - nuclear safety and security at military nuclear sites. Has no direct responsibility for ONR.

The ONR Board

- 9 The Energy Act prescribes the composition of the ONR Board, allowing for a maximum of seven non executive members, and four executive members. More details are recorded in ONR's document *Arrangements for Corporate Governance* (see www.onr.org.uk/documents/2014/corporate-governance.pdf)
- 10 The Act permits the Board to delegate certain functions to ONR employees. The Board may also appoint standing committees to support its work, and may delegate matters to those standing committees.

The Chief Executive

- 11 As the lead Executive of ONR, the Chief Executive has been given delegated authority by the Board to manage the organisation and is the manager in charge of ONR. The Chief Executive is responsible for reserving to him/herself the matters, within his/her delegated responsibilities, which he/she wishes to decide personally and for delegating to others in the organisation. Specifically, however, the Chief Executive must seek Board approval for any expenditure which maybe considered "novel, contentious or repercussive"; and if the Board considers this to be the case, then they must seek formal approval from DWP and HM Treasury. The Chief Executive is also the Accounting Officer for ONR.

The Accounting Officer

- 12 The Chief Executive is the Accounting Officer for ONR. The responsibilities delegated to the Accounting Officer are set out in the ONR/DWP Framework Document, including his/her responsibilities for following the principles and rules set out in HM Treasury's Managing Public Money (MPM).
- 13 The Accounting Officer has personal responsibility for the propriety and regularity of public finances at ONR, and must ensure that all actions relating to the stewardship of ONR's public funds can withstand scrutiny by Parliament and the public. This will include securing Board and/or Departmental approval for any expenditure that is outside the normal delegation levels, or considered to be novel, contentious or repercussive.
- 14 The Accounting Officer may be required to give evidence, normally with the Principal Accounting Officer, when summoned before the Public Accounts Committee on ONR's stewardship of funds.

The Chief Nuclear Inspector

- 15 The CNI is the authoritative regulatory head of ONR. The Board is not responsible for taking regulatory decisions, however, the CNI, who is a member of the Board, must assure the Board on a regular basis that ONR is meeting its regulatory priorities. The CNI can delegate the exercise of regulatory functions to warranted nuclear inspectors within the provisions of the relevant legislation.

Authority to Appoint

- 16 The non-executive Board members, including the Chair are appointed by the Secretary of State for Work and Pensions. There are, however, two exceptions:
 - The Secretary of State for Energy and Climate Change, appoints the non executive Board member with the responsibility for Security; and
 - The Chair of the Health and Safety Executive can appoint one of the HSE non Executive Board members as the HSE member to the ONR Board.
- 17 The Board has the authority to appoint the Chief Executive and the Chief Nuclear Inspector, with the approval of the Secretary of State for Work and Pensions, in consultation with the DECC Minister. The Principal Accounting Officer in the Department for Work and Pensions designates the Accounting Officer.

Long term absence

- 18 In the event of long term absence of the Chief Executive or the Chief Nuclear Inspector, the ONR Board will appoint an Acting Chief Executive and designate him/her as Accounting Officer or appoint an Acting Chief Nuclear Inspector, these posts will also additionally require the approval of the Minister.

Accountability, variation, ownership and review of the scheme

- 19 Those delegating powers remain accountable for the exercise of those powers.
- 20 Variations to Part 1 of the Scheme will be approved by the Board and any deviation from it must be approved by the Board, with such deviations being reported to the next Board meeting.
- 21 Variations to Parts 2 and 3 may be approved by the Chief Executive in consultation with RRP and the Chief Executive will decide which matters should be reported to the Board or Audit and Risk Assurance Committee.
- 22 Variations to Part 4 may be approved by the CNI within the provisions of the relevant legislation.
- 23 For administrative purposes, the Finance Director, on behalf of the Board, is the owner of the Scheme of Delegation and is responsible for ensuring an annual review of the Scheme, submitting any proposed changes to the Board or the Chief Executive as appropriate. However, the Scheme will be updated as often as is necessary to ensure it remains current.

Dates of Review

The scheme will be reviewed annually.

First draft finalised November 2015.

Reviewed

Date	Page(s)	Amendment
10 Feb 2016	10 (line A40)	Approval and signature of Memoranda of Understanding/Service Management Agreements
10 Feb 2016	13–15	Increase in delegation levels to commit expenditure

Next review due December 2016.

Part 1

Matters reserved to the ONR Board or delegated by the ONR Board

The *Arrangements for Corporate Governance* document* sets out the Board's responsibilities and its delegated functions and summarises the matters which the Board has reserved to itself and those which it has decided to delegate. In essence the Board has retained all those decisions which are strategic in nature, with delegation of some corporate governance matters to its Committees and those that are operational and regulatory to the Chief Executive, Chief Nuclear Inspector and appropriate staff. Through the Scheme of Delegation the Board delegates for executive action to the Chief Executive and his staff.

The Board exercises its power corporately. No individual member of the Board may take executive action as a Board member (the Chief Executive, the CNI and the Director of Regulatory Assurance are executive members of the Board, but as Board members are also bound by its corporate responsibility). In an emergency, the functions which the Board has reserved to itself for decision may be exercised by the Chair, after having consulted with one other Board member (executive or non-executive). The Chair should then report any such decisions made or actions taken to the next Board meeting for ratification, with an explanation of why the emergency decision/ action was taken.

This section summarises the main delegated authorities that are reserved to the Board and those that the Board has delegated to its Committees, the Chief Executive or the Chief Nuclear Inspector.

Matters delegated to the Board Committees

The Board maintains four standing committees. The Terms of Reference for each of them are maintained within the *ONR Arrangements for Corporate Governance* document. The Committees are as follows:

Audit and Risk Assurance Committee (ARAC), advises the Board and the Accounting Officer on the effectiveness of the strategic processes for risk management, control, governance and the annual Governance Statement and assuring itself that ONR's risk management policy is effective and consistent with the Board's policies and appetite towards risk. It is responsible for receiving the work of internal and statutory audit. The Committee is made up of at least two members who are Non-Executive ONR Board members.

Remuneration Committee, which has the formal delegated authority to determine or set the framework for remuneration and performance for the Executive members and those staff in senior civil service equivalent posts. The Committee is made up of at least three members who are Non-Executive ONR Board members.

Nominations Committee, which has an advisory role and has no formal delegated functions. It has the authority to make recommendations to the Board for onward advice to ministers on any changes to the structure, size and composition of the Board relating to the non-executive (but not the HSE representative), Chief Executive and CNI appointments. It also advises the Board on succession planning for Executive appointments. The Committee is made up of at least three members who are Non- Executive ONR Board members.

Security Committee, which has an advisory role and no formal delegated functions. The Committee is made up of at least two members who are Non- Executive ONR Board members.

The specific matters delegated to the Chief Executive (including as Accounting Officer) and to the Chief Nuclear Inspector are as follows:

Matters delegated to the Chief Executive

The Board has delegated the statutory and corporate functions of ONR (but not regulatory functions) to the Chief Executive. He/she is accountable for the operation of ONR. He/she can and does delegate responsibility for certain matters to his/her staff, and also gives authority to carry out certain activities on his/her behalf. These are set out in this section, where they represent key exercises of power and decision making.

Matters designated to the Accounting Officer

The Chief Executive, as ONR's Accounting Officer must personally sign ONR's annual accounts; the annual report; and the governance statement. He/she also has responsibility to ensure:

- Affordability and sustainability, respecting agreed budgets and avoiding longer term commitments, taking a proportionate view about other demands for resources.
- Value for money, ensuring that the organisation's procurement, projects and processes are systematically evaluated to provide confidence about suitability, effectiveness, prudence, quality, good value judged for the public sector as a whole, not just for the Accounting Officer's organisation.
- Management of opportunity and risk to achieve the right balance commensurate with the organisation's business and risk appetite.

- Learning from experience, both using internal feedback and from stakeholders etc.
- Accounting accurately for the organisation’s financial position and transactions: to ensure that its published financial information is transparent and up to date; and that the organisation’s efficiency in the use of resources is tracked and recorded.

Matters delegated to the Chief Nuclear Inspector

In accordance with paragraph 18 of Schedule 7 of the Energy Act 2013, the Chief Nuclear Inspector is authorised to carry out all the functions of the ONR which consist of the exercise of a regulatory function in a particular case. He also has the authority to delegate certain regulatory functions to warranted staff within ONR.

ONR functions: matters reserved to the ONR Board or delegated

A	Function	Type	Frequency	Reserved to Board	Delegated to/ delivered by	Secretary of State approval (for information)
A1	Appointment of CEO	Statutory	As determined by Board	Yes - with approval of Minister	NA	DWP in consultation with DECC
A2	Appointment of CNI	Statutory	As above	As above	NA	DWP in consultation with DECC
A3	Appointment of Executive Board members	Statutory	As above	Yes	Recommendation by Nominations Committee	NA
A4	All ONR statutory functions (not regulatory functions)	Statutory	As necessary	No, except where specified otherwise below	Delegated to CEO who can sub-delegate	NA
A5	Regulatory functions (in a particular case)	Statutory	As necessary	No	Delegated to CNI who can sub-delegate	NA
A6	Set ONR strategy	Statutory	Within 8 months of vesting; review every 5 years	Yes	Delivery by CEO and Executive	Joint DWP/ DECC
A7	Set other strategies (e.g. regulatory, communications, etc)	Corporate governance	As necessary	Yes	Delivery by CEO and Executive	NA
A8	Approve Annual Plan and budget	Statutory	Annually	Yes	Delivery by CEO and Executive	Joint DWP/ DECC
A9	Approve Annual Report and Accounts	Statutory	Annually	Yes (on advice from Audit and Risk Assurance Committee)	Delivery by CEO and Executive	NA

A	Function	Type	Frequency	Reserved to Board	Delegated to/ delivered by	Secretary of State approval (for information)
A10	Set staff terms and conditions	Statutory	As necessary	Yes	Delivery by CEO and Executive	N/A
A11	Instigate Legal Action (Regulatory)	Statutory	As necessary	No	Delegated to Chief Nuclear Inspector who can sub delegate	N/A
A12	Instigate Legal Action (Non-Regulatory)	Corporate governance	As necessary	Yes (likely to be novel and contentious)	N/A	DWP/ DECC as appropriate.
A13	Settle legal claims against ONR	Board	As necessary	No	Delegated to CEO and Executive.	
A14	Delivery of Annual Plan/ management of ONR	Corporate governance	Continuous	No	Delegated to CEO/ Executive (on basis of optimum value for money)	NA
A15	Hold Executive to account – finance, performance, assurance, etc	Corporate governance	Quarterly	Yes	NA	NA
A16	Virement of budgets across agreed strategic priorities over 2.5% of ONR annual budget	Corporate governance	As necessary	Yes	Delivery by CEO/Finance Director	N/A
A17	Virement of budgets across main budget headings up to 2.5%	Corporate Governance	As necessary	No	Delegated to CEO	N/A
A18	Approval of Appointment of Internal Auditors, Annual Audit Plan and amendments to Audit Plan.	Corporate governance	As necessary	Yes	Delivery by the Audit and Risk Assurance Committee	N/A
A19	Scrutiny, audit, risk, etc	Corporate governance	Quarterly	Yes	Delivery by Audit and Risk Assurance Committee	N/A
A20	Succession plans for Board/top posts	Corporate governance	As necessary	Yes	Delivery by Nominations Committee	N/A
A21	Remuneration for Executive and staff at senior civil service level	Statutory	Annually	No	Delegated to Remuneration Committee	N/A
A22	Corporate policies (e.g. HR)	Corporate governance	As necessary	Yes	Delivery by CEO and Executive	N/A
A23	Approve Organisational Structure at Executive and Senior Leadership Level	Corporate governance	As necessary	Yes	Delivery by CEO and Executive	DWP/DECC/ MOD (for information)
A24	Approval of property lease/ property purchase	Corporate governance	As necessary	Yes	Delivery by CEO and Executive	DWP/ Government Property Unit
A25	Major legislative decisions ¹	Statutory	As necessary	Yes	Delivery by CEO and Executive	DWP or DECC ²
A26	Major, specific decisions ³	Corporate governance	As necessary	Yes	Delivery by CEO and Executive	N/A
A27	Approve capital investments over 2.5% of ONR annual turnover.	Corporate governance	As necessary	Yes	Delivery by CEO and Executive	N/A
A28	Approve capital investments up to 2.5% of ONR annual turnover					

A	Function	Type	Frequency	Reserved to Board	Delegated to/ delivered by	Secretary of State approval (for information)
	Corporate Governance	As necessary	No	Delegated to CEO and Executive	NA	
A29	Signing of all contracts	Corporate governance	As necessary	No	Delegated to CEO who may sub delegate	NA
A30	Approval of financial delegations to budget holders and approve budget holder posts	Corporate governance	As necessary	No	Delegated to CEO	NA
A31	Approval of special payments such as loans and advances to staff up to £5000	Corporate governance	As necessary	No	Delegated to CEO	NA
A32	Approval to dismiss staff/ terminate employee contracts	Corporate governance	As necessary	No	Delegated to CEO who may sub delegate	NA
A33	Approval of ONR's publication scheme in accordance with the Freedom of Information Act 2000; and any revisions	Corporate governance	As necessary	No	Delegated to CEO who may sub delegate	NA
A34	Approval of corporate publications	Corporate governance	As necessary	No	Delegated to CEO	NA
A35	Approval of press releases	Corporate governance	As necessary	No	Delegated to CEO who may sub delegate.	NA
A36	Approval of regulatory reports for publication	Corporate governance	As necessary	No	Delegated to CNI	NA
A37	Approval of internal communications	Corporate governance	As necessary	No	Delegated to CEO who may sub delegate	NA
A38	Approval of ministerial submissions and correspondence for onward submission to DWP Sponsorship Team	Corporate governance	As necessary	No	Delegated to CEO who may sub delegate	NA
A39	Approval of attendance at Conferences and Events when representing/ speaking on behalf of ONR.	Corporate governance	As necessary	No	Delegated to CEO who may sub delegate	NA
A40	Approval and signature to Memoranda of understanding, Service Management Agreements and/or protocols for ways of working with stakeholders and partners	Corporate Governance	As necessary	No	Delegated to CEO (operational) Delegated to CNI (Regulatory)	NA
A41	Use of ONR Logo	Corporate governance	As necessary	No	Delegated to CEO who may sub delegate	NA

- 1 Includes investigations, inquiries, making proposals for legislation and ACoPs, accepting and delegating ONR functions
- 2 If nuclear regulation proposals or ACoPs: DECC Secretary of State. If investigations or inquiries, undertaking commercial work or accepting or delegating ONR functions: DWP in consultation with DECC.
- 3 Approval of major projects; policy advice to Ministers on significant issues; decisions with a significant public interest; decisions having a major economic impact; decisions requiring novel or contentious expenditure; or novel, contentious or repercussive use of ONR's formal powers.

Part 2

Financial delegation; The role of the resource review panel; The procurement process

The role of the resource review panel

The Resource Review Panel (RRP)

- 1 RRP has been formed to provide assurance that the financial control and procurement processes required of ONR as a public body have been, and will be, fully applied before a financial commitment is made.
- 2 A summary of the role of RRP in approving expenditure and the financial delegations is summarised below:

All proposals to commit expenditure (regardless of value) are in effect subject to RRP approval with respect, in particular, to the criteria set out in Annex A (tables 1 and 2) of the RRP guidance. However, not all proposed spending decisions need to be reviewed directly by RRP. A proportionate approach is adopted which allows for approvals by other decision makers, with the exception of expenditure that could be considered novel, contentious or repercussive. The following thresholds apply:

- a) *Proposed expenditure of £15,000 and above must be reviewed directly by RRP.*
- b) *Proposed expenditure from £5,000 to £15,000 is delegated to the ONR Chief Executive or the Finance Director.*
- c) *Proposed expenditure up to £5,000 is delegated to Programme Directors and the Director of HR.*

Decisions under the delegations at (b) and (c) will be reviewed and ratified by RRP.

- 3 Programme Directors have authority to determine prioritisation of expenditure within their agreed budget allocation to deliver specific activities within their respective programmes. As budget holders they are responsible for managing and controlling allocated budgets, ensuring that the budget is used only for agreed purposes and complying with the procedures for the approval to commit expenditure.
- 4 The tables overleaf summarise the delegation limits for financial decisions and responsibilities by postholders.

The procurement process

- Under a Shared Services Contract, ONR complies with the Central Government procurement process, which is operated through the Resource Management system (RM) - an Oracle based IT system. RM includes financial limits that correspond to the delegation levels, and similarly limits relating to administrative responsibilities, as set out in this document. Appendix 1 provides a summary of the process together with definitions of roles within that process.

Matters to be determined by RRP or delegated by RRP

The following apply except where the expenditure is novel, contentious or repercussive when in all cases these should be considered by the ONR Board

Resource expenditure

B	Goods services required – limits	Authorisation to commit expenditure and commence procurement	Sub delegation permitted?	Contract award authorisation after procurement process	Contract sign off	Comments (also see RRP guidance)
B1	Up to £5,000	Programme Directors and Directors of HR	Yes	Contract Holder	Chief Executive or Finance Director	May be sub delegated (in writing)
B2	Above £5,000 and up to £15,000	Finance Director or Chief Executive	No	Contract Holder	Chief Executive or Finance Director	Programme Directors must authorise any submissions to request commitment to expenditure above £500. May not sub-delegate
B3	Above £15,000	Resource Review Panel (RRP)	Only as above	Contract holder	Chief Executive or Finance Director	

Capital expenditure

	Type and Level	Authorisation to commit expenditure and commence procurement	Sub delegation?	Contract award authorisation after procurement process	Contract sign off	Comments/ further guidance
B4	Capital Expenditure - where included in approved budget	RRP	No	Chief Executive	Chief Executive	

Other Delegations including single tender actions (STA) Note STAs are not permitted unless approved by RRP

	Type and Level	Limit	Authorisation	Sub delegation?	Contract sign off	Comments/ further guidance
B5	Losses and write offs	No lower or upper limit	RRP	No	Finance Director	ONR Write offs and Losses policy
B6	Fruitless payments	No lower or upper limits	RRP	No	Finance Director	
B7	Write off bad debts	No lower or upper limits	RRP	No	Finance Director	
B8	Disposal of assets	Net Present Value up to 1% of ONR annual budget	RRP	Yes	Finance Director	
B9	Travel and subsistence - domestic	UK site visits and business meetings in other locations	Line manager in accordance with T&S policy	No	Line manager in accordance with T&S policy	RRP guidance
		UK training	Subject to aggregation – line manager or RRP*	No – if crosses RRP thresholds	HR	
		UK conferences	Subject to aggregation – line manager or RRP	No – if crosses RRP thresholds	Programme Director	
B10	Overseas travel	Up to £5,000	Subject to aggregation: Programme Directors	No – if crosses RRP thresholds	Programme Director	Approval as per RRP policy
		Above £5,000	Subject to aggregation Finance Director/ Chief Executive*	No – if crosses RRP thresholds	Programme Director	
		Above £15,000	RRP	No	Programme Director	
B11	Overtime payments	Single incident – up to £500	Programme Director	No	Programme Director	RRP guidance
		Repetitive over a number of weeks or exceeding £500	RRP (subject to £500 / £3000 limits)	No	HR Director	RRP guidance
B12	Ex gratia payments	No lower or upper limits	These will be by nature novel or contentious and so are reserved for Board decision.	No	Chief Executive	Consultation with DWP and may require Cabinet Office/HMT approval

* Where multiple numbers of staff are attending training, conferences or travelling overseas, a single submission should be made and subject to the delegation thresholds within the RRP guidance. No disaggregation will be permitted

	Type and Level	Limit	Authorisation	Sub delegation?	Contract sign off	Comments/ further guidance
B13	Relocation	No lower or upper limits	HR Director and Chief Executive (unless either are affected, in which case the board reserves authorisation)	No	Chief Executive	Applies only to new recruits in line with ONR relocation criteria. Terms are in line with HMT criteria.
B14	Provision of hospitality	Subject to RRP limits of £500 and £3000.	RRP in accordance with hospitality policy	No	Host	Policy being developed
B15	HR Changes/ Recruitment	<ul style="list-style-type: none"> ● New posts ● Secondments (in and out) ● Replacements of existing posts ● Temporary duties allowance ● Re-grading of posts ● New L&D programmes (not individuals) ● Whole life incremental costs must be applied. 	RRP	No	Chief Executive	RRP guidance

Part 3

Responsibilities delegated by the Chief Executive/Accounting Officer

The Chief Executive expects that those to whom authority to make decisions has been delegated will do so in consultation with colleagues where appropriate. If it is not possible to consult colleagues in particular instances, the decision maker is expected to record the reasons for this. Those who have delegated responsibilities from the Chief Executive may sub delegate those responsibilities as considered appropriate, in accordance with the principles of delegation and the delegated authorities set out below.

Responsibilities delegated to Senior Leadership Team (SLT) members

C	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
Strategy and Planning				
C1	Approve Directorate Structure	Programme Director	Endorsement by Chief Executive	
C2	Take operational decisions to deliver the priorities in the Strategic Plan relevant to Directorate's business;	Programme Director	Heads of teams/ Line managers to implement in line with performance objectives	ONR Strategy Letter of Delegation
C3	Deliver against the KPIs contained within the Plan.	Programme Director	Heads of teams/ Line managers to implement in line with performance objectives	ONR Strategy Letter of Delegation
C4	Provide timely and accurate management information as required by the Finance Director for inclusion in reports to the Board etc.	Programme Director	Relevant Directorate staff gather and assimilate information	Letter of Delegation
Risk Management				
C5	Ensure that risks are identified, that their significance is assessed and that they are escalated appropriately.	Programme Director	Heads of teams	Corporate Risk Register Letter of Delegation
C6	Ensure that systems appropriate to the identified risks are in place in all relevant areas to manage the risks.	Programme Director	Heads of teams	Letter of Delegation

C	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
Financial Management				
C7	Manage the allocated budget to deliver the Directorate's priorities within the ONR Strategic Plan.	Programme Director	Heads of teams	Accountability rests with budget holder
C8	Ensure accuracy in profiling budgets and forecasting income and expenditure	Programme Director	Head of teams	
C9	Declare and return any windfall underspends to the centre to allow reallocation as appropriate	Programme Director		Letter of Delegation
C10	Ensure staff comply with the policy on COIN	Programme Director	Heads of teams/ line managers	Work recording guidance
Regularity and Propriety				
C11	Ensure propriety and regularity by making sure the Directorate complies with the policy and procedures for the commitment of expenditure, procurement and the general financial controls.	Programme Director	Heads of teams/ Line managers	Letter of Delegation
C12	Ensure that systems of control are applied within the directorate to protect against fraud and losses, including security of data (electronic and hard copy), IT equipment etc.	Programme Director	Heads of teams/ Line managers	ONR Fraud policy RM guidance
People Matters				
C13	Ensure staff management and appraisal is undertaken and that Resource Management (RM) processes are adhered to.	Programme Director	Line managers	People Strategy HR Policies
C14	Sign off pay award for individual team members	Programme Director (See HR Director E16)	Line managers	People Strategy HR Policies
ONR Representation				
C15	Approval of attendance at conferences and events (including international events) (Regulatory function only).	Programme Director		RRP guidance applies
Operational matters				
C16	Instigate legal action	Programme Director	Nuclear and Conventional Health & Safety Inspectors. Finance Director to give authorisation for access to contract	Energy Act 2013 HSWA ONR guidance on Access to Solicitor Agents

Responsibilities delegated to the Finance Director

	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
Strategy and Planning				
D1	Ensure the compilation of a five year Corporate Plan and budget for approval by the Board.	Finance Director	Financial Accountant Management Accountant Report writers	
Risk Management				
D2	Deliver a Corporate Risk Management assessment and review process and provide regular reports to the ARAC/Board.	Finance Director	Risk Manager	
Regularity and Propriety				
D3	Ensure propriety and regularity by making sure ONR complies with the policy and procedures for the commitment of expenditure, procurement and the general financial controls.	Finance Director	Heads of teams/ Line managers	Managing Public money (MPM) Financial Reporting Manual (FReM); HM Treasury guidance
D4	Ensure that systems of control are applied within ONR to protect against fraud and losses, including security of data (electronic and hard copy), IT equipment etc.	Finance Director	Heads of teams/ Line managers	Managing Public money (MPM) Financial Reporting Manual (FReM); HM Treasury guidance ONR Fraud policy
D5	Ensure that Board members, independent members and staff, as appropriate, know about and understand their responsibilities within the Framework Document, Arrangements for Governance Document and HM Treasury Managing Public Money (MPM)	Finance Director	Head of Governance	MPM, Framework Document Governance Document
D6	Maintain an effective system of internal financial control. This includes reconciliation processes and procedures for bank payments, payroll, charging, accounting records etc. (See H19 – H22).	Finance Director	Management Accountant Financial Accountant Finance Staff	Government Banking service Managing Public Money, the (FReM) HM Treasury guidance
D7	Prepare and maintain accounts, certificates, estimates, records and reports for audit purposes	Finance Director	Management Accountant Financial Accountant	Accounts Direction

	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
D8	Ensure effective records are maintained for audit purposes.	Finance Director	Management Accountant Financial Accountant Finance Staff	

Financial Reporting

D9	Provide for laying before Parliament an Annual Report and Financial Statements each year in line with the Parliamentary timetable and timescale agreed with DWP	Finance Director	Management Accountant Financial Accountant Report writers Finance Staff Communications staff	Accounts direction FRm PES guidance
D10	Provide regular performance reports to the Business and to the Board	Finance Director	Management Accountant Financial Accountant Report writers; Finance Staff Fellow Directors and their staff	

Financial Management

D11	Ensure that an adequate system of monitoring financial performance is in place to enable ONR to fulfil its responsibility not to exceed the approved budget.	Finance Director	Management Accountant Financial Accountant Finance team.	Letter of Delegation
D12	Approval of transfers between budget lines and re-allocation of underspends subject to limits (2.5% of turnover).	Finance Director	Relevant Director Management Accountant Financial Accountant Finance Staff	Letter of Delegation

Income Generation

D13	Ensure consistent and regular receipt of debts	Finance Director	Financial Accountant Finance Staff	Letter of Delegation MPM
D14	Ensure appropriate recovery action on all outstanding debts	Finance Director	Financial Accountant Finance Staff	Letter of Delegation MPM

	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
D15	Ensure income is calculated consistently and invoiced on a systematic and timely basis	Finance Director	Financial Accountant Finance Staff	Letter of Delegation MPM

Procurement

D16	Sign all contracts	Finance Director and Chief Executive	Commercial team in compiling contracts; RRP in approving commitment	No sub delegation
D17	Ensure contracts are competed.	Finance Director and Chief Executive RRP	Commercial team	Letter of Delegation RRP guidance
D18	Ensure RRP guidance is strictly adhered to in relation to expenditure on contracts.	Finance Director	Commercial team Finance Staff	Letter of Delegation RRP guidance
D19	Ensure all invoices are paid against a valid purchase order. Under exceptional circumstances, manual payments will only be permitted with written formal approval from the Chief Executive or Finance Director.	Finance Director	ONR Procurement staff HSE Procurement staff	Letter of Delegation RRP guidance RM electronic agreed delegation authorities apply

Banking Arrangements

D20	Agree a Service Level Agreement with Shared Service Connections Ltd (SSCL) for operating ONR's banking facilities	Finance Director	Management Accountant Finance Staff SSCL	Government Banking Service
D21	Ensure that ONR's bank account is managed and operated in line with the Government Banking Service guidance and procedures	Finance Director	Management Accountant Finance Staff SSCL	Government Banking Service
D22	Ensure authorities are in place to arrange for SSCL to open and close ONR bank accounts as appropriate and to monitor regularly the bank account, ensuring robust monthly reconciliations of ONR's accounting records to the bank account records.	Finance Director	Management Accountant Finance Staff	Government Banking Service SSCL contract
D23	Ensure authorities are in place to allow SSCL to effect transactions on behalf of ONR	Finance Director	Management Accountant Finance Staff	Government Banking Service SSCL contract

Paying invoices / signing BACS run

	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
D24	Ensure effective systems are in place to pay invoices promptly.	Finance Director	Management Accountant (nominated as authorised person to arrange for payment of invoices via SSCL)	Government Banking Service SSCL operate BACS run on authority of nominated Management Accountant RM electronic agreed delegated authorities apply.

Responsibilities delegated to the HR Director

	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
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Recruitment and Promotion

E1	Ensure delivery of recruitment and promotion exercises following RRP approval	HR Director	HR staff Line managers/ post holders	
E2	Appoint individuals into posts following approval by Chief Executive/CNI	HR Director	HR administrative staff	

Terms and Conditions

E3	Ensure that employees are issued with a contract of employment; and deal with any variations / termination of contracts as and when appropriate	HR Director	HR administrative staff line managers	People Strategy
E4	Ensure there are policies and procedures to support the allocation and approval of annual leave for all employees	HR Director	HR policy staff	
E5	Ensure there are appropriate policies relating to travel and subsistence including reimbursement of expenses	HR Director	Finance Director HR policy staff Finance Staff	RRP guidance DWP guidance Board direction
E6	Propose for Board approval for staff below CEO – ex gratia payments, redundancies etc	HR Director	Finance Director HR administrative staff	Consultation with DWP required/ may require Cabinet Office/HMT approval
E7	Ensure an effective and appropriate method of time recording and other notifications is appropriate and developing policies and procedures to support them	HR Director	HR administrative staff Line Managers	

	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/ or comments
E8	Terminate employment contracts/ dismiss employee	HR Director	HR policy staff Line Managers SLT	People Strategy

Payroll

E9	Determine pay for individuals in accordance with Board approved pay remit	HR Director	HR policy staff	Board decision
E10	Ensure salary related payments are made to staff accurately and on agreed days	HR Director	Nominated authorised person to instruct SSCL	
E11	Ensure subsidiary records for superannuation, income tax, national insurance and other authorised deductions are made by SSCL	HR Director	Nominated authorised person to instruct SSCL	SSCL contract RM guidance
E12	Ensure regular and independent reconciliation of pay control is made in conjunction with Finance staff	HR Director	HR admin staff Finance Staff	RM guidance
E13	Establish a system of recovery of overpayments from leavers or other staff as relevant.	HR Director	HR admin staff Finance staff	RM guidance

Pay Award

E14	Make recommendations to the Board on ONR's pay remit in line with HM Treasury and Cabinet Office advice	HR Director	HR and Finance pay modelling staff	DWP consultation/ advice
E15	Ensure delivery by line managers of appraisal process and moderation process	HR Director	Line managers Countersigning officers	People Strategy
E16	Implement pay award for individuals subject to SLT sign off	HR Director	SLT, Executive	RM guidance

Training and Development

E17	Provide a framework and process for staff to identify and undertake training and development	HR Director	Learning and Development Manager Line Managers	People Strategy
E18	Provide an effective staff appraisal system and provide evaluation reports on its effectiveness to the Executive and the Board	HR Director	HR Managers Line Managers	People Strategy

ICT Strategy

	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
E19	Ensure preparation and implementation of an ICT Strategy	HR Director	Head of Security IT Manager SSSCL (IT provider)	
E20	Procure IT equipment (software and hardware) following RRP approval (see F1 – financial delegations, capital expenditure), through the Shared Services arrangement	HR Director	IT Manager nominated as authorised person to commission shared services to procure on ONR’s behalf	
E21	Ensure staff awareness of the need to comply with ONR’s IT Security policy, check adherence and instigate appropriate action for non-compliance	HR Director	Head of Security Line Managers Steria (Shared Service provider)	

Responsibilities delegated to the Director of Policy

	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
Communications				
F1	Approval of ONR’s publication scheme in accordance with the Freedom of Information Act 2000; and any revisions	Director of Policy	Head of Policy (FOI) Head of Communications CNI, SLT	FOIA 2000
F2	Approval of press releases	Director of Policy	Chief Press Officer	
F3	Approval of use of ONR Logo	Director of Policy	Head of Communications	
F4	Approval of internal communications	Director of Policy	Head of Communications SLT members	
F5	Ensure the effective procedures for handling complaints about ONR are established, that they are made widely known and are executed in line with those procedures	Director of Policy	Policy staff SLT members	
F6	Ensure ONR complies with the requirements to demonstrate openness and transparency.	Director of Policy	Policy staff SLT members	
F7	Approval of ministerial submissions and correspondence	Director of Policy	Policy staff SLT members	

Part 4

Responsibilities delegated by the Chief Nuclear Inspector

Exercise of regulatory functions

Legislation	Functions	Comments
Nuclear installations Act and conditions attached to Nuclear Site Licences	Reserved to CNI <ul style="list-style-type: none"> ● Granting or withdrawing a licence 	Can be delegated to DCI on a case by case basis
	Delegated to DCI <ul style="list-style-type: none"> ● Vary licences ● Grant consents and approvals and give directions ● Vary or withdraw consents, approvals and directions 	
	Delegated to Superintending Inspector <ul style="list-style-type: none"> ● Issue of specifications, agreements and notifications ● Directions of consent during a nuclear emergency 	
Ionising Radiation Regulations 1999	All functions delegated to Superintending Inspector	
Radiation (Emergency Preparedness and Public Information) Regulations 2001	Functions delegated as follows: <ul style="list-style-type: none"> ● Superintending Nuclear Inspector – regulation of nuclear submarine related sites ● Superintending Nuclear Inspector – regulation of nuclear weapons related sites ● Superintending Nuclear Inspector and Principal Nuclear Inspector – emergency arrangements programme for civil nuclear sites. 	
Nuclear Reactors (Environmental Impact Assessment for Decommissioning) Regulations 1999	Reserved for CNI <ul style="list-style-type: none"> ● Authority to sign correspondence with Secretary of State re regulations 8(2)(c), 11(a) and 13(5) 	Can be delegated to DCI on a case by case basis
	Delegated to DCI <ul style="list-style-type: none"> ● Issue of consents for decommissioning projects 	
	Delegation to Superintending Inspector <ul style="list-style-type: none"> ● Issue pre application opinions ● Issue notices, notifications and requests for further information and evidence ● Authority to determine if changes or extensions to a project will require an EIA 	

Legislation	Functions	Comments
<p>Nuclear Safeguards Act 2000</p> <p>Nuclear Safeguards (Notification) Regulations 2004</p> <p>Nuclear Safeguards and Electricity (Finance) Act 1978</p>	<p>All functions are delegated to Superintending Nuclear Inspector for Safeguards and Head of Safeguards, including authority to serve notices, issue certificates</p>	
<p>Energy Act 2013</p>	<p>Reserved for Chief Nuclear Inspector</p> <ul style="list-style-type: none"> ● Issue of Inspector Warrants 	
	<p>Delegated to Superintending Inspector Safeguards and Head of Safeguards</p> <ul style="list-style-type: none"> ● Power to obtain information under section 97(1) 	
<p>Nuclear Industries Security Regulations 2003</p>	<p>Delegated to Superintending Civil Nuclear Security Inspector</p> <ul style="list-style-type: none"> ● Issue directions under regulations 11,21 and 22 <p>Delegated to Civil Nuclear Security Inspector</p> <ul style="list-style-type: none"> ● Issue approvals and directions as follows: <ul style="list-style-type: none"> ● Approve security plans for nuclear premises made under regulations 5, 6 and 8 ● Issue Notifications under regulation 7 ● Issue Approvals and Revocations of carriers under regulations 14 and 15 ● Issue Approval of transport security statements under regulation 16 ● Issue Approval of transport plans under regulation 19 ● Issue Approval of transport under regulation 20(4) ● Sign directions made under regulation 22 ● Issue Security clearances for industry staff <p>Delegated to Personnel Security Officer in ONR</p> <ul style="list-style-type: none"> ● Issue Security clearances for ONR staff 	
<p>Uranium Enrichment Technology (Prohibition on Disclosure) Regulations 2004</p>	<p>Delegated to the Civil Nuclear Security Inspector</p> <ul style="list-style-type: none"> ● Issue authorisations, withdrawals or variations of authorisation of disclosure under regulations 4 and 5. 	
<p>Functions under the Import of Goods (Control) Order 1954</p>	<p>Delegated to the Civil Nuclear Security Inspector</p> <ul style="list-style-type: none"> ● Grant licences, modify or revoke such licences. 	

Legislation	Functions	Comments
<p>The Carriage of Dangerous Goods and Transportable Pressure Equipment Regulations 2009</p>	<p>Delegated to DCI, Transport Delivery Lead and Transport Professional Lead</p> <ul style="list-style-type: none"> ● Issue Certificate or Authorisation: <ul style="list-style-type: none"> ● under regulation 12 or 26 of the Carriage of Dangerous Goods and Transportable Pressure Equipment Regulations 2009; ● on behalf of the Civil Aviation Authority in accordance with the Authorisation under paragraph 15 of Schedule 1 to the Civil Aviation Act 1982 and agreement under section 13(4) of HSWA made between the CAA and the Executive on 26 October 2011; ● on behalf of the Secretary of State for Transport in accordance with the agreement under section 13(4) of HSWA made between the Secretary of State for Transport and the Executive on 28 October 2011; or ● on behalf of the Department of the Environment (Northern Ireland) in accordance with the agreement under section 13(4) of HSWA and section 28(1) of the Northern Ireland Act 1998 made between the Department of the Environment (Northern Ireland) and the Executive on 25 January 2012. 	

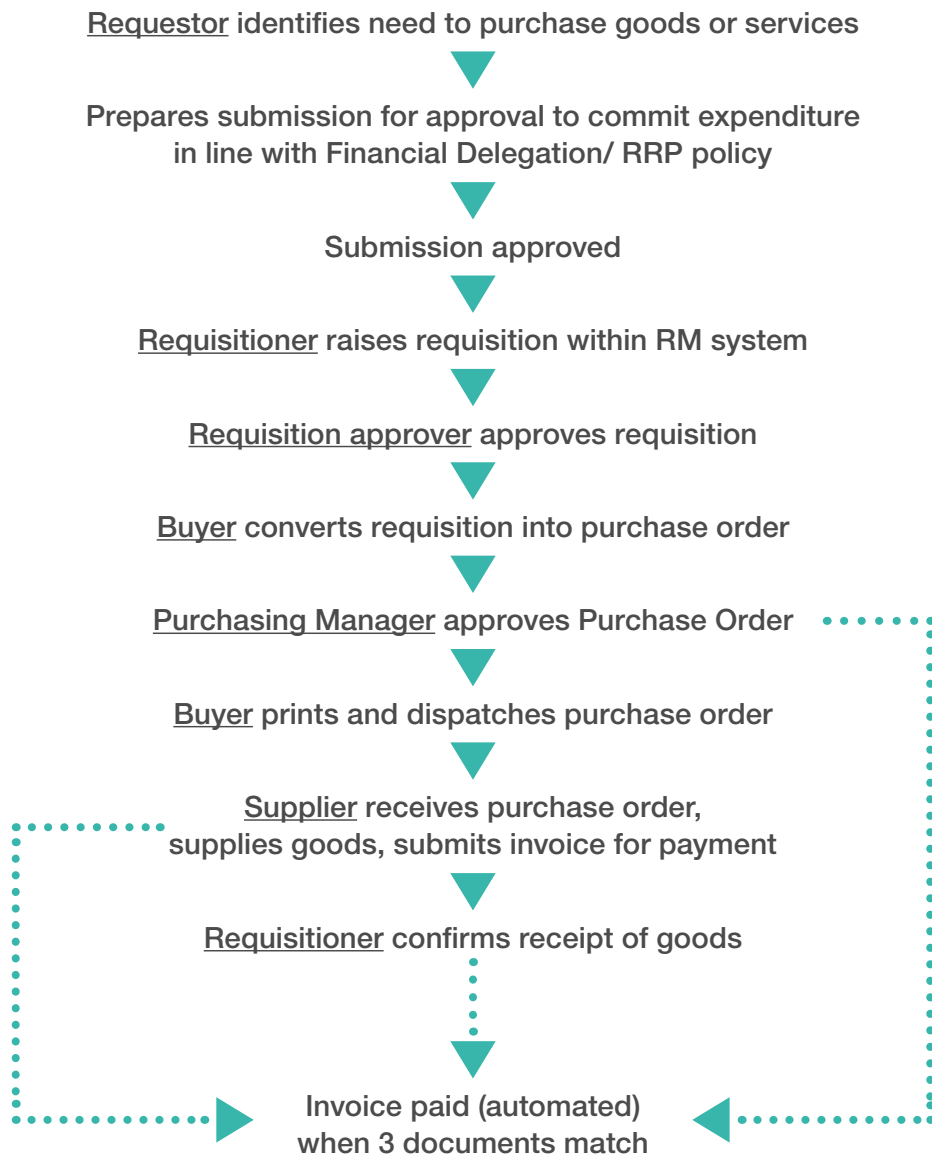
Health and safety legislation – administrative arrangements for exercise of functions

LEGISLATION (Date order)	Provision	Who is authorised to exercise the specific functions in practice:
Employers Liability (Compulsory Insurance) Act 1969 and Regs 1998	S.4(2)b and Reg 8 authorisation	Any member of staff to whom the CNI Staff delegation or the CNI HSWA delegation applies
Dangerous Substances in Harbour Areas Regulations 1987	Reg 36, Sch 7	Any ONR-warranted inspector holding the post of B1 Chief Inspector of Explosives
Equipment and Protective Systems etc. Regulations 1996	Schedule 14, para 2	Any inspector holding an ONR(full or H&S) warrant, and holding the post of B2 Inspector
Control of Major Accident Hazards Regulations 2015	Regs: 7(4), 7(6),7(13), 15(1), 15(2), 17(1), 19(4), Schedule 8	Any inspector holding an ONR(full or H&S) warrant, and holding the post of B3 Inspector
	Regs: 7(12), 10(2), 10(7), 14(2), 16(1) 16(2), 16(4), 21	Any inspector holding an ONR(full or H&S) warrant, and holding the post of B2 Inspector
	Reg: 18	Any inspector holding an ONR(full or H&S) warrant, and holding the post of B1 Inspector
Pressure Equipment Regulations 1999	Reg: 24(2), Sch 8 para 4(1), para 6	Any inspector holding an ONR(full or H&S) warrant, and holding the post of B1 Inspector
Manufacture and Storage of Explosives Regulations 2005	Regs: 13, 16, 17	Any ONR-warranted inspector holding the post of B1 Chief Inspector of Explosives
	Regs 11, 13 (Where Regs 13(4)(a) and 13(4)(b) apply), 14, 15, 16 (Where Regs 13(4)(a) and 13(4)(b) apply), 18, 20, 22	Any inspector holding an ONR(full or H&S) warrant, and holding the post of B2 Inspector
Fire (Scotland) Act 2005	Sections 63, 64, 65	Any inspector holding an ONR(full or H&S) warrant, and holding the post of B3 Fire Inspector
Regulatory Reform (Fire Safety) Order 2005	Articles 29, 30, 31	Any inspector holding an ONR(full or H&S) warrant, and holding the post of B3 Fire Inspector
Supply of Machinery (Safety) Regulations 2008	Regs 21(2), 21(3)	Any inspector holding an ONR(full or H&S) warrant, and holding the post of B2 Inspector

Appendix 1

The Procurement Process

The Resource Management (RM) system is built on a hierarchy of positions whose holders are assigned a role that allows them to perform certain functions within the system. The procurement process is summarised in the flowchart below. With the definition of roles on the following page.

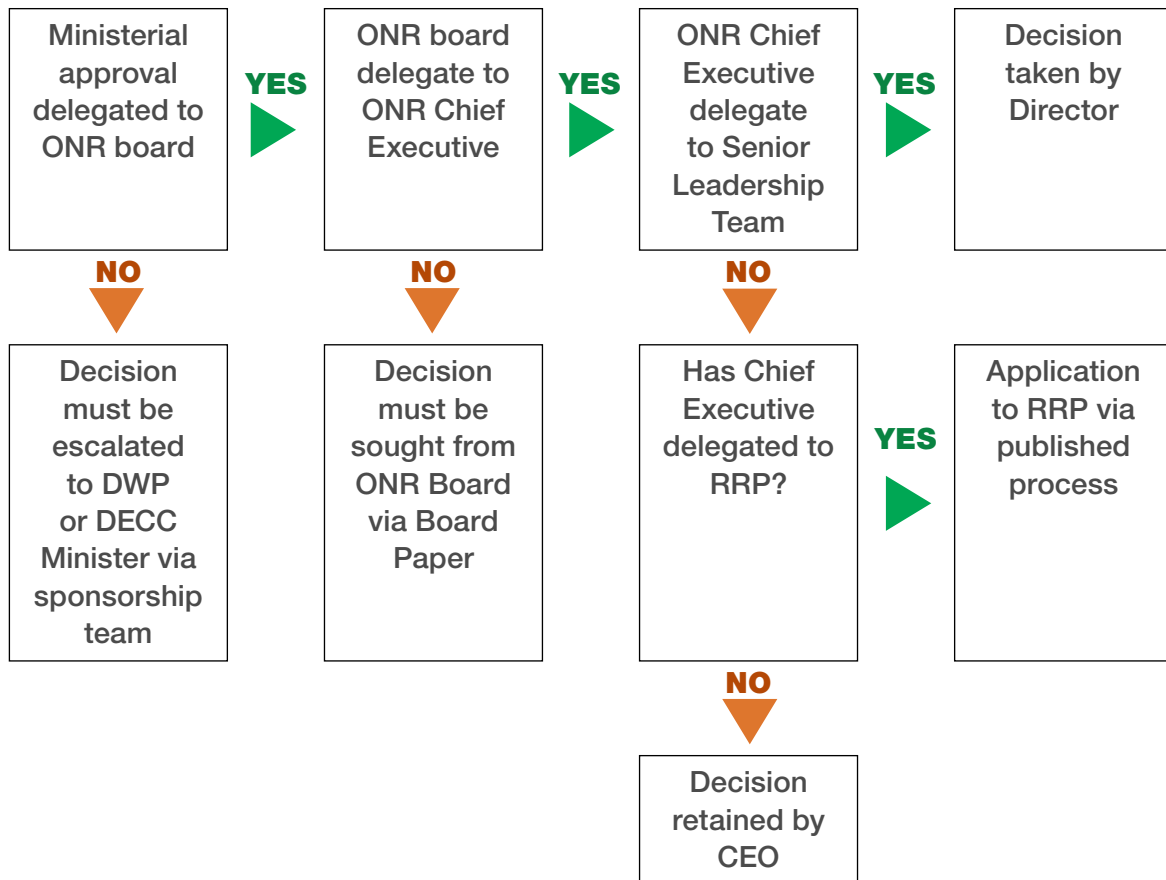


Requisitioning of and payment for good and services – Definition of roles

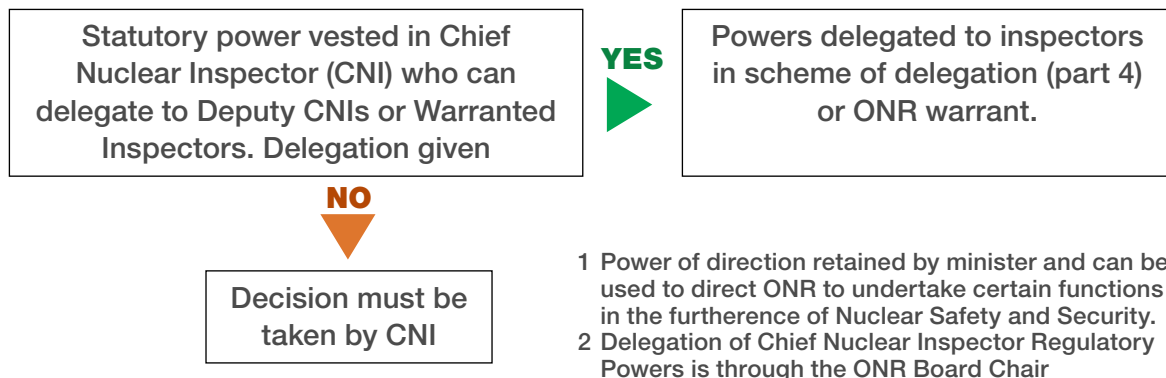
Role	Description
Requester	Any individual within the Business who identifies the need for the purchase of goods or services.
Requisitioner	<p>A nominated individual, who is authorised within the RM system for making requests for the purchase of goods or services.</p> <p>Note that:</p> <ul style="list-style-type: none"> ● A Requisition Approver is assigned: <ul style="list-style-type: none"> ● A value up to which requisitions can be approved. This is known as a Delegated Financial Authority (DFA) ● Purchase Orders can only be raised when all necessary approvals are evidenced to requisitioner. ● Cost centre(s) against which he/she has permission to approve and commit expenditure ● Some staff may be assigned both the Requisitioner and Requisition Approver role, but the system will prevent a Requisition Approver from approving his/her own requisitions
Requisition Approver	A nominated individual, who again is authorised within the RM system for reviewing Requisitions created by the Requisitioner and giving Financial Authority for the purchase.
Buyer	A specific individual, who is authorised within RM for the creation of Purchase Orders.

Appendix 2

Delegation of approval of expenditure decisions



Delegation of regulatory powers



- 1 Power of direction retained by minister and can be used to direct ONR to undertake certain functions in the furtherance of Nuclear Safety and Security.
- 2 Delegation of Chief Nuclear Inspector Regulatory Powers is through the ONR Board Chair



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