



Office for
Nuclear Regulation

ONR SCHEME OF DELEGATION

April 2019

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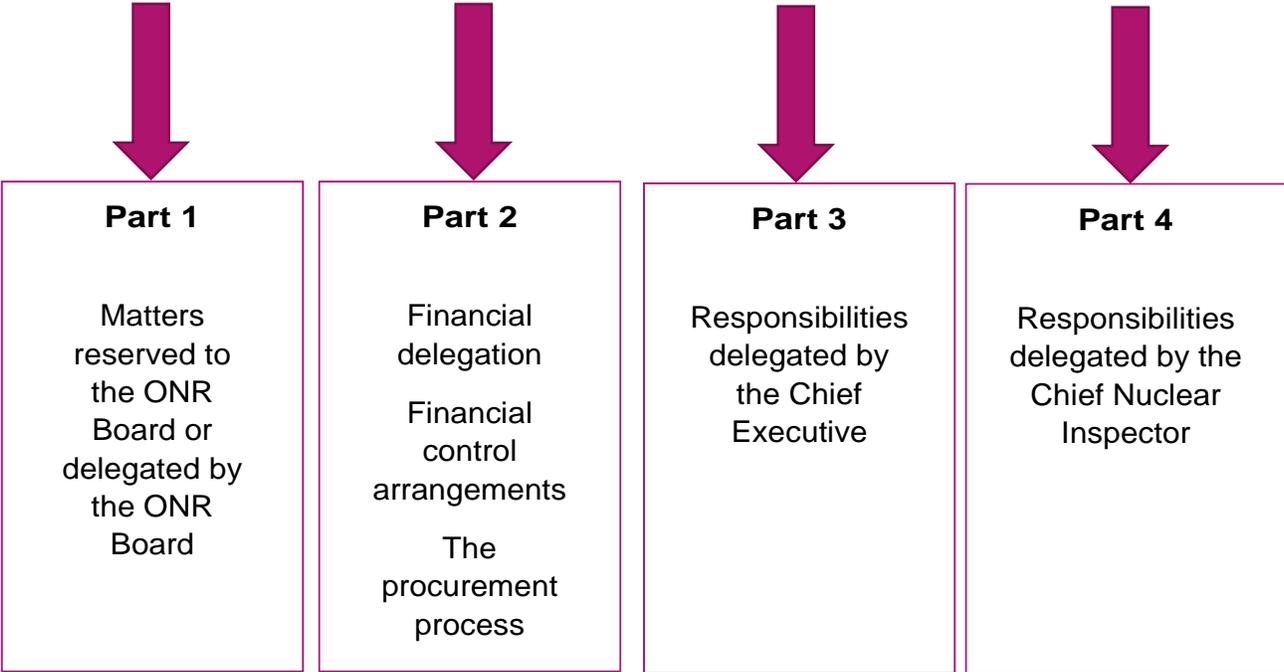
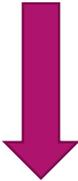
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Scheme of delegation organisation chart



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

Part 2 - Sets out the role of those with Delegated Financial Authority (DFA), the financial controls framework currently in place and the procurement process.

Part 3 - Sets out the responsibilities the Chief Executive has delegated to the members of the Senior Leadership Team (SLT). This includes in particular the Finance Director, HR Director and Director of Policy and Communications. 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 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, 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 Business Energy and Industrial Strategy (BEIS) - UK civil

regulatory framework and policies; appoints the ONR Non executive Board member for Security (see paragraph 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 2013 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 <http://www.onr.org.uk/documents/corporate-governance.pdf>)
- 10 The Energy Act 2013 permits the Board to delegate certain functions to ONR employees. The Board should ensure that effective arrangements are in place to provide assurance on risk management, governance and internal control. The Board must set up an Audit and Risk Assurance Committee chaired by a non-executive member to provide independent advice. The Board is expected to assure itself of the effectiveness of the internal control and risk management systems. The Board may also appoint other standing committees to support its work, and may delegate matters to those standing committees.
- 11 The Board is specifically responsible for:
 - establishing and delivering ONR's strategic aims and objectives consistent with its overall strategic direction and within the agreed Government policy;
 - ensuring that the responsible minister is kept informed of any changes which are likely to impact on ONR's strategic direction or on the attainability of its targets, and determining the steps needed to deal with such changes;
 - ensuring that any statutory or administrative requirements for the use of public funds are complied with; that the Board operates within the limits of its statutory authority and any delegated authority agreed with DWP, and in accordance with any other conditions relating to the use of public funds; and that, in reaching decisions, the ONR Board takes into account guidance issued by DWP;
 - ensuring that the Board receives and reviews regular financial information concerning the management of ONR and that its decisions take into account all relevant financial considerations; is informed in a timely manner about any concerns about the activities of ONR; and provides positive assurance to DWP that appropriate action has been taken on such concerns;
 - demonstrating and ensuring high standards of corporate governance and probity at all times, including by using the Audit and Risk Assurance Committee to help the Board address key financial and other risks; ensuring that effective arrangements are in place to provide assurance that ONR is providing efficient and effective regulation of the nuclear industry, holding it to account on behalf of the public;
 - appointing the Chief Executive (CE) and the Chief Nuclear Inspector (CNI), subject to Ministerial approval and setting performance objectives for the Chief Executive. (NB. The Chief Executive sets the performance objectives of the Chief Nuclear Inspector); and
 - proposing the CE's and CNI's remuneration, which must be agreed by the responsible Minister, after consulting the Chief Secretary to the Treasury where required.
 - The Chair and Non-Executive members of the ONR Board will not be responsible for regulatory decisions such as issuing, revoking or amending nuclear licenses. These decisions, as required by the Energy Act 2013, have been delegated to the Chief Nuclear

Inspector who, in turn, sub-delegates such decisions to suitably skilled qualified and experienced staff.

The Chief Executive

- 12 As the lead Executive of ONR, the Chief Executive is appointed by the Board subject to Ministerial approval and has been given delegated authority by the Board for all the statutory and corporate functions of ONR, including all executive management matters, day to day management decisions and the implementation of ONR's strategic and corporate plans. He/she acts as a direct liaison between the Board and the ONR Senior Leadership Team. 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.
- 13 The Chief Executive delegates the following to all Directors:
- Directorate budget;
 - Directorate Headcount;
 - Performance and Risk Management;
 - Management Information;
 - Effective use of Resources and Efficiency Savings;
 - Information Governance;
- 14 Further specific delegations are made to the Finance Director in respect of:
- Contracting/banking designated signatory on behalf of ONR;
 - Ad-hoc*banking transactions including: BACs Authority, bank transfer limits, cheque or manual payment approval for a single transaction as designated by the ONR Approval Limits. **not including standard transactions covered by SSCL service agreement*
- Director of Policy and Communications in respect of
- Memorandum of understanding and Agency Agreements
 - Freedom of Information requests
- Head of Governance in respect of:-
- Departmental Security Officer and Data Protection Officer
- Head of IT in respect of:
- Authorisation of requests for hardware and software under the corporate agreement with HSE
- 15 In respect of financial delegation, however, the Chief Executive must seek Board approval for any expenditure which may be considered “novel, contentious or repercussive”; and if the Board considers this to be the case, then they must seek formal approval from DWP.

- 16 The responsibilities delegated to the Chief Executive 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).
- 17 The Chief Executive has personal responsibility for running the organisation in accordance with the principles of regularity, propriety, value for money and feasibility as set out in Managing Public Money 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.
- 18 The Chief Executive 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

- 19 The CNI is the authoritative regulatory head of ONR. The CNI is appointed by the Board subject to Ministerial approval. The CNI retains regulatory independence from the Board. 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

- 20 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 BEIS, 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.
- 21 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 BEIS Minister. The Principal Accounting Officer in the Department for Work and Pensions designates the responsibilities to the Chief Executive.

Long term absence

- 22 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 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

- 23 Those delegating powers remain accountable for the exercise of those powers.
- 24 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.
- 25 Variations to Parts 2 and 3 may be approved by the Chief Executive in consultation with the Finance Director. The Chief Executive will decide which matters should be reported to the Board or Audit and Risk Assurance Committee.
- 26 Variations to Part 4 may be approved by the CNI within the provisions of the relevant legislation.
- 27 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.

Finalised: March 2018.

Reviewed

Date	Page(s)	Amendment
March 2018	All	Fundamental review and restatement of financial controls, delegations, and extant regulations.
February 2019	All	Remove references to Accounting Officer Replace 'Executive Management Team' (EMT) with 'Senior Leadership Team' (SLT). Replace Regulatory Management Team (RMT) with Regulatory Leadership Team (RLT) Updates to table C in relation to delegations to SLT members

Next review due: February 2020

Part 1- Matters reserved to the ONR Board or delegated by the ONR Board

- 28 ONR's *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/her staff.
- 29 The Board exercises its power corporately. No individual member of the Board may take executive action as a Board member (the Chief Executive, the Chief Nuclear Inspector, Finance Director and Human Resources Director 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 were taken. In the Financial Year 2018/19 the Board have approved the operation of the £2m contingency budget to cover uncertainties in major activities in relation to Information Technology projects and Nuclear New Build. The Board will retain the authority to approve operational business cases for release of funds from this contingency while delegating to the Chief Executive the validation of value for money aspects of the cases. The Chief Executive will then be in a position to sign of the spend and release the funds.
- 30 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

- 31 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)**, is responsible for ensuring the maintenance of appropriate and adequate audit processes, and for the governance of the internal audit and external audit programmes. The Committee has a particular remit of ensuring that all necessary reassurances can be provided to the Board and Chief Executive. The Committee is made up of at least three members who are Non-Executive ONR Board members. ARAC also has an independent member, appointed by the ONR Board subject to ministerial approval.

- **Remuneration Committee**, which has the formal delegated authority to determine or set the framework for remuneration and performance for the Executive Board Directors 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 Chief Nuclear Inspector appointments. It also advises the Board on training and development matters. The Committee is made up of at least three members who are Non- Executive ONR Board members.
- **Security Committee**, provides assurance to the Board that ONR is providing efficient and effective regulation of the nuclear industry with respect to risk and malicious intent, holding it to account on behalf of the public. The Committee is made up of at least three members who are Non- Executive ONR Board members. The Committee is authorised by the Board to investigate any activity within its Terms of Reference
- The specific matters delegated to the Chief Executive and to the Chief Nuclear Inspector are as follows:

Matters delegated to the Chief Executive

32. 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 Chief Executive

- 33 The Chief Executive must personally sign ONR's annual accounts; the annual report; and the governance statement. He/she is personally responsible for ensuring that ONR operates effectively and to a high standard of probity in respect of:
- Safeguarding the public funds for which he/she has charge.
 - Ensuring propriety, regularity and value for money in the handling of those public funds at all times.
 - Ensuring that effective procedures for handling complaints about ONR are established and made widely known within ONR and to the public.
 - The day to day operations and management of ONR.
 - Management of opportunity and risk to achieve the right balance commensurate with the organisation's business and risk appetite.
- 34 In addition, the Chief Executive should ensure that ONR operates on the basis of the standards, in terms of governance, decision-making and financial management set out in "Managing Public Money. If required the Chief Executive will give evidence before the Public Accounts Committee on ONR's stewardship of public funds.

Matters delegated to the Chief Nuclear Inspector

- 35 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/she also has the authority to delegate certain regulatory functions to warranted staff within ONR.

ONR functions: matters reserved to the ONR Board or delegated to Chief Executive, Chief Nuclear Inspector and Finance Director

A	Function	Type	Frequency	Reserved to Board	Delegated to / delivered by	Secretary of State approval (for information)
A1	Appointment of CE	Statutory	As determined by Board	Yes - with approval of DWP Minister	NA	DWP, in consultation with BEIS
A2	Appointment of CNI	Statutory	As in A1 above	As in A1 above	NA	DWP in consultation with BEIS
A3	Appointment of Executive Board members	Statutory	As in A1 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 CE 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	Every 5 years (New strategy from 2020/21)	Yes	Delivery by CE and Executive	Joint DWP/ BEIS
A7	Set other strategies (e.g. regulatory, communications, etc)	Code of Corporate Governance	As necessary	Yes	Delivery by CE and Executive	NA
A8	Approve Annual Plan and budget	Statutory	Annually	Yes	Delivery by CE and Executive	Joint DWP/ BEIS
A9	Approve Annual Report and Accounts including CNI annual report on the safety of the nuclear industry.	Statutory	Annually	Yes (on advice from Audit and Risk Assurance Committee)	Delivery by CE and Executive	NA

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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 CE and Executive	NA
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)	Statutory	As necessary	Yes (likely to be novel and contentious)	N/A	DWP/ BEIS as appropriate.
A13	Settle legal claims against ONR	Board	As necessary	No	Delegated to CE and Executive.	
A14	Delivery of Annual Plan/ management of ONR	Code of Corporate Governance	Continuous	No	Delegated to CE / Executive (on basis of optimum value for money)	NA
A15	Hold Executive to account – finance, performance, assurance, etc	Code of Corporate Governance	Quarterly	Yes	NA	NA
A16	Virement of budgets across agreed strategic priorities	Board	As necessary	Yes	Delivery by CE / Finance Director	N/A
A17	Virement of budgets across main budget headings	Board	As necessary	No	Delegated to CE	N/A
A18	Approval of Appointment of Internal Auditors, Annual Audit Plan and amendments to Audit Plan.	Statutory / Board	As necessary	Yes	Delivery by the Audit and Risk Assurance Committee	N/A
A19	Scrutiny, audit, risk, etc	Code of Corporate Governance	Quarterly	Yes	Delivery by Audit and Risk Assurance Committee	N/A

A	Function	Type	Frequency	Reserved to Board	Delegated to / delivered by	Secretary of State approval (for information)
A20	Succession plans for Board / senior posts	Code of 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)	Code of Corporate Governance	As necessary	Yes	Delivery by CE and Executive	N/A
A23	Approve Organisational Structure at Executive and Senior Leadership Level	Board	As necessary	Yes	Delivery by CE and Executive	DWP/BEIS/ MOD (for information)
A24	Approval of property lease/ property purchase	Code of Corporate Governance	As necessary	Yes	Delivery by CE and Executive	DWP/ Government Property Unit
A25	Major legislative decisions ¹	Statutory	As necessary	Yes	Delivery by CE and Executive	DWP or BEIS ²

¹ Includes investigations, inquiries, making proposals for legislation and Approved Codes of Practices (ACoPs), accepting and delegating ONR functions

² If nuclear regulation proposals or ACoPs: BEIS Secretary of State. If investigations or inquiries, undertaking commercial work or accepting or delegating ONR functions: DWP in consultation with BEIS.

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A	Function	Type	Frequency	Reserved to Board	Delegated to / delivered by	Secretary of State approval (for information)
A26	Major, specific decisions. 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.	Code of Corporate governance	As necessary	Yes	Controversial matters retained by Chair of Board Delivery by CE and Executive	For Novel, contentious or repercussive expenditure or novel, contentious or repercussive use of ONR's formal powers.
A27	Approve capital investments over £3m.	Board	As necessary	Yes	Delivery by CE and Executive	N/A
A28	Approve capital investments up to £3m	Board	As necessary	No	Delegated to CE and Executive	NA
A29	Signing of contracts	Board	As necessary	No	Delegated to CE who sub delegates to Finance Director	NA
A30	Approval of financial delegations to budget holders and approve budget holder posts	Board	As necessary	No	Delegated to CE	NA
A31	Approval of special payments such as loans and advances to staff up to £5,000	Board	As necessary	No	Delegated to CE	NA
A32	Approval to dismiss staff/ terminate employee contracts	Board	As necessary	No	Delegated to CE who may sub delegate	NA
A33	Approval of ONR's publication scheme in accordance with the Freedom of Information Act 2000; General Data Protection Regulations 2018 and any revisions	Board	As necessary	No	Delegated to CE who may sub delegate	NA

A	Function	Type	Frequency	Reserved to Board	Delegated to / delivered by	Secretary of State approval (for information)
A34	Approval of corporate publications	Board	As necessary	No	Delegated to CE	NA
A35	Approval of press releases	Board	As necessary	No	Delegated to CE who may sub delegate.	NA
A36	Approval of regulatory reports for publication	Board	As necessary	No	Delegated to CNI	NA
A37	Approval of internal communications	Board	As necessary	No	Delegated to CE who may sub delegate	NA
A38	Approval of ministerial submissions and correspondence for onward submission to DWP Arms-Length Bodies Partnership Team and Other Government Departments	Board	As necessary	No	Delegated to CE who may sub delegate	NA
A39	Approval of attendance at Conferences and Events when representing/ speaking on behalf of ONR.	Board	As necessary	No	Delegated to CE who may sub delegate	NA
A40	Approval and signature to Information Exchange arrangements Memoranda of Understanding, and/or protocols for ways of working with stakeholders	Board	As necessary	No	Delegated to CE who may sub delegate normally to CNI	NA
A41	Use of ONR Logo	Board	As necessary	No	Delegated to CE who may sub delegate	NA
A42	Discharging Directions created under the Energy Act 2013	Statutory	As necessary	No	Delegated to CE who may sub delegate	NA
A43	Approval and signature of Agency Agreements	Corporate Governance	As necessary	Yes	Chair on behalf of the ONR	Yes

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A	Function	Type	Frequency	Reserved to Board	Delegated to / delivered by	Secretary of State approval (for information)
A44	Approval of ONR Whistleblowing policy	Corporate Governance	As necessary	Yes	Approval of policy retained by ONR Board Delivery by CE and Executive	NA
A45	Approval of ONR protected disclosure policy	Corporate Governance	As necessary	Yes	Approval of policy retained by ONR Board Delivery by CE and Executive	NA

Part 2- Financial delegation: Delegated Financial Authorities and the procurement process

Delegated Financial Authority

- 36 Financial controls in ONR are consistent with the principles of personal accountability and delegation.
- 37 Financial authority is delegated from the Chief Executive (CE), to Senior Leadership Team (SLT) direct reports (Chief Nuclear Inspector (CNI) and Directors) and any additional Senior Responsible Owners (SROs) and from that tier through the organisation. Divisional Director financial accountability is delegated from the CNI. The Chief Executive is ultimately accountable for effective control of expenditure, and all those in receipt of delegation are responsible for ensuring they act in the best interests of ONR and maintain effective control of expenditure. The CNI is delegated financial authority for the Regulatory Directorate and is accountable for Regulatory Directorate control and management of expenditure
- 38 Divisional Directors have authority to determine prioritisation of expenditure within their agreed budget allocation to deliver specific activities within their respective divisions. 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. The policy applies throughout the organisation including Support Directorates but with different threshold levels.

Control arrangements

- 39 Where expenditure has been budgeted, commitment to expenditure may be approved at Band 2 level and above for specific budgeted items under delegated Director authority, with higher levels of expenditure requiring authorisation at more senior levels. The limits of delegated financial authority for the approval to commit expenditure are given below.
- 40 In authorising expenditure the following points must be taken into account:
- Expenditure must be consistent with ONR's objectives and represent good value for money;
 - All post filling on a permanent or temporary basis, increases in working hours and secondments in or out of ONR, require financial approval from ONR's Technical Director with support from Regulatory Deployment and Resilience Group (RDR) for Regulatory Directorate; and ONR's HR Director for Support Directorates and SLT. (ONR's Finance Director will approve expenditure related to the HR Function). In all cases, HR must be consulted as part of developing the business justification
 - All cases where expenditure relating to recurring pay allowances e.g. Temporary Duties Addition (TDA), Responsibility Allowance, or London weighting allowance, require financial approval from RDR (for Regulatory Directorate) and ONR's HR Director (for Support Directorates and SLT). ONR's Finance Director will approve expenditure related to the HR Function. All cases (with the exception of London weighting allowance) must also have at least an annual review date. All financial authorities should be copied to ONR.Human-Resources@onr.gov.uk for records, compliance checking and audit purposes.
 - Expenditure must not be novel, contentious or repercussive - [ONR Finance](#) should be consulted in this regard.

- Expenditure must not be for central purchasing items for which another directorate has responsibility e.g. IT equipment and consumables; non-regulatory consultancy e.g. management consultants, estates items including furniture;
 - Procurement must be in accordance with our [extant policy and procedures](#);
 - All relevant options to meet the requirement must be considered and evaluated (e.g. use of ONR staff as opposed to contracted support);
 - The lifetime cost, including any contingent expenditure, must be factored in;
 - Expenditure must not be dis-aggregated for the purposes of facilitating approval at a lower grade than would be appropriate for the full commitment;
 - There is flexibility within budget for Directors to re-apportion funds if necessary across cost centres or to re-apportion balance of funds for example across Technical Support Contracts (TSCs) where the values are not considered material.
 - Divisional and Support Directors are to maintain records of material (>£100,000) pressures and opportunities and provide updates to ONR Finance each month for consolidation and consideration at Regulatory Leadership Team (RLT) and SLT Performance and Risk Review.
- 41 The above must be fully evidenced so that decisions to incur expenditure can be audited later, including by National Audit Office. To facilitate this, an appropriate financial justification must be produced and authorised and dated by the individual with the appropriate financial delegated authority (this can be by email from the authorisers e-mail box or by wet signature if the authoriser deems this material or appropriate), before the commitment to purchase is made. It is the responsibility of delegated budget holders to maintain auditable records of expenditure decisions.
- 42 In the Regulatory Directorate it is the responsibility of Divisional Directors to inform the CNI office of expenditure approval decisions within their division to enable tracking, oversight, and review as part of the RLT. To enable this, Divisional Directors should forward approved copies of the financial justifications to the [CNI Office](#).
- 43 In Support Directorates, it is the responsibility of Directors to ensure that expenditure approval decisions are recorded to enable tracking, oversight, and review as required.
- 44 The scope of financial justifications will vary and should be proportionate to the level of spend. For low value items an email justification will be sufficient; for higher value items a more detailed financial justification should be provided. [ONR Finance](#) should be consulted in all cases where there is uncertainty.

Capital Expenditure

- 45 ONR has limited capital expenditure but has plans for investment in information technology and leasehold improvements. As such approval levels for capital expenditure depend on the type of capital investment being undertaken, and must align with the published accounting policies in relation to capitalisation.

Consultancy Expenditure

- 46 Consultancy expenditure must be disclosed separately to inform monthly reporting to SLT and cumulatively to ONR Board due to the sensitive nature of this expenditure.

Expenditure not budgeted

- 47 Where proposed expenditure in the Regulatory Directorate has not been budgeted for, a financial justification must be produced and submitted to CNI's office for CNI consideration via RLT where the relative priority will be considered. For Support Directorates the financial justification should be submitted to the budget holder for consideration. For all parts of the organisation, if the proposed unbudgeted expenditure is material (>£100,000) it must be recorded as a pressure and reported to ONR Finance for consolidation and consideration at RLT and SLT accordingly.

Approval thresholds

Regulatory

Role/Grade	Approval threshold
CE (informed by SLT Director and FD) All decisions above £3million will be made visible to ONR Board	Above £3million
CNI with FD	£1,000,001 to £3m on a single item or related aggregated transactions
CNI	£100,001 to £1 million on any single item or related aggregated transactions
Programme Director	Up to £100,000
Band 1	Up to £25k
Band 2	Up to £5k

Support Directorates

Role/Grade	Approval threshold
CE (informed by SLT Director and FD) *All decisions above £3million will be made visible to ONR Board	Above £3million
SLT Director with FD	£1,000,001 to £3m on a single item or related aggregated transactions For Finance Directorate spend between £1,000,001 and £3m the FD will seek a Countersignature from another Support Service Director (HR or Policy and Communications).
SLT Director	£100,001 to £1 million on any single item or related aggregated transactions

Role/Grade	Approval threshold
Head of IT Head of Governance Heads of Support Sections	Up to £100,000
Band 1	Up to £25,000
Band 2	Up to £5,000

Capital Expenditure asset purchase or disposal Asset Category	Delegation	Amount
Leasehold improvements/major accommodation works. <i>*All assets in excess of £100,000 to be capitalised in line with Accounting Policy</i>	CE	£250,001 and above
	Finance Director	Up to £250,000
IT including Software and software licences <i>*All assets in excess of £5,000 to be capitalised in line with Accounting Policy</i>	CE	£100,001 and above
	Head of IT / Head of Strategic Improvement Projects	£5,001 - £100,000
	Band 1 (Stars requests)	£1,001 - £5,000
	Band 2 (Stars requests)	£0 - £1,000
Furniture and Fittings <i>*All assets in excess of £5,000 to be capitalised in line with Accounting Policy</i>	CE	£100,001 and above
	Finance Director	£5,001 - £100,000
	Head of Finance and Commercial	£0 - £5,000
Motor Vehicles <i>*All assets in excess of £5,000 to be capitalised in line with Accounting Policy</i>	CE	£100,001 and above
	Finance Director	£0 - £100,000

Procurement policy and principles

- 48 In accordance with Managing Public Money and internationally and nationally agreed legal frameworks, the fundamental principles of ONR's procurement policy is that all purchases of goods and services must be based on value for money and unless there are compelling reasons to the contrary, and achieved through competition. Within that policy, there are delegated authorities for the approval of expenditure for purchases and to award and sign off contracts (see table below). Such delegations apply in all cases, unless the expenditure is considered to be novel, contentious or repercussive, where reference must then be made to the ONR Board.

- 49 ONR operates a structure of procurement models as follows:
- The Technical Support Framework, which enables the acquisition of additional technical capability and capacity to assist in the delivery of ONR's regulatory objectives.
 - Category Management Framework – a negotiated agreement with a number of providers within particular service categories, specialist equipment, marketing/media activities and publicity. Where available these are procured using the Crown Commercial Services or ESPO Frameworks. When an existing framework is not available any requirements under £10k must be openly competed using the GOV.UK Contract Finder.
 - Call off contracts – tendered through the normal procurement/tender process, these contracts are with one or two organisations providing a particular service which ONR staff can use as and when required throughout the lifetime of the contract.
 - Approved lists or panels – such lists are compiled through an open tender process for the provision of goods, materials or services.
 - Government Procurement Cards (GPCs) There is a separate policy, which contains delegated authorities and associated transaction limits for the use of GPCs. Cards must be used for non- contract, non- catalogue, low value purchases in line with the hosting banks terms and conditions. Cards cannot be used to obtain cash, place any orders for contracted, catalogue items, or any purchase where the value exceeds recorded transaction limits or outside of designated purchase categories.

ONR Current Procurement Thresholds

- 50 The following thresholds are applied in ONR and meet HM Government and European Procurement rules. For goods and services:
- Up to £10k – ONR would normally obtain a number of quotations from relevant framework suppliers. If a framework is not available then a limited tender can be carried out amongst a small number of selected suppliers.
 - Over £10k– a competitive tender exercise must take place either via an existing framework or by publishing the opportunity on Contract Finder
 - If the work is likely to exceed £181,302 and is not covered by an existing framework, then the opportunity will need to be advertised on the Official Journal of the European Union (OJEU)

Expenditure thresholds and delegated authorities

Regulatory Directorate

B	Goods services required – limits	Authorisation to commit expenditure and commence procurement	Sub delegation permitted?	Contract award authorisation after procurement process	Contract sign off
B1	Over £5m	SLT	No	Contract Holder	Chief Executive or Finance Director
B2	Over £100k	CNI (on advice from RLT)	No	Contract Holder	Chief Executive or Finance Director
B3	Up to £100k	Division Director	No	Contract holder	Chief Executive or Finance Director
B4	Up to £25k	Nominated Band 1	No	Contract holder	Chief Executive or Finance Director
B5	Up to £5k	Nominated Band 2	No	Contract holder	Chief Executive or Finance Director

Support Directorates

B	Goods services required limits	Authorisation to commit expenditure and commence procurement	Sub delegation permitted?	Contract award authorisation after procurement process	Contract sign off
B6	Over £5m	SLT	No	Contract holder	Chief Executive or Finance Director
B7	Over £100k	Finance Director	No	Contract holder	Chief Executive
B8	Up to £100k	Director of Policy and Communications HR Director	No	Contract Holder	Chief Executive or Finance Director
B9	Up to £5k	Nominated Band 1	No	Contract Holder	Chief Executive or Finance Director
B10	Up to £1k	Nominated Band 2	No	Contract Holder	Chief Executive or Finance Director

Capital expenditure

B	Goods services required – limits	Authorisation to commit expenditure and	Sub delegation permitted?	Contract award authorisation after procurement	Contract sign off
B11	Capital Expenditure - included in approved budget	Finance Director	No	Chief Executive	Chief Executive
B12	Capital Expenditure – not included in approved budget	ONR Board	No	Chief Executive	Chief Executive

The Procurement Process

- 51 Under a Shared Services Contract, ONR complies with the Central Government procurement process, which is operated through a Single Operating Platform (SOP) - an Oracle based IT system. SOP includes financial limits that correspond to the delegation levels, and similarly includes 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.

Other Delegations including single tender actions (STA) Note STAs are not permitted unless approved by the Finance Director.

	Type and Level	Limit	Authorisation	Sub delegati on?	Contract sign off	Comments / further guidance
B5	Losses and write offs	No lower or upper limit	Finance Director	No	N/A	ONR Write offs and Losses policy
B6	Fruitless payments	No lower or upper limits	Finance Director	No	N/A	
B7	Write off bad debts	No lower or upper limits	Finance Director/DWP	No	N/A	
B8	Disposal of assets	Net Present Value up to 1% of ONR annual budget	Finance Director	Yes	N/A	
B9	Travel and subsistence - domestic	UK site visits and business meetings in other locations	Self-approval in accordance with T&S policy	No	CDM assurance of compliance with policy required	ONR Expenses Policy
	L&D	UK training (including conferences for training purposes) ³	Subject to aggregation – CDM	No	HR	

³ 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 DFA guidance. No disaggregation will be permitted

	Type and Level	Limit	Authorisation	Sub delegation?	Contract sign off	Comments / further guidance
	Conferences	UK conferences	Subject to aggregation – CDM	No	P&C Director	
B10	Overseas travel	Up to £5,000	Subject to aggregation: Band 2	No	Divisional Director	ONR Expenses Policy
		Above £5,000	Subject to aggregation: Band 1	No	Divisional Director	
		Above £25,000	Subject to aggregation RLT/SLT*	No	Divisional Director	
B11	Overtime payments	Single incident – up to £500	Divisional Director	No	Divisional Director	
		Repetitive over a number of weeks or exceeding £500	Technical Director (Regulatory) HR Director / Head of IT / Director of Policy and Communications	No	HR Director	Up to £100,000
B12	Ex gratia payments	No lower or upper limits	Finance Director	No	SLT	Subject to Losses, Thefts and Ex Gratia Payment policy
B13	Relocation	No lower limit – upper limit £8,000	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 G&H	G&H Policy	No	Host	ONR Gifts & Hospitality Policy

	Type and Level	Limit	Authorisation	Sub delegation?	Contract sign off	Comments / further guidance
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) 	HR Director HR Director RLT/SLT Divisional Director / HR director HR Director SLT	No	Chief Executive	

Part 3 - Responsibilities delegated by the Chief Executive

- 52 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 individually

Strategy and Planning

C	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
C1	Approve Directorate Structure	Director	Endorsement by Chief Executive	
C2	Take operational decisions to deliver the priorities in the Strategic Plan relevant to Directorate's business;	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.	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.	Director	Relevant Directorate staff gather and assimilate information	Letter of Delegation

Risk Management

C	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
C5	Ensure that risks are identified, that their significance is assessed and that they are escalated appropriately.	Director	Heads of teams	Strategic 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.	Director	Heads of teams	Letter of Delegation Risk Management Framework

Financial Management

C	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
C7	Manage the allocated budget to deliver the Directorate's priorities within the ONR Strategic Plan.	Director	Heads of teams	Accountability rests with budget holder as defined in Letter of Delegation
C8	Ensure accuracy in profiling budgets and forecasting income and expenditure	Director	Head of teams	
C9	Declare and return any windfall underspends to the centre to allow reallocation and reprioritisation as appropriate	Director		Letter of Delegation
C10	Ensure staff comply with the policy on COIN	Director	Heads of teams/ line managers	Work recording guidance

Regularity and Propriety

C	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
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.	Director	Heads of teams/ Line managers	Letter of Delegation ONR Compliance Policy Framework
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.	Director	Heads of teams/ Line managers	ONR Compliance Policy Framework SOP guidance

People Matters

C	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
C13	Ensure staff management and appraisal is undertaken and that Single Operating Platform (SOP) processes are adhered to.	Director	Line managers	People Strategy HR Policies
C14	Sign off pay award for individual team members	Divisional Director (See HR Director E16)	Line managers	People Strategy HR Policies

ONR Representation

C	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
C15	Approval of attendance at conferences and events (including international events) (Regulatory function only).	Director		
C16	Instigate legal action (Regulatory)	Director	Nuclear and Conventional Health & Safety Inspectors. Finance Director to give authorisation for access to contract Finance Director to engage with DWP to establish funding arrangements, including cash advance to cover costs) and draft charging agreement.	Energy Act 2013 HSWA ONR guidance on Access to Solicitor Agents ONR / DWP Policy, Process and Accounting Policy for Prosecutions.
C17	Deliver Business Impact Target obligations and approve; proportionate cost benefit analysis of Non Qualifying Regulatory Provisions (NQRPs) between £1-5 million pa; full Business Impact Assessments which have substantial impacts on dutyholders +/- £5 million per annum	Director	Professional lead P&C Director	BEIS Better Regulation Framework
C18	Authority to sign non-disclosure agreements from BEIS relating to information transfer with overseas Governments	Director	Heads of teams/ CDM's	
C19	Approval and signature to Memoranda of Understanding, and/or protocols for ways of working with stakeholders	Director	Directors, who may sub-delegate	The appropriate operational Director can sign for MoU in their operational area
C20	Approval of International Organisation Memberships and International agreements	Director	Directors, who may sub-delegate	The appropriate operational Director can sign for MoU in their operational area

Responsibilities delegated to the Finance Director

Strategy and Planning

D	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
D1	Ensure the compilation of an annual Corporate Plan and budget for approval by the Board.	Finance Director	Financial Accountant Management Accountant Report writers Directors to advise on budget bid	
	Produce an annual Directorate Business Plan including KPIs and Milestones	Finance Director	Directors and their Business Managers	

Risk Management

D	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
D2	Deliver a Corporate Risk Management assessment and review process and provide regular reports to the ARAC/Board.	Finance Director	Planning & Risk Manager	

Regularity and Propriety

D	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
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 (FRm); 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 (FRm); HM Treasury guidance ONR Fraud policy

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

Financial Reporting

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

D	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
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 DFA limits.	Finance Director	Relevant Director Management Accountant Financial Accountant Finance Staff	Letter of Delegation

Income Generation

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

D	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
D16	Sign all contracts	Finance Director and Chief Executive	Commercial team in compiling contracts;	No sub delegation
D17	Ensure contracts are competed.	Finance Director and Chief Executive	Commercial team	Letter of Delegation
D18	Ensure DFA and procurement guidance is strictly adhered to in relation to expenditure on contracts.	Finance Director	Commercial team Finance Staff	Letter of Delegation

D	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
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 SOP electronic agreed delegation authorities apply

Banking Arrangements

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

D	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 SOP electronic agreed delegated authorities apply.
D25	Sign contract for GPC Ensure effective payment systems and accounting procedures are in place Ensure transaction limits are in place and adhered to.	Finance Director	Head of Procurement Business Managers	GPC policy SSCL operate BACS run on authority of nominated Management Accountant SOP electronic agreed delegated authorities apply

Responsibilities delegated to the HR Director*Recruitment and Promotion*

E	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
E1	Ensure delivery of recruitment and promotion exercises following DFA approval	HR Director	HR staff Line managers/ post holders	People Strategy HR Policies Directorate Plans
E2	Appoint individuals into posts following approval by Chief Executive/CNI	HR Director	HR administrative staff	People Strategy HR Policies

Terms and Conditions

E	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
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 HR policies Staff Handbook
E4	Ensure there are policies and procedures to support the allocation and approval of annual leave for all employees	HR Director	HR policy staff	HR policies Staff Handbook
E5	Ensure there are appropriate policies relating to travel and subsistence including reimbursement of expenses	HR Director	Finance Director HR policy staff Finance Staff	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
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	HR policies Staff Handbook
E8	Terminate employment contracts/ dismiss employee	HR Director	HR policy staff Line Managers SLT	People Strategy Staff Handbook
E9	Issue clearances for ONR staff and its supply chain	HR Director	HR People Service Delivery Leads	Staff Handbook HMG Personnel Security Controls

Payroll

E	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
E10	Determine pay for individuals in accordance with Board approved pay remit	HR Director	HR policy staff	Board decision Public Sector Pay policy guidance
E11	Ensure salary related payments are made to staff accurately and on agreed days	HR Director	Nominated authorised person to instruct SSCL	
E12	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 SOP guidance
E13	Ensure regular and independent reconciliation of pay control is made in conjunction with Finance staff	HR Director	HR admin staff Finance Staff	SOP guidance
E14	Establish a system of recovery of overpayments from leavers or other staff as relevant.	HR Director	HR admin staff Finance staff	SOP guidance

*Terms and Conditions**Pay Award*

E	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
E15	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 Public Sector Pay policy guidance
E16	Ensure delivery by line managers of appraisal process and moderation process	HR Director	Line managers Countersigning officers	People Strategy Staff Handbook
E17	Implement pay award for individuals subject to SLT sign off	HR Director	SLT, Executive	SOP guidance

Training and Development

E	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
E18	Provide a framework and process for staff to identify and undertake training and development	HR Director	Learning and Development Manager Line Managers	People Strategy
E19	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 Staff Handbook

ICT Strategy

E	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
E20	Ensure preparation and implementation of an ICT Strategy	HR Director	Head of Security IT Manager SSSCL (IT provider)	
E21	Procure IT equipment (software and hardware) following DFA approval (see F1 – financial delegations, capital expenditure), through the Shared Services arrangements	HR Director	IT Manager nominated as authorised person to commission shared services to procure on ONR's behalf	
E22	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 and Communications

Communications

F	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
F1	Approval of ONR's publication scheme in accordance with the Freedom of Information Act 2000; General Data Protection Regulations 2018; and any revisions	P&CD	Director of Policy and Communications, Senior Leadership Team	FOIA 2000 GDPR 2018
F2	Approval of press releases	P&CD	Head of External Engagement, Director of Policy & Communications	
F3	Approval of use of ONR Logo	P&CD	Head of Internal Communications, Head of External Engagement	
F4	Approval of internal communications	P&CD	Head of Internal Communications, Senior Leadership Team	
F5	Ensure the effective procedures for handling concerns and complaints about ONR are established, that they are made widely known and are executed in line with those procedures	P&CD	Head of Policy, Senior Leadership Team	
F6	Ensure ONR complies with the requirements to demonstrate openness and transparency.	P&CD	Head of Policy, Senior Leadership Team	
F7	Approval of ministerial submissions and correspondence	Governance	Head of Corporate Governance, Head of Policy members	

Policy

F	Functions	Delegation level	Designated staff involved in the decision making process/ delivery	Relevant guidance and/or comments
F8	Review and sign an MoU with the Government Legal Department	P&CD	Head of Policy	
F9	Deliver Business Impact Target obligations and approve; proportionate cost benefit analysis of Non Qualifying Regulatory Provisions (NQRPs) between £1-5 million pa; full Business Impact Assessments which have substantial impacts on dutyholders +/- £5 million per annum and NQRP annual report	P&CD	P&C Director Divisional Directors	BEIS Better Regulation Framework

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 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 2017	All functions delegated to Superintending Inspector	
Radiation (Emergency Preparedness and Public Information) Regulations 2001 (updated by REPIR 2018)	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 Nuclear Safeguards (Notification) Regulations 2004 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 • Issue Approvals and Revocations of first and fresh security plans for nuclear premises made under Regulations 4, 5 and 6 • Issue Approval of transport security statements under regulation 16 <p>Delegated to Civil Nuclear Security Inspector</p> <ul style="list-style-type: none"> • Issue Approvals of amendments to security plans made under Regulation 6 • Issue Approvals of temporary security plans for nuclear premises made under regulation 8 • Issue Notifications under regulation 7 and 8 • Issue Approvals and Revocations of carriers under regulations 14 and 15 • Issue Approval of transport plans under regulation 19 • Issue Approval of transport under regulation 20(4) • Sign directions made under regulation 22 <p>Delegated to Civil Nuclear Security Inspector and Vetting Officers</p> <ul style="list-style-type: none"> • Approve or deny the Baseline Personnel Security Standard and approve, suspend, deny or withdraw National Security Vetting clearances for industry staff and contractors 	
<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. 	

Legislation	Functions	Comments
Functions under the Import of Goods (Control) Order 1954	Delegated to the Civil Nuclear Security Inspector <ul style="list-style-type: none"> Grant licences, modify or revoke such licences. 	
The Carriage of Dangerous Goods and Transportable Pressure Equipment Regulations 2009	Delegated to DCI, Transport Delivery Lead and Transport Professional Lead <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. 	

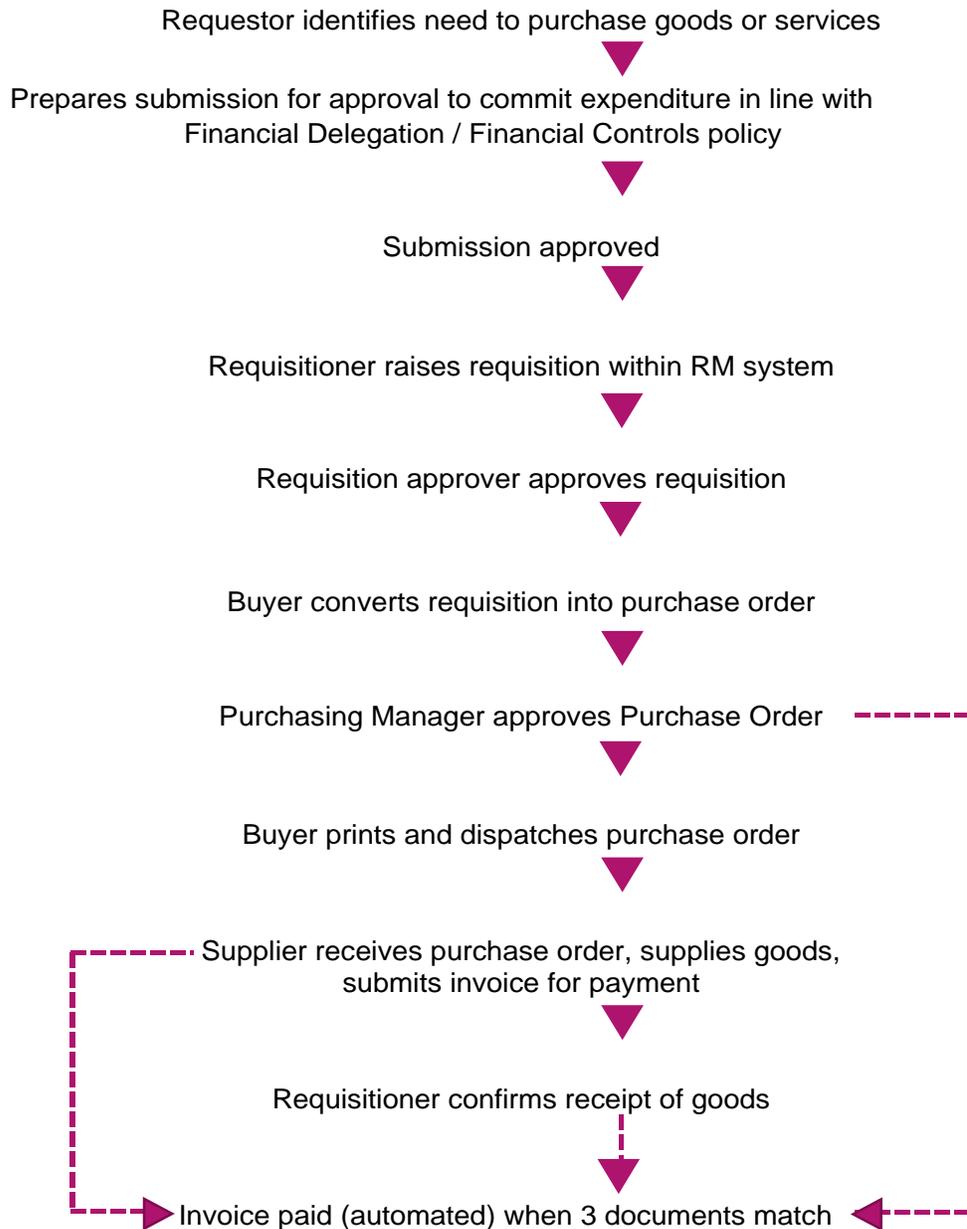
Health and safety legislation – administrative arrangements for exercise of functions

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

LEGISLATION (Date order)	Provision	Who is authorised to exercise the specific functions in practice:
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

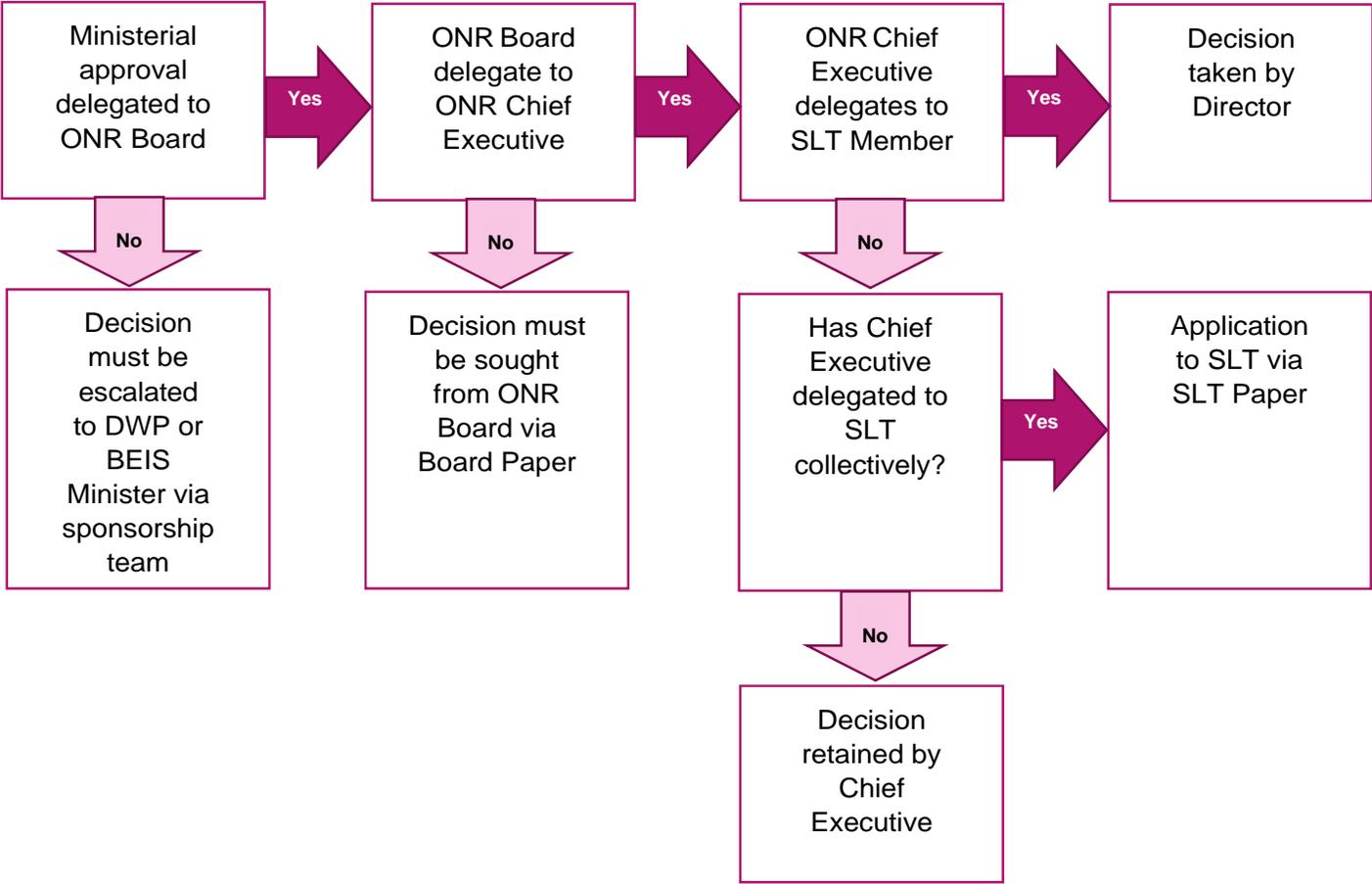
Single Operating Platform (SOP) system is built on a hierarchy of positions whose holders are assigned a role that allows them to perform certain functions within the system. The procurement process is summarised in the flowchart below. With the definition of roles on the following page.



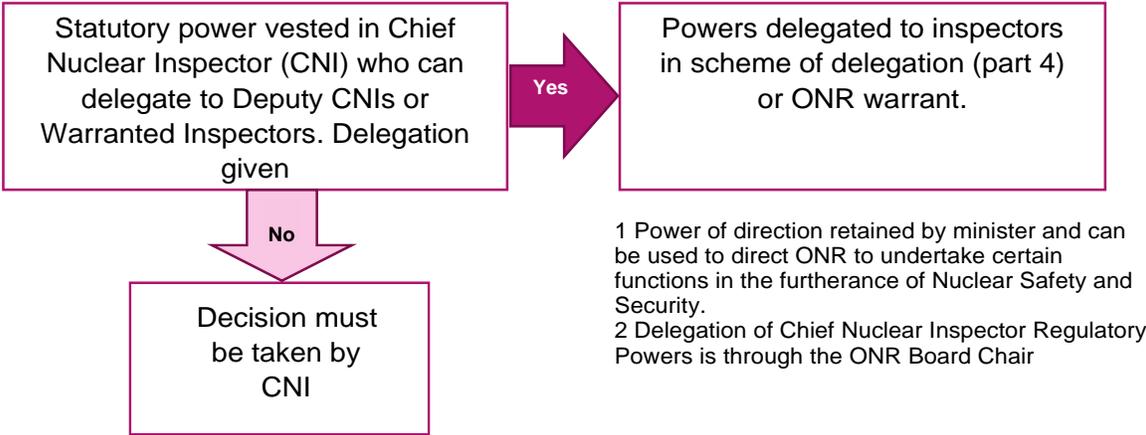
Requisitioning of and payment for good and services – Definition of roles

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

ONR POLICY GUIDE

POLICY DETAILS: ONR Scheme of Delegation

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 Removal of reference to Accounting Officer
 Update of CNI delegations
 Update of Director of Policy and Communications delegations

Version	Review Date	Reason for change
V1	April 2019	Planned Review and Update.

