

Delegated Authority Schedule (DaS)

Statement and Purpose

NRW has a duty to demonstrate and uphold good governance. It is a widely accepted part of good governance definitions that good governance is centred around robust, timely and transparent decision making.

This Delegated Authority Schedule (DaS) is one component within our Governance Operating Model that assists us in making decisions. The Governance Operating Model (GOM) is the framework for decision making at NRW. Collectively, our decision-making 'framework' of documents aim to facilitate and embed good governance around decision-making at an organisational level by:

- Providing advice and guidance as to how to reach robust decisions and how to evidence this
- Providing clarity as to who has authority delegated to them to approve key business documents (Delegated Authority Schedule)
- Providing clarity as to who can make decisions/approvals in relation to the Statutory and Legal framework in which we operate (SaLS)
- Providing clarity as to who can make financial and legally binding contractual commitments (MoM)
- Providing clarity as to who should be Responsible for, accountable for, consulted with and informed about certain key decisions (RACI)

This DaS therefore sets out a schedule indicating which groups of role holder/ individual role holders to whom authority has been delegated, to approve key business documents, in the areas of the business noted.

This document should be read and used in conjunction with the principles of delegation set out within the GOM.

Scope

All staff should be aware of this DaS and the sections that relate to their area of work. The Chief Executive can only delegate decision-making responsibilities to NRW staff, therefore agency staff, secondees, consultants and contractors cannot be given approval responsibility.

Delegated Authority Levels

The following is a schedule which sets out to which role holders/ staff groups of role-holders authority has been delegated to approve key business documents in the areas of the business noted.

The following key definitions will assist in navigating this document:

Endorsement

Agreement of a draft prior to submission for final approval elsewhere. Endorsement is not always required, but anything that is submitted to the NRW Board requires endorsement at an ET meeting. This section of the model is intended as a guide to provoke thinking around endorsement requirements. It is acknowledged that a one-size fits all approach will not work here and that the requirements will be different depending on the specific nature and circumstances in question.

Approval

The final draft for ultimate approval or the final approval decision required. Approval covers both new documents and revisions to existing ones. Remember that bodies not charged with authority to approve a certain document may still wish to review it and appropriate consultation is expected, e.g., it may be appropriate to consult the Board or Board Committees on the development of a key operational strategy for example.

Area/Action

This is the area of the organisation/action required. For each area, an example definition has been provided that should assist in categorising the type of request being made for approval.

Area/Action	Endorsement	Approval
Items that fall under Welsh Government (WG) calling in arrangements (Items requiring the approval of WG ministers or pre-notification/notification to WG as set out in tables A&B in Annex A of NRW's Framework document- e.g., section 83 arrangements, NCR proposals, redundancy payments etc)	Executive Team	Board
Board Reserved Matters (All of those items reserved exclusively to the Board as set out in its Terms of Reference, e.g., Statutory Review of Charging, approval of pay remit)	Executive Team	Board

Area/Action	Endorsement	Approval
<p>Corporate Strategy and Strategic Plans</p> <p>(These are the key external facing strategies which relate to our purpose and approving the long-term vision and strategy for NRW to meet its responsibilities and duties under the Natural Resources Body for Wales (functions) Order 2013, Wellbeing of Future Generations (Wales) Act 2015, Environment (Wales) Act 2016 - examples include the Corporate Plan, Business Plan & Annual Budget, and Well-being objectives)</p>	Executive Team	Board
<p>Operational strategy</p> <p>(These are the strategies that are more internal facing, they set out a vision for how we run/operate the organisation in line with high-level strategy set by the Board, such as Digital strategy, procurement strategy, IT strategies)</p>		Executive Team (Collective)
<p>Corporate Policy (Affecting all areas of the business/all staff)</p> <p>Compliance</p> <p>(These are the policies that relate to legal, regulatory, or statutory requirements that all staff must comply with. It is expected that staff follow all NRW policies, however as these emanate from legal and regulatory requirements, failure to adhere to compliance policies could result in disciplinary action)</p> <p>Best-practice</p> <p>(These are policies that don't specifically emanate from legal/regulatory origins; however, they provide staff with information on best practice requirements and therefore any failure to comply would require adequate explanation and may, depending on the circumstances, need further action in cases of non-compliance)</p>		Executive Team (Collective)

Area/Action	Endorsement	Approval
<p>Functional Policy (Applicability is limited to one or several business areas/functions)</p> <p>Compliance</p> <p>(These are the policies that relate to legal, regulatory, or statutory requirements that all staff must comply with. It is expected that staff follow all NRW policies, however as these emanate from legal and regulatory requirements, failure to adhere to compliance policies could result in disciplinary action)</p> <p>Best-practice</p> <p>(These are policies that don't specifically emanate from legal/regulatory origins; however, they provide staff with information on best practice requirements and therefore any failure to comply would require adequate explanation and may, depending on the circumstances, need further action in cases of non-compliance)</p>		<p>Relevant individual LTG Member</p>
<p>Guidance</p>		<p>Relevant individual LTG Member (This could include the HoB/HoS acting as BB chair)</p>
<p>Process & Procedure</p> <p>(These are processes/process maps/ procedures that support other guidance, policy, or strategy that has previously been approved elsewhere)</p>		<p>Relevant individual LTG member (this could include the HoB/HoS acting as BB Chair)</p>

Area/Action	Endorsement	Approval
Service plans	Relevant Business Board(s) / Head of Place Or Enabling Services Directorate Leadership Team	Relevant HoB/HoS Or Relevant Director of Enabling Services
Terms of Reference		Board and board Committees/working groups – Board Executive Team – Board Leadership Team Group – ET Business Boards – LTG Business Board subgroups/task and finish groups – relevant business board

Roles and Responsibilities

All those listed above within the scope have a responsibility to follow the process set out within this document.

Commissioning, ownership, and revision

This model does not deal with the commissioning process. For some of the documents listed above, such as Guidance, there is a specific commissioning structure that should be followed.

It is envisaged that the commission of new/and or revised documents requiring approval be triggered by a variety of matters, including but not limited to:

- National policy context
- Changes to/introduction of new legislation/regulations
- Reporting requirements

- Industry/sector specific changes
- Best practice developments
- Response to business changes/structure
- Internal/external audit recommendations
- Service planning/improvements
- Annual/time-specific planned review

The above list is not exhaustive, and regardless of where the need is triggered, it is vital that there is proper accountability for commission, ownership, collaborative working and revision of the documents in question.

This model states that the body/individual that approves the decision becomes the owner of that specific document.

This means that the approving staff member/group of staff members become accountable for the entire 'loop of ownership'.

This loop of ownership includes:

- Identify the need to initiate the development of a new document OR
- Identify the need to revise an existing document
- Establish the correct process for the development/revision, referring to any existing organisational guidance
- Collaborate and consult as required on the new/revised document
- Undertake the revision/drafting
- Obtain the relevant approval based on the GOM
- Ensure the correct recording of the decision
- Communicate the decision as required and appropriate
- Ensure the correct version of the document is published/accessible- i.e., on the website, intranet as required
- Establish a mechanism for ensuring the content of the document remains current
- Identify key timescales for review and incorporate this within planning/resource allocation/ forward looks as appropriate
- Dispose of the document in line with NRW's Record management policies

Owners should make appropriate arrangements to ensure their content is current by scheduling timely reviews as required. It is suggested that use should be made of relevant forward looks to ensure that all documents receive the desired level of review at the right time.

The staff/groups of staff to whom authority have been delegated can commission members of staff/groups of staff to work on drafting new documents/revisions on their behalf. However, as stated in the guiding principles, it is the staff to whom the responsibility to approve has been delegated who retain accountability for approval and ownership of the documents.

Related Policies/procedures

[Governance Operating Model](#)

Contact

This document is owned by Colette Fletcher- Head of Governance & Board Secretary.

Please contact Victoria Painter- Governance & Risk Manager or the governance team for advice/assistance in the use of this document.

Developed and agreed in partnership with colleagues from NRW and the Executive Team members.

Approval

Approved by: Executive Team

Version

First published May 2022.

For first review in 12 months' time and then every two years. Amendments will be made sooner where a relevant change in legislation or business requirement occurs and following discussions with the representing Trade Unions.