

Delegation of Authority

NR/GN/ES044 Guidance Note



Contents

| | |
|---|---|
| What is Delegation of Authority? | 3 |
| When will I need delegated authority? | 3 |
| Who has delegated authority? | 3 |
| I no longer need delegated authority. | 4 |
| Delegation of Authority Interview | 4 |
| Delegation of Authority Tracker | 5 |
| Delegation Rules | 5 |
| Delegation of Authority Process | 6 |

What is Delegation of Authority?

Delegation of Authority refers to the assigning of responsibilities to people, or groups of people to carry out certain tasks on behalf of the business. Network Rail's Board have the authority to assign responsibilities to people to act on behalf of the company. This guidance note outlines how Network Rail assigns the authority to apply for and manage environmental permits, licenses and consents.

NOTE: *This guidance note applies only for the Permits, Licences and Consents that Network Rail hold, and Network Rail contractors should have their own defined process for managing delegated authority.*

When will I need delegated authority?

Delegated authority will be required when applying for an environmental permit, license or consent (PLCs). An environmental PLC is issued by environmental regulators and may be needed as part of railway activities that Network Rail need to complete to maintain an operational railway.

NOTE: *The need for delegated authority should be identified early into the work planning process to ensure that it can be received within desired timescales.*

Who has delegated authority?

Under the Delegation of Authority Policy (section J6), the Group General Counsel and Company Secretary (referred to the Group General Counsel in this document) have the delegated authority relating to applications, licences and permits. The Group General Counsel may sub-delegate the authority to apply for a PLC to an identified individual in Network Rail. Applications for authority to sign applications, licences and permits will be considered by the Group General Counsel and Company Secretary on recommendation of the Group Safety and Engineering Director, or their delegate.

NOTE: *Delegated Authority can only be given to permanent employees of Network Rail.*

Delegation of Authority must be authorised for all environmental PLCs, regardless of whether the PLC requires a signature of an 'Officer of the Company'.

For environmental PLCs, it is advised that authorisation should be given to the colleague with the ultimate control over the activity/asset requiring the PLC. For example, authorisation for a PLC linked to a particular asset may be given to the Infrastructure Director. As the Infrastructure Director is accountable for the management of assets, they would be best suited to sign the related PLC.

You can find those with delegated authority in your route/function through accessing the 'Delegation of Authority' central tracker on the Environment and Sustainability hub site.

I no longer need delegated authority.

If you have delegated authority and now no longer require it in your role, please contact the Technical Authority Environment and Sustainability team to surrender your delegation through emailing environmentandsustainability@networkrail.co.uk.

This must be revoked by the Group General Counsel. Your name will be removed from the 'Delegation of Authority' central register.

When leaving your role, any delegation relating to your role will automatically expire. It is advised that you include a handover to your successor of any PLCs that were operating under your delegation.

Delegation of Authority Interview

Those requiring delegated authority for environmental PLCs will be required to attend an interview with Technical Authority representatives. The purpose of the interview is to verify that the individual applying for delegated authority understands the accountability they are accepting, the consequences if the PLC process is not followed correctly and, has the appropriate level of competency to manage the PLC.

During this interview, you should be prepared to demonstrate you understand:

- 1) The reason for needing delegated authority
- 2) Whether you are looking for authority to sign a one-off PLC or a set length of time
- 3) Your duties as someone that holds delegated authority
- 4) Who you would contact if something went wrong
- 5) Where you can get further environmental support

Following this, the authorising representatives in the Technical Authority will work with the Group General Counsel to generate a signed letter issuing sub-delegated delegated authority.

If delegation of authority cannot be issued, Technical Authority will outline what would need to be done to allow delegated authority to be given *e.g. If you are looking for DOA on a discharge permit but fail to provide information on how you will manage conditions of the consent, then the DOA may not be issued until evidence is provided.*

Delegation of Authority Tracker

To make it easier to find the right people with delegated authority across different regions and functions, the Technical Authority Environment and Sustainability team has put together a '[Delegation of Authority Tracker](#)'. This tracker is stored on the Environment and Sustainability Hub Site and acts as a single source of truth for key information about authority holders, including:

1. The legal entity or region/route to which the authority applies;
2. Unique position number (UPN), role name, name of authority holder, email address; and
3. The date from which the authority is valid/expires.

Delegation Rules

There may be instances where those with Delegated Authority are not in the business for several reasons.

Long term leave

Examples include: maternity/paternity leave, sabbatical leave

Action: For this leave, the cover of the authority holder will need to go through a competency interview through contacting the TA environment and sustainability team.

Short-Medium Term Leave

Examples include: Annual leave, volunteer leave, planned time off.

Action: Signature should be prepared in advance of the authority holder from a region/function going on leave.

Short term/sudden leave

Examples include: Sickness, emergency leave

Action: These will be handled on a case-by-case basis and those seeking a signature must contact the environment and sustainability team as early as possible.

NOTE: *Signatures should be prepared far enough in advance for this not to have an impact on timescales.*

Delegation of Authority Process

