

Schedule of Delegation

Contents

1. Governance
2. Finance and Corporate Services
3. Human Resources
4. Investment & Development
5. Asset Management
6. Housing Services

Date Approved: 21st February 2019

Date Amended: 21st March 2019

Date Revised: 20th June 2019

Date Revised: 11th May 2020

(N.B use of term “Board” below refers to either the full Management Board or a Committee depending on what is specified in main body of Standing Orders. These also provide for emergency decisions to be taken by Office Bearers where necessary).

1. Governance

<u>ACTION</u>	<u>Authority</u>	<u>Limit (if any) ALL FIGURES ARE EXCLUSIVE OF VAT</u>
<u>Duties of the Secretary:</u>		
• Calling and attending all meetings of the Association and all Board Meetings	Secretary	Onward delegation to CEO
• Keeping the minutes for all meetings of the Association and Board	Secretary	Onward delegation to CEO
• Sending out letters, notices calling meetings and relevant documents to Members before a meeting;	Secretary	Onward delegation to CEO
• Preparing and sending all the necessary reports to the Financial Conduct Authority and The Scottish Housing Regulator;	Secretary	Onward delegation to CEO
• Ensuring compliance with the Rules	Secretary	Onward delegation to CEO
• Keeping the Register of Members and other registers required under these Rules and supervision of the Association’s seal	Secretary	Onward delegation to CEO
• Producing all the Association’s books, registers, documents and property whenever requested by a resolution of the Board or of a general meeting.	Secretary	Onward delegation to CEO
Business Plan; Strategies, Policies, Key Performance Indicators and targets, New Business Opportunities	Board	Performance reported Quarterly to Board
Delivery Plan/objectives and targets	CEO	Quarterly exception reporting to the Board
Risk Management Framework	A Review to Audit and Risk (A&R) with recommendation to Board	Quarterly update to A&R
Annual Schedule of Policies for review/ implementation	CEO and other senior staff as appropriate	
Schedule of Delegation and Financial Regulations	Board	
Rules and constitutional changes	Board/Membership	In accordance with Rules
Board recruitment, training and development	Board	
Self-Assessment	Board	
Decision making between Board meetings	CEO/Office Bearers	Decisions taken to be reported to the next full Board meeting
Annual Returns		
ARC	Board/CEO	
Annual Assurance Statements	Board	

Financial Conduct Authority	CEO/Finance and Corporate Services Manager (FCSM)	
Inland Revenue	CEO/FCSM	
OSCR	CEO/FCSM	
Audited Financial Statements (AFS)	CEO/FCSM	
Sale/disposal of land, property, way-leaves; standard securities etc	Board The A&DM may authorise utility company way-leave requests associated with existing developments and with no implications for ownership or future management of stock.	Subject to Asset Management Strategy and statutory consent of Scottish Housing Regulator where required by Guidance.
Approval of certain items in accordance with the terms of the Entitlements, Payments and Benefits Policy:		
Award of tenancies to people closely connected to Board members or staff	Board	Subject to requirements of the Entitlements, Payments and Benefits (EPB) Policy.
Award of contracts of employment to people closely related to staff members	Board	Subject to requirements of the EPB Policy.
Personal use by Board members or staff of RSHA contractors or suppliers	CEO	In exceptional circumstances and in accordance with requirements of the Policy and annual report to Board
Carrying out of adaptations to RSHA property where tenant is a Board or staff Member or closely connected to one.	Board	Subject to requirements of the EPB Policy.
Approval of attendance at award ceremony (not exceeding value of £500) or acceptance of hospitality with value of more than £50	Board	Subject to requirements of the EPB Policy.
Letting of contract to an organisation where a Board or staff member of someone closely connected to them has significant control.	Board	In exceptional circumstances and in accordance with requirements of the Policy and annual report to Board
Member Share Certificates - approval and cancellation	Board	Requires authorisation for use of seal by Board
Membership of outside bodies/annual subscriptions	Board	
Community Donations	Board	Subject to provisions of the Donations Policy
Internal audit		
Appointment of internal auditor	Audit & Risk Committee (A&R) with recommendation to Board	Consistent with Standing Orders
Approval of Audit Plan	A&R	Consistent with Standing Orders
Approval of Action Plan(s) in response to Internal Audit Reports	A&R	Consistent with Standing Orders
Notifiable Events to SHR		
Governance and organisation issues	Chair	In line with Notifiable Events Policy and Protocols and subject to report to next Board meeting.
Performance & Service delivery and Financial and funding issues	CEO	In line with Notifiable Events Policy and Protocols and subject to report to next Board meeting.

Breach of Board Code of Conduct		
Alleged Breach of the Code of Conduct	Chair/Office Bearers	In line with Code of Conduct and Protocol following Breach
Conducting Internal Investigation	Three Board members not including the Chair supported by CEO	Subject to report to Board
Independent Investigation	Chair/Office Bearers supported by CEO	In accordance with Code of Conduct and Protocol following Breach and Sustainable Procurement Policy
Sanction/removal of a Board member	Board	In accordance with Code of Conduct and Protocol following Breach and Model Rules
Complaints		
Formal response to Stage 2 Complaints	Senior staff member in accordance with Complaints Policy.	
Response to SPSO enquiry	CEO	Report to Board to be made as part of next quarterly Complaints Report.
Response to 1 st Tier Tribunal	CEO	Report to Board to be made as part of next quarterly Complaints Report.
Compensation up to £500	HSM/A&DM	Subject to Policy on Compensation Payments. Report to be made to Board as part of next quarterly Complaints Report.
Compensation from £501 to £1000	CEO	Subject to Policy on Compensation Payments. Report to be made to Board as part of next quarterly Complaints Report.
Compensation > £1000	Board	
Initiate legal action by the Association against another corporate body	Board	
Publications		
Annual/Performance Report	CEO	Chair/Office Bearers to approve final draft
Press releases/Comment	CEO/Chair	
Newsletter	CEO	
Tenant Handbook	HSM	
Rent Increase Consultation	HSM	Chair & Office Bearers to approve final draft

2. Finance and Corporate Services

a) General Financial Authority

<u>ACTION</u>	<u>Authority</u>	<u>Limit (if any)</u>
General Financial Reporting		
Annual budget	Board	
5-year Financial Plan return to SHR	CEO/FCSM	
Response to Auditor's Management Letter	A&R with recommendation to Board	
Recommend annual accounts and appointment of auditors to AGM	A&R with recommendation to Board	
Quarterly management accounts	Board	
Loan Portfolio Return	CEO/FCSM	
Treasury Management		
Entering into loan agreements	Board	Rules Detailed review/scrutiny by A&R Committee with recommendation to Board.
Treasury Management Policy incorporating Investment and Borrowing Strategies	Board	Detailed review/scrutiny by A&R Committee with recommendation to Board.
Open/close bank accounts	Board	Detailed review/scrutiny by A&R Committee with recommendation to Board.
Apply for short-term overdrafts and transferring cash between accounts	CEO/FCSM	Must be in line with agreed Treasury Management Policy and Borrowing Strategy
Investment of Surplus Cash	CEO/FCSM	Must be in line with agreed Treasury Management Policy and Borrowing Strategy
Authorised signatories On Behalf of RSHA - 2 categories	<u>Category A</u> Chairperson Vice Chairperson Chair of A&R Committee	
	<u>Category B</u> CEO FCSM Housing Services Manager (HSM) Asset & Development Manager (A&DM)	

Payments		
Any value of payment	Any two authorised signatories from either category A or category B (outlined above) however category B signatories should be used in preference.	Subject to the Sustainable Procurement Policy. The budget holder (person instructing spend) should never be involved in the payment process.
Legal documents/contracts	Any two authorised signatories from above categories	<ul style="list-style-type: none"> • If the document requires only one signatory - this should be from Category A • If a specific signature is required by the contract terms. • Requires authorisation for use of seal by Board.
Authorisation of salary payments		
a) confirmation of amounts to be paid each month	CEO and/or FCSM	
b) processing the salary calculation through payroll software	Finance Officer in first instance, the Corporate Services Officer to cover absence and the FCSM in absence of previous two	If the FCSM is processing the payroll then the CEO must confirm the amounts to be paid at a) above
c) authorisation of electronic transfer of funds	Any two from either category A or category B (outlined above) however category B signatories should be used in preference.	In accordance with monthly salary calculation reports
Bad debt write-off (below £200) including Factoring Bad Debt	HSM	
Bad debt write-off (above £200)	Board	
Insurance Services and Cover	FCSM	Cover to manage risks identified in risk register and cost confirmed by approved budget. Procurement in line with Sustainable Procurement Policy
Approval of expenses		
a) Approval of Board members' expenses	Corporate services function	Board and Staff Expenses policy
b) Approval of Chairperson's expenses	Corporate services function	Board and Staff Expenses policy
c) Approval of CEO's expenses	Chair	
d) Approval of Staff expenses	Appropriate SMT member	

Authority to commit expenditure and approve invoices

a) Within budget

As an overriding principle the person who commits the expenditure should not be the same as the person who authorises payment. This 'authority' strictly refers to the final payment authorisation through on-line banking – in reality, this principle is very difficult to achieve at all times in a small organisation.

<u>Estimated expenditure (excluding VAT) (within budget)</u>	<u>Minimum Requirement</u>	<u>Authority to instruct/invoice checking and processing</u>	<u>Approval and authorisation of invoice for payment (within budget)</u>	<u>Limit (if any)</u>
Up to £1,000	In line with Sustainable Procurement Policy and Procedures	Customer Services Adviser (CSA)	Officers	CSA up to £1,000
£1,001 - £2,000	In line with Sustainable Procurement Policy and Procedures	Housing Officers (HO) Corporate Services Officer (CSO)	Line Managers	CSO up to £2,000
£2,001- £5,000	In line with Sustainable Procurement Policy and Procedures	Housing Officer (HO) sign off based on Technical Services Officer's advice.	HSM A&DM	HO up to £5,000 TSO up to £5,000
£5,001 - £50,000	In line with Sustainable Procurement Policy and Procedures	HSM A&DM	CEO and/or FCSM	
£50,000 - and above	In line with Sustainable Procurement Policy and Procedures	FCSM CEO	CEO/FCSM	

b) Expenditure out-with budget

Planned Expenditure

The CEO will have general authority to re-allocate up to £25,000 per annum from under-spent budgets to other projects that are consistent with Business Plan objectives. A report on such reallocations will be given as part of the next Quarterly Management Accounts.

Other situations

In the event that there are no funds available for reallocation from underspent budgets or in the event of unplanned expenditure being required in an emergency, authority to incur such required expenditure will be as set out below. For these purposes an “emergency” is defined as a situation where it will be manifestly detrimental to the Association should action not be taken.

Up to £25,000 – Any two authorised signatories from either category A or category B (outlined above) however category B signatories should be used in preference, subject to a full report being made to the next Board meeting.

Over £25,000 – Two authorised signatories one of which from category A subject to a full report being made to the next Board meeting. Such expenditure will not normally be incurred without, in addition to the above, reasonable steps having been taken to consult with and obtain the approval of other office bearers. Where it is deemed necessary an emergency meeting of the full Board may be called.

Expenditure should be subject to the Sustainable Procurement Policy. The budget holder (person instructing spend) should never be involved in the payment process. These controls shall however not operate to impede the implementation of the Association’s Business Continuity Plan.

3. Human Resources

<u>ACTION</u>	<u>Authority</u>	<u>Limit (if any)</u>
Staff Structure and removal/addition of posts/redundancies	Board	Detailed review/scrutiny by A&R Committee with recommendation to the Board
Enhanced Redundancy Payment	Board	Detailed review/scrutiny by A&R Committee with recommendation to the Board in line with Redundancy Policy and Entitlements Payments and Benefits Policy.
Voluntary Redundancy Requests and approval of applications	CEO	
Proceed with recruitment to fill vacant existing posts	CEO/A&R	Subject to review in line with Recruitment and Selection Policy
Job descriptions/grading of posts/job evaluations.	CEO/A&R	Any variation from EVH Terms and Conditions of Service subject to Board approval
Terms and conditions of employment	Board	Detailed review/scrutiny by A&R
Review of Pension Scheme/Contributions	Board	Detailed review/scrutiny by A&R
Employer accreditation schemes eg Investors in People	Board	Detailed review/scrutiny by A&R
Settlement Agreements		
Initiate Protected Conversation with a staff member	CEO/SMT	
Enter into a Settlement Agreement	Board	Detailed review/scrutiny by A&R Committee with recommendation to Board in line with Settlement Agreement Policy and Entitlements Payments and Benefits Policy.

Scottish Government Job Retention Scheme		
Decision to top-up Furloughed staff member salary to 100%	CEO/Office Bearers	In line with eligibility for the Scottish Government Job Retention Scheme and EVH Guidance for Employers
Volunteer Furlough Requests/Decision to Furlough staff member(s)	CEO	In line with Scottish Government Job Retention Scheme and EVH Guidance for Employers
Changes to working patterns, flexible working requests		
CEO	A&R with recommendation to Board	
SMT	CEO	
Other Staff	SMT	
Salaries negotiation and any other increases	Board	EVH Terms and Conditions
Recruitment arrangements	CEO	Within budget
Options Appraisal in event CEO post is vacated	Board	
Interview/ selection of new staff		
Senior staff	Board and CEO	
Other staff	CEO/SMT	
Recruitment to fill temporary gaps/long term absences	CEO	
Appointment of external agents on ad hoc basis to address resource gaps	CEO	In line with budget provision and Sustainable Procurement Policy and Procedure
Offer of employment following recruitment	CEO	In line with employment policies
Staff appraisals and individual training plans		
CEO	Office Bearers	Arrangements to be reviewed by A&R with recommendations to Board
Other staff	Line manager (CEO/SMT)	
Training courses/conferences	Line manager CEO/SMT)	Within training budget
Disciplinary Action		
a) Initiate disciplinary action and /or suspension	Senior staff member	In line with employment policies. Report required to next Board/A&R Committee
b) Dismissal of staff	CEO	
c) Dismissal CEO	Initiated by Office Bearers approved by panel of Board members excluding Office Bearers	
Authorise annual leave	Line manager (CEO/SMT)	In line with employment policies
Special/compassionate leave		
	Line Managers	Up to 4 weeks
	CEO	4 – 8 weeks
	Office Bearers	More than 8 weeks

Overtime		
a) Staff	CEO/FCSM	In line with budget

4. Investment & Development

<u>ACTION</u>	<u>Authority</u>	<u>Limit (if any)</u>
Proposals for scheme inclusion within the Strategic Housing Investment Plan (SHIP).	Board	
Acceptance of Annual Grant Planning Target with Scottish Government	CEO	Reported to the next meeting of the Board
Requirement for Housing Needs and Demand Assessments	Board	
Speculative/abortive development work	CEO	
Suitability of development for consideration by Board	CEO	
Authorise feasibility study	Board	Recommendation to the Board in line with Governance of the Development Process adopted June 2018.
Site to be pursued post-feasibility/cost plan	Board	Recommendation to the Board in line with Governance of the Development Process adopted June 2018.
Housing mix/design/tenure of proposed schemes	Board	Recommendation to the Board in line with Governance of the Development Process adopted June 2018. Procurement
Community engagement and consultation	HSM/Development Agent/Adviser (DA)	
Submission of application for Planning permission	CEO	
Approval for acquisition of land /property.	Board	Subject to scheme financial viability and impact on Business Plan In line with Strategic Direction and business objectives In line with Governance of the Development Process adopted June 2018
Authorisation of payment for land purchase	CEO	
Procurement and appointment of DA and DA performance	A&DM	In line with Sustainable Procurement Policy and Procedures
Procurement and appointment of consultants and consultant's performance	A&DM & DA	In line with Sustainable Procurement Policy and Procedures and standard conditions of appointment
Procurement and appointment of contractors and contractor's performance	A&DM & DA	In line with Sustainable Procurement Policy and Procedures and standard contract terms

Agree procurement route to be followed in relation to each scheme	Board	Recommendation to the Board in line with Governance of the Development Process adopted June 2018.
Monitoring of programme and project expenditure and progress	CEO/DA with quarterly reporting to Board	Exception reporting
Design Guide/Technical Specification	Board	Recommendation to the Board in line with Governance of the Development Process adopted June 2018.
Annual Procurement Strategy and Annual Procurement Report (where required)	Board	in line with Sustainable Procurement Policy
Opening of Tenders	At least one Category A person must be in attendance for the opening of tenders above £50,000 for Goods and Services and £500,000 Works.	Where the procurement process requires tenders to be returned electronically to a secure electronic post box only e.g. Public Contracts Scotland (PCS) these can be downloaded by the staff member dealing with the contract or by consultants engaged to carry out the procurement on our behalf without a Category A person being in attendance. Budget holder and one other staff member up to the value of £50,000 for Goods and Services and £500,000 Works in line with Sustainable Procurement Policy and Procedure.
Agree variations to contract works		
a) Where cost can be accommodated within 1% of scheme works and/or there is no significant alteration to design	CEO/DA	
b) Where additional cost >1% of scheme works and/or significant alteration to design required.	Board	Recommendation to the Board in line with Governance of the Development Process adopted June 2018.
Scottish Government HARP Administration a) Initial project proposal b) Acquisition c) Cost plan proposal c) Tender d) HAG PC e) HAG claims	DA and/or CEO or FCSM/A&DM	
Acceptance of Scottish Government offer of grant for specific schemes	CEO	Amount certified by external professional adviser within budget
Authorisation of JCT contract payments	CEO	

Authorise commencement of works on-site	CEO/DA	
Post Completion Audit	Board	Recommendation to the Board in line with Governance of the Development Process adopted June 2018.

5. Asset Management

<u>ACTION</u>	<u>Authority</u>	<u>Limit (if any)</u>
Planned maintenance programme (long-term 3 year and annual)	Board	In line with Sustainable Procurement Policy & Procedure
Contractors/Framework	Board	
Approve total work required in respect of void property		
Up to value of £1,000	CSA	
£1,001 - £2,000	HO	
£2,001 - £5,000	HO/ with advice from TSO	
£5,001 - £50,000	A&DM/HSM	
£50,000 and above	Board	In line with Sustainable Procurement Policy & Procedure
Decision to remove property from the rent debit system which is empty, awaiting or undergoing major repair/structural work during which time it would be unsafe to be occupied.	HSM/A&DM	
Redecoration grants up to value of £250	HO	
Redecoration grants over £250 up to £500	TSO	
Redecoration grants over £500	A&DM	
Response to application from tenant to alter property	TSO	All conventional alterations excluding extensions to property
Response to application from tenant to extend property	A&DM	
Award of compensation for alterations at end of tenancy	A&DM	In accordance with legislation and guidance and Compensation Payments Policy
Stage 3 Adaptations Within approved annual Scottish Government (SG) Grant Allocation	TSO	Up to value of £5,000 and where no significant alteration to overall design of the house
£5,000 - £25,000	A&DM	
	CEO/FCSM	Significant alteration to the design of the house
Stage 3 Adaptations requiring RSHA funding	Board	As part of annual budget process or where SG grant allocation fully expended during financial

		year.
Removal of an adaptation from a previously adapted property to facilitate general needs let Up to the value of £25,000	HSM/A&DM	
Greater than £25,000	Board	
Authorisation of JCT contract payments	A&DM/CEO/FCSM	

6. Housing Services

<u>ACTION</u>	<u>Authority</u>	<u>Limit (if any)</u>	<u>Eligible to sign documentation on behalf of RSHA (if different from authority to approve)</u>
Annual rent increase	Board		
Rent setting framework and service charge review	Board		
Approve revised rent for individual properties on basis of % annual rent increase.	HSM		
Approval to take property out of rent debit/divergence from rent structure	CEO		
Removal of a property from letting pool for special lets/leases to Stirling Council/other statutory or care or support agency			
One property per year	HSM		
Additional property	Board		
Enter cases into court for repossession of tenancy	HSM		Housing Officer (HO)
Implement eviction	CEO		
Approve wage arrestment and freezing of bank accounts	HO		
Offers of tenancy/shared ownership/equity	HO		
Signature on tenancy agreement	HO		
Approve mutual exchanges, sub-letting/lodgers, successions and assignments of tenancy and creation of joint tenancies.	HO		
Set tenancy start/end dates	HO	Authority of HSM required where: - tenancy commencement date proposed to be more than 2 weeks after offer letter date - termination of tenancy date proposed to be prior to expiry of one	

		month's notice from tenant	
Remove, suspend and re-admit applicants to housing list	HO		Customer Service Adviser (CSA)
Service of Abandoned Property Notice	HO		
Authorise serving of Notice of Proceedings for Recovery of Possession	HSM		HO
Authorise disposal of personal belongings in repossessed properties.	HO		
Instruct legal action be raised where no access is given for gas safety check	HSM		
Authorise requests for release of information received under the - Information Sharing Protocol for Forth Valley Community Safety Partnership	HO		
Authorise refund of rent and Benefit Payments	HSM		
Assessment/pointing of housing application	CSA plus one HO		CSA
Procurement of Tenant Satisfaction Survey	HSM		In line with Sustainable Procurement Policy and Procedure