



## SCHEDULE OF DELEGATED AUTHORITY

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## Schedule of Delegated Authority

The effective pursuance of the Osprey Group's business requires an effective, efficient and transparent Schedule of Delegated Authority (SoDA). It is important there is a clear understanding of where responsibility lies, the following guiding principles apply to this Scheme of Delegation:

- Transparency and accountability – clarity on where and how decisions are made.
- Business efficiency and effectiveness – facilitates prompt, well informed decision making taken at the right level.
- Empowerment – provides meaningful roles and controls
- Review and revision – clarity on how often the SoDA is reviewed.

**This Schedule provides for Authority to be delegated by the parent Body - Osprey Housing (OH) and its subsidiary Osprey Initiatives (OIL) to:**

- **OI in accordance with the agreed Remit and Service Level Agreement.**
- **The Resource & Governance Committee, the Corporate Services Committee, the Housing Committee and the Remuneration Committee in accordance with the agreed remit.**
- **Individual Governing Body Members acting in their capacity as Chairs, etc.**
- **Senior Leadership Team**

This Schedule describes the arrangements for delegating certain types and areas of decisions or action to Office Bearers and/or to Staff.

The Board's purpose in approving this Scheme of Delegation is to ensure that the work of the Group is not delayed while awaiting decisions which are clearly within the general terms of existing policy.

Office Bearers and Staff shall therefore seek to use delegated powers to maintain progress in the various areas of work, provided that no significant policy decisions are taken or major financial commitments entered into without the approval of the relevant Board unless explicitly delegated.

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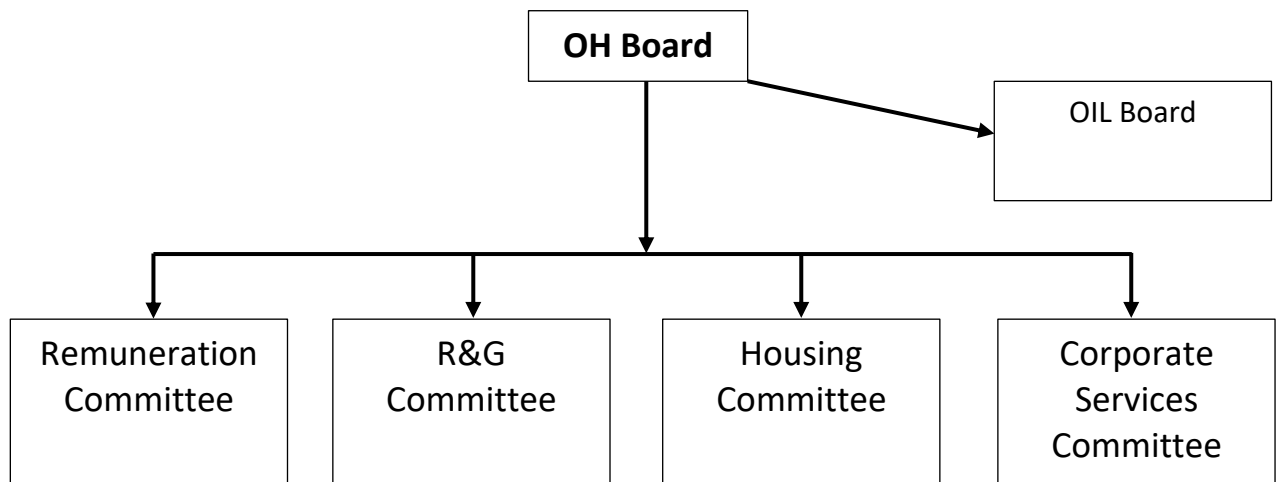
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# 1. Definitions & Group Structure

## 1.1 Definitions

OH	Osprey Housing
OH Board	Board of Directors of Osprey Housing (Board)
OIL	Osprey Initiatives Ltd – non charitable subsidiary of OH
OIL Board	Board of Directors of Osprey Initiatives Ltd (Board)
R&G	Resource & Governance Committee
CS	Corporate Services Committee
HC	Housing Committee
RC	Remuneration Committee
Memos & Arts (OH)	Osprey Housing Memorandum & Articles
Memos & Arts (OIL)	Osprey Initiatives Ltd Memorandum & Articles
SLA	Agreement OH/OIL
ECB	Emergency Cabinet Board
SLT	Senior Leadership Teams
Governance Framework Memorandum & Articles, Intragroup Agreement, Standing Orders etc.	

## 1.2 Governance Structure



The Board will from time to time establish Short Life Working Groups to consider specific issues and will delegate authority to those Groups in accordance with the principles set out in the Scheme.

### **1.3 Senior Staff Structure (Group)**

CEO – Chief Executive Officer

DOF – Director of Finance

DOHS – Director of Housing Services

DOAS – Director Asset and Sustainability

DOCS – Director of Corporate Services Manager

LSM – Leasing Services Manager

### **OSPREY GROUP STRUCTURE – JULY 2021**

See webpage: <https://www.ospreyhousing.org.uk/about-us/freedom-of-information/guide-to-information/class-1>

## **2. Introduction**

The Schedule of Delegated Authority (SoDA) sets out how the OH Board, which has overall responsibility on this matter, arranges the exercise of its functions.

The SoDA sets out the:

- Schedule of Decisions reserved to the OH Board – Appendix 1.
- Schedule of Decisions delegated to the OIL Board – Appendix 2
- Schedule of Decisions delegated to the Committees – Appendices 3-6
- Schedule of Decisions delegated to the Senior Leadership Team – Appendix 7
- Schedule of Decisions – Emergency Cabinet Board – Appendix 8
- Schedule of Decisions – Health & Safety Committee – Appendix 9
- List of Policies & Relevant Authorities – Appendix 10
- Schedule of Delegated Financial Authority Guidelines – Appendix 11
- Emergency Decision making

OH is a Limited Company governed by its Memorandum and Articles of Association. OH is also registered as a Scottish Charity (SC 029461) and is a Registered Social Landlord (312).

OIL is a Company Limited by Shares (Company Registration SC338850), wholly owned by OH. OIL is registered as a landlord with Aberdeen City Council (284365/100/26091) and Aberdeenshire Council (284365/110/01591)

The purpose of the SoDA is to set out the levels of authority, which have been delegated by the OH Board. As a general principle, matters of Group Strategy and Business Planning are the responsibility of the OH Board. In addition, the OH Board has reserved certain policy matters to itself. The OH Board is determined to ensure effective and efficient decision making and control and has accordingly delegated significant responsibilities to its subsidiary and committees.

The SoDA also sets out the authority delegated to staff under the direction of the CEO. However, the ultimate responsibility for those delegated powers rests with the OH Board.

The CEO is responsible for ensuring that the SoDA is maintained and complied with and

that any serious breaches are reported immediately. The CEO will advise the OH Board.

Declarations of interest are submitted annually to prevent conflicts, should a matter arise where there is a personal interest, alternative arrangements will be made for another qualified person to make the decision.

The SoDA will be reviewed and approved annually by the OH Board.

Nothing in the SoDA supersedes or replaces any requirement of OH's Memorandum and Articles of Association, Financial Regulations, Standing Orders, Terms and Conditions of Employment and other Group policies and procedures.

### **3. Chairs and Office Bearers**

#### **3.1 Chair(s)**

To ensure that there are no unnecessary delays in progressing work of the Group the Chair of the relevant entity will have delegated authority, in consultation with the CEO, to take any decisions as required between Board meetings subject to each decision being in accordance with the relevant governing framework. All such decisions will be reported to the next meeting of the Board and recorded on the minute accordingly. The Chair can include the Vice Chair in the decision making process where this may be considered appropriate for additional accountability.

The Vice Chair will be required to take delegated authority in circumstances where the Chair has declared a personal interest in proceedings. In the event of an emergency situation the Chair, in conjunction with the CEO and with the approval of all Board members, can trigger the Emergency Cabinet Board. (Appendix 8 refers).

Where Board approval is required prior to its next meeting the following procedures apply:

Procedures for Emergency or urgent decisions (where the Emergency Cabinet Board is not required) - In an emergency and where an urgent decision must have Board approval before the date of the next Board meeting the procedures for emergencies must be followed.

Decisions which must have Board approval are:

- Decisions which would be contrary to the Standing Orders or adopted policies of OH;
- Decisions which would be contrary to Board decision(s) which still stand; or
- Decisions where Staff, Members, Committees or Working Groups do not have the necessary delegated authority.

Any matters which are thought to require an urgent decision of the Board must be referred to the Chair and/or Vice Chair of the relevant Board(s) and/or the Chief Executive. Any two of these three will have the authority to determine whether Board

approval is required by reference to the Governance Framework. If it is determined that Board approval is required then the matter must be referred to as many Board Members as possible for their consideration. Members may be contacted by telephone or in writing including email, text etc., depending on the time available. A decision made by this mechanism, which may be a majority decision, will be submitted to the next full Board Meeting for ratification.

If no majority decision can be reached by contacting as many Board Members as possible then the Chair, or Vice Chair in his/her absence, must call an emergency meeting. If it is impossible to give seven days written notice of the meeting, then the emergency meeting must be arranged to suit as many Board Members as possible giving at least 24 hours' notice. Decisions made at meetings where seven clear days written notice has not been possible, will require to be ratified at the next scheduled Board Meeting.

In all such instances of emergency/urgent business the Chief Executive or in their absence the most senior and appropriate staff member, must be fully consulted.

Authority to sign legal documents on behalf of the Group is set out in Appendix 10.

### **3.2 Vice-Chair(s)**

In the absence of the Chair, the Vice-Chair will have delegated authority, in consultation with the Chief Executive, to take decisions as described above. All such decisions will be reported to the next meeting of the Board or appropriate Committee and recorded in the minute accordingly. The Vice-Chair will also have delegated authority to sign legal documents on behalf of OH.

### **3.3 Company Secretary**

The following arrangements currently apply:

- OH Company Secretary – Pinsent Masons
- OIL Company Secretary – Pinsent Masons

The Company Secretary has delegated authority to undertake the duties and responsibilities as laid down in the OH and OIL Memorandum and Articles of Association. The Company Secretary will have delegated authority to sign legal documents on behalf of OH, OIL where the signatory of the Company Secretary is statutorily required. The duties shall include the following:

- Calling all Annual General Meetings/Special General meetings, ensuring that all necessary agendas, papers, reports and minutes are produced and issued in accordance with the Governance Framework.
- Preparing and submitting all necessary reports to the Registrar of Companies House, Office of the Scottish Charity Regulator (OSCR) and the Scottish Housing Regulator (SHR) unless separately specified in Appendix 8.
- Maintaining the register of Board Members and other registers required under the relevant Acts and Current Policies.
- Signing Annual Accounts, Statutory Returns, and any other documents which the Company Secretary is required to sign.

- Ensuring compliance with the Governance Framework
- The Company Secretary may delegate these responsibilities to the CEO.

### **3.4 Committee Chair(s)**

Chair of each Committee will have delegated authority, in consultation with the relevant Lead Manager, to take decisions which relate to the area of responsibility of their Committee, subject to any such decisions being in accordance with the Governance Framework, the specific Committee remit and relevant policies. All such decisions will be reported to the next meeting of the relevant Committee and recorded in the minute accordingly.

### **3.5 Chief Executive Officer (CEO)**

The CEO's role is in accordance with the agreed Job Description. In addition, and in consultation with the relevant Chair(s), Vice-Chair(s) or other BMs the CEO, will have the following delegated authorities. In the CEO's absence, the DOF is authorised to act on behalf of the CEO in accordance with their Job Description.

The CEO's Authority includes:

#### **Growth/New Business**

- Initiating proposals for development projects/new business opportunities for Board approval and taking such emergency or short-term action as may be necessary to maintain progress on related activity on Group acquisition and development programmes, subject to the reporting of appropriate action to the following Board meeting in accordance with current policies.
- Appointment of Consultants for particular projects in accordance with procurement policy, based on effective market analysis and/or from the current approved list, and briefing Consultants on each project.
- In consultation with the DOF, approving cumulative adjustments to building contracts which add no more than 5% or £100,000 (whichever is the lesser) to the works costs, subject to reporting on the action taken to the next Board meeting.
- Approving adjustments to building contracts which results in savings to overall project costs, subject to submitting for the relevant Boards' approval proposed savings which require a reduction in the current standard specification.
- Approving new business opportunities (e.g. participation in pilot projects, provision of management services to other organisations)
- Increased authority for decision making in emergency situations as agreed by the Board and/or ECB if triggered

#### **Finance**

- Authorising expenditure (revenue & capital) as provided for in the approved annual budgets. The DOF is the senior officer with operational responsibility for the Group's financial wellbeing and economic effectiveness and must be fully consulted in respect of the following:
- Authorising – in consultation with the DOF – and with the approval of



the Chair, expenditure which is essential to meet any immediate needs created by an emergency, subject to such action being reported to the next meeting of the relevant Board(s) and recorded in the minute accordingly;

- Authorising - in consultation with the DOF – written requests for virement between budget headings for amounts up to £25,000 on each item
- Determining requests in writing - in consultation with the DOF – for the purchase of individual items of capital equipment costing up to £25,000 each which have not previously been approved as part of the current budget and are not an extension of items already approved. Such requests must be submitted in the form of a Business Case.
- Determining requests, as in above paragraph, for the purchase of items of capital equipment costing in total up to £25,000 which are an extension of items already approved in the budget. This sum to be reviewed annually.
- Write off non Housing Debt to the maximum sum of £5,000 per individual case.

### **HR (Staffing, Health & Safety)**

Appointing replacement staff to existing vacancies, and additional staff following Board approval of the post. Appointments of staff at Manager Level and above must include the involvement of at least one relevant Board Member.

Appointing temporary staff, for periods up to 12 months on the following basis:

- To ensure cover for existing posts where the post holder is absent for an extended period (for example Maternity Leave / long term absence due to ill health).
- To deal with planned, or unplanned, workload requirements to ensure that Group objectives are achieved.
- Taking disciplinary action, hearing appeals and grievances, in accordance with Group Policy & Procedures.

### **Corporate**

- Ensuring the implementation of decisions taken by the Board. Implementing Board and Committee decisions relating to policy and development.
- Liaison with the media in connection with any area of Group activities in pursuit of its interests, in consultation with the relevant Chair as required.
- Ensuring that all requirements relating to returns and statistics for statutory agencies including The Scottish Housing Regulator (SHR), Office of the Scottish Charity Regulator (OSCR), Financial Conduct Authority (FCA), Companies House & HMRC are dealt with according to the required timescales.
- Ensuring compliance with relevant legislation and SHR guidance etc.
- Ensuring that all reports are submitted to the Board according to agreed timescales set out in the Governance Framework.
- Promotion and implementation of the Group corporate policies (for example on Equality and Diversity, Whistleblowing and Health and Safety, Code of Conduct, Core Values etc.)

### **Governance**

- Ensuring the routine day-to-day pursuance of the Group business in

- accordance with all current policies and procedures.
- Ensuring that all policies and procedures relating to governance and accountability are formulated and submitted to the relevant Board for approval
- Ensuring that aforementioned policies are implemented by relevant staff, taking any emergency or short-term action as may be necessary to ensure that policies are implemented efficiently and reporting on any such actions to Board as necessary.
- Ensuring aforementioned policies and their day-to-day operation are regularly monitored and reviewed as necessary.
- Ensuring that the review of all policies is submitted according to an agreed timetable.
- Issuing, on behalf of the Company Secretary where necessary, agendas, reports, minutes and any other information required to the Board, so as to enable it to fulfil their remit.

### **3.6 Director of Finance (DOF)**

The DOF will assume the full authority of the CEO in the latter's absence to ensure continued operational effectiveness. In addition, the DOF in consultation with the CEO, Office Bearers and other Board Members as appropriate, will have delegated authority to undertake the duties and responsibilities as detailed in their job description, in the Group Financial Regulations and Procedures and other policies and procedures, including the following:

#### **Financial System**

- Initiating proposals and actions to ensure the maintenance of an efficient system of financial operations and controls.
- Ensuring that all financial policies and procedures are implemented by relevant staff and are monitored as required by each policy or procedure.
- Implementing decisions taken by the Board and other Committees as appropriate on financial matters and ensuring all financial reports and returns are dealt with timeously.

#### **Financial Policies and Procedures**

- Reviewing all financial policies and procedures according to agreed timetables, drafting new policies or amending current ones as required to ensure compliance with legislation and recognised good practice and submitting as required to relevant Board or Committee(s).

#### **Financial Reporting**

- Preparing and presenting to the Board, and Committees as appropriate, such regular reports and information as they request to enable them to fulfil their financial functions and statutory obligations.
- Reporting to all relevant parties, both internal to the Group, including the SLT, Board and Committees and external to the Group, including the Scottish Government (SG), the SHR, OSCR, FCA, Companies House and HMRC as appropriate.

### **Safeguarding**

- Taking such emergency or short term action as may be necessary to protect or promote the Group's financial position, subject to the reporting of all such action to the following meeting of the relevant Board.
- Ensuring that all financial policies and procedures are implemented by relevant staff and are monitored as required by each policy or procedure.
- Advise the Board on and manage Group External Audit arrangements.
- Advise the Board on and manage Group Internal Audit arrangements.

### **Treasury Management**

- Ensuring that surplus funds are appropriately invested as per the Group Treasury Management policy.
- Establishing the requirements for private finance in support of development and other schemes and negotiating with potential funders.
- Implement the requirements of the procurement policy. Approve; maintain and review approved consultants.

### **Income & Expenditure**

- Authorising expenditure (revenue & capital) relevant to the Finance function, as provided for in the approved annual budgets.

### **Budgeting**

- In consultation with the CEO and the SLT preparing the annual revenue and capital budget, Five Year Financial Projections and longer term financial plans for Board approval.
- Preparation of the annual rent increase calculations and service charge review for Board approval.

### **Corporate**

- In consultation with the DOHS, reviewing and approving the methods by which rent and other payments are made by tenants.
- Ensuring compliance with The Scottish Social Housing Charter (SSHC) requirements and other, relevant legislation and guidance.
- Participating in the Group Complaints Procedure
- Promoting and embedding the Group's Core values.

## **3.7 Director of Housing Services (DOHS)**

The DOHS in consultation with the CEO, DOF, Office Bearers and other Board Members as appropriate, will have delegated authority to undertake the duties and responsibilities as detailed in their job description, including the following:

- Initiating proposals and action to ensure the efficient and effective management of tenant services.
- Authorising the allocation of properties in accordance with the Nominations and Allocations Policies (inclusive of management transfers and special lettings initiatives);

- Authorising claims for compensation from tenants in line with the Compensation Policy.
- Approving Write off housing debt under £1,000, making recommendation to Housing Committee for write offs over £1,000, reporting all to the relevant Committees.
- Ensuring that all housing management, and estate management policies and procedures are implemented by relevant staff and are monitored as required by each policy/procedure, with the necessary reports being submitted to Committee according to agreed timetables.
- Reviewing all housing management policies and procedures according to agreed timetables, submitting any amendments required for Committee approval.
- Drafting any new policies or procedures required for approval.
- Taking such emergency or short-term action as may be necessary to ensure the efficient implementation of the Osprey Housing's Group housing policies and where necessary reporting on such action to Committee
- Recommending Eviction Action for the CEO and Housing Committee Chair's authority to proceed with the eviction.
- Approve refunds; write offs; write backs; rent account adjustments and compensation requests related to rents; tenancy and housing management matters.
- Approve and control any delegated budget authority within housing management/service team.
- Ensure Group compliance with legislative/regulatory and SSHC requirements
- Ensuring compliance with SSHC etc., relevant legislation and guidance.
- Working alongside the DOCS and DOAS to collect tenant satisfaction data and ensuring that action plans are formulated as a result of the findings of such surveys to address any weaknesses found.
- Formulating and implementing Group Tenant Participation Strategy.
- Liaison with tenants, representative groups etc. to promote the participation by tenants in the work of the Group and the management of their homes.
- Participating in the Complaints Handling Procedure.
- Managing the Leases and Management agreements for the Groups supported accommodation including signing off legal documents.
- Managing legal arrangements and agreements with Local Authorities for properties leased directly to them.
- Represent the Group on local strategy or consultation groups to ensure our participation and influence, e.g. HARSAG, Health and Social Care.
- Implement the requirements of the procurement policy. Approve; maintain and review approved contractor/consultants.

### **3.8 Director of Asset and Sustainability (DOAS)**

The DOAS in consultation with the CEO, DOF, Office Bearers and other Board Members as appropriate, will have delegated authority to undertake the duties and responsibilities as detailed in their job description, including the following:

- Initiating proposals and action to ensure the efficient and effective management of

- Group properties.
- Monitoring the maintenance and improvement of properties in accordance with the appropriate Policies.
- Ensuring that all estate management property maintenance and improvement policies and procedures are implemented by relevant staff and are monitored as required by each policy/procedure, with the necessary reports being submitted to Board/s according to agreed timetables.
- Reviewing all property management policies and procedures according to agreed timetables, submitting any amendments required for Board approval.
- Drafting any new policies or procedures required for approval.
- Implement the requirements of the procurement policy. Approve; maintain and review approved contractor/consultants. Approve specific contractor lists for major tendered works.
- Coordinate formulation and implementation of Group's Asset Management Strategy.
- Ensure Group compliance with legislative/regulatory and SSHC requirements. Approve and control any delegated budget authority within Asset Management Team.
- Approve related compensation requests.
- Ensuring regular Tenant Satisfaction Surveys are carried out. Also, ensuring that action plans are formulated as a result of the findings of such surveys to address any weaknesses found.
- Participating in the review of the Group Design Guide and Standard Specification.
- Promotion of Sustainability Strategy.
- Participating in the Complaints Handling Procedure.

### **3.9 Director of Corporate Services (DOCS)**

The DOCS in consultation with the CEO, DOF, Office Bearers and other Board Members as appropriate, will have delegated authority to undertake the duties and responsibilities as detailed in their job description, including the following:

- Planning the implementation of HR strategies and change management programmes across the service.
- Developing and delivering HR function for staff and Board members.
- Developing, liaising and consulting with staff regarding any proposed changes to terms and conditions and advising of changes approved by the Board.
- Co-ordinating formulation of training strategy and succession plans, including a training strategy and succession plan for Board members.
- Ensuring that all corporate and HR management policies and procedures are reviewed and implemented by relevant staff and monitored as required by each policy/procedure, with the necessary reports being submitted to Committee according to agreed timetables.
- Responsible for full facilities management service for group offices.
- Ensure compliance with legislative/regulatory requirements including Health & Safety, Employment legislation, Environmental Information (Scotland) Regulations, Data legislation, Scottish Housing Regulator Standards

- etc.
- Producing, on behalf of the Company Secretary/CEO, agendas reports minutes and any other information required for the Board Meetings, Resources & Governance, Corporate Services, Housing Committees, and Remuneration Committee so as to enable them to fulfil their remit, and monitoring implementation of Committee decisions.
- Lead on Data Management for the Group and ensure compliance with relevant legislation, regulation and guidance (e.g. GDPR, FOI).
- Lead and implement the Digital Strategy and Communications Strategy.
- Manage the IT service and infrastructure
- Implement the requirements of the procurement policy. Approve; maintain and review approved contractor/consultants.
- Lead and implement the Complaints Procedure.

### **3.10 Leasing Services Manager (LSM)**

The LSM activities are undertaken in relation to OIL within the Group structure. LSM in consultation with the CEO, DOF, Office Bearers and other Board Members as appropriate, will have delegated authority to undertake the duties and responsibilities as detailed in their job description, including the following:

- Coordinate formulation and implementation of service plans related to area of responsibility.
- Approve refunds; write offs; write backs; rent account adjustments and compensation request related to rents; tenancy and housing management matters on behalf of /with approval of OIL and clients to whom agency services are provided.
- Ensure compliance with legislative/regulatory requirements
- Operate within financial approval limits.
- Prepare reports for the OIL Board on performance and new opportunities for consideration.

## **4. Delegation of Policies and Relevant Authorities**

This is set out in Appendix 10 which details the various policies and managerial tasks separated into operational areas.

## **5 Schedule of Delegated Financial Authority Guidelines**

This is set out in Appendix 10 showing delegation to particular members of staff of authority to commit expenditure and, to other members of staff, authority to authorise payment – showing financial limits applicable, and how separation of duties is maintained.

## **6. Review**

The SoDA will be reviewed annually, or in the light of any legislative changes, or The Scottish Government requirements.

## **7. Other Related Documents**

Policies which are linked to the SoDA, and which should be read in conjunction with it, are:

- OH Memorandum & Articles
- OIL Memorandum & Articles
- OIL/OH SLA
- Standing Orders.
- Code of Conduct (Board Members & Staff).
- Procurement Policy
- Entitlements, Payments and Benefits Policy
- Financial Regulations
- Treasury Management

# APPENDIX 1

## SCHEDULE OF DECISIONS RESERVED FOR THE OSPREY HOUSING BOARD

### Purpose

The Board will exercise the responsibilities set out in Osprey Housing's rules. The Board is responsible for leading the development of Osprey's aims, objectives, strategy and planning. The Board is responsible for monitoring their effective implementation, ensuring their achievement and overseeing performance.

The Board is responsible for ensuring that Osprey Housing complies with all legal and regulatory requirements. The Board is also responsible for ensuring that Osprey Housing is adequately resourced and effectively managed to meet its aims and objectives and its obligations and commitments to tenants and customers.

### Aims, Objectives and Values

The Board will:

- Define and ensure compliance with Osprey Housing's aims, objectives, values and standards, in accordance with its rules, legislation and regulatory expectations
- Uphold and promote Osprey Housing's aims, objectives, values and standards to customers, tenants, service users, staff, partners and stakeholders
- Agree, uphold and ensure compliance with a Code (or Codes) of Conduct for Board members and staff to meet the highest ethical standards of integrity and probity
- Ensure that Osprey Housing conducts its affairs openly, honestly and with integrity and that the values of equality, diversity and dignity at work are upheld and promoted

### Governance

#### Strategy, Planning and Performance

The Board will develop, agree and oversee the implementation of Osprey Housing's strategic and corporate plans, including the:

- Business Plan
- Financial Viability Plan
- Treasury Management Policy
- Strategy and Development Funding Plan/ Strategic Housing Investment Plan
- Annual Budget
- Risk Management Strategy

The Board will:

- adopt and oversee the implementation of a framework for the development and review of policies to support the delivery of corporate objectives and ensure compliance with statutory and regulatory requirements
- ensure that the development and implementation of Osprey Housing's policies and plans are informed by the views of tenants, service users and stakeholders and that they comply with all relevant statutory and regulatory requirements and guidance
- agree targets for service delivery and business performance and ensure the establishment and implementation of an appropriate framework for monitoring their achievement that includes comparison of Osprey Housing's performance against those of relevant peer organisations



- adopt appropriate frameworks to ensure robust internal control, the effective management of risk and clear delegation of authority to sub-committees and the Chief Executive
- oversee the development and maintenance of effective strategic alliances and partnerships and ensure that Osprey Housing contributes to the development of plans and strategies by other bodies that are relevant to the achievement of its own strategic aims and objectives
- approve any new initiatives, business partnerships or business activities that are introduced outwith the Business Plan

## **Resources**

The Board will ensure that Osprey Housing has the necessary financial, human and other resources to meet its aims, objectives and targets.

The Board will:

- Approve the terms of OSPREY HOUSING's borrowing and investments and ensure that all such activities comply with legal and regulatory requirements and with OSPREY HOUSING's Rules and internal policies
- Ensure the availability of sufficient grant and loan finance, on appropriate terms, to support the achievement of OSPREY HOUSING's objectives
- Approve the terms of OSPREY HOUSING's annual rent and service charge increase
- Undertake all the functions associated with OSPREY HOUSING's role as an employer and establish and oversee the implementation of an appropriate framework for the recruitment, remuneration, support and employment of staff
- Appoint (and if necessary dismiss) the Director; approve his/her salary, benefits and terms of employment and ensure that s/he is effectively supported and his/her performance appraised at least annually

*The Board cannot delegate any of the foregoing responsibilities or activities.*

## **Compliance, Control and Accountability**

The Board will ensure that Osprey Housing complies with its Rules and all statutory and regulatory requirements. It will ensure that Osprey Housing applies good practice in all its activities.

The Board will approve all returns required by regulators and ensure that they are made accurately and submitted timeously.

The Board will receive the auditor's report, approve the audited accounts for recommendation to the AGM and agree the recommendation to be made to members in respect of the appointment or re-appointment of the Auditor.

The Board will authorise the use of the Seal, in accordance with Rule 63.

## **APPENDIX 2**

### **SCHEDULE OF DECISIONS DELEGATED TO THE OSPREY INITIATIVES**

#### **BOARD DEVELOPMENT ACTIVITIES**

- Contribute to the production of the Group Development Strategy for submission to the OH Board for approval.

#### **NEW BUSINESS OPPORTUNITIES**

- Contribute to the production of the Group Five Year Corporate Strategy.
- As instructed research and carry out appraisals in relation to new business opportunities for the relevant Board in accordance with the Group Corporate Strategy/ Business Plans for approval by the relevant Board.
- Appoint consultants required to assist the development of new business opportunities following relevant Board approval.
- Progress new business opportunities to pre-contract stage for approval by the relevant Board and once approved enter into contracts (as appropriate) with relevant parties.
- Manage, monitor and report on contract performance (where services are provided on behalf of another Group Board).

#### **CORPORATE**

Review and monitor performance against agreed targets in respect of:

- Activities carried out in respect of OIL's responsibilities as a landlord.
- Agency services provided to others (for example other RSLs).
- To consider recommendations from the Resource & Governance Committee in relation to annual and interim rent reviews and determine its position accordingly.
- Annual Budget and Business Plan.
- To consider the outcomes of reviews, forecasts and budgets carried out by Resource & Governance Committee and determine any actions required.

## APPENDIX 3

### SCHEDULE OF DECISIONS DELEGATED TO THE RESOURCE & GOVERNANCE COMMITTEE

#### FINANCE

- To oversee the development, implementation and review of Financial Strategies and Policies including Financial Regulations & Treasury Management Policy.
- Approve policies in accordance with Appendix 10.
- To review and recommend the following to the relevant Board
  - Five Year and Thirty Year Forecasts and Business Plans to all Group Boards.
  - The annual review of rent and service charge levels
  - Annual Budgets
  - Annual accounts prior to Board approval
  - Strategic expenditure including HR matters (Salaries/Pensions/Staff Structures, etc.)
- To review outcomes, forecasts and budget and make recommendations to the Board for change in the year in excess of £100,000.
- Approval of additional unbudgeted expenditure of up to £100,000.
- To monitor the loan covenants from all lenders.
- Identify, review and make recommendations in relation to Treasury Management to the Board in accordance with Corporate Strategy and Business Plans.
- Review and appraise potential business opportunities from a financial, reputational and governance perspective on behalf of the Board and make recommendations accordingly.
- Oversee the annual audit of the accounts.
- To review potential new development opportunities through the Group Development Appraisal process to ensure potential outcomes are in accordance with the Asset Management Strategy.

#### GOVERNANCE

- To oversee the development, implementation and review of Governance Strategies and Policies including Group Governance Framework (Memorandum & Articles and the Intragroup Agreement), Assurance Process, Standing Orders, Schedule of Delegated Authority and report to the OH Board, & Board of OIL.
- Approve Policies in accordance with Appendix 10.
- To approve and oversee the Internal Audit programme.
- To oversee the tender process for Internal / External Audit.
- To oversee the detailed Risk Policy and associated Register within the agreed framework of the Board.
- To monitor the Implementation of any Regulation Plans required by the SHR.
- To monitor the governance of the Committees and report to the Board as required.
- Oversee the compliance of the Health & Safety.

## APPENDIX 4

### SCHEDULE OF DECISIONS DELEGATED TO THE HOUSING

#### COMMITTEE CORPORATE

- Contribute to and approve the direction of and future Housing Strategies in respect of aspects directly within its remit and for submission to the Board for approval in relation to major new initiatives.
- Contribute to and approve the following for submission to the Board for approval –
  - Tenant Participation Strategy.
  - Asset Management Strategy.
  - Development Strategy
  - Development of Group Stock Improvement Programmes.
  - Implementation of any Housing related Improvement Plans.
  - Sustainability Strategy
- Consideration of rent setting and review of the success of methods of consulting with tenants over rent increases and make recommendation to the Board.
- Review Digital strategy in relation to Group Housing Operational Services to ensure it remains fit for purpose and meets tenants needs.
- Review complaints in relation to Group Housing Operational; Services in accordance with the Complaints Handling Policy.
- Responsible for overseeing specific aspects of the Risk Policy and associated Register.

#### HOUSING MANAGEMENT

- Approve all Housing Management Policies and submit those requiring further Board approval in accordance with Appendix 10.
- To review potential new development opportunities through the Group Development Appraisal process to ensure potential outcomes are in accordance with tenant requirements.
- Overview of Supported Accommodation provision within Group Stock.
- Approve strategic or specific Tenant Communication including an overview of the content of Newsletters, Handbook, etc.
- Approve the annual engagement plan with Registered Tenants Organisations (including OTRA) and represent OH (as first point of contact) in respect of the Tenants Scrutiny Panel.
- Approve proposed KPI's for submission to Board for approval and monitor Group performance in respect of SSHC and other KPI's outcomes.
- Chair of Housing Committee to authorise evictions as recommended by DOHS.
- Write off housing debt over £1,000 and up to £15,000 (per item). Sums below £1,000 to be approved by the DOHS and reported to the next Housing Committee.

#### ASSET MANAGEMENT

- Approve all Asset Management Policies and submit those requiring further Board approval in accordance with Appendix 10.
- Review and monitor the implementation of Stock Improvement Programmes on behalf of and once approved by the relevant Board.

- Approval of general design and specification requirements taking account of tenants needs as well as best practice including for example in relation to energy efficiency, health and safety (legionella, asbestos etc.).
- The approval of the List of Approved Contractors and Professional Advisers (including engineers, project managers, surveyors, CDM Co-ordinators etc.) in relation to the Committees' areas of responsibility and in accordance with the Procurement Policy.
- Entering into contracts for improvement, repair and maintenance - including:
  - Service contracts.
  - Void house repairs.
  - Cyclical maintenance.
  - Responsive (day to day repairs).
  - Improvement and maintenance (e.g. window renewal).
  - Medical adaptations (in liaison with appropriate professionals).
- Monitor contract and programme performance including budgetary performance and arranging and assessing tenant feedback.
- To review potential new development opportunities through the Development Appraisal process to ensure potential outcomes are in accordance with the Asset Management Strategy.
- Participate and make recommendations in relation to the Sustainability Strategy

## APPENDIX 5

### SCHEDULE OF DECISIONS DELEGATED TO THE CORPORATE SERVICES COMMITTEE

#### BOARD

- Approve draft Board Development Plan and recommend for approval to the Board. The Plan to incorporate individual and collective Board appraisal, development and induction plans and ensuring Board succession. Oversee implementation and review Board ICT support.

#### STAFFING

- Approve Staff Development Plan (including Succession Planning) and recommend for approval to Board. Oversee implementation.
- Consideration of strategic staffing matters including Staff Structures, Terms & Conditions of Employment including pensions, staff training plan and HR related policies in accordance with Schedule 9.
- Oversee the implementation of plans arising from IIP/Healthy Working Lives/Scotland's Living Wage etc. accreditation.
- Represent the Board in relation to high level staffing matters including disciplinary/grievance matters.

#### COMMUNICATIONS & IT

- Review and recommend Communication Strategies for Board approval.  
Review and recommend Digital Strategies for Board approval.
- Monitor implementation of Communications and Digital Strategies and overall IT service and infrastructure
- Review and oversee the Group Customer Charter.
- Review and approve corporate branding strategy for Board approval.

#### RESOURCES

- Review and oversee Incident Management Plan on behalf of the Board.
- Review and oversee Group Facilities Management function and make recommendations to the Board.
- Develop and implement strategies to embed continuous improvement and improved culture within the organisation.

#### GOVERNANCE

- Responsible for overseeing specific aspects of the Risk Policy and associated Register.
- Contribute to and lead on Group policy & strategy in relevant areas (for example Health & Safety, Respect & Dignity at Work, Equality & Diversity, Data Protection, etc).
- To ensure appropriate Board membership, succession planning and recruitment arrangements in accordance with Group Policies and the Regulatory Framework.
- Responsible for the detailed monitoring and implementation of Health & Safety.
- Oversees and receives reports/recommendations from Health and Safety Committee.

## **APPENDIX 6**

### **SCHEDULE OF DECISIONS DELEGATED TO REMUNERATION COMMITTEE**

#### **GOVERNANCE**

The Committee will make recommendations for approval to the Board on the following:

- Process for the recruitment of the CEO and DOF in conjunction with external advisors, including job description, person specification, recruitment and appointment arrangements.
- Members will liaise with the Chief Executive on the recruitment of other members of the SLT including participation in the recruitment process.
- Consider and recommend to the Board the remuneration package, terms, and conditions for the SLT.
- Review and recommend any variations to approved remuneration or terms and conditions for other staff.

## **APPENDIX 7**

### **SCHEDULE OF DECISIONS DELEGATED TO SENIOR LEADERSHIP TEDOAS**

The remit of the SLT is to manage, promote and deliver the work of the Group.

#### **REMIT OF THE SENIOR LEADERSHIP TEDOAS**

The SLT's responsibilities are to ensure the seven standards of the published Governance Framework and associated requirements are met and, its overall remit is to manage, promote and deliver the work.

In furtherance of meeting those standards and its remit the SLT's responsibilities include:

- Provision of appropriate services that offer value for money to a wide range, of tenants, customers and other stakeholders.
- Development and implementation of operational procedures to ensure delivery of the Group's Corporate Plan and Policies.
- Advising and recommending to Board on resourcing, including staff, funding and budgeting as these affect tenant and other services, property repair, maintenance and improvement.
- Develop, implement, monitor and review annual budgets and other funds allotted by the Group and handle relations with suppliers on policy and expenditure.
- Compliance with all legislative and regulatory requirements across the Group, including Financial Forecasting & Business Planning, SHR / ARC requirements, OSCR, FCA, Companies House, HMRC and other Governance matters, HR and Health & Safety.
- Provide advice, guidance and support to the Board and staff teams in relation to development of strategy, operational delivery and risk management.

#### **DELEGATED AUTHORITY**

Once approval is granted by the relevant Board authority will be delegated to the CEO to sign agreements relating to that approval unless it specifically requires the signature of a Board Member.

In the event that both the CEO and their deputy are absent, delegated authority will pass to the SLT member with the most appropriate skills, knowledge and expertise on the subject. Guidance will be sought from the Chair as required.



## **APPENDIX 8**

### **SCHEDULE OF DECISIONS DELEGATED TO EMERGENCY CABINET BOARD**

The Emergency Cabinet Board (ECB) will be triggered in severe emergencies when alternative temporary governance measures are required. In order to maintain effective control, direction and oversight of the business of Osprey Housing Group during an emergency the ECB will adhere to the following Terms of Reference:

The ECB will comprise:

Chair of Osprey Housing Board  
Chair of Osprey Initiatives  
Chair of Resource and Governance Committee  
Chair of the Housing Committee  
Chair of the Corporate Services Committee

The Chair of the ECB will be the Chair of Osprey Housing.  
Vice Chairs will attend in the absence of their Chairs.

Quorum for meetings will be four.

ECB meetings will be held on Zoom or similar virtual meeting software and will last no longer than 1.5 hours.

The decision to trigger the ECB will be made by the CEO and Chair and agreement sought from all Board Members. This will usually be via email and implementation will require agreement from a majority of Board members.

In the event that the ECB is triggered, decision making will be delegated from all Osprey Group Governance Board and Committees to the members of the ECB until further notice. In emergencies that require implementation of the ECB all committees and the OIL Board meetings will be suspended

The ECB will act on behalf of all Board Members.

Provision for the ECB is contained within the Standing Orders and this Schedule of Delegated Authority.

Once triggered, ECB meetings can be called at any time with a minimum 24 hours' notice.

The core function of the ECB will be to take any business critical decisions required during the emergency period.

Papers for a meeting will be circulated via the Portal one week prior to a planned meeting. This will provide all Board Members the opportunity to read and give comments on the contents and items for decisions. Any comments must be provided by email to the CEO no later than the day prior to the scheduled meeting.

Comments and opinions from all Board Members of OH will be considered in the decision making process and retained electronically.

Decisions shall be made by the majority of those in attendance and opinions received by email.

During its tenure the ECB shall maintain close engagement with the Osprey Senior Leadership Team.

Draft minutes of the meeting will be sent via email to all Board Members as soon as practicable following the ECB meeting.

Implementation of the ECB governance arrangements are a temporary measure to cover any period of enforced restrictions on normal arrangements set out in the existing constitutional documents (i.e. Articles of Association/Rules, Standing Orders, SoDA). A return to those normal arrangements, or as close as possible thereto will be exercised as soon as reasonably practicable subject to the requirement for any planned longer term change in the rules.

The use of ECB governance arrangements will be subject to review by all Board members on a rolling basis of at least every 3 weeks after the first ECB meeting is held. This will usually be via an e-mail consultation process.

## APPENDIX 9

### HEALTH & SAFETY COMMITTEE

The remit of the H&S Committee is to provide an open forum for the discussion of all Health & Safety related issues raised by members of the Committee and by any other relevant sources.

- At least one Board Member shall sit on the Committee
- All Committee members will undergo suitable training, which will include as a minimum 'Health & Safety Awareness'. This will ensure that all members have a working knowledge of the topic, commensurate with their role in the Committee and within the organisation as a whole.
- The Committee will suggest solutions and initiatives for issues arising, which will be minuted and presented to the Chief Executive following each meeting, without undue delay.
- Where appropriate, the Committee will draft and revise policy, procedures and arrangements, for ultimate approval by the Chief Executive and the Board.
- The Committee will delegate, with the Chief Executive's approval, to members and to other appropriate persons within the organisation, actions required to be taken to implement policies, procedures, arrangements and any other initiatives authorised by the Chief Executive.
- The Committee will review the Health & Safety performance of the organisation, analysing accident statistics, reported breaches of policy and procedures, audit and inspection reports and data from other information gathering exercises. Recommendations on options to improve safety performance will be made to the Chief Executive without undue delay.

## APPENDIX 10

### LIST OF POLICES AND RELEVANT AUTHORITIES

The Schedule of Delegated Authority makes reference to policies and procedures on a number of occasions. Below is a list of polices separated out into operational areas showing the Board responsible for policy approval with the staff member responsible for operational procedures/practice also

The internal management planning process may identify additional policies and responsibilities. Any such additional polices approved will be incorporated into the next update of this Schedule.

**TABLE A – Decision making authorities**

Activity	Approving GB	Lead	Lead Officer
<b>Governance</b>			
Memorandum & Articles (OH)	OH Board	R&G	CEO
Memorandum & Articles (OIL)	OH Board	OIL Board	CEO
Standing Orders	OH Board	R&G	CEO
Financial Regulations	OH Board	R&G	DOF
Scheme of Delegation	OH Board	R&G	CEO
Statutory Returns	OH Board	R&G	DOF
Appointment of External Auditors	OH Board	R&G	DOF
Appointment of Internal Auditors	OH Board	R&G	DOF
Application for Membership – OH Board	OH Board	Chair	CEO
Application for Membership OIL Board	OH Board	OIL Board	CEO
Litigation – Initiation by OH	OH Board	Relevant Comm	CEO
Litigation – Defence against actions by others	OH Board	Relevant Comm	CEO
Press and Media – Authority to Make Statements and Issue Press			CEO
Strategic Audit Plan and Annual Plan	OH Board	R&G	DOF
Review of Internal Audit Reports	OH Board	R&G	DOF

<b>Activity</b>	<b>Approving GB</b>	<b>Lead</b>	<b>Lead Officer</b>
<b>Corporate</b>			
Pension Changes or decisions/policies	OH Board	R&G/CS	CEO
Salary Review	OH Board	Rem Comm	CEO/DOF/DOCS
Codes of Conduct (Board & Staff)	OH Board	R&G/CS	DOCS
Board Development Plan	OH Board	CS	CEO
Health & Safety Statement/Policy	OH Board	CS	CEO/DOCS
Incident Management Plan	OH Board	CS	CEO/DOCS
Staff Structure	OH Board	R&G/CS	CEO
Authority to create new posts			
• Above Annual Budget	OH Board	CS	CEO
• Within Annual Budget	CS	CS	CEO
Staff Development Plan	OH Board	CS	CEO/DOCS
Appointment of CEO	OH Board	CS	External
Appointment DOF	OH Board/CEO	Relevant GB Member	CEO
Appointment of Manager	CEO	Relevant GB Member	CEO
Appointment / Dismissal of other staff	CEO		CEO/DOCS
Data Protection	OH Board	CS	DOCS
Regulation Plan	OH Board	R&G/HC	CEO
Strategic Business Plan (5 Year)	OH Board		CEO
Development ProgrDoASme	OH Board	R&G/HC	CEO
Procurement Policy	SLT	Relevant Committee	Relevant SLT
Changes to Job Title or Job Description	CEO	CEO	DOCS
Risk Management Register	OH Board	All Comm	CEO
Risk Practice and Procedure	CEO		CEO
<b>Finance</b>			
Procedures of all Finance related policies			DOF
Five Year & 30 Year Financial Projections	OH Board	R&G	DOF
Rent Setting	OH Board	HC/R&G	DOF/DOHS
Service Charge Setting	OH Board	HC/R&G	DOF/DOHS/DOAS
Treasury Management Policy	OH Board	R&G	DOF
Funding & Borrowing Strategy	OH Board	R&G	DOF
Budget Approval	Relevant Board	R&G	DOF

<b>Activity</b>	<b>Approving GB</b>	<b>Lead</b>	<b>Lead Officer</b>
Budget Review and Monitoring	Relevant Board	R&G	DOF
DoASendment to Budget > £100k	Relevant Board	R&G	DOF
DoASendment to Budget > £25k < £100k	R&G	R&G	DOF
Bank Mandates	Relevant Board	R&G	DOF
Additions to Budget < £25k	CEO		DOF
Virement between budget heads < £25k	CEO		DOF
Virement between budget heads > £25k < £100k	R&G	R&G	DOF
Virement between budget heads > £100k	Relevant Board	R&G	CEO
<b>Insurance</b>			
Approval of insurer	OH Board	R&G	DOF
<b>Statutory Accounts</b>			
Approval	Relevant Board	R&G	DOF
Consideration of Management Letter	Relevant Board	R&G	DOF
<b>Internal Audit</b>			
Approval of Internal Audit Plan	R&G	R&G	DOF
Consideration of Internal Audit Reports	R&G	Relevant Committee	Relevant SLT
<b>Asset Management</b>			
Procedures related to Asset Management Policies			DOAS
<b>List of Maintenance Contractors</b>			
Policy & Approval of List		HC	CEO
Ad-hoc Additions / Deletions		HC	DOAS
<b>Maintenance Tenders - Selection of Tender List from Approved</b>			
Up to £100,000	DOAS		DOAS
Over £100,000	HC		DOAS
<b>Opening tenders - Budgeted</b>			
Up to £100,000	DOAS & SMT Member		DOAS
Over £100,000	2 BM		DOAS
<b>Acceptance of Tenders</b>			
Within 105% of Budget	DOAS	HC	DOAS
>105% of Budget	CEO/DOF & DOAS	R&G	DOAS
Appointment of Maintenance Consultants	DOAS		DOAS
Stock Improvement Maintenance and Repairs (application of		HC	DOAS

<b>Activity</b>	<b>Approving GB</b>	<b>Lead</b>	<b>Lead Officer</b>
Major Repairs/Planned Maintenance Improvement Plan		HC	DOAS
<b>Development</b>			
Annual Development ProgrDoASme	OH Board	R&G	DOF
Material Variations to ProgrDoASme Schedule	OH Board		DOF
Consideration / Appraisal of Development	OH Board	R&G	DOF
Consideration / Appraisal of New Business Opportunities	OH Board		DOF
Development tenders	As per development / procurement		DOF
Appointment of Development Consultants			DOF
Purchase of Residential Land / Properties within agreed	OH Board	R&G	DOF
Commitment to Contracts / Package Deals within agreed			DOF
Letters of Intent			DOF
Design Brief Approval	HC	HC	DOAS/DOF
Review & Minor Variations			DOAS
<b>Housing Management</b>			
Procedures related to Housing Management Policies	DOHS		DOHS
Issue of Legal Proceedings (Arrears/ASB)	DOHS		DOHS
Write offs;			
Up to £500	DOHS		DOHS
Exceeding £500	HC	HC	DOHS
Rent Consultation	HC	DOHS	DOHS
Tenant refunds	DOHS		DOHS
Compensation claims	DOAS/DOHS		DOAS/DOHS

**TABLE B – Policy and Strategy Approvals**

<b>Policy REF</b>	<b>NDoASe of Policy</b>	<b>Approver</b>	<b>Lead Committee</b>	<b>Lead officer</b>
<b>FINANCE</b>				
FIN 1.1	Financial Regulations	OH Board	R&G	DOF
FIN 1.2	Treasury Management Policy	OH Board	R&G	DOF
FIN 1.3	Anti-Money Laundering Policy	OH Board	R&G	DOF
<b>CORPORATE &amp; GOVERNANCE</b>				
GCS 2.2	Schedule of Delegated Authority	OH Board	All	CEO
GCS 2.3	Equality and Diversity Policy	OH Board	CS/R&G	DOCS
GCS 2.4	Complaints Handling Policy	OH Board	CS	DOCS
GCS 2.5	Entitlements, Payments & Benefits Policy	OH Board	CS/R&G	CEO
GCS 2.6	Declaration of Interests Policy	OH Board	CS/R&G	CEO
GCS 2.7	Communications Strategy	OH Board	CS	DOCS
GCS 2.8	Health & Safety Policy	OH Board	CS	CEO
GCS 2.9	Staff Code of Conduct	OH Board	CS	DOCS
GCS 2.10	Board Code of Conduct	OH Board	CS	DOCS
GCS 2.11	Standing Orders	OH Board	R&G	CEO
GCS 2.12	Major Incident Management Plan	OH Board	CS/R&G	DOCS
GCS 2.13				
GCS 2.14	Procurement Policy	OH Board	R&G/HC	DOAS
GCS 2.16	Privacy (Data Protection) Policy	OH Board	CS	DOCS
GCS 2.17	Disclosure Policy	OH Board	CS	DOCS
GCS 2.18	Risk Management Policy	OH Board	R&G	CEO
GCS 2.19	Whistleblowing Policy	OH Board	CS	CEO
GCS 2.20	Osprey Housing Board Membership Policy	OH Board	CS/R&G	CEO
GCS 2.22	Document Control Policy	OH Board	CS	DOCS
GCS 2.23	Freedom of Information and Environmental Information Policy	OH Board	CS	DOCS
GCS 2.24	Records Management Policy	OH Board	CS	DOCS
GCS 2.25	Anti-Bribery and Corruption Policy	OH Board	R&G	DOF



<b>Policy REF</b>	<b>NDoASe of Policy</b>	<b>Approver</b>	<b>Lead Committee</b>	<b>Lead officer</b>
GCS 2.26	Covid-19 Impact: Recovery Strategy	OH Board	CS	CEO
<b>HOUSING MANAGEMENT</b>				
HM 3.1	Arrears Management Policy	HC	HC	DOHS
HM 3.2	Rent Policy	OH Board	HC/R&G	DOHS
HM 3.3	Service Charge Policy	OH Board	HC/R&G	DOHS
HM 3.4	Tenant Participation Strategy (incl. Scrutiny)	HC	HC	DOHS
HM 3.5	Allocations Policy	OH Board	HC	DOHS
HM 3.6	Tenancy Sustainment Policy	HC	HC	DOHS
HM 3.7	Anti-Social Behaviour Policy	HC	HC	DOHS
HM 3.8	Estate Management Policy	HC	HC	DOHS
HM 3.9	Managing Tenancies Policy	HC	HC	DOHS
HM 3.10	Decant Policy	HC	HC	DOHS
HM 3.11	Domestic Abuse Policy	HC	HC	DOHS
HM 3.12	Housing Services Delivery Strategy	HC	HC	DOHS
<b>ASSET MANAGEMENT</b>				
DOAS 4.1	Asset Management Strategy	OH Board	HC/R&G	DOAS/CEO
DOAS 4.2	Void Management Policy (incl. Lettable Standard)	OH Board	HC	DOHS/DOAS
DOAS 4.3	Repairs & Maintenance Policy	OH Board	HC	DOAS
DOAS 4.4	Asbestos Policy	HC	HC	DOAS
DOAS 4.5	Aids & Adaptations Policy	HC	HC	DOAS
DOAS 4.6	Alterations & Improvement Policy	HC	HC	DOAS
DOAS 4.7	Rechargeable Repairs Policy	HC	HC	DOAS
DOAS 4.8	Compensation Policy	OH Board	HC/R&G	DOAS
DOAS 4.9	Heating Safety Policy (incl. Gas Legislative requirements)	HC	HC	DOAS
DOAS 4.10	Legionella Policy	HC	HC	DOAS
DOAS 4.11	Sustainability Strategy	OH Board	HC/CS/R&G	DOAS
DOAS 4.12	Disposal Policy	OH Board	HC/R&G	CEO
<b>HUMAN RESOURCES</b>				
HR 5.1	Attendance Management Policy	CS	CS	DOCS
HR 5.2	Secondment Policy	CS	CS	DOCS

<b>Policy REF</b>	<b>NDoASe of Policy</b>	<b>Approver</b>	<b>Lead Committee</b>	<b>Lead officer</b>
HR 5.3	Reward and Recognition Policy	OH Board	CS/R&G	DOCS
HR 5.4	Performance Management Policy	CS	CS	DOCS
HR 5.5	Recruitment and Selection Policy	CS	CS	DOCS
HR 5.6	Maternity Policy	OH Board	CS/R&G	DOCS
HR 5.7	Adoption Policy	OH Board	CS/R&G	DOCS
HR 5.8	Paternity Leave Policy	OH Board	CS/R&G	DOCS
HR 5.9	Retirement Policy	OH Board	CS/R&G	DOCS
HR 5.10	Redundancy Policy	OH Board	CS/R&G	DOCS
HR 5.11	Disciplinary Policy	CS	CS	DOCS
HR 5.12	Training & Development Policy	CS	CS	DOCS
HR 5.13	Grievance Policy	CS	CS	DOCS
HR 5.14	Flexible Working Policy	CS	CS	DOCS
HR 5.15	Expenses Policy	OH Board	CS/R&G	DOCS
HR 5.16	Grading Review Policy	OH Board	CS/Rem Comm	DOCS
HR 5.17	Flexi Time Policy	CS	CS	DOCS
HR 5.18	No Smoking Policy	CS	CS	DOCS
HR 5.19	Substance Misuse Policy	CS	CS	DOCS
HR 5.20	Special Leave Policy	CS	CS	DOCS
HR 5.21	Extreme Weather & Emergency Situations Policy	CS	CS	DOCS
HR 5.22	Dignity at Work Policy	CS	CS	DOCS
HR 5.23	Pay Protection Policy	OH Board	CS/R&G	DOCS
HR 5.24	Home Working Policy	CS	CS	DOCS
HR 5.25	Shared Parental Policy	CS	CS	DOCS
HR 5.26	Terms & Conditions	OH Board	CS/R&G	DOCS
HR 5.27	Stress Management Policy	CS	CS	DOCS
HR 5.28	New Staff Relocation Policy	OH Board	CS/R&G	DOCS
HR 5.29	Out of Hours On Call Policy	OH Board	CS/R&G	DOCS
HR5.30	Menopause Policy	CS	CS	DOCS
<b>DEVELOPMENT</b>				
DEV 6.1	Development Strategy	OH Board	HC/R&G	DOF

Policy REF	NDoASe of Policy	Approver	Lead Committee	Lead officer
DEV 6.2	Development Policy	OH Board	HC/R&G	DOF
<b>ICT</b>				
ICT 7.1	Digital Strategy	OH Board	CS	DOCS
ICT 7.2	MDM Policy	OH Board	CS	DOCS
ICT 7.3	IT Policy	OH Board	CS	DOCS
ICT 7.4	Social Media Policy	OH Board	CS	DOCS
ICT 7.5	Information Systems Security Guidance	OH Board	CS	DOCS

**General Principles to be applied to the use of the SoDA in urgent/emergency situations –**

- (a) This list is not exhaustive and common sense must be applied to ensure that its spirit is adhered to in unforeseen circumstances.
- (b) In the event of an emergency, the Chair of the Relevant Board is authorised to take appropriate action. The Vice- Chair is authorised to act on behalf of the Chair in the Chair's absence.
- (c) The DOF is empowered to act on urgent matters, in the CEO's absence and in the event of both being absent another member of the SLT can be designated and empowered to act with the agreement of the Chair.
- (d) Nothing within the SoDA shall prevent the most senior employee available dealing with an emergency.
- (e) See Emergency Cabinet Board remit in Appendix 8
- (f) Where emergency action has been taken under Delegated Power this must be reported back to the relevant Board.
- (g) Digital/electronic authorisation including signatures - Use of signatures held for Chair/Vice Chairs and CEO should be used following their express permission wherever possible. The DOCS must be notified of non-standard use and this must be reported to the next relevant Board or Committee
- (h) **All Notifiable Events must be immediately reported to the SHR and to the relevant Board.**

## **APPENDIX 11**

### **SCHEDULE OF DELEGATED FINANCIAL AUTHORITY GUIDELINES**

#### **Introduction**

The SoDA shows the approved officers who have been delegated responsibility by the Board for committing expenditure on behalf of the Group. It sets out the areas of responsibility, nominated officers and the scope of delegation.

Delegated Levels of Authority (DLAs) are assigned to individual members of staff.

- DLAs can only be further delegated on the written approval of the CEO. Delegation of levels does not exonerate responsibility for the original holder, who will remain responsible for delegated staff.
- When an authorised member of staff will be absent from their post, deputies may, at the authorised member of staff's discretion, be assigned DLA's appropriate to ensure that the day to day operations of the Group continue to function.
- DLAs in these circumstances will not exceed the original levels of the delegating officer.
- Segregation of duties must apply in addition to the adherence of the DLA. Individual members of staff should not initiate and authorise expenditure and receive the purchased goods/services.

Reference should be made to this scheme in instances where a decision is required out with a member of staff's DLA.

- Where it will result in a breach of authority, staff must not commit expenditure without prior written approval of the CEO or DOF.
- Approval should only be given if it is within that individual's DLA.

Expenditure can only be committed against authorised budgets and must be contained within original limits.

- Staff authorised to commit expenditure up to their DLA may only do so where the budget permits.
- In assigned DLAs to staff, it must be emphasised that strict controls over budgets must be in place, and budget statements reviewed regularly, to ensure overspend does not ensue.

#### **Authorisation of Invoices (for goods and services received)**

The authority to approve invoices for payment

- The DLA applies to all named staff in the scheme.
- Where an invoice requires authorisation during the absence of a delegated member of staff, reference should be made to the member of staff who is deputising for the delegated member of staff.
- Finance staff are responsible for checking the validity of authorised members of staff and are permitted to dispute any invoices incorrectly authorised.

#### **Capital Expenditure Variations**

All individual capital programmes, not approved as part of the development programme, e.g. office furniture, IT equipment cost overruns exceeding 10% of original estimate may be incurred.

- Where contract payments are payable in instalments, the total cost of the contract is the sum subject to authorisation.

The DLA Applies to each capital project / item.

### Payment

Payment of contractors/suppliers is the final part in any financial transaction. The following people are authorised cheque signatories on all the company's bank accounts: In respect of the Chair & Vice Chair, this relates to the relevant Board for which payment is being incurred.

#### Group A

Chair  
Vice Chair  
R&G Chair  
DOCS  
Finance Officer

#### Group B

CEO  
DOF

Cheque signatories and authorisations will be in accordance with the following limits:

<b>Cheque Value</b>	<b>Any one Signatory from Group A or B</b>	<b>Any combination of two Signatories from Group A or B</b>	<b>Two Signatories minimum of one from Group B</b>
£0 - £5,000	√		
>£5,000 - £250,000		√	
>£250,000			√

Access to the on-line banking facility is restricted by the bank by use of an Authenticating Device. Authority to process such transactions is restricted to the CEO, the DOF, the DOCS and the Finance Officer. However, these staff are only authorised to process such transactions where the approval of commitment and approval of invoice/expenditure has been carried out appropriately.

Levels of authority range from staff to the Board themselves, and it is important for good internal control of the Group's expenditure that all staff have a working knowledge of the content of the SoDA. It is the responsibility of Line Managers to ensure that their staff are fully aware of their authority levels and limits.

There are a number of important points to observe in following the authorisation procedure:

- Two separate procedures are involved in incurring expenditure.
  - taking on commitment to spend (column 2).
  - approving the invoice after goods or invoices received (column 3).
- Written or electronic evidence of the approval and authority should be retained.
- The person approving an invoice will be expected to be satisfied that prior approval of the original order or instruction was given, at the appropriate level, in cases where such prior approval is required.
- Approval of invoices will include a check of the calculations.

### Expenditure Authorisations - Capital Expenditure (property and land)

	Approval of Commitment	Approval of Invoice
Purchase of property and land	OH Board	CEO or DOF
Consultants' fees (within contract/budget)	CEO	CEO or DOF
Works costs within approved contract	CEO	CEO or DOF

### Expenditure Authorisations - Staff Appointments, Salaries and Staff Costs

	Approval of Commitment	Approval of Expenditure
New Posts	OH Board	CEO or DOF
Replacement Staff	CEO	CEO or DOF
Temporary Staff	CEO or DOF	CEO or DOF
Salary Reviews	OH Board	CEO or DOF
Traveling and hospitality expenses	Relevant SLT	Relevant SLT
Board Members Expenses	OH Board	CEO or DOF

### Expenditure Authorisations – Tenant Arrears Write Off

Board > £15,000	Housing Committee £1,000-£15,000	DOHS Up to £1,000
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Authority has been given by the Board to incur expenditure up to the amount of relevant budget (apart from any reserved items listed above).

Relevant budgets are the responsibility of the following staff members but are restricted by the authorisation limits set out in the table below:

#### CHIEF EXECUTIVE

- Professional Fees (non housing management)
- Subscriptions
- Research Costs
- Feasibility Study Costs
- Health and Safety
- Public Relations
- Events & PR

## **DIRECTOR OF FINANCE**

- Loan Interest
- Rent and Rates
- Salaries
- Insurances
- Audit Fees – External and Internal
- Bank Charges

## **DIRECTOR OF HOUSING SERVICES**

- Rent loss from Voids
- Rental income
- Professional Fees (Housing Specific)
- Bad Debt
- Tenant Participation
- Hardship Fund
- Health and Safety (Housing Management Related)
- Events & PR (Housing Specific)

## **DIRECTOR OF ASSET AND SUSTAINABILITY**

- Reactive Repairs
- Void Repairs
- Planned Repairs
- Cyclical Repairs
- Development and Grant
- Adaptations
- Service Charges
- Health and Safety (Asset Management Related)

## **DIRECTOR OF CORPORATE SERVICES**

- Recruitment
- Staff Training
- GBM Training
- Conferences
- ICT
- Printing, Stationery and Copying
- Postage
- Office Repairs, Cleaning & Sundries
- Office Equipment,
- Furniture & Fittings
- Health and Safety (Non Housing/Asset Related)
- Events & PR

## **LEASING SERVICES MANAGER**

- Rent loss from Voids
- MMR Revenue items
- Legal Costs (Housing Specific)

Costs relating to Travel are the responsibility of each Line Manager for staff within their teams.

## Expenditure Authorisations

	<b><i>Approval of Commitment</i></b>	<b><i>Approval of Expenditure</i></b>
>£100,000	CEO	CEO or DOF
Up to £100,000	DOF	CEO or DOF
Up to £25,000	Relevant SLT	CEO or DOF (DOAS for repairs invoices only)
Up to £7,500	Officer Level	Officer Level or Relevant SLT
Up to £3,000	Asset Management Administration Assistant	Officer Level or Relevant SLT
Under £1,500	Administration Support (Asset Management) or (Customer Services)	Officer Level or Relevant SLT

### Notes:

- a) The Procurement Policy, where appropriate, i.e. for works of a specialist nature must be followed.
- b) Cross reference the Procurement Policy in relation to appointment of consultants to the approval limit of senior managers in this document.
- c) Authority has been given by the Relevant Board to incur expenditure up to an amount of the relevant budget (apart from any reserved items).