



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 however, 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 subsidiaries Osprey Housing Moray (OHM) and Osprey Initiatives (OI) to:

- **OHM Committee of Management in accordance with OHM's Rules and the Intragroup Agreement between OH and OHM.**
- **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 (all of which being Joint Committees of OH and OHM) in accordance with the agreed remit.**
- **Individual Governing Body Members acting in their capacity as Chairs, etc.**
- **Senior Management Team**

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

The OH 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 Governing Body unless explicitly delegated.

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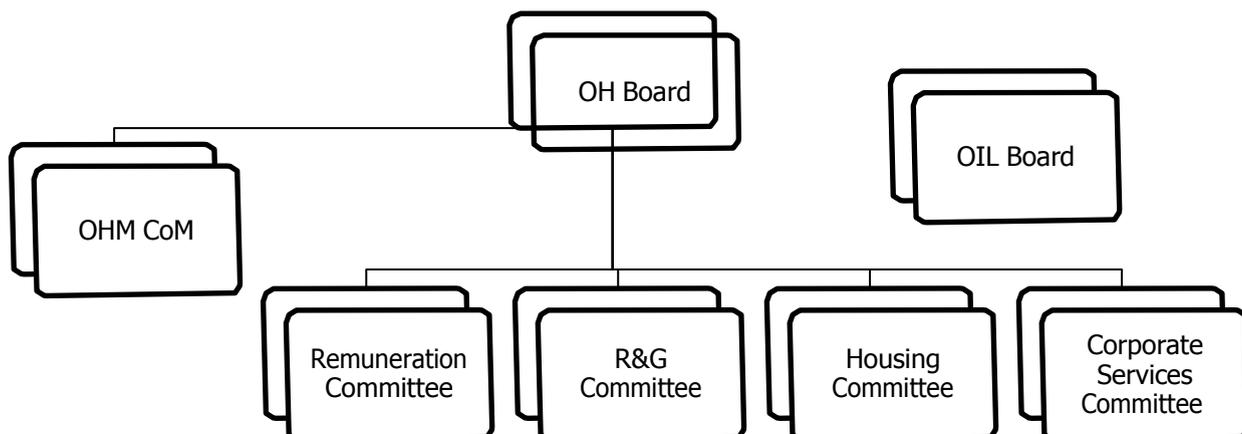
1. Definitions & Group Structure

1.1 Group Definitions

OH	Osprey Housing
OH Board	The Board of Directors of Osprey Housing (Governing Body)
OIL	Osprey Initiatives Ltd – non charitable subsidiary of OH
OI Board	The Board of Directors of Osprey Initiatives Ltd (Governing Body)
OHM	Osprey Housing Moray
OHM CoM	Committee of Management of Osprey Housing Moray (Governing Body)
Group	Osprey Housing, Osprey Housing Moray and Osprey Initiatives Ltd
R&G Cttee	Resource & Governance Committee (Joint)
CS Cttee	Corporate Services Committee (Joint)
Housing Cttee	Housing Committee (Joint)
Rem Cttee	Remuneration Committee (Joint)
JC's	Joint Committees
GBM	Governing Body Members
Memos & Arts (OH)	Osprey Housing Memorandum & Articles
Memos & Arts (OIL)	Osprey Initiatives Ltd Memorandum & Articles
Rules	Osprey Housing Moray Rules
IGA	Intragroup Agreement (OH/OHM)
SLA	Agreement OH/OI

Governance Framework Memorandum & Articles, Rules, Intragroup Agreement, Standing Orders etc.

1.2 Governance Structure



The Group Governing Bodies 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 (also Company Secretary OHM)

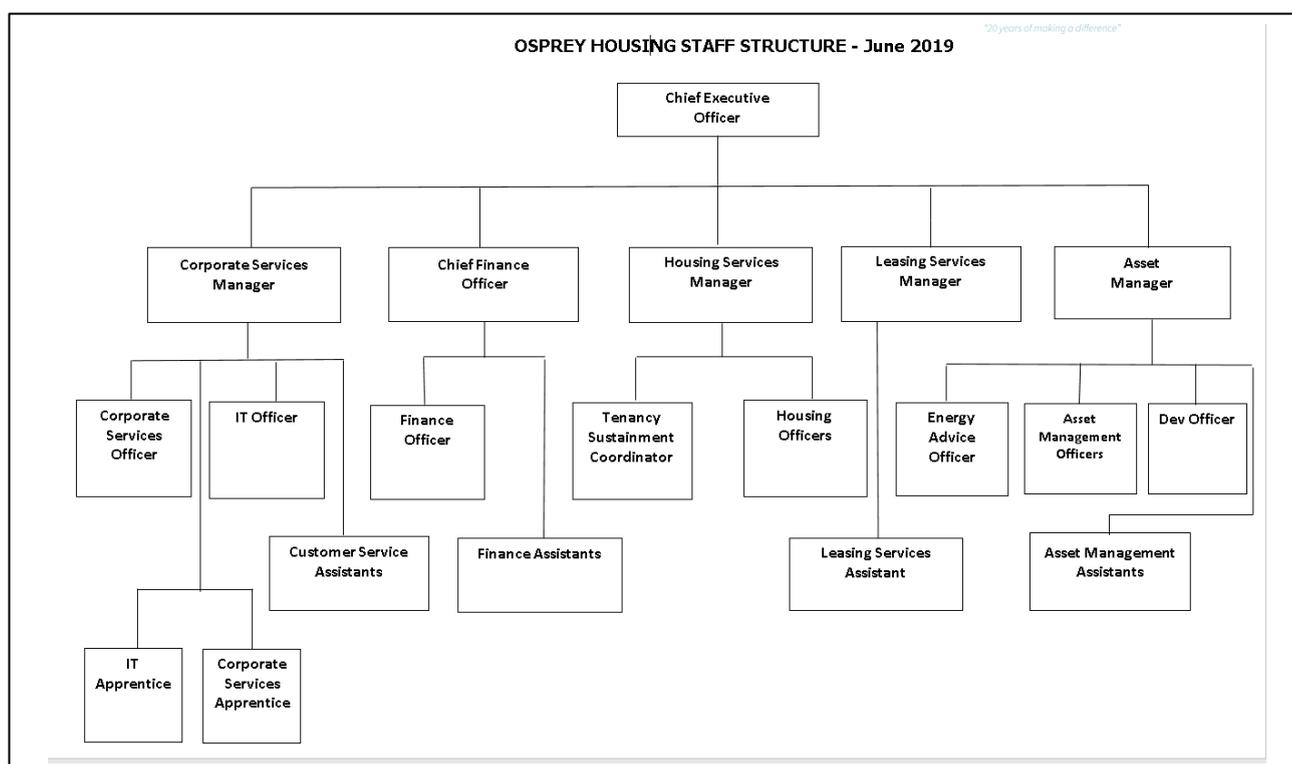
CFO – Chief Finance Officer

HSM – Housing Services Manager

AM – Asset Manager

CSM – Corporate Services Manager

LSM – Leasing Services Manager



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 reserved or delegated to the OHM CoM – Appendix 2
- Schedule of Decisions delegated to the OIL Board – Appendix 3
- Schedule of Decisions delegated to the Joint Committees – Appendices 4-7
- Schedule of Decisions delegated to the Senior Management Team – Appendix 8
- List of Policies & Relevant Authorities – Appendix 9
- Schedule of Delegated Financial Authority Guidelines – Appendix 10

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).

OHM is a registered society under the Co-operative and Community Benefit Societies Act 2014. OHM is a Scottish Charity (SC 031841) and a Registered Social Landlord (325). OHM is a wholly owned subsidiary of OH

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 subsidiaries and Joint 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 and OHM Rules, Intragroup Agreement, Financial Regulations, Standing Orders, Terms and Conditions of Employment and other Group policies and procedures.

In all circumstances in this document where the term 'Committee' is used this includes Sub Committees as defined in the OHM Committee of Management Rules.

3. Chairpersons and Office Bearers

3.1 Chairperson(s)

To ensure that there are no unnecessary delays in progressing the work of the Group the Chairperson of the relevant entity will have delegated authority, in consultation with the CEO, to take any decisions as required between Governing Body or Joint Committee 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 Governing Body or appropriate Joint Committee and minuted accordingly. The Chairperson 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 Chairperson has declared a personal interest in proceedings. In the event of an emergency situation the Chairperson, in conjunction with the CEO and with the approval of all Governing Body members, can trigger the Emergency Cabinet Board (Appendix 9 refers).

Where Governing Body 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, Sub Committees or Working Groups do not have the necessary delegated authority.

Any matters which are thought to require an urgent decision of the Governing Body must be referred to the Chairperson and/or Vice Chair of the relevant Governing Body(s) and/or the Chief Executive. Any two of these three will have the authority to determine whether Governing Body approval is required by reference to the Governance Framework. If it is determined that Governing Body approval is required then the matter must be referred to as many Governing Body 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 Governing Body Meeting for ratification.

If no majority decision can be reached by contacting as many Governing Body Members as possible then the Chairperson, or Vice Chairperson 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 Governing Body 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 Governing Body 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-Chairperson(s)

In the absence of the Chairperson, the Vice-Chairperson 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

minuted accordingly. The Vice-Chairperson 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
- OHM Company Secretary - CEO

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 and OHM Rules. The Company Secretary will have delegated authority to sign legal documents on behalf of OH, OIL and OHM 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 Governing Body 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 Joint Committee Chairperson(s)

Chairperson of each Joint Committee will have delegated authority, in consultation with the relevant Lead Manager, to take decisions which relate to the area of responsibility of their Joint 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 minuted 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 Chairperson(s), Vice-Chairperson(s) or other GBMs the CEO, will have the following delegated authorities. In the CEO's absence, the CFO 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 Governing Body 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 Governing Body 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 CFO, 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 Governing Body 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 Governing Bodies and/or ECB if triggered

Finance

Authorising expenditure (revenue & capital) as provided for in the approved annual budgets. The CFO 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 CFO – and with the approval of the Chairperson, 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 Governing Body(s) and minuted accordingly;
- Authorising - in consultation with the CFO – written requests for virement between budget headings for amounts up to £25,000 on each item
- Determining requests in writing - in consultation with the CFO – 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 Governing Body approval of the post. Appointments of staff at Manager Level and above must include the involvement of at least one relevant Governing Body 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 Governing Bodies. Implementing Governing Body 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 Chairperson 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) & 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 Governing Bodies 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 Governing Body 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 Governing Bodies 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 Governing Bodies, so as to enable it to fulfil their remit.

3.6 Chief Finance Officer (CFO)

The CFO will assume the full authority of the CEO in the latter's absence to ensure continued operational effectiveness. In addition the CFO in consultation with the CEO, Office Bearers and other GBMs 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 Governing Bodies 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 Governing Body or Committee(s).

Financial Reporting

- Preparing and presenting to the Governing Bodies, 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 SMT, Governing Bodies and Committees and external to the Group, including the Scottish Government (SG), the SHR, OSCR, FCA 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 Governing Bodies.
- Ensuring that all financial policies and procedures are implemented by relevant staff and are monitored as required by each policy or procedure.
- Advise the Governing Bodies on and Manage Group External Audit arrangements.
- Advise the Governing Bodies 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 lenders.

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 SMT preparing the annual budget, Five Year Forecasts and longer term financial plans for Governing Body approval.
- Preparation of the annual rent increase calculations and service charge review for Governing Body approval.

Corporate

- In consultation with the HSM, 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 Housing Services Manager (HSM)

The HSM in consultation with the CEO, CFO, Office Bearers and other GBMs 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 £500, making recommendation to Housing Committee for write offs over £500, 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 with the Housing Committee Chair's authority
- 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.
- 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.
- Formulating and implementing Group Tenant Participation Policy.
- 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 Procedure

3.8 Asset Manager (AM)

The AM in consultation with the CEO, CFO, Office Bearers and other GBMs 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 Governing Body/s according to agreed timetables.
- Reviewing all property management policies and procedures according to agreed timetables, submitting any amendments required for Governing Body approval.
- Drafting any new policies or procedures required for approval.
- Implement the requirements of the procurement policy. Approve; maintain and review approved contractor list. 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 Procedure.

3.9 Corporate Services Manager (CSM)

The CSM in consultation with the CEO, CFO, Office Bearers and other GBMs 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 governing body members.
- 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 Group's training strategy and succession plan, including a training strategy and succession plan for Board members.
- Ensuring that all corporate management and HR 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.
- Responsible for full facilities management service for both group offices.
- Ensure compliance with legislative/regulatory requirements including Health & Safety, Employment legislation, Environmental Information (Scotland) Regulations, Scottish Housing Regulator Standards etc.
- Producing, on behalf of the Company Secretary/CEO, agendas reports minutes and any other information required for the Governing Body 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.
- Digital Strategy.
- Communications Strategy.
- Lead and implement the Complaints Procedure.

3.10 Leasing Services Manager (LSM)

The LSM in consultation with the CEO, CFO, Office Bearers and other GBMs 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 Group 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 9 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
- OHM Rules
- Intragroup Agreement
- Standing Orders.
- Code of Conduct (Governing Body Members & Staff).
- Procurement Policy
- Entitlements, Payments and Benefits Policy
- Financial Regulations
- Treasury Management

APPENDIX 1

SCHEDULE OF DECISIONS RESERVED FOR THE OSPREY HOUSING BOARD

The OH Board is determined to carry out its Governance responsibilities effectively and efficiently and has taken cognisance of the Scottish Housing Regulator's Regulatory Framework 2012 in establishing this Schedule. In order to maintain full and effective control over the business and management aspects of the Board, the following matters are reserved to the Board:

A GOVERNANCE

- Approval and amendment of Memorandum and Articles of Association.
- Approval and amendment of Standing Orders, and SoDA.
- Approval and amendment of Financial Regulations.
- The establishment, terms of reference and reporting arrangement for all subsidiaries and Joint Committees acting on behalf of the Board.
- Codes of Conduct (Governing Body Members & Staff.)
- Approval to trigger Emergency Cabinet Board

B FINANCE AND STATUTORY RETURNS

- Financial and performance reporting arrangements.
- Audit Arrangements (Internal & External).
- Approval of Annual Report and Accounts.
- Approval of the Annual Return on the Charter including Annual Report to Tenants.
- Annual budgets.
- Five Year Financial Projections.
- Group & Subsidiary Business Plans.
- Disposal of assets requiring Specific Approval in accordance with the Scottish Housing Regulator's Guidance and not otherwise approved within the Asset Management Strategy.
- Approval to write off non Housing debts over the sum of £5,000 (per item).
- Approval to write off Housing debts over the sum of £15,000 (per item).

C POLICIES AND STRATEGIES

- Approval of Board Strategy (Corporate Plan), Improvement Plans.
- Approval of Rent Setting and Rent Strategy (OH & OHM)
- Risk Management Policy and Strategy.
- Health and Safety Policy.
- Development Strategy.
- Financial Regulations.
- All other policies of the Board, unless delegated to a Committee.

D HUMAN RESOURCES

- Approval of HR Policies, including remuneration of staff on recommendation from the Remuneration Committee.

- Appointment of CEO and CFO.

APPENDIX 2

SCHEDULE OF DECISIONS RESERVED FOR THE OSPREY HOUSING MORAY COMMITTEE OF MANAGEMENT

These are identified in the Intragroup Agreement which sets out the relationship between OH as parent and OHM as subsidiary

The Agreement identifies:

- The objective underlying the Group is that of strong member organisations, forming part of the wider Group, which provide a range of housing, regeneration, community development and care solutions in the communities in which they operate, but which subscribe to common values and disciplines, and which operate effectively in order to meet the aims of the Group's strategic plan.
- The Parents undertakings
- The subsidiaries undertakings
- The Responsibilities of the Parties
 - Schedules 1A, Subsidiary's Undertakings
 - Schedule 1B, - Parent Undertaking
 - Schedule Part 2 – Group Responsibilities

Refer to Intragroup Agreement *for full definitions.*

APPENDIX 3

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 governing body in accordance with the Group Corporate Strategy/ Business Plans for approval by the relevant governing body.
- Appoint consultants required to assist the development of new business opportunities following relevant Governing Body approval.
- Progress new business opportunities to pre-contract stage for approval by the relevant governing bodies 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 Governing Body).

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 ASHS, NHT LLPs).
- To consider recommendations from the Resource & Governance Committee in relation to annual rent increases and determine its position accordingly.
- To consider the outcomes of reviews, forecasts and budgets carried out by Resource & Governance Committee and determine any actions required.

Refer to Service Level Agreement for full definitions.

APPENDIX 4

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 9.
- To review and recommend the following to the relevant Governing Bodies
 - Five Year Forecasts and Business Plans to all Group governing bodies.
 - The annual review of rent and service charge levels
 - Annual Budgets
 - Annual accounts prior to Governing Body approval
 - Strategic expenditure including HR matters (Salaries/Pensions/Staff Structures etc.)
- To review outcomes, forecasts and budget and make recommendations to the Governing Bodies for change in the year.
- Approval of additional unbudgeted expenditure of up to £100,000.
- To monitor the loan covenants from all lenders.
- Identify and recommend Finance Facilities to the governing bodies 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 Group and make recommendations to the Governing Bodies 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, Rules etc., Intragroup Agreement) Standing Orders, Schedule of Delegated Authority and report to the OH Board, OHM Committee of Management & Board of OIL.
- Approve Policies in accordance with Appendix 9.
- To approve and oversee the Internal Audit programme.
- To oversee the tender process for Internal / External Auditors.
- To oversee the detailed Risk Register within the agreed framework of the Governing Bodies.
- To monitor the Implementation of any Regulation Plans required by the SHR.
- To monitor the governance of the Committees and report to the governing bodies as required.
- Oversee the compliance of the Health & Safety Plan.

APPENDIX 5

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 Governing Bodies for approval in relation to major new initiatives.
- Contribute to and approve the following for submission to the relevant Governing Body for approval –
 - Tenant Participation Strategy
 - Asset Management Strategy
 - Development of Group Stock Improvement Programmes
 - Implementation of any Housing related Improvement Plans
- Approve and monitor the implementation of the Group's:
 - Sustainability Strategy.
 - Welfare Reform Mitigation Plan.
- Consideration of rent setting and review of the success of methods of consulting with tenants over rent increases and make recommendation to the governing bodies.
- Review Digital strategy in relation to Group Housing Operations Services to ensure it remains fit for purpose.
- Review complaints in relation to Group Housing Operations Services in accordance with the Complaints Policy.
- Responsible for overseeing specific aspects of the Risk Strategy.

HOUSING MANAGEMENT

- Approve all Housing Management Policies and submit those requiring further Governing Body approval in accordance with Appendix 9.
- To review potential new development opportunities through the Group Development Appraisal process to ensure potential outcomes are in accordance with tenant requirements.
- Approve Tenant Communication Policies arising including an overview of the content of Newsletters, Handbook, etc.
- Approve the annual engagement plan with Registered Tenants Organisations (including OTRA) and represent the Group (as first point of contact) in respect of the Tenants Scrutiny Panel.
- Approve proposed KPI's for submission to Governing Bodies 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 HSM.
- Write off housing debt over £500 and up to £15,000 (per item). Sums below £500 to be approved by the HSM and reported to the next Housing Committee.

ASSET MANAGEMENT

- Approve all Asset Management Policies and submit those requiring further Governing Body approval in accordance with Appendix 9.
- Review and monitor the implementation of Stock Improvement Programmes on behalf of and once approved by the relevant Governing Body.
- 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 Group's 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 Group Development Appraisal process to ensure potential outcomes are in accordance with the Asset Management Strategy.

APPENDIX 6

SCHEDULE O F DECISIONS DELEGATED TO THE CORPORATE SERVICES COMMITTEE

GOVERNING BODIES

- Approve draft Governing Body Development Plan and recommend for approval to the Governing Bodies. The Plan to incorporate individual and collective governing body appraisal, training and induction plans and ensuring Governing Body succession. Oversee implementation and review Governing Body ICT support.

STAFFING

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

COMMUNICATIONS & IT

- Review and recommend Communication and Digital Strategies for Governing Body approval.
- Monitor implementation of Communications and Digital Strategies.
- Review and oversee the Group Customer Charter.
- Approve corporate branding strategy for Governing Body approval.

RESOURCES

- Review and oversee Incident Management Plan on behalf of the Governing Bodies.
- Review and oversee Group Facilities Management function and make recommendations to the relevant governing bodies.

GOVERNANCE

- Responsible for overseeing specific aspects of the Risk Strategy.
- 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 governing body membership, succession planning and recruitment arrangements in accordance with Group Policies and the Regulatory Framework.
- Responsible for the detailed monitoring and implementation of the Health & Safety Plan.

APPENDIX 7

SCHEDULE OF DECISIONS DELEGATED TO REMUNERATION COMMITTEE

GOVERNANCE

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

- Process for the recruitment of the Chief Executive 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 members of the Senior Management Team including participation in the recruitment process.
- Consider and recommend to the Governing Bodies the remuneration package, terms, and conditions for the Senior Management Team.
- Review and recommend any variations to approved remuneration or terms and conditions for other staff.

APPENDIX 8

SCHEDULE OF DECISIONS DELEGATED TO SENIOR MANAGEMENT TEAM

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

REMIT OF THE SENIOR MANAGEMENT TEAM

The SMT'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 of the Group.

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

- Provision of appropriate services that offer value for money to a wide range, of tenants, customers and other stakeholders of the Group.
- Development and implementation of operational procedures to ensure delivery of the Group's Corporate Plan and Policies.
- Advising and recommending to Governing Bodies 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, HMRC and other Governance matters, HR and Health & Safety.
- Provide advice, guidance and support to the Governing Bodies and staff teams in relation to development of strategy, operational delivery and risk management.

DELEGATED AUTHORITY

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

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

APPENDIX 9

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 Housing Moray Committee of Management
Chair of Osprey Initiatives
Chair of Joint Resource and Governance Committee
Chair of the Joint Housing Committee
Chair of the Joint 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 including at least two members each from Osprey Housing and Osprey Housing Moray.

ECB meetings will be held on MS Teams 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 OH Chair and agreement sought from all Governing Body Members of OH and OHM. This will usually be via email and implementation will require agreement from a majority of OH Board and OHM Committee of Management 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 such emergencies that requires implementation of the ECB all sub-committees and the OIL Board meetings will be suspended

The ECB will act on behalf of all Governing Body Members of OH and OHM.

Provision for the ECB is contained within the Standing Orders of OH/OHM and the Group 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 Governing Body 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 Governing Body Members of OH and OHM 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 Group Senior Leadership Team.

Draft minute of the meeting will be sent via email to all Governing Body 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 Governing Body 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 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 policies separated out into operational areas showing the Governing Body responsible for policy approval with the staff member responsible for operational procedures/practice listed too.

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

TABLE A – Decision making authorities

Activity	Approving GB/ Committee/Postholder	Lead Committee	Lead Officer
Governance			
Memorandum & Articles (OH)	OH Board	R&G	CEO
Memorandum & Articles (OIL)	OH Board	OIL Board	CEO
Rules (OHM)	OH Board / OHM COM OH Board	OHM CoM	CEO
Standing Orders	OH Board	R&G	CEO
Financial Regulations	OH Board	R&G	CFO
Scheme of Delegation	OH Board	R&G	CEO
Statutory Returns	OH Board / OHM COM	R&G	CFO
Appointment of External Auditors	OH Board	R&G	CFO
Appointment of Internal Auditors	OH Board	R&G	CFO
Application for Membership – OH Board	OH Board	Chair	CEO
Application for Membership OHM	OH Board	OHM CoM	CEO
Application for Membership OHM CoM	OH Board	OHM CoM	CEO



Activity	Approving GB/ Committee/Postholder	Lead Committee	Lead Officer
Application for Membership OIL Board	OH Board	OIL Board	CEO
Litigation – Initiation by OH Group	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 Releases			CEO
Strategic Audit Plan and Annual Plan	OH Board	R & G	CFO
Review of Internal Audit Reports	OH Board / OHM COM	R & G	CFO
Corporate			
Pension Changes or decisions/policies	OH Board	R&G/CS	CEO
Salary Review	OH Board	Rem C	CEO/CFO/CSM
Codes of Conduct (Governing Body & Staff)	OH Board	R&G/CS	CSM
Board Development Plan	OH Board	CS	CEO
Health & Safety Statement/Policy	OH Board	CS	CEO/CSM
Incident Management Plan	OH Board	R&G	CEO/CSM
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/CSM
Appointment of CEO	OH Board	CS	External Advisor
Appointment CFO	OH Board/CEO	Relevant GB Member	CEO
Appointment of Manager	CEO	Relevant GB Member	CEO
Appointment / Dismissal of other staff	CEO		CEO/CSM
Data Protection	OH Board	CS	CSM
Regulation Plan	OH Board/OHM CoM	R&G/HC	CEO

Strategic Business Plan (5 Year)	OH Board		CEO
Development Programme	OH Board/OHM CoM	R&G/HC	CEO
Changes to Job Title or Job Description		CEO	CSM



Activity	Approving GB/ Committee/Postholder	Lead Committee	Lead Officer
Risk Management Register	OH Board	All Comm	CEO
Risk Practice and Procedure	CEO		CEO
Finance			
Procedures of all Finance related policies			CFO
Business Plan (30 Years)	OH Board / OHM COM	R&G	CFO
Five Year Financial Projections	OH Board / OHM COM	R&G	CFO
Rent Setting	OH Board / OHM COM	HC/R&G	CFO/HSM
Service Charge Setting	OH Board	HC/R&G	CFO/HSM/AM
Treasury Management Policy	OH Board	R&G	CFO
Funding & Borrowing Strategy	OH Board	R&G	CFO
Budget Approval(OH/OHM/OIL)	Relevant GB	R&G	CFO
Budget Review (as above)	Relevant GB	R&G	CFO
Amendment to Budget greater than £100k	OH Board	R&G	CFO
Bank Mandates	OH Board/OHM COM	R&G	CFO
Business Plan and Budget			
Monitoring	OH Board / OHM COM	R&G	CFO
Additions to Budget up to £25k	CEO		CFO
Additions to Budget > £25k	OH Board / OHM COM	R&G	CEO
Virement between budget heads up to £25k	CEO		CFO
Virement between budget heads > £25k	OH Board / OHM COM	R&G	CEO
Insurance			
Approval of insurer	OH Board	R & G	CFO
Statutory Accounts			
Approval	OH Board	R & G	CFO
Consideration of Management Letter	OH Board	R & G	CFO
Asset Management			
Procedures related to Asset Management Policies			AM

Activity	Approving GB/ Committee/Postholder	Lead Committee	Lead Officer
List of Maintenance Contractors			
Policy & Approval of List		HC	CEO
Ad-hoc Additions / Deletions		HC	AM
Maintenance Tenders - Selection of Tender List from Approved List			
Up to £100,000	AM		AM
Over £100,000	HC		AM
Opening tenders - Budgeted			
Up to £100,000	AM & SMT Member		AM
Over £100,000	2 GBM		AM
Acceptance of Tenders			
Within 105% of Budget	AM	HC	AM
>105% of Budget	CEO/CFO & AM	R&G	AM
Appointment of Maintenance Consultants	AM		AM
Stock Improvement Maintenance and Repairs (application of policy)		HC	AM
Major Repairs/Planned Maintenance Improvement Plan		HC	AM
Development			
Annual Development Programme	OH Board / OHM CoM	HC/R&G	CEO
Material Variations to Programme Schedule	OH Board / OHM CoM		CEO
Consideration / Appraisal of Development	OH Board / OHM CoM	HC/R&G	CEO
Consideration / Appraisal of New Business Opportunities	OH Board / OHM CoM	Relevant CoM	CEO
Development tenders	As per development / procurement policies		CEO
Appointment of Development Consultants			CEO
Purchase of Residential Land / Properties within agreed programme	OH Board / OHM CoM	R&G/HC	CEO
Commitment to Contracts / Package Deals within agreed programme following			CEO
Letters of Intent			CEO
Design Brief Approval		HC	AM/CEO





Activity	Approving GB/ Committee/Postholder	Lead Committee	Lead Officer
Housing Management			
Procedures related to Housing Management Policies			HSM
Issue of Legal Proceedings (Arrears/ASB)			HSM
Write offs			
Up to £500	HSM		HSM
Exceeding £500	HC	HC	HSM
Rent Consultation		HC	HSM
Tenant refunds			HSM
Compensation claims			AM/HSM



TABLE B – Policy and Strategy Approvals

Policy REF	Name of Policy	Approver	Lead Committee	Lead officer
FINANCE				
FIN 1.1	Financial Regulations	OH Board	R&G	CFO
FIN 1.2	Treasury Management Policy	OH Board	R&G	CFO
FIN 1.3	Anti-Money Laundering Policy	OH Board	R&G	CFO
CORPORATE & GOVERNANCE				
GCS 2.2	Schedule of Delegated Authority	OH Board	All	CEO
GCS 2.3	Equality and Diversity Policy	OH Board	CS/R&G	CSM
GCS 2.4	Complaints Handling Policy	OH Board	CS	CSM
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	CSM
GCS 2.8	Health & Safety Policy	OH Board	CS	CEO
GCS 2.9	Staff Code of Conduct	OH Board	CS	CSM
GCS 2.10	Governing Body Code of Conduct	OH Board	CS	CSM
GCS 2.11	Standing Orders	OH Board	R&G	CEO
GCS 2.12	Serious Incident Protocol	OH Board	R&G	CSM
GCS 2.13	Business Continuity Plan	OH Board	CS/R&G	CSM
GCS 2.14	Procurement Policy	OH Board	R&G/HC	AM
GCS 2.15	Execution of Formal Documents Policy	OH Board	R&G	CEO
GCS 2.16	Privacy (Data Protection) Policy	OH Board	CS	CSM
GCS 2.17	Disclosure Policy	OH Board	CS	CSM
GCS 2.18	Risk Management Strategy	OH Board	R&G	CEO
GCS 2.19	Whistleblowing Policy	OH Board	CS/R&G	CEO
GCS 2.20	Relationships with Other Organisations Policy	OH Board	CS/R&G	CEO
GCS 2.21	Maintaining of Share Register and Issuing of Shares Policy (MHP only)	OH Board/OHM CoM	R&G	CEO



GCS 2.22	Document Control Policy	OH Board	CS	CSM
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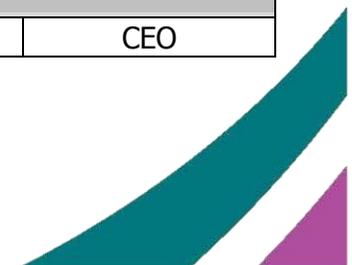


Policy REF	Name of Policy	Approver	Lead Committee	Lead officer
HOUSING MANAGEMENT				
	Arrears Management Policy	HC	HC	HSM
HM 3.2	Rent Policy	OH Board	HC/R&G	HSM
HM 3.3	Service Charge Policy	OH Board	HC/R&G	HSM
HM 3.4	Tenant Participation Strategy (inc Scrutiny)	HC	HC	HSM
HM 3.5	Allocations Policy	OH Board	HC	HSM
HM 3.6	Tenancy Sustainment Policy	HC	HC	HSM
HM 3.7	Anti-Social Behaviour Policy	HC	HC	HSM
HM 3.8	Estate Management Policy	HC	HC	HSM
HM 3.9	Managing Tenancies Policy	HC	HC	HSM
HM 3.10	Decant Policy	HC	HC	HSM
HM 3.11	Domestic Abuse Policy	HC	HC	HSM
HM 3.12	Housing Services Strategy	HC	HC	HSM
ASSET MANAGEMENT				
AM 4.1	Asset Management Strategy	OH Board	HC/R&G	ED
AM 4.2	Void Management Policy (inc Lettable Standard)	OH Board	HC	HSM/AM
AM 4.3	Repairs & Maintenance Policy	OH Board	HC	AM
AM 4.4	Asbestos Policy	HC	HC	AM
AM 4.5	Aids & Adaptations Policy	HC	HC	AM
AM 4.6	Alterations & Improvement Policy	HC	HC	AM
AM 4.7	Rechargeable Repairs Policy	HC	HC	AM
AM 4.8	Compensation Policy	OH Board	HC/R&G	AM
AM 4.9	Heating Safety Policy (inc Gas Legislative requirements)	HC	HC	AM
AM 4.10	Legionella Policy	HC	HC	AM
AM4.11	Sustainability Strategy	OH Board	HC/CS	AM
HUMAN RESOURCES				
HR 5.1	Attendance Management Policy	CS	CS	CSM

HR 5.2	Secondment Policy	CS	CS	CSM
HR 5.3	Long Service Award Policy	OH Board	CS/R&G	CSM



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



DEV 6.2	Development Policy	OH Board	HC/R&G	CEO
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Policy REF	Name of Policy	Approver	Lead Committee	Lead officer
ICT				
ICT 7.1	Digital Strategy	OH Board	CS	CSM
ICT 7.2	MDM Policy	OH Board	CS	CSM
ICT 7.3	IT Policy	OH Board	CS	CSM
ICT 7.4	Social Media Policy	OH Board	CS	CSM
ICT 7.5	Information Systems Security Guidance	OH Board	CS	CSM

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 see that its spirit is adhered to in unforeseen circumstances.
- (b) In the event of an emergency, the Chair of the Relevant Governing Body(s) 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 CFO is empowered to act on urgent matters, in the Chief Executive's absence and in the event of both being absent another member of the SMT can be designated and empowered to act with the agreement of the Chairs.
- (d) Nothing within the SoDA shall prevent the most senior employee available dealing with an emergency.
- (e) Where emergency action has been taken under Delegated Power this must be reported back to Governing Bodies.
- (f) 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 CSM must be notified of non-standard use and reported to the next relevant Governing Body or Committee
- (g) **All Notifiable Events must be immediately reported to the SHR and to the Relevant Governing Body(s).**



APPENDIX 11

SCHEDULE OF DELEGATED FINANCIAL AUTHORITY GUIDELINES

Introduction

The SoDA shows the approved officers who have been delegated responsibility by the Governing Bodies 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 a CEO / CFO.
- 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 authorise 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 Governing Body for which payment is being incurred.

Group A

Chair
Vice Chair
R & G Chair
Corporate Services Manager
Finance Officer

Group B

Chief Executive
Chief Finance Officer

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

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

Access to the on-line banking facility (BACS) is restricted by the bank by use of an Authenticating Device. Authority to process such transactions is restricted to the CEO, the CFO, the CSM 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 Governing Bodies themselves, and it is important for good internal control of the Group's expenditure that all staff have a working knowledge of the content. 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 <i>or</i> CFO
Consultants' fees (within contract/budget)	CEO	CEO <i>or</i> CFO
Works costs within approved contract	CEO	CEO <i>or</i> CFO

Expenditure Authorisations - Staff Appointments, Salaries and Staff Costs

	Approval of Commitment	Approval of Expenditure
New Posts	OH Board	CEO or CFO
Replacement Staff	CEO	CEO or CFO
Temporary Staff	CEO or CFO	CEO or CFO
Salary Reviews	OH Board	CEO or CFO
Traveling and hospitality expenses	Senior Manager	Senior Manager
Board Members Expenses	OH Board	CEO or CFO

Expenditure Authorisations – Tenant Arrears Write Off

Governing Body > £15,000	Housing Committee £500-£15,000	HSM Up to £500

Authority has been given by the Governing Bodies 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

CHIEF FINANCE OFFICER

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

HOUSING SERVICES MANAGER

Rent loss from Voids
Rental income
Aberdeenshire/Moray CHR
Legal Costs (Housing Specific)
Professional Fees (Housing Specific)
Bad Debt
Tenant Participation

ASSET MANAGER

Reactive Repairs
Void Repairs
Planned Repairs
Cyclical Repairs
Adaptations
Service Charges
Health and Safety (Properties)

CORPORATE SERVICES MANAGER

Recruitment
Staff Training
GBM Training
Conferences
Telecoms
IT
Computer Equipment
Printing, Stationery and Copying
Postage
Office Repairs, Cleaning & Sundries
Office Equipment,
Furniture & Fittings
Health and Safety (Non Housing Facilities)
Events

LEASING SERVICES MANAGER

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

Costs relating to Travel are the responsibility of each manager for staff within

their team.



Expenditure Authorisations

	<i>Approval of Commitment</i>	<i>Approval of Expenditure</i>
>£100,000	CEO	CEO <i>or</i> CFO
Up to £100,000	CFO	CEO <i>or</i> CFO
Up to £25,000	Senior Manager	CEO <i>or</i> CFO. AM for repairs invoices only
Up to £5,000	Officer Level	Officer Level or Senior Manager
Up to £1,500	Asset Management Administration Assistant	Officer Level or Senior Manager
Under £500	Administration Support (Asset Management) <i>or</i> (Customer Services)	Officer Level or Senior Manager

Notes:

- a) The Procurement Policy, where appropriate, i.e. for works of a specialist nature must be followed prior to issuing Reactive Works Orders in excess of £5,000.
- b) Authority has been given by the OH Board/OHM CoM to incur expenditure up to an amount of the relevant budget (apart from any reserved items).