

## APPENDIX 1: SCHEME OF DELEGATION

### 1. STRATEGY, POLICY AND PERFORMANCE

Reserved to Management Committee	Delegated to Sub-Committee	Delegated to Management
<ol style="list-style-type: none"><li>1. Setting the overall strategy for North View</li><li>2. Approval of the Business Plan and budget, and monitor implementation</li><li>3. Approval of all other plans and policies (new and revised) that fall within the strategic role of the Management Committee</li><li>4. Monitoring and overview of the Association's financial, organisational and service performance</li><li>5. Monitoring customer satisfaction and complaints at an aggregate level</li><li>6. Approval to instigate legal proceedings (except for actions relating to rent arrears or other tenancy breaches which are delegated to management)</li><li>7. Deciding the Association's response to regulatory reports with support from the Director and specialist advisors, where required.</li></ol>	<p><b><i>Audit, Risk &amp; Compliance Sub-Committee</i></b></p> <ol style="list-style-type: none"><li>1. Review and approval of policies as delegated by the Management Committee, based on the annual programme of policy reviews</li><li>2. Monitor compliance with the legal and regulatory requirements (including the Standards of Governance and Financial Management), reporting any issues/recommended action to the Management Committee</li></ol>	<ol style="list-style-type: none"><li>1. Implementation of the Business Plan and all other plans/strategies/policies approved by the Management Committee</li><li>2. Provide regular reports to the Management Committee and Sub-Committee in relation to all aspects of performance</li><li>3. Monitor compliance with the legal and regulatory requirements (including the Standards of Governance and Financial Management), reporting any issues/recommended action to the Management Committee</li></ol>

## 2. GOVERNANCE

### Reserved to Management Committee

1. Approval/refusal of applications for shareholding membership
2. Appointment of Chair and Office Bearers
3. Appointment of co-opted Committee Members and filling of casual vacancies
4. Removal of Committee members, where permitted by the Rules
5. Establishment and dissolution of Sub-Committees, approval of remits and delegated powers
6. Approval of the Scheme of Delegation, Standing Orders Policy, Authorities and Responsibilities of Committees Policy and Financial Regulations
7. Consider any investigation reports and decide what action, if any, is to be taken in relation to potential breaches of the Committee Code of Conduct
8. Approval of discretionary payments or benefits where required by North View's policies
9. Approval of the Association's statutory, regulatory and financial returns
10. Approval of authorised signatories

### Delegated to Sub-Committee

#### ***Audit, Risk & Compliance Sub-Committee***

1. Appointment of Sub-Committee Chair where permissive power not exercised by Management Committee
2. Approval of minutes of Sub-Committee meetings

### Delegated to Management

1. Processing applications for membership
2. Maintaining the register of members and all other governance registers
3. Performance of those functions of the Secretary that have been delegated to staff
4. Submission of all approved returns to the Scottish Housing Regulator and Scottish Government
5. Submission of annual returns to OSCR
6. Submission of returns to FCA
7. Submit any Notifiable Events to the Scottish Housing Regulator in relation to performance and service delivery or financial and funding issues and report to the Management Committee promptly
8. Preparation and issue of notice, agenda, papers and minutes for meetings of Management Committee

11. Approval of draft minutes of Management Committee meetings
12. Approval and monitoring of all Registers required by Regulators
13. Making/approving statements to the press or other public statements
14. Disposal of land and property covered by Regulatory general or specific consent provisions or Notifiable Events guidance
15. Taking and granting of Leases and ensuring the Scottish Housing Regulator's Notifiable Events guide is followed.

9. Preparation and issue of notices, agenda, papers and minutes sub-committees
10. Preparation and issue of notice, agenda, papers and minutes for AGM - *Secretary, in consultation with Director*
11. Maintenance of all Registers required by Regulators

### 3. FINANCIAL MANAGEMENT

#### Reserved to Management Committee

1. Approval of the Association's annual budget, cashflows and financial projections
2. Approval of expenditure above the limits delegated to staff
3. Approval of annual rent review
4. Approval of all loans, overdraft arrangements or granting of security
5. Monitoring compliance with loan covenants
6. Review and approval of quarterly management accounts
7. Approval of the Annual Financial Statements, Letter of Representation and Management Letter
8. Approval of Financial Regulations and Treasury Management Policy
9. Approval to dispose of any property assets or purchase any property
10. Approval to open or close bank accounts

#### Delegated to Sub-Committee

#### Delegated to Management

1. Implementation to the financial policies, plans and strategies approved by the Management Committee
2. Expenditure within the Association's approved budget (subject to any limits specified in policies), including monitoring and reporting on financial performance
3. Authorisation of expenditure in excess of the Association's approved budget, in emergency situations (which is then reported to Management Committee)
4. Administration of all insurance claims
5. Maintenance and control of the Association's bank accounts (including payments and the moving of monies by electronic means)
6. Payroll administration, control of petty cash and the payment of expenses to employees and Committee members
7. Administration of taxation payments, including those relating to VAT, PAYE

11. Approval of authorised signatories (staff and Committee) to sign cheques, as per the Financial Regulations
12. Approval of the writing off of bad debts
13. Acceptance of external grant offers
14. Approval of any change to the Management Fee charged to owners

- and National Insurance
8. Ensuring arrangements are in place for the annual External Audit to be carried out
9. Incur and instruct payment of all items of budgeted expenditure within the terms of agreed budgets and Financial Regulations
10. Monitor compliance with the Property Factors (Scotland) Act 2011 and associated Code of Conduct
11. Advise Management Committee on the annual Management Fee to be charged to factored owners
12. Monitor financial performance and service quality of the factoring service
13. Approval of actions and enforcement in relation to sequestrations of Factoring Debtors
14. Maintaining the Association's registration as a Property Factor
15. Income collection and arrears management
16. Management of ICT systems
17. Specified officer registered as Data Controller with the ICO

## 4. AUDIT AND RISK MANAGEMENT

### Reserved to Management Committee

1. Appointment of External and Internal auditors (including re-appointment and removal)
2. Approval of Annual Financial Statements
3. Approval of the Association's overall Risk Management Strategy and Strategic Risk Register
4. Decision-making on matters raised by the Audit, Risk and Compliance Sub-Committee or auditors that involve material risks to the Association's financial position, reputation or ability to meet its statutory and contractual obligations
5. Make budgetary provision to support the Audit, Risk and Compliance Sub-Committee's work, including assurance reporting as well as audit services
6. Agree response to Internal Audit findings/recommendations

### Delegated to Sub-Committee

#### ***Audit, Risk & Compliance Sub-Committee***

1. Advise the Management Committee on the appointment and remuneration of external and internal auditors (including any circumstances involving the resignation or termination of the auditor's appointment)
2. Approval of Internal Audit needs assessment and programme of internal audit and other assurance activity
3. Review Internal Audit recommendations and monitor progress with implementation
4. Agree response any remedial action identified by the Internal Auditor for Management Committee's approval
5. Monitor the effectiveness of External and Internal Audit services
6. Monitor the Association's Risk Register
7. Instruct investigations to obtain assurance about controls in service/activity areas, or to examine

### Delegated to Management

1. Provide assurance about risks in all reports of material importance to the Management Committee and Sub-Committee
2. Conduct all routine liaison with the External and Internal Auditors
3. Liaison with the External Auditors on the draft annual financial statements
4. Implementation of External and Internal Auditors' recommendations, and submission of reports to the Audit, Risk and Compliance Sub-Committee and Management Committee
5. Implementation of Risk Management Strategy

**Reserved to Management Committee**

**Delegated to Sub-Committee**

**Delegated to Management**

suspected irregularities or failures in management and control systems

8. Monitor and oversee assurance processes to ensure compliance with legal, regulatory and constitutional requirements

## 5. STAFFING AND ORGANISATIONAL MANAGEMENT

### Reserved to Management Committee

1. Approval of policies relating to staffing matters, health and safety and equalities
2. Ensure overall compliance with health and safety requirements
3. Approval of any major restructuring of staffing or organisational resources
4. Recruitment and appointment of the Association's Director and Senior Staff (may be delegated to General Purposes Sub-Committee)
5. Carrying out annual performance appraisal of Director
6. Approval of staff pay levels (by grade) using EVH guidelines (as a full EVH members, the Association is bound by joint negotiating arrangements re key aspects of remuneration and staff terms and conditions)
7. Approval of pension arrangements and monitoring compliance with pensions legislation
8. Line Management of Director
9. Deal with any significant grievance and

### Delegated to Sub-Committee

#### ***Audit, Risk & Compliance Sub-Committee***

1. Monitor the Association's compliance with health and safety requirements

#### ***General Purposes Sub-Committee***

2. Under delegated authority arrangements from the Management Committee, the Sub-Committee can deal with all matters relating to the recruitment and employment of staff

### Delegated to Management

1. Operational management of the Association's responsibilities as an employer in relation to health and safety
2. Recruitment for all established posts up to and including Grade 9
3. Staff performance appraisals
4. Issuing employment contracts
5. Staff training and development
6. Payroll, approval of overtime, and administration of pensions
7. First stage grievance/disciplinary matters
8. Health and safety administration, and legislative and regulatory compliance
9. Management of the Association's office and other premises
10. All operational staffing issues falling within the conditions of service and established policies
11. Line Management of Senior Staff and

disciplinary issues (including those relating to the Director)

10. Oversee implementation of Committee Member learning and development plans
11. Oversee Association's frameworks for business continuity and disaster recovery
12. Approval of the Association's policy on health and safety at work and ensuring business systems are in place to fulfil obligations
13. Monitoring and reporting of employment key performance indicators (sickness levels, turnover etc.)

all other staff

## 6. HOUSING MANAGEMENT

### Reserved to Management Committee

1. Approval of the annual rent review, service charge and other management charge increases
2. Approval of the Association's policies/strategies/plans for housing management services and for tenant consultation and participation
3. Approval of the granting of tenancies where the Entitlements, Payments and Benefits Policy applies
4. Approval of the overall terms of the Association's tenancy agreement and other occupancy documents
5. Approval to lease properties to third parties
6. Review and publicly report the Association's overall performance in relation to the Scottish Social Housing Charter
7. Monitor quarterly service delivery performance
8. Approval to the write off of arrears, rechargeable repairs and other bad

### Delegated to Sub- Committee

### Delegated to Management

1. Housing applications and allocations
2. Management of empty properties
3. The granting of tenancies and occupancy agreements, and acceptance of Section 5 Referrals (except where Management Committee approval is required)
4. All tenancy management matters
5. Initiate and manage legal actions for recovery, up to the stage of enforcing decrees for eviction (the latter is reserved to Management Committee)
6. Management of leases and management agreements with third parties
7. Collection of rents and other charges and arrears recovery
8. Implement Resident Involvement Strategy
9. Manage all cases relating to neighbour relations and anti-social behaviour
10. Implement Estate Management Policy
11. Approval of decoration allowances
12. Deliver the factoring service to owners in

**Reserved to Management Committee**

debts

9. Agreeing Evictions

10. Approving the terms and specifications for customer satisfaction surveys and reviewing tenant satisfaction levels

**Delegated to Sub- Committee**

**Delegated to Management**

line with the Written Statement of Services

## 7. MAINTENANCE

### Reserved to Management Committee

1. Approval of all maintenance related policies and Procurement Policy
2. Approval of the Association's Asset Management Strategy
3. Approval of the annual revenue and capital budgets for repairs, planned and cyclical works
4. Approval of procurement arrangements and tender acceptance
5. Signing formal contracts
6. Monitoring and scrutiny of all aspects of housing, repairs, cyclical maintenance, property adaptations and contingency major repairs
7. Monitor compliance with tenant/resident safety requirements

### Delegated to Sub-Committee

#### ***Audit, Risk & Compliance Sub-Committee***

1. Monitoring compliance with tenant safety matters, including gas servicing, electrical safety, asbestos management, water hygiene, damp and mould and hoist maintenance

### Delegated to Management

2. Operational management and delivery of the Association's maintenance service and programmes
3. Making grant applications to Glasgow City Council and others
4. Processing of grant offers from Glasgow City Council for medical adaptation grants
5. Delivery/monitoring of property adaptations
6. Supervision and performance review of professional consultants and contractors
7. Issuing instructions to consultants and contractors
8. Formulation of asset management strategies and budget proposals, prior to Management Committee approval
9. Managing procurement action in respect of the asset management programme of works and services included in the Association's budget

### Reserved to Management Committee

### Delegated to Sub-Committee

### Delegated to Management

10. Managing all property expenditure within approved contracts and within the budget set by the Management Committee
11. Managing/monitoring works for stock/tenant safety including gas servicing, electrical safety, asbestos management, water hygiene, damp and mould and hoist maintenance
12. Making Right to Repair scheme payments
13. Processing requests to carry out alterations or improvements
14. Approval of decoration allowances
15. Monitor Association's performance in relation to the Scottish Housing Quality Standard and the Energy Efficiency Standard for Social Housing, including the carrying out of stock condition surveys
16. Collate and review resident satisfaction results for the Association's repairs service
17. Ensure compliance with the Association's health and safety obligations

**Reserved to Management Committee**

**Delegated to Sub-Committee**

**Delegated to Management**

18. Assist with the delivery of the Association's factoring service to owners

## 8. APPROVAL, SIGNING AND SUBMISSION OF FORMAL DOCUMENTS AND OTHER MATTERS

### Reserved to Management Committee

1. Authorising Annual Returns to the Scottish Housing Regulator and Scottish Government
2. Authorising Annual Returns to OSCR
3. Authorising Annual Returns to Financial Conduct Authority
4. Agreeing authorised signatories for the purpose of completing legal documents, including loan agreements
5. Signing loan documentation

### Delegated to Sub Committee

### Delegated to Management

1. Submitting all approved returns
2. Arranging the signing of agreed documents in line with decisions made by the Management Committee
3. Signing of Tenancy Agreements/Occupancy Agreements
4. Administering of grant claims
5. Administrative Processing – i.e. ordering goods and services, authorising payroll transactions and initiating payments