



## GROUP POLICY ON DELEGATED AUTHORITY

<b>POLICY IMPLEMENTATION CHECKLIST</b>	
Policy Guardian:	Director of Finance & Governance
Author:	Director of Finance & Governance
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Governing Body Approval:	August 2019
Effective from:	August 2019
Date of Review:	June 2021
Date of Next Review:	June 2024
Diversity compliant:	Yes
Equality Impact Assessment required:	No
Data Protection compliant:	Yes
Health & Safety compliant:	Yes
Procedure implemented:	Yes
QL system changes made:	Yes
KPIs / reporting arrangements implemented:	Yes
Training Completed:	
Posted on intranet:	Yes
Posted on website:	Yes
Publicity material issued:	

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## **Group Delegated Authorities and Decision Making Responsibilities**

**Caledonia Housing Group (referred to as the ‘Group’ in this document) comprises Caledonia Housing Association and Cordale Housing Association..**

**“EMT” means Caledonia’s Executive Management Team consisting of the Chief Executive, Director of Finance & Governance, Director of Customer Services, Director of Assets, Director of Strategy & Innovation, and Director of People. Where these Regulations require a decision from EMT, it must be recorded in the minutes of the meeting.**

**“Director” means Director of Finance & Governance, Director of Customer Services, Director of Assets, Director of Strategy & Innovation, and Director of People. “Directors” should be construed accordingly.**

**“Managers” means Head of Frontline Services, Finance Manager, Governance Manager, ICT Systems Manager, Strategy & Improvement Manager, Asset Manager, Development Manager, Customer Services Manager, Regional Managers and HR & OD Manager. “Managers” should be construed accordingly.**

**The Group Delegated Authorities and Decision Making Responsibilities should be read and applied with reference to the Group Policy on Financial Regulations**

**For all delegated authorities, post holders within specific directorates at levels above those specified below and the Chief Executive will also have authority to act.**

**The delegated authorities listed in this document can only be exercised where the expenditure that would be committed is within budget, and is consistent with appropriate policies, the law and regulatory requirements.**

**In the event of emergency / business continuity situations, the Chief Executive has authority to act outwith these delegated authorities in order to safeguard health & safety and protect Association assets. In these scenarios, the Chief Executive will advise the Chair at the earliest opportunity of any such decisions and their implications.**

<b>Functional Area / Activity</b>	<b>Strategic</b>	
<b>Action</b>	<b>Authority</b>	<b>Limit (if any)</b>
Group Business Plans, Strategic Documents, Policies and Budgets	Governing Bodies  Executive Management Team	All new policies and substantive changes to existing policies must be approved by the Governing Bodies.  EMT has delegated authority to approve updates to existing policies where there are no substantive policy changes being proposed.

<b>Action</b>	<b>Authority</b>	<b>Limit (if any)</b>
Cordale , Strategic Documents, Policies and Budgets	Cordale Management Committee  Caledonia Management Board	Consistent with Group Business Plans, Strategic Documents and Budgets. Also require further Caledonia Board approval as part of Intra Group Partnership Agreement

<b>Functional Area / Activity</b>	<b>Development</b>	
<b>Action</b>	<b>Authority</b>	<b>Limit (if any)</b>
<i>Strategic</i>		
Approval of Development Strategy (including financial appraisal methodology)	Governing Body	
<i>Gateway Stage 1 - Feasibility</i>		
Speculative development work	Director of Assets	Within budget
Appointment of consultants	Development Manager	As per Procurement Policy
Instruct valuation	Development Manager	
Instruct solicitors	Development Manager	As per Procurement Policy
Funding applications to Scottish Govt, Local Authority and others	Development Manager	
Approval for purchase of property/site	Executive Management Team	EMT has delegated authority to operate within the parameters set out in the Development Strategy
Approval of purchase of properties through the Mortgage to Rent Scheme	Chief Executive	Report to next Governing Body meeting
Authorisation of payment for land purchase	Finance Manager Development Manager	Amounts confirmed in writing by solicitor
Acceptance of offer of grant funding	Development Manager	As per Acquisition Approval by EMT
Claims for payment from Scottish Government, Local Authorities and others	Development Manager Finance Manager	As per approved funding
<i>Gateway Stage 2 – Planning &amp; Design</i>		
Design development, statutory applications and advance works costs	Development Manager	Within parameters agreed by EMT in Acquisition Approval
Tender Stage Approval: Approval of project costs, acceptance of tender and appointment of contractor	Governing Body / EMT	As per Procurement Policy EMT has delegated authority to approve where there is no significant variation from acquisition stage and/or the project remains within the parameters set out in the Development Strategy.
Signing building contract	Development Manager	
Acceptance of offer of grant funding	Development Manager	As per Tender Stage Approval by EMT

<b>Action</b>	<b>Authority</b>	<b>Limit (if any)</b>
<i>Gateway Stage 3 – Delivery</i>		
Allow Contractor to commence works on site	Development Manager	
Authorise variations to contract works	Development Manager	Cumulative up to 1% of contract sum
	Director of Assets	Cumulative up to 5% of contract sum
	Executive Management Team	Cumulative up to 10% of contract sum or £250k, whichever is greater, and provided the project remains within approved parameters set out in the Development Strategy.
	Governing Body	Cumulative in excess of 10% of contract sum or £250k whichever is greater, or where variation(s) result in approved parameters not being achieved as set out in the Development Strategy.
Authorisation of JCT contract payments	Finance Manager Development Manager	Amounts certified by an external professional advisor
Claims for payment from Scottish Government, Local Authorities and others	Development Manager Finance Manager	As per approved funding
<b>Functional Area / Activity</b>	<b>Care &amp; Repair</b>	
Applications for funding to Local Authority and others	Care & Repair Co-ordinator	
Acceptance of funding offers	Director of Assets	Within budget
Use of hardship fund	Care & Repair Co-ordinator	<£500 within budget
	Director of Assets	=<£1000 within budget
	Executive Management Team	>£1000
Selection of small repairs contractors	Care & Repair Co-ordinator	As per selection procedures
Issue of works orders	Care & Repair Co-ordinator	Within budget

<b>Functional Area / Activity</b>	<b>Maintenance</b>	
<b>Action</b>	<b>Authority</b>	<b>Limit (if any)</b>
<b><i>Planned Maintenance and Major Repairs</i></b>		
Approval of programme for planned maintenance and major repairs	Director of Assets	Within budget agreed by Governing Body
Appointment of consultants	Asset Manager	Within budget and as per Procurement Policy

<b>Action</b>	<b>Authority</b>	<b>Limit (if any)</b>
Acceptance of tender and appointment of contractor	Asset Manager  Director of Assets  Executive Management Team  Governing Body	Any spend within the overall programme budget, and which does not result in any alteration to the agreed programme Any spend up to original programme budget including approval of substitute projects where appropriate or necessary.  The Executive Management Team can authorise additional planned maintenance spend of up to 10% of original programme budget where this can be accommodated within the Association's overall cost budget.  Authorisation of any commitments which fall outside of the EMT's delegated authority.
Commencement of works on site	Asset Manager	
Authorisation of JTC contract payments	Asset Manager	Within budget
Authorisation of other project related costs	Asset Manager	Within budget
Abortive project costs	Director of Assets	
<b>Reactive Maintenance</b>		
Write off of non-recoverable other owner costs and re-chargeable repairs	Executive Management Team Regional Managers	=>£1,000 <£1,000
Selection of reactive maintenance contractors	Asset Manager	As per selection procedures
Authorisation of works orders	Director of Customer Services Head of Frontline Services Regional Managers Area / Team Leaders Neighbourhood Officer Customer Solution Advisors Business Support Assistants	=>£10,000 within budget =<£10,000 within budget <£10,000 <£5,000 <£1,000 <£500 <£500

## Placing of Orders or Contracts

Below £30,000	The EMT have discretion to decide whether competitive quotations are obtained, subject to agreed costs being reasonable in comparison to other providers.
Between £30,000 and £50,000	At least three competitive quotations must be obtained and a record of the quotations kept.
Above £50,000	The Group's tendering procedures must be followed.

N.B. Exceptions to the procedures detailed above are contained in the Group Procurement Policy and Financial Regulations

Functional Area / Activity	Payroll & Personnel	
Action	Authority	Limit (if any)
Monthly payroll (normal salaries)	Finance Manager	Within agreed establishment
Overtime	Directors	Within budget
<b>Travelling/Subsistence Expenses Authorisation</b>		
Scheme Assistants	Scheme Manager	All within budget
Scheme Managers	Area Leader or Housing Support Co-ordinator	
Other scheme based Staff	Scheme Manager	
Team Leaders / Management Accountant	Regional Manager or Manager	
Officers / Assistants	Area Leader / Team Leader / Manager	
Regional Managers	Head of Frontline Services	
Managers	Director	
Head of Frontline Services	Director	
Directors	Chief Executive	
Chief Executive	Director of Finance & Governance	
Governing Body Members excluding Chair	Chief Executive/Director of Finance & Governance	
Chair	Chief Executive	
<b>Human Resources</b>		
Employment of temporary staff	Directors	As agreed by EMT within budget
Recruitment – senior staff	Governing Body	within budget
Recruitment - all other staff	Executive Management Team (EMT)	within budget and existing establishment
Signature of contracts of employment	Chairperson Chief Executive	Chief Executive Directors
	Director or HR & OD Manager	All Other Staff

<b>Functional Area / Activity</b>	<b>Payroll &amp; Personnel</b>	
<b>Action</b>	<b>Authority</b>	<b>Limit (if any)</b>
New employee commencement forms	Managers	Within approved staff compliment
Training courses	Managers	Within annual plan/budget
Conferences – staff	Director/Manager	Within budget
Authorise annual leave	Line Manager	within allocated leave
Compassionate leave	Line Manager	within approved policy
<b><i>Disciplinary Action</i></b>		
Authorise suspension pending investigation	Director	
Informal procedure actions	Line Manager (includes Coordinators, Team Leaders, Operational Managers, Directors, Chief Executive)	
Formal Written Warning Stage 1, Final Written Warning Stage 2	Operational Manager	
Formal Dismissal Stage 3 (with notice or summary dismissal without notice)	Formal Dismissal Stage 3 –Director chairs hearing and makes decision	Up to officer level
	Formal Dismissal Stage 3 –Chief Executive chairs hearing and makes decision.	Manager level
Formal Dismissal Stage 3	Formal Dismissal Stage 3 –Panel of 3 Governing Body appointed Members (excluding Remuneration Committee Members) and the Chief Executive to hold hearing and make decision.	Director Level
Any action involving the Chief Executive	Panel of 3 Caledonia Management Board members appointed to hold hearings and make decisions.	
Appeals against dismissal	Chief Executive Remuneration Committee	Up to officer level Manager level and above
Oversee Allegations of Potential Breaches of the Code of Conduct by Governing Body Members	Chair & Vice Chair Vice Chair if breach relates to Chair Other nominated Governing Body member if allegation relates to both Chair and Vice Chair	

<b>Functional Area / Activity</b>	<b>Tenant Services</b>	
<b>Action</b>	<b>Authority</b>	<b>Limit (if any)</b>
<b><i>Allocations N.B. Applies only where a Common Housing Register is not in use</i></b>		
Assessment and acceptance of application forms	Business Support Assistant	
Assessment of priority passes	Business Support Assistant	
Appeal decision on priority pass	Business Support Assistant / Team Leader	
Suspension of applicant on register	Business Support Assistant / Team Leader	
Selection of successful applicant and tenancy commencement date	Business Support Assistant / Neighbourhood Officer	
Authorisation of allocation	Team Leader / Neighbourhood Officer	
Signature of tenancy agreement / occupancy agreement	Neighbourhood Officer	
Signing of Leases and Minutes of Variation for supported property	Executive Management Team	
<b><i>Arrears</i></b>		
Actioning eviction	Director of Customer Services	
Approving application to Court	Team Leader	
Serving Notices	Neighbourhood Officer	
Generating letters and reminders	Neighbourhood Officer	
Refund of rent/housing benefit	Team Leader / Area Leader	
Write-off of former tenant arrears, credits and non-rental debt	Neighbourhood Officer Area Leader Regional Manager Executive Management Team	<One week rental income <Four weeks rental income <Eight weeks rental income >Eight weeks rental income
Approval of annual rent review	Governing Body	
Approval of Service Charges	Governing Body	
Material increase/decrease in previously agreed provision of services	Governing Body	Subject to Tenant consultation
Tenancy start/end date amendments	Neighbourhood Officer	
<b><i>Tenancy related matters</i></b>		
Name changes Assignments Joint tenancies Exchanges	Neighbourhood Officer	
<b><i>Difficult to let strategy decisions</i></b>		
Decoration cleaning and fixtures & fittings allowances	Neighbourhood Officer Area Leader Regional Manger	<£1000 within budget <£2000 within budget >£2000 within budget



Functional Area / Activity	General	
Action	Authority	Limit (if any)
Cheque signatories	<u>List A</u> Chief Executive Director of Finance & Governance Director of Customer Services Director of Assets Director of Strategy & Innovation Director of People <u>List B</u> Finance Manager ICT Systems Manager Area Manager Asset Manager Development Manager Governance Manager HR & OD Manager Customer Services Manager Strategy & Improvement Manager	<p>&lt;£10,000 = any two signatories from list A or list B</p> <p>&gt;£10,000 = minimum of two signatories one of which is from list A</p> <p>All cheques submitted for signature must have documentation for amounts in excess of £10,000 and validation by the Finance Manager or Management Accountant for amounts between £5,000 and £9,999</p>
BACS Payments	<u>List A</u> Chief Executive Director of Finance & Governance Director of Customer Services Director of Assets Director of Strategy & Innovation Director of People <u>List B</u> Head of Frontline Services Finance Manager HR & OD Manager Customer Services Manager Strategy & Improvement Manager	<p>&lt;£10,000 = any two signatories from list A or list B</p> <p>&gt;£10,000 = minimum of two signatories one of which is from list A</p> <p>BACs payment schedules submitted for signature must have documentation for amounts in excess of £10,000 and validation by the Finance Manager or Management Accountant for amounts between £5,000 and £9,999</p>
Authorisation of orders	Directors  Managers / Regional Managers Head of Frontline Services	<p>&gt;£10,000 within budget</p> <p>&lt;£10,000 within budget</p>

<b>Functional Area / Activity</b>	<b>General</b>	
<b>Action</b>	<b>Authority</b>	<b>Limit (if any)</b>
	Area Team Leaders Team Leaders Management Accountant  Officers Housing Support Co-ordinator  Business Support Assistants Customer Services Advisors Cooks Scheme Managers	<£5,000 within budget   <£1000 within budget   <£500 within budget
Petty cash issue (schemes)	Scheme Manager	< £50 reimbursement on production of receipt
Petty cash issue (office)	Finance Officer	up to £100
	Finance Manager	>£100

<b>Functional Area / Activity</b>	<b>General</b>	
<b>Action</b>	<b>Authority</b>	<b>Limit (if any)</b>
Certification of invoices	<p>Directors</p> <p>Managers / Regional Managers Head of Frontline Services</p> <p>Team Leaders Area Team Leaders Management Accountant</p> <p>Officers Housing Support Co-ordinator</p> <p>Business Support Assistants Customer Services Advisors Scheme Manager Cooks</p>	<p>=&gt;£10,000 Within budget</p> <p>&lt;£10,000</p> <p>&lt;£5,000</p> <p>&lt;£1,000</p> <p>&lt;£500</p>
Scottish Government and other statutory returns (inc SHR,OSCR and FCA)	Any member of Executive Management Team	
Granting Standard Security over social housing assets	Governing Body and Scottish Housing Regulator notification	Scottish Housing Regulator to be notified as soon as reasonably practicable. Governing Body minutes, reports and valuations to be included
Way leaves to statutory authorities	Development Manager or Asset Manager	
Disposal of land and properties	Executive Management Team	Disposal up to £20,000
Disposal of land and properties	<p>Governing Body</p> <p>Governing Body and Scottish Housing Regulator notification</p>	<p>Disposal greater than £20,000 but less than £120,000</p> <p>Disposal greater than £120,000 Scottish Housing Regulator to be notified as soon as reasonably practicable. Governing Body minutes, reports and valuations to be included</p>
Disposal of other assets	<p>Functional Director</p> <p>Executive Management Team</p> <p>Governing Body</p>	<p>&lt;£10,000 open market value</p> <p>&lt;£20,000 open market value</p> <p>&gt;£20,000 – open market value</p>

<b>Action</b>	<b>Authority</b>	<b>Limit (if any)</b>
Urgent decisions (outwith Governing Body meetings)	Chairperson  Vice Chair	Exercise any Governing Body functions or responsibilities in conjunction with at least one other Governing Body Member (excepting extreme circumstances) As above in absence of Chairperson
Sponsorships and donations	Functional Director Executive Management Team	<£1000 >£1000

<b>Functional Area / Activity</b>	<b>Finance</b>	
<b>Action</b>	<b>Authority</b>	<b>Limit (if any)</b>
Investment of cash	Director of Finance & Governance	Within Treasury Management Policy
Renewal of Insurance policies	Director of Finance & Governance	Director of Finance & Governance required to produce a renewal report for governing body review
Approval for procurement of private finance	Governing Body	From approved lenders within Treasury Management Policy
Bank accounts and general financial administration	Finance Manager	As required
Approval of audited accounts	Governing Body	
Signature on audited accounts	Governing Body	Chairperson Governing Body Member Secretary
Organisation tax return	Finance Manager	
V.A.T. return	Finance Officer	
P.A.Y.E. annual return	Finance Officer	

<b>Functional Area / Activity</b>	<b>Notifiable Events</b>	
<b>Action</b>	<b>Authority</b>	<b>Limit (if any)</b>
Reporting notifiable events that relate to governance or organisation issues, or which relate to the AAS	Chair / Chief Executive	Chief Executive required to notify/consult with Chair prior to submission
Reporting notifiable events relating to performance and service delivery issues or financial and funding issues	Chief Executive	
Keeping records in relation to all Notifiable events	Chief Executive	

**Please refer to Group Notifiable Events Policy for further information and guidance.**

## **Compliance Statement**

*It is important that all members of staff, in carrying out their duties for the Group, do so in accordance with the Group's policy framework. Our policy framework ensures we comply with laws and regulation, while giving guidance to inform operations and decision-making. Our policies have been designed to be clear and easy to understand, and are available on our website and intranet. If any member of staff is unclear as to their responsibilities under this policy, then they should refer to their line manager and / or the policy author for further guidance. A failure to comply with Group policies can have serious consequences for the Group. Should an employee become concerned about serious non-compliance with the policy, they should speak to their line manager or refer to the guidance set out in the Group Whistleblowing policy.*