



## GROUP ENTITLEMENTS, PAYMENTS AND BENEFITS POLICY

POLICY IMPLEMENTATION CHECKLIST	
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## 1 Introduction

- 1.1 The previous Payments and Benefits and Schedule 7 policies at Caledonia, Cordale and Bellsmyre Housing Associations were based on Part 1 of the Schedule of the Housing (Scotland) Act 2001. Schedule 7 of this Act outlined principles of good governance that restricted the types of entitlements, payments and benefits that Registered Social Landlords (RSLs) could make to employees, governing body members and their families. This legislation has now been superseded and this new Group policy will ensure continued good governance in this area going forward.
- 1.2 This policy is based on the Scottish Federation of Housing Association's (SFHA) Model Policy on Entitlements, Payments and Benefits, which has been endorsed by the Scottish Housing Regulator (SHR). Section 4 of the policy however has been amended from the model to reflect the Group's specific approach to the use of contractors and suppliers by our governing body members and employees.

### About this Policy

- 1.3 This policy is aimed at all Group governing body members and everyone who works for the Group, whether employed directly or otherwise. For the remainder of this policy, these will be referred to as "our people".
- 1.4 The Caledonia Group is part of a sector that has a strong reputation for integrity and accountability to the people it exists to help and to its' Regulators. As an organisation, the Caledonia Group must ensure that it upholds its' reputation and that of the sector. Our people cannot benefit inappropriately from their connection with the organisation.
- 1.5 This policy describes the entitlements, payments or benefits that our people are able to receive. It also describes what is not permitted and the arrangements that the Caledonia Group has in place to ensure that the requirements of this policy are observed.
- 1.6 The Scottish Housing Regulator (SHR) requires us to have a policy that sets out what payments and benefits we permit and to ensure that these arrangements demonstrate transparency, honesty and propriety<sup>1</sup>. We must ensure there is no justifiable public perception of impropriety.
- 1.7 As the three Associations within the Caledonia Group are Scottish Charities, Governing Body Members of both must also ensure that they comply with the Office of the Scottish Charity Regulator (OSCR) guidance to Charity Trustees<sup>2</sup> and charity legislation.
- 1.8 This policy is intended to be a practical document that supports us in meeting all of the above requirements, ensuring that none of our people benefits improperly or inappropriately from their involvement with us, but also that they are not unfairly disadvantaged. We expect our people to act in good faith, and in applying the terms of the policy we will always take this into account.

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<sup>1</sup> Scottish Housing Regulator (April 2012) Regulatory Framework p28 section 5.13 available [here](#)

<sup>2</sup> Office of the Scottish Charity Regulator (Aug 2013) Guidance For Charity Trustees section 3 available [here](#)

- 1.9 As someone who is affected by this policy, you are personally responsible for ensuring that you are familiar with and comply with its terms. When signing the respective Code of Conducts for Staff and Governing Body Members, it will reflect that this policy is being complied with.
- 1.10 At all times we expect a common-sense approach to be applied to the interpretation and application of this policy. If you are unsure about anything relating to benefits, payment or entitlements you should:
- 1.11 Caledonia Housing Association - consult with the Chair or the Business Services Director if you are a governing body member or with your Line Manager if you are a member of staff. Cordale Housing Association and Bellsmyre Housing Association – consult with the Chair or the Area Director if you are a governing body member or with the Area Director if you are a member of staff.

#### What this Policy Covers

- 1.12 This policy covers:
- Managing Your Interests
    - Registering and Declaring Interests
    - Entitlements, Payments and Benefits
  - People Connected to You
    - Who Else You Should Consider When Declaring Interests
    - What You Should Consider
  - Use of Our Contractors/Suppliers by Our People.

#### Other Relevant Policies

- 1.13 The Code of Conduct is linked to this policy. Failure to comply with the terms of this policy will be regarded as a breach of the Code of Conduct.
- 1.14 You are also required to be familiar with and observe the terms of our Anti-Bribery and Fraud policies. We prohibit any attempt to induce the organisation or our people to offer preferential services or business terms and we will at all times comply with the Bribery Act 2010.
- 1.15 Our policies relating to the following are also relevant to this document and must be complied with at all times:
- Group Conflict of Interest
  - Group Standing Orders
  - Housing Allocations
  - Repairs and Maintenance
  - Adaptations
  - Procurement
  - Training
  - Expenses
  - Recruitment
  - Decoration Allowance

- 1.16 Please note that this list is not exhaustive and you are required to comply with all of our policies and procedures.

## **2 Managing Your Interests**

### Registering and Declaring Interests

- 2.1 In order to protect our reputation and demonstrate that we conduct our affairs with openness, honesty and integrity, we maintain a Register of Interests. You must record in this register any interests that you or someone connected to you (see Section 3) has which are relevant to our business. You will be required to confirm annually that your entry is accurate and up to date.
- 2.2 Where you have an interest in any matter that is being discussed or considered at a meeting, you must declare your interest and play no part in the discussion; you must withdraw from any part of a meeting where the interest arises.
- 2.3 The Code of Conduct also contains a section on Declaring Interests that you should comply with at all times.
- 2.4 An annual report will be made to the Governing Bodies within the Group on the entitlements, payments, benefits that have been recorded in the Register.

### Entitlements, Payments and Benefits

- 2.5 Many of the interests you will be required to declare can be classed as entitlements, payments or benefits.
- 2.6 As one of our people, you potentially could be offered benefits over and above that to which you are contractually entitled, such as gifts or hospitality from external parties. Such offers would be as a direct result of you being one of our people and cannot always be accepted. We require that any such offers are managed and recorded very carefully to ensure the highest levels of probity in our organisation. Our people should not benefit – or be seen to benefit – inappropriately from their involvement with us.
- 2.7 Apart from payments that our people are entitled to by contract, statute or other agreement (e.g. salary, expenses), we will only make a payment to, or accept a payment from, someone affected by this policy in exceptional circumstances. Appendix A explains the payments we can and cannot make in more detail.
- 2.8 As we contribute to the economies of the areas we work in and we have commercial and business relationships with many different companies, contractors, suppliers and service providers, you must ensure that we are fully aware of any connection that you or someone you are close to (see section 3) has with any of these businesses or organisations.
- 2.9 Some entitlements, payments and benefits we can never permit, and others we have additional requirements or conditions that must be met before we can permit.
- 2.10 Appendix A list the entitlements, payments and benefits that fall under this policy and states:
- Which could be permitted by the Caledonia Group
  - Which will never be permitted by the Caledonia Group
  - Which you require to declare in the Register of Interests

- Any other further requirements the Group has before permitting.

### 3 People Connected to You

#### Who Else You Should Consider When Declaring Interests

- 3.1 As well as considering your own actions, you must be aware of the potential risk created by the actions of people to whom you are closely associated. There are three groups of people that you need to consider, outlined in the following table:

<b>Group 1 Members of your household</b>	<b>Group 2 People closely associated with you</b>	<b>Group 3 Others you need to consider</b>
Anyone who normally lives as part of your household, whether they are related to you or not, including spouses/partners who work away from home and sons and daughters who are studying away from home	<ul style="list-style-type: none"> <li>• Parents, parents-in-law and their partners</li> <li>• Sons and daughters, stepsons and step-daughters and their partners</li> <li>• Brothers and sisters, step-brothers and step-sisters and their partners</li> <li>• A partner's parent, child, brother or sister</li> <li>• Grandparents, grandchildren and their partners</li> <li>• Someone who is dependent on you or whom you are dependent on</li> <li>• Close friends</li> </ul>	<p>Other relatives (e.g. uncles, aunts, nieces, nephews, first cousins &amp; their partners)</p> <p>Other friends (e.g. someone you are acquainted with socially, neighbours, business contacts/associates)</p>

- 3.2 If you become aware of any action or involvement relating to **anyone** in the table then you should declare and manage this as soon as possible.
- 3.3 However, we recognise that you will not always be closely acquainted with or in regular contact with all of the people listed and we do not expect you to go to unreasonable lengths to identify actions or involvement that are covered by this policy.
- 3.4 Please note, we do expect you to be familiar with the actions of members of your household (Group 1) and of any other people listed in the table above with whom you are closely associated and/or in regular contact and you must take steps to identify, declare and manage these.
- 3.5 **You are not expected to be aware of the actions of people in Groups 2 and 3 that you do not have a close association and/or regular contact with.** We do not expect you to research into the employment, business interests and other activities of all persons with whom you are closely connected.
- 3.6 In relation to 3.3-3.5 above, when considering actions you should do so from the point of view

of a reasonable and objective observer and a common-sense approach should be adopted at all times. Further guidance on the declaration and management of personal interests is provided in the Group Code of Conduct for Governing Body Members and the Group Code of Conduct for Staff Members.

#### What You Need To Consider

3.6 The following are the actions and involvement by those to whom you are closely connected that, should you become aware, we would expect you to notify us by making a declaration in the register:

- A significant interest in a company or supplier that we do business with. A significant interest means ownership (whole or part) or a substantial shareholding in a business that distributes profits, but does not include where an individual has shares in large companies such as banks, utility companies or national corporations, i.e. where owning shares would not give the individual any significant influence over the activities of that organisation.
- Where the individual may benefit financially from a company we do business with.
- Involvement in the management of any company or supplier that we do business with.
- Involvement in tendering for or the management of any contract for the provision of goods or services to us.
- Application for employment with us.
- Application to join the Governing Bodies within the group or any of their subsidiaries
- Application to be a tenant or service user of the organisation
- If they are an existing tenant or service user of the organisation

#### **4 Use of Our Contractors & Suppliers**

4.1 The Caledonia Group has a well-earned reputation for integrity and honesty and is committed to acting with transparency, honesty and propriety and avoiding any public perception of improper conduct. In order to help us maintain our excellent reputation it is important that our people do not misuse their position to gain benefits that would not be available to other members of the public.

4.2 At the same time we do not want to see staff and governing body members face unreasonable restrictions which put them at a disadvantage compared to other members of the public. Where in your personal/home life you as one of our people need a service from a supplier or contractor linked to the Association in the Group that you are connected to, if it causes no disadvantage or inconvenience to you to avoid using one of that Association's contractors then we would ask that such use is indeed avoided. But the Associations in the Group do not wish to unreasonably restrict your choice of contractor.

4.3 It is extremely important that, where you wish to use one of the contractors linked to the Association that you are connected to, you take particular steps which will help protect both you and that Association. A staff or governing body member should only utilise the services of one of that Association's suppliers and contractors (as listed at Appendix B for Caledonia, Appendix C for Cordale and Appendix D for Bellsmyre) for their own personal needs if:

- The normal commercial rates are paid for this service and no preferential treatment, financial or otherwise, is received.
- You report your proposed course of action to your departmental director (for staff team members) or the Chair (for governing body members) as appropriate before committing

to use the contractor in question and follow any advice offered. In emergency situations you should comply with this policy as soon as is practicably possible.

- You make a written declaration (see Appendix E) as soon as practicable that you have not received any advantage or preferential treatment (financial or otherwise) from the contractor or supplier arising out of their connection to the Association that you are connected with: written quotes should be provided where these would normally be sought for the type of work in question, and in ALL cases receipts should be provided.
- You record the transaction or agreement as soon as practicable in the Association's Register of Payments and Benefits and keep the entry up to date.

4.4 Examples of situations that might arise in this context include buying goods or services from a connected business such as a main reactive maintenance contractor or the company(s) responsible for carrying out planned and cyclical maintenance programmes for the Association concerned (where the provisions of section 4.5 below apply).

4.5 Appendix B lists the suppliers and contractors for Caledonia Housing Association, Appendix C those relating to Cordale Housing Association and D Bellsmyre Housing Association, to whom this policy applies. This details the majority of the contractors/suppliers that we currently use and/or are likely to use. It does not include any of our contractors/suppliers that:

- Only provide services of a small value (e.g. local window cleaners or sandwich shops), with value based on expenditure of less than £3000 for Caledonia and less than £1000 for Cordale and Bellsmyre in the previous financial year; or
- Have such a large national or local standing that no favour could ever realistically be gained (e.g. utilities, BT, banks or national chains)

Any contractor/supplier not included on the list at Appendices B, C or Appendix D can be used without the need for any specific action.

4.6 In the event of becoming involved in a dispute with the Association that you are connected with arising out of your proposed or actual use of a contractor or supplier used by the Association (see section 4.5 above), you must notify the Chair (for governing body members) or the Chief Executive (for Caledonia staff members) or the Area Director (for Cordale and Bellsmyre staff members) and withdraw from any discussions relating to the service and / or work involved.

4.7 In the case of governing body members, if the dispute cannot be resolved through the normal complaints procedure and you remain dissatisfied, you should resign from the governing body in order to pursue the complaint independently.

4.8 Separate Register of Payment and Benefit documents will be maintained for Caledonia, Cordale and Bellsmyre Housing Associations. These will be reviewed in April and October of each year at Caledonia by the Chair and Chief Executive and at Cordale and Bellsmyre by the Chair and the Area Director. Information on entitlements, payments and benefits recorded in the three registers will also be provided in the Annual Governance Reports to the respective governing bodies in June of each year.

4.9 More generally, when using the services of the Caledonia Group's contractors/suppliers our people should not:

- Make any reference to their role/position in the relevant Association in Group during private commercial/business negotiations and should not respond to any attempt by a supplier/contractor to engage with him/her on the subject
- Approach suppliers or contractors through the Associations in the Group
- Avail of preferential rates negotiated by the Associations in the Group or draw on Group contracts or framework agreements.

Consideration however should be given by our people on each occasion as to the level of potential reputational risk or any potential conflicts of interest that may arise from their possible use of the contractors/suppliers used by the Associations in the Group.

- 4.10 Over and above these actions, steps will be taken by the Associations in the Group to advise our contractors and suppliers on the Group's policy relating to the use of contractors and suppliers by our people and on entitlements, payments and benefits more generally. Information will also be provided on the Group's Whistleblowing Policy to raise their awareness of how they could report any inappropriate approach from one of our people relating to a transaction. Periodic reviews of the implementation of the Entitlements, Payments and Benefits Policy will also be undertaken as part of the Group's internal audit programme.

## **5 Review**

- 5.1 Our Rules require the Group's Governing Bodies to set our policy on payments and benefits and keep it under review. This policy has been approved by the Group's Governing Bodies and is consistent with the requirements of our Codes of Conduct for Governing Body Members and for Staff. These Codes have been confirmed by the Scottish Housing Regulator as meeting their regulatory requirements.
- 5.2 This policy was approved by the Caledonia Management Board on 26 January 2016, the Cordale Management Committee on 19 January 2016 and the Bellsmyre Management Committee on 14 March 2016. It will be reviewed not later than January 2017.

## Appendix A – Entitlements, Payments and Benefits

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
<b>HUMAN RESOURCES AND RECRUITMENT</b>		
<p>All entitlements arising from your contract of employment with us or one of our subsidiaries, including (but not restricted to):</p> <ul style="list-style-type: none"> <li>• Payment of salary to staff</li> <li>• access to car or travel loans or salary advances where specified in the employment contract;</li> <li>• pension and/or private health care and health benefit provided as part of the remuneration package;</li> <li>• performance related pay or bonus awarded in accordance with contractual terms;</li> <li>• books and equipment in connection with employment or training in accordance with agreed policies and/or contractual terms</li> <li>• Reimbursement of professional fees</li> </ul>	Yes	Any entitlement in the terms of your contract is always permitted without the need to record in the register of interests. There are Human Resource processes in place for this purpose.
Payment to a member of the governing body for their role as a governing body member, in accordance with the terms of their letter of appointment	No	
<p>All payments made in accordance with the terms of our expenses policy including:</p> <ul style="list-style-type: none"> <li>• payment of permitted out of pocket expenses</li> <li>• reimbursement of travel costs</li> </ul>	Yes	Entitlements in connection with your role as one of our people as set out in our expenses-related policies are always permitted and do not need to be declared provided claims are made in accordance with our procedures.
Provision of a loan by the organisation to one of our people	No	This is not permitted unless in connection with the contractual terms of employment. We cannot make any other loans to individuals.

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
Redundancy or Voluntary severance payment to an employee	Yes	<p>We can make redundancy payments to an employee in line with terms of the Redundancy Policy (Caledonia) or the Statement of Terms and Conditions of Employment (Cordale and Bellsmyre)</p> <p>or</p> <p>We can make a voluntary severance payment to an employee which is outside the above terms provided:</p> <ul style="list-style-type: none"> <li>• It arises directly from a decision to terminate the employee's Contract of Employment</li> <li>• Payment is approved by the Governing Body</li> <li>• That the total sum of the non-contractual payment and benefit does not exceed, in the opinion of our employment adviser, the total cost of a successful application by the employee to a Court or Tribunal (including the likely level of compensation that might be awarded by a court or tribunal and associated costs to the organisation to participate in the tribunal)</li> <li>• Payment does not exceed the equivalent of one year's salary for the employee</li> <li>• That this payment is instead of (rather than additional to) any redundancy entitlement</li> </ul>
An offer of employment (temporary or permanent) to someone who is closely connected to a member of staff	Yes	<p>This is permitted as long as:</p> <ul style="list-style-type: none"> <li>• There has been an open recruitment exercise in accordance with our policy that you have not played any part in and</li> <li>• You have no direct or indirect line management or supervision responsibility for the post and</li> <li>• The offer of employment complies with our policy and is approved by the Governing Body and</li> <li>• You record your connection to the successful applicant in the register within five days of their acceptance of the offer.</li> </ul>

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
The offer of employment to someone who is, or has been in the last twelve months, a member of our Governing Body or to anyone who is related to a member of the Governing Body	No	<p>This cannot be permitted for the people detailed in Group1 and Group 2 at Section 3.1 above (People Connected to You section) as regards people to whom Governing Body members are closely associated with.</p> <p>This can be permitted for the people detailed in Group 3 at Section 3.1 above (People Connected to You section) as regards people to whom Governing Body members are closely associated with as long as:</p> <ul style="list-style-type: none"> <li>• There has been an open recruitment exercise in accordance with our policy that you have not played any part in and</li> <li>• You have no direct or indirect line management or supervision responsibility for the post and</li> <li>• The offer of employment complies with our policy and is approved by the Governing Body and</li> <li>• You record your connection to the successful applicant in the register within five days of their acceptance of the offer.</li> </ul>
Appointment of one of our staff members (or a close relative of a staff member) to the Governing Body	No	This cannot be permitted in accordance with the Rules of the organisation.
Nominations to join the Governing Body from people who are connected to a serving member.	Yes	This can be permitted in accordance with the Rules of the organisation.
<b>OUR PEOPLE AS TENANTS OR SERVICE USERS</b>		
The offer of a tenancy or lease in any of the Group's properties to one of our people or to someone closely connected to them.	Yes	<p>This is permitted provided:</p> <ul style="list-style-type: none"> <li>• it is in accordance with the relevant Common Allocations Policy (Caledonia) or the published Allocations Policy (Cordale and Bellsmyre) and</li> <li>• Neither the applicant or anyone connected to the applicant is involved in any way or in any part of the allocation process and</li> <li>• The offer is approved by the Governing Body in advance and</li> </ul>

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
		<ul style="list-style-type: none"> <li>The tenancy is recorded as an interest in the appropriate register within five days of the tenancy commencing.</li> </ul>
Where one of our people (or someone connected to one of our people) is a tenant and receives a repair, improvement or adaptation to their home	Yes	<p>Repairs carried out in accordance with our policy do not need to be recorded.</p> <p>Adaptations must comply with our policy and be approved by the relevant Executive Management Team member (including the Area Director at Cordale and Bellsmyre) or Operational Management Team member. The adaptation should be recorded in the register of interests within five days of approval.</p> <p>Improvements must be carried out as part of an approved programme and in accordance with our policy. The person affected should declare their interest if/when the programme is being discussed and the improvement recorded in the register of interests within five days of completion</p>
Where one of our people (or someone connected to one of our people) is a tenant and receives payment of a decoration allowance, tenant reward/incentive as part of an agreed scheme or prize.	Yes	<p>Payment of decoration allowances or incentive/reward payments must be made in accordance with our policies and procedures and recorded in the register within five days of receipt.</p> <p>Prizes or awards in competitions open to all tenants in the same community (e.g. garden competitions) can only be given if the selection process for giving the award/prize has been carried out by someone who is independent. Receipt of the award and the circumstances surrounding it must be recorded in the register within five days of receipt.</p>
TRAINING AND EVENTS		

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
Attendance at training events or seminars (e.g. SFHA Conferences) or openings/similar events hosted by other RSLs	Yes	There is no requirement to declare and record in the register of interests.
The organisation paying for accommodation in connection with attendance at relevant conferences or events that you are attending on behalf of or in connection with your role with us or our subsidiaries	Yes	<p>Accommodation that is part of a conference or training package does not need to be recorded in the register, but attendance will be recorded on the relevant individual training plan.</p> <p>Residential conferences are important in ensuring that our people have the necessary skills, knowledge and experience to make an effective contribution to our activities.</p>
Attendance by you at events to mark awards, achievements or other significant milestones relevant to our business.	Yes (where not exceeding £500)	<p>The Governing Body must approve attendance prior, and will only do so if:</p> <ul style="list-style-type: none"> <li>• The organisation or one of our people (because of their role with us) has been nominated for an award; or</li> <li>• attendance is in recognition of achievement of or in pursuit of appropriate business development; or</li> <li>• we can demonstrate that attendance or participation is directly related to furthering our aims and objectives.</li> </ul> <p>Where we ask you to represent us at such an event, this should be recorded in the register along with any associated costs (including travel, accommodation and the costs of attendance at the event) within five days of attendance.</p> <p>The total cost should not exceed £500 per person and we will make all arrangements in advance.</p> <p>Where costs would exceed £500, you will not be permitted to attend unless there is a clear, viable business case for attending. In such a case, specific approval of the Governing Body would be required.</p>

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
GIFTS AND HOSPITALITY		
<p>Gifts received from tenants and external sources</p>	<p>Yes (not exceeding a value of £50)</p>	<p>Small gifts (e.g. a box of chocolates, pens, folders, paperweights) can be accepted on behalf of the Association if:</p> <ul style="list-style-type: none"> <li>• the value does not exceed £50</li> <li>• no more than one such gift from the same source is received in a 12 month period</li> <li>• the procedure for recording and registering gifts is followed</li> </ul> <p>You should not normally accept other gifts and should decline any gifts with a value of more than £50 unless to do so would cause offence or otherwise damage our reputation. In these cases you must:</p> <ul style="list-style-type: none"> <li>• Advise the donor that the gift will be donated to charity or will form part of our annual charity fund raising activities</li> <li>• Record the gift and the action taken in the register within five days</li> </ul> <p>Gifts from the same source should not be regularly accepted and never more than once within a 12 month period.</p> <p>You should also record any offers that you decline and the reasons for this, in the register within five days.</p>

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
<p>Gifts given from us to one of our people or received by one of our people from external sources to mark special occasions.</p>	<p>Yes (not exceeding a value of: £50 (organisation) £25 (external source))</p>	<p>Gifts from the organisation to our people can be permitted in cases where it is to mark a special occasion or significant event including:</p> <ul style="list-style-type: none"> <li>• Retirement</li> <li>• Long service of a governing body member (deemed to be 2 full terms in line with our Rules and Standing Orders (i.e. 6 years).</li> </ul> <p>Gifts from external sources to our people can be permitted in cases where it is to mark a special occasion or significant event such as retirement.</p> <p>These must be recorded in the relevant register and the value of such gifts will not exceed £50 (organisation) and £25 (external source).</p> <p>Please note, that this does not include collections by our people using their own personal funds to mark special occasions. These are always permitted with no requirement to declare.</p>
<p>Special Occasions or Events</p>	<p>Yes (not exceeding £25 per person)</p>	<p>These are occasions or events that Group members may wish to commemorate such as:</p> <ul style="list-style-type: none"> <li>• key milestones in the organisation's development</li> <li>• opening of a new housing development</li> <li>• receiving an award</li> <li>• Christmas</li> <li>• key anniversary of a housing development</li> </ul> <p>This is not an exhaustive list but gives examples of instances when Group members will organise commemorative or ceremonial events.</p>

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
Hospitality associated with our business and that of its partners	Yes (when not exceeding a value of £50)	<p>Modest hospitality, such as a sandwich lunch or networking event, is permitted and does not need to be recorded</p> <p>All other hospitality up to a value of £50 is permitted but must be recorded in the register, along with an estimation of the value of hospitality received, within five days of attendance.</p> <p>You should not accept invitations with a value that is greater than £50, unless you have prior approval from the Governing Body. The type of hospitality offered will also be taken into consideration, e.g. we will not normally accept invitations to sporting events, concerts, golf tournaments etc.</p> <p>In this case, the reason for acceptance must also be included in the register and countersigned at Caledonia by the Chair (for governing body members) or Chief Executive (for staff members); and at Cordale and Bellsmyre by the Chair (for governing body members) or the Area Director (for staff members).</p>
Providing Gifts and Hospitality to Third Parties	Yes (when not exceeding a value of £50)	On occasion we may give gifts or offer hospitality to individuals or an organisation such as tenants or contractors. Caledonia recognises however that anything other than occasional gifts or hospitality can give rise to justifiable concern and suspicion. As such the offering of gifts and hospitality will be kept to a minimum. Gifts or hospitality to a third party up to the value of £50 can be authorised by the Chief Executive. Where the value exceeds these amounts, the prior approval of the relevant governing body within the Group will be sought
Sponsorship and Donations made by Caledonia HA or Cordale HA	Yes	This is permitted provided the guidance attached at Appendix E is followed.
<b>PROCURING GOODS/SERVICES</b>		
Sale of a property under Right To Buy to someone affected by this policy	Yes	This is permitted with no requirement to declare in the register. The normal process for valuation and sale should be followed and our normal policy would be applied.

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
Sale of our interest (whole or part) in a property to someone affected by this policy via LIFT, HomeBuy; Help to Buy or other LCHO scheme	Yes	<p>This is permitted, provided:</p> <ul style="list-style-type: none"> <li>• Our policy and procedures are followed</li> <li>• The prospective purchaser should play no part in the processing of the transaction by the organisation</li> <li>• It is declared and recorded in the register within five days of the missives being concluded confirming the process followed.</li> </ul>
The organisation entering into a contract with an organisation where one of our people, or someone connected to them, has significant control.	No (in almost all cases)	<p>This is not permitted in almost all circumstances. We could only consider this where:</p> <ul style="list-style-type: none"> <li>• The person affected by this policy is not involved in any part of the procurement process or decision</li> <li>• The appointment is approved by the Governing Body which is satisfied that the appointment is reasonable in the circumstances</li> <li>• There is no reasonable alternative (e.g. because of geography or the specialist nature of the goods/services)</li> </ul> <p>In such rare circumstances, the appointment would be recorded in the register along with details of the process followed.</p>
The purchase of land or other assets from anyone who is, or has been in the last twelve months, one of our people or who is connected to one of our people	No (in almost all cases)	<p>This cannot be permitted in almost all cases.</p> <p>The only exception would be if you were referred to us under the Scottish Government's Mortgage to Rent scheme, where this would be permitted provided:</p> <ul style="list-style-type: none"> <li>• Our policy and procedures are followed</li> <li>• The prospective seller plays no part in the decision to purchase the property or the processing of the transaction by the organisation</li> <li>• It is declared and recorded in the register within five days upon conclusion</li> </ul>
The purchase of goods/services from our suppliers/contractors by one of our people	Yes	This should normally be avoided. Further guidance on the Group's approach that should be followed is detailed in Section 4 of the policy.

## CALEDONIA HOUSING ASSOCIATION - SUPPLIERS LIST (&gt;£3000) –

**Building Consultants****Architects**

HTA Architects Ltd  
McLaren Murdoch & Hamilton  
Wellwood Leslie

**Chartered Surveyors**

Graham & Sibbald  
Hardies

**Rettie & Co****Energy Consultants**

Renewable Energy Consultants Ltd

**Environmental Consultants****Steve Luker Associates**

Watts Group

**Quantity Surveyors**

Hamish Bell Associates  
Brownriggs  
John M Duguid & Co  
Ralph Ogg & Partners  
The Keillor Laurie Martin Partnership

**Structural & Civil Engineers**

Allen Gordon & Co  
Elders Consulting Engineers  
W A Fairhurst & Partners

**Property Management Services**

Ross & Liddell

**Building Contractors**

Bellway Homes  
G S Brown Construction  
Campion Homes  
Glen Construction  
**Keepmoat Regeneration Ltd**  
Robertson Homes  
Taylor Shepherd Homes  
Urban Union  
Willmott Dixon Construction Ltd

**Road Construction**

**Goodfellow Plant**

## **Maintenance Contractors**

### **Multi-trades Maintenance Work**

Eles Building Services Ltd  
McGills  
MITIE Property Services  
**QAPM Ltd**

### **Electricians**

BFE Electrical Ltd (Portable Appliance Testing)  
Tay Electric

### **Painterwork**

Angus Decorating Co Ltd  
Bell Decorators  
Dumbreck Decorators  
Miller-Watt

### **Gas Maintenance Servicing & Auditing**

City Technical Services  
Kingdom Gas Services

### **Maintenance of Plumbing, Heating & Hot Water Systems**

Baxi Heating UK Ltd  
Chas Stewart Plumbing & Heating

#### **C C North Ltd**

Colco  
Inverness Renewables  
Jaydee Heating Ltd  
James MacGregor & Sons

#### **LRB Plumbing & Heating**

My Eco Solutions  
R L Rattray  
RTM Plumbing & Heating

#### **Stewart Bros Plumbing & Heating**

### **Installation & Maintenance of Specialist Equipment**

Advanced Stairlifts Ltd  
**Alternative Heat Ltd**  
**Classic Lifts (Scotland) Ltd**  
Coast to Coast Disabled Services  
Stannah Lift Services Ltd  
**SSE Contracting Ltd**  
**SSE Energy Solutions Ltd**  
Swiftclean UK Ltd  
ThyssenKrupp Elevator UK Ltd

### **Maintenance of Private Water and Drainage Systems**

Drain-cure Services (Scotland)

### **Landscape Contractors**

ISS Waterers Landscape  
J D Minto Ltd  
William Lambie Landscape Consultant Ltd  
Land Engineering Ltd

**Cleaning Services**

A J Craig & Sons

**Glaziers**

Sidey Solutions

**Pest Control Services**

Graham Environmental Services

**Waste Management**

Shred-it

**Suppliers****Care Provider**

Gowrie Care Ltd

Newcross Healthcare Solutions

**Disability Aid Suppliers**

Able Care

City of Glasgow Disabled Aid Specialists

**Commercial Furnishings and Equipment**

Morris & Spottiswood

**Domestic Furnishings & Equipment**

Christ Craft Window Blinds

Curtainwise (Scotland) Ltd

**Glenearn Carpets**

Whitton Flooring Ltd

**Energy Suppliers**

Angus Biofuels

Forever Fuels

**Fire Fighting Equipment/Fire Intruder Alarm Supply & Maintenance**

A M Fire & Security Systems

Scotshield

Walker Fire

**General Supplies including PPE & Cleaning Equipment**

Bunzl Cleaning & Hygiene

JLA Ltd

Walton Catering Equipment Ltd

**Office Equipment Suppliers****Printers**

Lets Talk Print

**Stationery**

Office Depot UK Ltd

**Telecoms**

Maximum Group

**Finance**

**External Audit Services**

RSM

**Financial Consultants**

Murja Ltd

**Insurance Services**

THIS Housing

**Internal Audit Services**

Wylie & Bisset

**Corporate Services**

**Legal Services**

Harper McLeod LLP

McCash & Hunter

Miller Gerrard

Miller Hendry

TC Young

Thorntons Law LLP

**Consultancy Services**

Housemark Ltd

**IT**

Shackleton

Team Solutionz

***Last Update: October 2016***

**CORDALE HOUSING ASSOCIATION - SUPPLIERS LIST (>£1000) – NOVEMBER 2015**

**Building Consultants**

**Energy Consultants**

Energy Technical Services

**Surveyors**

Smart Inspection Services

**Maintenance Contractors**

**All Trades Maintenance Contractors**

MITIE Property Services

Select Facilities

**Electricians**

Ledgerwoods

**IT Hardware Repairs**

M2 Technical Services

**Gas Maintenance Servicing & Auditing**

Optimum Technical Services

**Maintenance of Plumbing, Heating & Hot Water Systems**

BRB Ltd

City Technical Services

James Frew Ltd

K Middleton Plumbing Services

**Joiners**

GP Joiners (Scotland) Ltd

**Plasterers**

S B Plastering Maintenance Ltd

**Installation & Maintenance of Specialist Equipment**

Schindler Lifts

**Cleaning Services**

Kleen-All

**Suppliers**

**Care Facilities**

Carman Care

**Car Park Management**

Smart Parking Ltd

**Catering Equipment Supplier**

James Scott & Sons

**Disability Aid Suppliers**

Able Care

**Energy Suppliers**

Fuel Genie

OPUS Energy

**Fire Fighting Equipment/Fire Intruder Alarm Supply & Maintenance**

Chubb Fire & Security

**Garden Machinery**

Alex McDougall (Mowers) Ltd

**Playground Equipment**

Jupiter Play & Leisure

**Tool Hire**

Mather |Hire

**Office Equipment Suppliers**

**Franking Machine Leasing**

Francotyp Postalia

**Photocopier Leasing**

CopyServ Ltd

**Printers**

Lets Talk Print

Print Studio (Scotland)

**Stationery**

Lyreco UK Ltd

**Telecoms**

Adept Telecom

**Finance**

**External Audit Services**

RSM

Scott Moncrieff

**Corporate Services**

**Legal Services**

T C Young

**Personnel and Human Resource Management Services**

**Cole Advertising & Design**

Employers in Voluntary Housing

**Hays Specialist Recruitment Ltd**

***Last Update: October 2016***

**BELLSMYRE HOUSING ASSOCIATION - SUPPLIERS LIST (>£1000) – OCTOBER 2016**

**Building Consultants**

**Consultants**

**Martin Aitken Associates**  
JMP

**Surveyors**

**Smart Inspection Services**

**Maintenance Contractors**

**All Trades Maintenance Contractors**

**City Gate Construction**

Select Facilities

Mears Group (Call Out Only)

McGills

**Painterwork**

Bell Group

**Electricians**

Donald Crowe

**Blacksmiths**

Brican Fabrications

**Asbestos Surveys Removal**

Abate Asbestos Surveys

Enviraz

**Glaziers**

Chambers the Glaziers

Sidey Ltd

**Tree Surgeons**

Erskine Tree Surgeons Ltd

**Drainage Specialists**

I & D Cant

**Locksmith**

Keys Galore

**Pest Control**

Pest Guard Services

**Security (Sytx)**

Property Security Solutions

**Flooring**

Ferguson Flooring

**Skip Hire**  
Tracey Skip Hire

**TV Engineers**  
TV Local (Scotland)

**Roofers**  
Wyllie & Duff  
Marley

**IT Hardware Repairs**  
Stratiis

**Maintenance of Plumbing, Heating & Hot Water Systems**  
Hi-flow  
James Frew Ltd  
Kenny Middleton

**Joiners**  
Hi-flow Property Services

**Cleaning Services**  
Cleanscene

**Landscape Maintenance**  
Trayndale Garden Services

**Legal Services**  
T C Young  
Harper MacLeod

**Miscellaneous**  
LSK Supplies  
The Plumb Centre  
Paint Shed  
Grahams

***Last Update: October 2016***

## **Donations and Sponsorship Guidance**

### **Caledonia Housing Association**

Annually the Management Board will set a budget for sponsorship and donations. Sponsorship or donations up to the value of £1,000 can be authorised by the Chief Executive. Where the value exceeds £1,000, the prior approval of the Management Board will be sought. All donations and sponsorships granted must be in line with all relevant Association and Caledonia Group policies.

Caledonia will seek to sponsor voluntary organisations such as clubs or community groups in the local communities where we have properties and where the wider community will benefit from sponsorship of the club or community group. Sponsorship may be in the form of money, purchase of equipment or advertisement. Caledonia will accept no liability for the upkeep, disposal or replacement of any equipment which has been grant funded.

Caledonia will not normally consider requests for ongoing sponsorship or financial support. Grant and sponsorship requests therefore will normally be limited to a maximum of one per three year period to individual organisations.

Applications will not be considered from voluntary organisations whose purpose is political, or where the request is to be applied for political purposes; where the grant would be applied for purposes which Caledonia deems to be non-charitable in nature; or where Caledonia considers the organisation not to be viable or unlikely to be operating in the short term future.

There are circumstances in which Caledonia may wish to sponsor an event such as a conference, or seminar or other item such as a calendar, information leaflet, newsletter or similar publication. Such opportunities will be considered on a case by case basis, and in accordance with the delegated authority arrangements outlined above.

Similarly, Caledonia will also consider sponsorship of individuals taking part in a fundraising event, where this is for a recognised charity, and donations to recognised charities, local groups or community groups. Again, such requests will be considered on a case by case basis, and in accordance with the delegated authority arrangements outlined above.

When considering grant and sponsorship requests, the voluntary organisation making the request, where deemed relevant by the Association, will be asked to provide any further supporting information. It may also be asked to attend a meeting. This will allow Caledonia to satisfy itself where required of the details of the proposal. Caledonia where possible will also be able to signpost or assist in providing further information on alternative funding sources. Any opportunities for good publicity for Caledonia and/or the voluntary group will also be considered.

Records of grants and sponsorships approved will be included in the Sponsorship and Donations Register. Arrangements will be made for the Chair to review the register twice a year. An overview of grants and sponsorships made will be provided for Caledonia's Management Board in the Annual Governance report presented to the Committee.

## **Cordale and Bellsmyre Housing Association**

Annually the Management Committees will set a budget for sponsorship and donations. Sponsorship or donations up to the value of £300 can be made and will require the prior approval of the Area Director in consultation with the Chair. All donations and sponsorships granted must be in line with all relevant Association and Caledonia Group policies.

The Associations will seek to sponsor voluntary organisations such as local clubs or community groups in the local communities where we have properties and where the wider community will benefit from sponsorship of the club or community group. Sponsorship may be in the form of money, purchase of equipment or advertisement. In order to ensure that money granted is used for legitimate purposes, the Association where possible and appropriate will directly purchase the goods or services for which the grant is being awarded. However, the Association will accept no liability for the upkeep, disposal or replacement of equipment which has been grant funded.

Grants should only be made where the voluntary organisation demonstrates to the Associations satisfaction that it has tried to secure grant funding from other sources and that the Associations contribution is critical to its business. The Association will not normally consider requests for ongoing sponsorship or financial support. In line with this and to avoid any allegations of regular subsidising of running costs, grant and sponsorship requests will normally be limited to a maximum of one per three year period to individual organisations.

Applications will not be considered from voluntary organisations whose purpose is political, or where the request is to be applied for political purposes; where the grant would be applied for purposes which the Association deems to be non-charitable in nature; or where Cordale considers the organisation not to be viable or unlikely to be operating in the short term future.

There are circumstances in which the Association may wish to sponsor an event such as a conference, or seminar or other item such as a calendar, information leaflet, newsletter or similar publication. Such opportunities will be considered on a case by case basis and will require prior approval of the Area Director in consultation with the Chair.

When considering grant and sponsorship requests, the voluntary organisation making the request will be asked to provide any further supporting information. It may also be asked to attend a meeting. This will allow the Association to satisfy itself of the details of the proposal including any accounting for grants spent, and the organisations effort's to find funding from other sources. The Association where possible will also be able to signpost or assist in providing further information on alternative funding sources. If there are any opportunities for good publicity for the Association and/or the voluntary group, this will also be discussed.

Once a grant or sponsorship request has been accepted, Committee members will be informed. A record of the grant or sponsorship will be included in the Sponsorship and Donations Register. Arrangements will be made for the Chair to review the register twice a year. An overview of grants and sponsorships made will be provided for the Associations Management Committee in the Annual Governance report presented to the Committee.



**USE OF CONTRACTORS & SUPPLIERS**

**DECLARATION FORM**

**Name of Board/Staff Member:** .....

**Job Title/Position on Board:** .....

**Name of Contractor/Supplier Used:** .....

**Description of Work Carried Out/Service Provided:** .....

**Date Used** .....

**Reason Used:** .....

**Cost of Work Carried Out/Service Provided:** .....

I declare that no financial or other advantage (i.e. quality or any other aspect of service delivery) was secured in relation to this transaction as a result of my involvement with Caledonia Housing Association/Cordale Housing Association\* (delete as appropriate). I have enclosed written quotes (if these were sought given the type of work in question) and copies of receipts relating to the work / service.

Signed: ..... Date: .....