

NORTHERN IRELAND HOUSING EXECUTIVE STANDING ORDERS and BOARD SCHEME OF DELEGATIONS



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STANDING ORDERS

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AI MEETINGS

1.0 General

- 1.1 The meetings (virtually or in person) of the Board/Committee shall be held at such time and place as determined by the Board/Committee Chair, subject to the provisions of the remainder of this Standing Order.

2.0 Chair's/Vice Chair's Power

- 2.1 The Chair (or, in their absence, the Vice Chair) may at any time alter the time and/or place already decided upon for a particular meeting, or may order the convening of a meeting.

3.0 Emergencies

- 3.1 In case of emergency certified by the Chair (or, in their absence, the Vice Chair), a meeting of the Board may be held although:

- (1) notice shall not have been given as required by these Standing Orders; and/or
- (2) the quorum of members prescribed in these Standing Orders shall not be present but at least 3 members are present

Provided that, in either case, the business transacted at such emergency meetings must be reported to the next scheduled meeting of the Board and must be confirmed at the latter meeting (to the extent that the authority of the Board is required in that connection).

A2 QUORUM – BOARD / COMMITTEES

1.0 Number of Members

- 1.1 The quorum of the Board shall be five members, unless there is a vacancy on the Housing Executive (hereinafter called 'the Executive') Board at the relevant time, in which event the quorum shall be four.
- 1.2 The quorum for Committees is identified within each Committee Terms of Reference.

2.0 General Rule on Transaction of Business

- 2.1 The general rule is that no business shall be transacted at any meeting of the Board unless the prescribed quorum of members is present.

3.0 Exception to the Rule

- 3.1 Notwithstanding the general rule, a meeting may proceed, in respect of any item or items on the agenda, if three members of the Board are present and agree the relevant matter or matters to be an emergency.
- In that event, the meeting shall be treated as an emergency meeting within the meaning of Standing Order A1 paragraph 4 and, as being subject to the restrictions therein specified.

A3 CHAIRING BOARD MEETINGS

1.0 The Presiding Member

- 1.1 Board Meetings shall be chaired by:
 - (1) The Chair; or
 - (2) The Vice Chair (in the absence of the Chair); or
 - (3) Any other member of the Board selected by resolution of the members present (in the absence of both the Chair and the Vice Chair).
- 1.2 Any power or duty assigned to the Chair in relation to the conduct of a Board meeting may be exercised by the person presiding at that meeting.
- 1.3 The Chairing of Committee Meetings is outlined in each respective Terms of Reference.

2.0 Powers of the Presiding Member

- 2.1 The member presiding at any meeting shall decide all questions of order, relevancy and competency arising at that meeting. However, any member present may take exception to any such ruling. In that event, the person presiding shall, without further discussion, submit the matter to that meeting, and their ruling shall not take effect unless it is supported by the majority of members present.

A4 ADJOURNMENTS

The Board/Committee may adjourn any meeting to any other time and any other place.

A5 MINUTES OF MEETINGS

1.0 Keeping of Minutes

- 1.1 Minutes of each meeting of the Board shall be kept for future reference.
- 1.2 Draft minutes shall be circulated to Board / Committee Members in accordance with the Standing Orders and/or Committee Terms of Reference.
- 1.3 Draft minutes shall be circulated for virtual approval following the meeting.
- 1.4 Approved minutes shall be deemed to be a true record of the meeting to which they relate and they shall be signed by the person presiding at the meeting at which they were approved.
- 1.5 Draft Committee minutes shall be submitted to the next meeting of the Board for noting, and shall identify any matters of strategic interest to be brought to the immediate attention of the Board.

2.0 Publication of Minutes

- 2.1 Once approved by the Board, non-confidential minutes of Board meetings will be a matter of public record and will be publicly available on the Housing Executive's website.

3.0 Records of Attendance

- 3.1 In the minutes of any Board/Committee meeting the names of members present and officers in attendance at the meeting shall be duly recorded together with their arrival and departure times.
- 3.2 A register shall be kept showing details of attendance of members at meetings.

A6 NOTICE OF MEETINGS AND AGENDA

1.0 Documents to be Provided Prior to Meetings

- 1.1 Agendas will be available at least 1 week in advance of meetings via eCorporate meeting solution. A communication shall be issued to every member notifying the release of the papers
 - (1) A notice convening the meeting, giving its time and place;
- 1.2 Any report or other document, a copy of which cannot for good reasons be circulated with the agenda, may nevertheless be tabled and considered.
- 1.3 If due notice of any meetings, or any agenda, is not issued to any member, those defects shall not affect the validity of the relevant meeting or of any subsequent meeting.

2.0 Matters/Business to be Discussed

- 2.1 No matter or business shall be discussed or decided at a meeting, if reference to this is not set forth in the agenda, except with the consent of the majority of the members present at that meeting.
- 2.2 Any member may require that any subject may be placed on the agenda and that any document relating to such subject shall be circulated, on giving fourteen clear days' notice in writing to the Chief Executive.

3.0 Order of Business

- 3.1 Subject to paragraph 3.2 below, the order of business at every meeting of the Board shall be as follows:
 - (1) To choose a person to preside (if the Chair and Vice Chair are both absent).
 - (2) To approve as a correct record and sign the minutes of the last Board meeting.
 - (3) To dispose of business (if any) remaining or arising from that previous meeting.
 - (4) To deal with any business expressly required by statute to be done.
 - (5) To deal with any business in the order in which it is listed in the agenda.
 - (6) To deal with any other business.
- 3.2 The foregoing order of business may be varied by the person presiding at their discretion, with the consent of a majority of the members present at the relevant meeting.

A6A DEFERRED OR WITHDRAWN PAPERS

1.0 At Board/Committee Meetings, Papers may on Occasion be Deferred or Withdrawn

- 1.1 On occasion, papers on the Board/Committee agenda may be deferred due to time constraints or pending the outcome of some other event. No action should be taken on deferred papers until the paper is re-submitted and approved by the Board. Deferred papers will be noted on the matters brought forward/outstanding matters list until the required action is taken by the relevant Director.
- 1.2 On occasion, papers on the Board/Committee agenda may be withdrawn either prior to, or at a meeting. In such instances the papers are recorded as withdrawn and returned to the relevant Director by Secretariat. No action should be taken in respect of any withdrawn paper. If any action is requested by the Board this should be recorded on the matters brought forward/outstanding matters list.

A7 VOTING

1.0 Mode of Decision-Making

- 1.1 Every question shall (except where otherwise required by law or otherwise provided in these Standing Orders) be determined by a majority of the members present and voting.
- 1.2 The member presiding at the meeting shall have a second or casting vote in cases of equality (i.e. a tied vote).
- 1.3 The votes shall be taken by a show of hands or otherwise as the meeting shall decide.

2.0 Records of Votes

- 2.1 On the request of any member, a record shall be made in relation to each member of how that member voted and of whether that member abstained.

A8 DISCLOSURE OF PECUNIARY INTERESTS

1.0 The Legal Obligations

- 1.1 Board Members are reminded of their legal obligations in relation to the disclosure of pecuniary interests. Those obligations are imposed by sections 28, 29 and 146 of the Local Government (NI) Act 1972, as applied to the Board by Schedule 1 of the Housing Order 1981.

2.0 The Requirements of The Code

- 2.1 Members are also reminded of the requirements of the Housing Executive's Code of Practice for Board Members in relation to disclosure of interests.

A9 THE COMMON SEAL

1.0 Custody of the Seal

- 1.1 At all times when not in use, the Common Seal of the Executive ("the Seal") shall be kept locked in a manner and in a place as agreed by the Chief Executive.

2.0 Affixing the Seal

- 2.1 The Seal shall not be set to any document without the authority of a resolution of the Board unless the affixing of the Seal is consequential to a relevant decision.
- 2.2 In this Standing Order, “a relevant decision” is a decision which duly authorises:
- (1) The acceptance of any tender; or
 - (2) The purchase, sale, letting or taking of any property; or
 - (3) The making of any contract.
 - (4) The extinguishment of any public rights of way.

3.0 Attestation

- 3.1 The Seal when applied to a document shall be attested by:
- (1) Any Board Member; or
 - (2) Any Director; or
 - (3) The Meetings Secretary; or
 - (4) Any other Duly Authorised Officer.

4.0 Records of Attestation

- 4.1 The officer attesting the execution of any document under the Seal shall ensure that a record of the particulars of that document is entered in a book which must be kept for that purpose.

A10 COMMITTEES / TASK AND FINISH GROUPS

1.0 Constitution of Committees and/or Task and Finish Groups

- 1.1 The Board expanded its Committee Structure further in 2021/22, each comprising Board and Independent Committee Members. The Committees have delegated authorities for operational business, the purpose being to allow the Board time to focus on strategic matters.
- 1.2 The Board currently comprises 4 Standing Committees: Audit and Risk Assurance Committee, Asset Management and Maintenance Committee Resources and Performance Committee and Tenant and Customer Services Committee. Each committee operates to its own Terms of Reference (ToR).
- 1.3 The operational remit of each Committee, as outlined in respective ToR, will be kept under annual review, and subject to ad-hoc reviews based on outcomes from Board / Committee Self-Effectiveness Exercises.
- 1.5 The Board may continue to constitute Task and Finish Groups for specific items of business as required.
- 1.6 The Board, on the recommendation of the Chair, shall designate the Chair of any Committee or Task and Finish Group which it may establish.

A I I DELEGATION BY THE BOARD

1.0 Delegations

The Board reserves the right to delegate, where it has power to do so, responsibility for specified matters to:

- (1) A committee of the Board; or
- (2) Any task or finish group as required; or
- (3) Any officer(s).

Any specific delegation may refer to posts, as distinct from referring to the individuals who occupy those posts.

2.0 Scheme of Delegations

- 2.1 A scheme of delegations, in conjunction with the TOR for each Committee, which will be updated regularly, provides Board/Committee guidance covering:
 - (1) Matters which are delegated, and
 - (2) Matters which are reserved for decisions by the Board and/or Committee.
- 2.2 The Scheme of delegations is appended to the latter section of these Standing Orders.

A I 2 EMERGENCY ACTION

1.0 Procedure

- 1.1 Between meetings of the Board, the Chief Executive (or in his / her absence, the nominated Director) after consultation with the Chair (or, in their absence, the Vice Chair), may authorise such action to be taken on behalf of the Executive as may be required with respect to matters which will not admit of delay, provided that all such action must be reported in due course to the Board.
- 1.2 Action taken pursuant to the powers conferred by this Standing Order may include directing the Seal to be affixed to all such deeds, notices, warrants or other documents as may be required for the transaction of matters which are within the scope of that paragraph.

A I 3 INSPECTION OF DOCUMENTS

1.0 Member's Right to Inspect

- 1.1 A Board Member may, for the purposes of their duty as such member but not otherwise, on application to the Chief Executive, inspect any document of a committee or of the Board and if copies are available shall on request be supplied with a copy of such a document.

2.0 Professional/Pecuniary Interests

- 2.1 A member shall not knowingly inspect and shall not call for a copy of any document relating to a matter in which he or she is professionally interested or in which he or she has directly or indirectly any pecuniary interest within the meaning of section 146 of the Local

Government Act (NI) 1972 or, any interest to be declared in accordance with the Board Terms of Reference and Board Code of Practice.

A14 APPOINTMENTS

1.0 Canvassing

- 1.1 Canvassing of members of the Board for any appointment under the Executive shall disqualify the candidate concerned for that appointment.
- 1.2 A member shall not solicit for any person for any appointment by the Executive.
- 1.3 A member shall not solicit for any private enterprise or third party in relation to any appointment/contract.

2.0 References

- 2.1 A member shall not give a written testimonial of a candidate's ability, experience or character for submission to the Executive with an application for appointment unless the applicant is currently that member's employee.

3.0 Disclosure of Relationships

- 3.1 Every applicant for a post as an officer or appointee of the Executive shall be required, when making application, to disclose in writing whether to their knowledge he/she is related to any member or officer of the Executive.
- 3.2 An applicant who fails to so disclose shall be disqualified for such appointment and, if appointed, shall be liable to dismissal without notice.

A15 CONFIDENTIALITY

All agenda reports and other documents and all proceedings of the Board or of a committee thereof shall be treated as confidential unless and until:

- (1) The Board or the Chair decides otherwise; or
- (2) They become public in the ordinary course of the Executive's business; or
- (3) Confidentiality is, in all the circumstances, incompatible with any right of access to information conferred by the Freedom of Information Act 2000.

A16 DUTY TO PROMPTLY RAISE CONCERNS WITH BOARD

A Board Member who considers it their duty in the public interest to raise any question affecting the policies, procedures, reputation, integrity or impartiality of the Executive should do so promptly with the Board/Committee.

A17 DOSSIER OF CONTROLS

The Board and all officers shall comply with the Financial Memorandum and Dossier of Controls.

A18 REVOCATION AND VARIATION OF STANDING ORDERS

1.0 Suspension

- 1.1 No Standing Order adopted by the Board shall be suspended at any meeting of the Board except by consent of at least five members present thereat.

2.0 Variation and Revocation

- 2.1 The Standing Orders for the time being of the Executive or any of them may from time to time be varied or revoked and additional Standing Orders may from time to time be adopted. Such variations, revocations and/or additions may only be made with the consent of the majority of the members of the Board present, at the meeting of the Board, the agenda for which contains due notice of the proposed variation, revocation or addition.

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BI CODE OF CONDUCT FOR OFFICERS

1.0 Observance of The Code

- 1.1 All officers shall comply with the code of conduct for Housing Executive officers ("the Staff Code") as approved by the Board on 25th April 2012, subject to such modifications as may from time to time be approved by the Board.

2.0 Conflicts

- 2.1 In the event of any conflict between the provisions of any of these Standing Orders and any of the provisions of the Staff Code, the provisions of these Standing Orders shall prevail.

B2 AUTHORITY TO INCUR EXPENDITURE AND TO DISPOSE OF ASSETS

1.0 General Authority to Spend

Expenditure Requiring Board Approval

- 1.1 Generally all expenditure, both capital and revenue, over £1m must be approved by the Board. However, there are exceptions to this general requirement as set out in 1.2 below.
- 1.2 The exceptions to 1.1 above are as follows:
 - a) For expenditure relating to the acquisition of assets, the threshold for Board approval is over £500k.
 - b) For expenditure relating to the Strategic ICT Services Partnership, the Board approves an annual budget plan which sets out proposals for expenditure over the ensuing 12 months: all expenditure to be incurred in accordance with the approved annual budget plan must comply with [Financial Regulation 3](#);
 - c) For expenditure relating to the Social Housing Development Programme, the Board approves the total expenditure as set out in the annual budget plan : all expenditure to be incurred in accordance with the approved annual budget plan must comply with [Financial Regulation 4](#);
 - d) For specific categories of expenditure, the Board delegates authority to the Director of Finance to grant authority to named responsible officers to authorise payment in relation to specific categories of expenditure within the organisation (Special Case Payments Schedule) – See Appendix 6 for breakdown of categories. Categories are reviewed regularly in accordance with business need, and may be subject to change.

Authority to Incur Expenditure Delegated to the Chief Executive

- 1.3 Subject to observance of the relevant provisions mentioned at 1.6 below, the Chief Executive at the Executive Team has general authority to incur expenditure up to or equal to £1m.

Authority to Incur Expenditure Delegated to Directors or “Authorised Officers”

- 1.4 Subject to observance of the “relevant provisions” mentioned at 1.6 below, the appropriate Director or “authorised officer” may incur expenditure less than or equal to £250k on/under:
- a) plant, vehicles, furniture and equipment provided that the amount of any transaction, or group of associated transactions, does not exceed £250,000 and that there are sufficient funds available within the approved annual budget in respect of such transaction/transactions;
 - b) capital account (other than expenditure already referred to above) in accordance with financial regulations approved by the Board;
 - c) revenue account (other than expenditure specified above) up to the amount specified in the approved annual budget;
 - d) building contracts/Planned Schemes (including Group Repair) in accordance with financial regulations approved by the Board [\(Financial Regulations 1 and 2\)](#);
 - e) the Strategic ICT Services Partnership in accordance with financial regulations approved by the Board [\(Financial Regulation 3\)](#);
 - f) the Social Housing Development Programme in accordance with financial regulations approved by the Board [\(Financial Regulation 4\)](#);
 - g) Land and Property in accordance with financial regulations approved by the Board [\(Financial Regulation 1A\)](#);
 - h) the Housing (Support Services) Order 2002 – Supporting People Programme [\(Financial Regulation 5\)](#).
- 1.5 In this Standing Order, “authorised officer”, means an officer or officers approved, in respect of the particular transaction, or category of transactions, by financial regulations.
- 1.6 For the purposes of this Standing Order, the following are relevant provisions:
- a) All the provisions of these Standing Orders;
 - b) All the provisions of the Dossier of Controls;
 - c) All the provisions of any financial regulations;
 - d) All the provisions of any scheme of delegations;
 - e) All requirements as laid down by the Department of Finance that are not yet reflected in the Dossier of Controls (requirements laid down in Dear Accounting Officer Letters).

2.0 Authorising Payment

- 2.1 These Standing Orders recognise that there is a distinction between authorising the incurring of expenditure on the one hand, and authorising payment (once expenditure has been incurred and the goods, services or works have been provided) on the other hand.
- 2.2 A postholder's level of authority to authorise payment (in respect of any particular expenditure) will in no circumstances be less than that postholder's authority to incur such expenditure.
- 2.3 Financial regulations may make specific provision as to levels of authority in respect of the authorisation of payments.

3.0 Disposal of Assets

Land and Buildings (Including Property Acquired Under the SPED Scheme)

- 3.1 Disposal of any land or buildings (including property acquired under the SPED scheme) with a current value of more than £500k, as advised by Land and Property Services (Department of Finance requires the approval of the Board.
- 3.2 Disposal of any land or buildings (including property acquired under the SPED scheme) with a current value of more than £250k and under or equal to £500k, as advised by Land and Property Services (Department of Finance), requires the approval of the Chief Executive at the Executive Team.
- 3.3 These requirements also apply equally to any proposed change of use for all land and buildings.

Other Assets

- 3.4 Disposal of any asset, other than land and buildings as specified above, (for example, write-off of debts, cash losses, stores and plant losses, constructive losses and fruitless payments) requires the approval of the Chief Executive at the Executive Team subject to and in accordance with the Management Statement Financial Memorandum and Dossier of Controls.
- 3.5 The Board should be provided, as part of the Annual Accounts information, with a schedule detailing all amounts written-off by the Chief Executive in the financial year covered by the Annual Accounts.

B2A EMERGENCY ACTION

1.0 Procedure

- 1.1 Between meetings of the Executive Team, the Chief Executive, (or in their absence, the nominated Director) after consultation with the appropriate Director (in their absence, the appropriate Assistant Director), may authorise such action to be taken on behalf of the Executive as may be required with respect to matters which will not admit of delay, provided that all such action must be reported to the Executive Team as soon as is reasonably practicable.

B3 PROCUREMENT

1.0 Compliance with the Law

- 1.1 In all its procurement activities, the Executive shall comply with any relevant legal requirements, including any requirements which flow from Public Contract Regulations (2015) legislation and pay due regard to Northern Ireland public procurement policy.

2.0 Modes of Procurement

- 2.1 The procurement arrangements will differ, depending upon the estimated value or amount of the particular procurement, and subject always to the requirements of Public Contract Regulations (2015):

Procurement Control Limits

The following control limits and methods of procurement have been developed by the Procurement Board and endorsed by the Northern Ireland Executive. This group represents the 8 Centres of Procurement Expertise (CoPE) of which the Northern Ireland Housing Executive is one. The limits are set by the Northern Ireland Procurement Board and issued as a Procurement Policy Note (PPN) to all CoPEs.

Table 1:

Value (exclusive of VAT)	Procedure
Up to £5,000	Officers must demonstrate that value for money has been secured.
£5,000 to £30,000	Seek a minimum of two tenders conducted by CPU
£30,000 to Thresholds	Advertise on eTendersNI
Above Thresholds	Advertise on eTendersNI Public Contract Regulations apply – advertise on Find a Tender Service.

Please Note: For all Above Threshold procurements (**£138,760** for Goods and Services and **£5,336,937** for Works Contracts), the value must now be calculated **inclusive** of VAT. By way of example, a contract for services due to be awarded by NIHE with a value net of VAT of £120,000 would be over the relevant threshold because once VAT was taken into account the total contract value would be £144,000.

Annex A: Guidelines for Purchases up to £5,000

Such purchases, with the exception of consultancy services, will be classified as procurement expenditure but they are not subject to the full range of procurement rules. Officers must ensure that these purchases are subject to value for money considerations and Managing Public Money Northern Ireland. When acquiring consultancy services, Officers should first take advice from a Centre of Procurement Expertise (CoPE).

Officers must ensure that the:

- Purchase is not covered by an existing framework, call-off arrangement or e-catalogue;
- Purchase is a one-off requirement;
- Total spend, which must be less than £5,000, must cover the combined costs of all purchases associated with the initial requirement; and
- Requirement is clearly specified.

Officers should follow the guidance laid out in the table above to satisfy this criteria.

3.0 Advertising

- 3.1 We will advertise procurement competitions in accordance with the Public Procurement Policy.

4.0 Invitations to Tender

- 4.1 All officers seeking to tender for any goods, services or works must engage with the Corporate Procurement Unit to proceed with the tender competition. In addition, only the Corporate Procurement Unit is authorised to conduct competitions and award contracts above £5,000 subject to necessary internal approvals.

5.0 Contract Management

- 5.1 The contract manager is required to monitor spend and is responsible for ensuring that the actual spend does not exceed the limits in the business case or contract spend limit. If the spend is likely to approach the limit the Corporate Procurement Unit should be notified and they will advise accordingly.
- 5.2 Corporate Procurement Unit must review all potential contract variations before they can be agreed with the contractor.
- 5.3 CPU must review all potential contract extensions before they can be agreed with the contractor. The contract manager must discuss any options to extend with the CPU Procurement Officer making sure that there is adequate time prior to contract expiry to put the contract arrangements in place.
- 5.4 Proposed terminations in relation to Goods and Services contracts must also have prior approval from the Head of Procurement. Recommendations for the termination of contracts may then be referred to the Chief Executive at the Executive Team Meeting for approval and to the Board for information where considered appropriate or where the Board approved the letting of the contract. All Works contract terminations will be dealt with via the process outlined at Section 13 below.
- 5.5 If the goods, works or services being delivered through this contract are still required beyond the end of this contract you should be discussing your ongoing requirements with CPU at least 9 months before contract expiry.

6.0 Direct Award Contract and Variation of Mode of Procurement

- 6.1 A Direct Award Contract (DAC) is defined as ‘the procurement of supplies, works and services, irrespective of value, without exposing the procurement to competition’.
- 6.2 Notwithstanding the general rule exceptionally, the requirement to tender may be waived if the requirements within the Public Contract Regulations 2015 have been met.
- 6.3 Any requests for approval to award a DAC must be submitted in the first instance to the Head of Procurement. All DACs valued above £250,000 need approval from the Departmental Accounting Officer (the Permanent Secretary for DfC). The Permanent Secretary for DfC has delegated the authority to approve all DACs valued at £250,000 or less to the Housing Executive’s Accounting Officer (the Chief Executive).
- 6.4 Purchases up to £5,000 awarded without a competition are not considered to be DACs if they are dealt with in accordance with Section 2 table 1. Details of exceptions when Accounting Officer approval is not required to award a DAC are provided in line with NI Public Procurement Policy.
- 6.5 All expenditure relating to the award of contract will be approved in line with Delegated Financial limits.

7.0 Variation of Contracts

- 7.1 Any variation to the cost of works that takes the proposed adjusted contract/quotation sum over the delegated limits requires prior approval of the relevant Committee/Board.

Contracts Greater Than £100,000

- 7.2 The contract administrator/project manager under a building contract or Planned Scheme (including Group Repair) with a value greater than £100,000 must not issue any instructions increasing the original contract sum by more than 10% in aggregate or £50,000 (whichever is the lesser amount), without having first obtained the specific approval of:
 - The Landlord Services Clearing House Committee where the proposed adjusted contract/quotation sum is over £100,000 and under or equal to £500,000; or
 - The Executive Team where the proposed adjusted contract/quotation sum is over £500,000 and under or equal to £1,000,000; or
 - The Asset Management and Maintenance Committee Board where the proposed adjusted contract/quotation sum is over £1,000,000;
 - The Board where the proposed adjusted contract/quotation sum is over £10,000,000.
- 7.3 For the purposes of paragraph 7.2, “the original contract/quotation sum” shall be deemed to be the actual original contract/quotation sum, subject however to a proportionate downward adjustment in order to reflect the effects of any house sales/refusals since the date of the making of the original contract. See [Appendix “A” Example 1](#)
- 7.4 In circumstances where it is anticipated that expenditure on the contract will fall outside the limits as set out in paragraph 7.2, the contract administrator/project manager must submit a post tender/quotation report to the appropriate committee/Board (as detailed

in paragraph 7.2) for approval detailing the variation in monies required and the adjusted contract/quotation sum. When the paper is approved by the appropriate authorising committee/Board the contract administrator/project manager may incur the revised expenditure.

- 7.5 For the purposes of paragraph 7.4, after approval of the variation in expenditure, the contract administrator/project manager must not issue any instructions increasing the adjusted contract/quotation sum by more than 10% in aggregate or £50,000 (whichever is the lesser amount), without having first obtained further approval from the appropriate authorising committee/Board as detailed in paragraph 7.2.
- 7.6 When approval is being sought for a variation in expenditure on a contract, the value of house sales/refusals must be subtracted from the original/adjusted contract/quotation sum before the variation is applied. The value of the variation is measured as a percentage of this reduced amount.

Contracts Less Than or Equal to £100,000

- 7.7 The contract administrator/project manager under a building contract or planned scheme (including Group Repair) with a value less than or equal to £100,000, must not issue any instructions increasing the original contract/quotation sum by more than £10,000 in aggregate, without having first obtained the specific approval of:
- The Regional Manager/Regional Programme Delivery Manager /Assistant Director Asset Management where the adjusted contract/quotation sum remains under or equal to £100,000 or
 - The Landlord Services Clearing House Committee where the adjusted contract/quotation sum is greater than £100,000. (See Appendix “A” Example 3.)
 - For the avoidance of doubt, for contracts less than or equal to £100,000, the contract administrator/project manager has the authority to issue instructions increasing the original contract/quotation sum by up to £10,000.
- 7.8 For the purposes of paragraphs 7.7, “the original contract/quotation sum” shall be deemed to be the actual original contract/quotation sum, subject however to a proportionate downward adjustment in order to reflect the effects of any house sales/refusals since the date of the making of the original contract.
- 7.9 In circumstances where it is anticipated that expenditure on the contract will fall outside the limits as set out in paragraph 7.7, the contract administrator/project manager must submit a post tender/quotation report to the Regional Manager or Landlord Services Clearing House Committee as appropriate (as detailed in paragraph 7.2) for approval detailing the variation in monies required and the adjusted contract/quotation sum. When the paper is approved by the appropriate authoriser the contract administrator/project manager may incur the revised expenditure.
- 7.10 For the purposes of paragraph 7.9, after approval of a variation in expenditure, the contract administrator/project manager must not issue any instructions increasing the adjusted contract sum by more than £10,000 in aggregate of the adjusted contract/quotation sum without having first obtained further approval from the Regional Manager / Regional Programme Delivery Manager or Landlord Services Clearing House Committee as appropriate within delegated limits. (See Appendix “A” Example 2.)

- 7.11 When approval is being sought for a variation in expenditure on a contract, the value of house sales/refusals must be subtracted from the original/adjusted contract/quotation sum before the variation is applied. The value of the variation is measured as a percentage of this reduced amount.

Exceptional Authorisation

- 7.12 Paragraphs 7.2 and 7.7 state a general rule. There are only two exceptions to that general rule – exceptional authorisation

In circumstances requiring an immediate response by the Housing Executive:

The Director/Assistant Director Asset Management/Regional Manager/Regional Programme Delivery Manager may authorise the variation of the original/adjusted contract/quotation sum by more than the limit specified if the adjusted contract/quotation sum is less than or equal to £100,000. Any such authorisations must be reported to the next meeting of the Landlord Services Clearing House Committee.

The Chief Executive or the Director of Asset Management may authorise the variation of the original/adjusted contract/quotation sum by more than the limit specified if the Adjusted Contract/Quotation Sum is greater than £100,000. Any such authorisation must be reported for noting at the next meeting of the Executive Team.

In both cases the contract administrator/project manager must submit a formal post tender/quotation paper to the appropriate authorising committee or the Board for information within 4 weeks of the exceptional authorisation being granted.

8.0 Final Contract Reports/Final Accounts

- 8.1 All Final Contract Reports (Final Accounts) must be reported on a schedule to the Landlord Services Clearing House unless paragraphs 8.2 – 8.5 below apply:

Capital and Revenue Schemes More than £1,000,000

- 8.2 The appropriate Director shall report to the Executive Team and subsequently to the Board/ Committee upon the final outcome of any building contract or Planned Scheme (including Group Repair) if the approved adjusted contract/quotation sum has been varied by increasing or decreasing the original contract/quotation sum by more than £200,000.

Capital and Revenue Schemes More Than £500,000 and Under or Equal to £1,000,000

- 8.3 The appropriate Director shall report to the Executive Team the final outcome of any building contract or Planned Scheme (including Group Repair) if the approved adjusted contract/quotation sum has been varied by increasing or decreasing the original contract/quotation sum by more than £100,000.

Capital and Revenue Schemes More Than £100,000 and Under or Equal to £500,000

- 8.4 The appropriate Director shall report to the Landlord Services Clearing House Committee upon the final outcome of any building contract or Planned Scheme (including Group Repair) if the approved adjusted contract/quotation sum has been varied by increasing or decreasing the original contract/quotation sum by more than £50,000 of the original contract sum.

Capital and Revenue Schemes Less Than or Equal to £100,000

- 8.5 The appropriate Director / Regional Manager/Regional Programme Delivery Manager shall report to the Landlord Services Clearing House Committee upon the final outcome of any building contract or Planned Scheme (including Group Repair) if the approved adjusted contract/quotation sum has been varied by increasing or decreasing the original contract/quotation sum by more than £25,000 of the original contract sum.

Reporting Failed Starts

- 8.6 For all schemes, irrespective of value, the appropriate Director shall report to the Executive Team any scheme that has received approval under the “authority to incur expenditure” procedure (Financial Regulation 1) and has failed to commence on site within 2 years from the date of approval.

9.0 Form of Contract

- 9.1 The appropriate Director through the Corporate Procurement Unit shall be responsible for ensuring that an appropriate form of contract is used.

10.0 Extension of Contracts

- 10.1 Normally any extension of a contract must be permissible under the terms of the contract and approved in accordance with these Standing Orders and relevant financial regulations. Exceptionally, beyond this, provision must be dealt with in accordance with Standing Order B3 Direct Award Contracts.

11.0 Termination/Determination of Contracts

- 11.1 Recommendations for the termination or determination of contracts will be referred to the Chief Executive at the Executive Team for approval and to the Board for information where considered appropriate.
- 11.2 Notwithstanding the above provision, recommendations for the termination or determination of a contract will be referred to the Board for approval where the letting of the contract was approved by the Board in accordance with [Appendix 1](#) of the Board Scheme of Delegations.

B4 ANNUAL BUDGET AND ESTIMATES

1.0 Annual Estimates of Income Expenditure

- 1.1 The Director of Finance shall in consultation with the other Directors prepare for submission to the Board for approval in each year, an annual budget comprising estimates of the expenditure proposed in the financial year following and of sums receivable in the

period. Capital expenditure must be separately identified. The Board may revise such estimates and shall approve the estimates as so revised.

2.0 Budget Adjustments

- 2.1 The Director of Finance shall whenever necessary and, in conjunction with other Directors submit budget adjustments to the Board for approval with respect to items of income or proposed expenditure (either revenue or capital) which relate either to new items not provided for in the annual budget or to increases or decreases of amounts provided for in the annual budget.

B5 IMPRESTS

1.0 Authorisation

- 1.1 The Director of Finance is authorised where required to advance sums not exceeding the permitted maximum at any one time to meet petty cash outlays.

2.0 Permitted Maximum

- 2.1 The “permitted maximum” is such sum as may be approved by the Board from time to time.

B6 REQUISITIONS AND ORDERS

All requisitions given to the Corporate Procurement Unit for the supply of goods or the execution of services shall be given on an official requisition form signed by a duly authorised responsible officer.

No goods or services should be obtained without a properly authorised official order.

B7 STORES

The Director of Landlord Services and the Director of Finance shall jointly prescribe an efficient and effective system of stores recording and accounting with which officers must comply.

B8 CONTROL OF COLLECTION OF REVENUE

1.0 Records

- 1.1 All monies collected and received by officers of the Executive shall be promptly recorded in line with the methods approved by the Director of Finance. All necessary records shall be produced and the cash received banked and accounted for to the Director of Finance as and when required. Cash so received shall not be used for petty cash outlays.

2.0 Charges for Services or Goods Provided

- 2.1 The appropriate Director shall ensure that an appropriate contract / purchase order is in place outlining the conditions of supply prior to commencement of the supply. They shall, in a timely manner, provide the Director of Finance with details and agreements in respect of all charges to be made for work done, goods supplied or services rendered in respect of debts due to the Executive. Sufficient detail should be provided to allow the pursuance of the debt.

3.0 Recovery

- 3.1 The Director of Finance shall be responsible for the recovery of such debts properly advised to their and for initiating write-off where such agreements become unenforceable.

B9 ANNUAL ACCOUNTS

Annual accounts shall be prepared as soon as practicable after the close of the financial year and submitted to the Board for approval. Immediately after the accounts have been audited a copy of the accounts and auditor's report shall be sent to the Department for Communities.

B10 INSURANCE

1.0 Insurance by Contractors

- 1.1 The Head of Procurement/Corporate Procurement Unit shall, before the preparation of such documents as are required for the purpose of signing contracts, ensure the required insurances are in place.

2.0 Insurance by the Executive

- 2.1 Each Director will advise the Director of Finance of any risks arising from the operations undertaken in their division which should be covered by insurance. In order that the Executive's insurers may be informed without undue delay the Director of Finance shall be given early notice of any happening which may give rise to a claim against the Executive.

B11 CERTIFICATION OF ACCOUNTS

- 1.0 No accounts for expenditure incurred on behalf of the Executive shall be paid until they have been certified in such manner as the Director of Finance may prescribe. In particular, certification shall imply that the certifying officer is satisfied that:

The expenditure has been procured in line with Procurement instructions as detailed in B3 above.

- 1) The account is valid and all necessary approvals have been received.
- 2) The account is due and payable.
- 3) The matters to which the account relates have been carried out or supplied in accordance with the contract or order given.
- 4) The charges are in accordance with the schedule of rates or are reasonable where there is no schedule of rates.

- 5) Part payments previously made have been taken into account.
The Director of Finance shall pay all accounts and claims as so certified.

B12 INTERNAL AUDIT

The Chief Executive shall maintain an adequate internal audit function.

B13 BANKING ARRANGEMENTS

The Director of Finance Audit Risk and Assurance shall ensure efficient cost effective banking arrangements are in place. These arrangements should be reviewed regularly in order to safeguard payments and receipts, ensuring that transactions are executed and recorded in an accurate and timely manner. Method used should minimise the risk of fraud, whilst representing value for money and providing information required to manage the Executive's finances.

B14 NOTATION OF LOSSES, WRITE-OFFS AND SPECIAL PAYMENTS

Each Director or Regional Manager will advise the Director of Finance Audit Risk and Assurance promptly (giving full particulars) of all losses, write-offs and special payments, in line with the Dossier of Controls for notation within the Executive's annual accounts.

B15 CUSTODY OF RECORDS AND DOCUMENTS

Subject to any direction of the Chief Executive to the contrary, each Director shall have charge and custody of and be responsible for, all records and documents relating to their division of the Executive.

B16 ESTABLISHMENT

1.0 Register of Officers

- 1.1 The Director of Corporate Services shall be responsible maintaining a comprehensive register of all staff (permanent and temporary) appointments and adjustments to the appointments, retirements, resignations or re-grading of officers within the Executive.

2.0 Salary Adjustments

- 2.1 Upon receipt of the approval of the Department for Communities:
- incremental adjustments to salaries shall take effect from their due date;
 - pay awards made by the National Joint Council for Local Authorities shall take effect, in relation to relevant Officers, from the date fixed in the award.

B17 SALARIES AND WAGES

1.0 Records

- 1.1 The appropriate Director shall ensure that adequate arrangements are in place for recording and checking time worked within his or her division. Each Director must ensure that Corporate Services (HR) are notified of all relevant staffing issues such as leavers, sick absence etc., and that all matters notified to the Director of Finance in respect of salary payments are in accordance with the regulations of the Executive.

2.0 Payments

- 2.1 The Director of Corporate Services is responsible for agreeing rates of pay and allowances due, in accordance with approved policies. The Director of Finance shall be responsible for the payment of all salaries and wages, and the recovery of any overpayments.

3.0 Financial Apportionments

- 3.1 The Director of Finance Audit Risk and Assurance shall prescribe the method by which salaries of relevant disciplines shall be apportioned for reporting and funding purposes.

B18 ADMINISTRATION OF THE EXECUTIVE

1.0 Administrative Framework

- 1.1 The Chief Executive shall be responsible to the Board for establishing and maintaining an administrative framework which will facilitate and, as far as practicable, ensure sound administration in relation to all aspects of the Executive's functions, including its financial affairs.

2.0 Definition

- 2.1 In the context of this Standing Order "sound administration" refers to the need to conduct the Executive's functions in a manner which complies with:
 - 1) the requirements of propriety, regularity, probity, impartiality; and
 - 2) which is in accordance with "The Seven Principles of Public Life".

3.0 Relationship with Other Standing Orders

- 3.1 The obligations imposed by this Standing Order are additional to those imposed by any other Standing Orders.

B19 OBSERVANCE OF STANDING ORDERS

The Chief Executive shall ensure that these Standing Orders of the Executive in all matters of business are strictly complied with by each officer.

APPENDIX “A”

Examples for schemes over £100,000

Example 1 (request for additional spend with house sales):

APPROVED QUOTATION SUM: £930,000

(Initial Limit of Authority is £930k + £50k =£980k)

Deduct House Sales 4 @£5k = -£20,000

Adjusted Contract Sum = £910,000

(Revised Limit of Authority is £910k+ £50k = £960k)

If Additional expenditure is required Executive Team approval needs to be obtained.

Any additional expenditure above £1m requires a Post-Quotation report for Board approval.

Examples for schemes Less than £100,000

Example 2 (request for additional expenditure)

APPROVED QUOTATION SUM: £75,000

(Limit of Authority = £75,000 + £10,000 = £85,000)

Post quotation amount required £22,000

Adjusted Quotation Sum = £97,000

(Regional Manager/Regional Programme Delivery Manager/ Assistant Director Asset Management approval required as Adjusted Quotation Sum is less than or equal to £100,000)
(Revised Limit of Authority = £97,000 + £10,000 = £107,000)

Example 3 (request for additional spend with refusals)

APPROVED ADJUSTED QUOTATION SUM: £97,000

(Limit of Authority = £97,000 + £10,000 = £107,000)

Refusals 3 @ £2,000 - £6,000

ADJUSTED QUOTATION SUM : £91,000

Post quotation amount required £22,000

Adjusted Quotation Sum = £113,000

(LSCHC Approval required as Adjusted Quotation Sum is greater than £100,000 and less than or equal to £500,000) (Revised Limit of Authority = £113,000 +10% = £124,300)

(Note that revised limit of authority reverts to +10% or £50,000 (whichever is the lesser) as adjusted contract/quotation sum is over £100,000)

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BOARD SCHEME OF DELEGATIONS

Introduction

1. Regardless of any delegation, the Board continues to have discretion to decide any matter which is within the scope of its statutory functions.
2. The matters listed in [Appendix 1](#) are reserved to the Board.
3. The functions specified in [Appendix 2](#) are delegated to the postholders specified in that appendix. (In the present context, a reference to any post refers not just to an individual who is a postholder, but also to anybody who is temporarily authorised to carry out the duties of that post).
4. With the exception of the matters listed in Appendices 1 and 2, the Board delegates all other matters (“the residual matters”) to the Chief Executive. (In the present context, the term “Chief Executive” includes any person deputising for the Chief Executive).
5. The residual matters delegated to the Chief Executive are categorised as follows:
 - 5.1 The matters listed in [Appendix 3](#) below. Generally, these must be decided by the Chief Executive at the Executive Team or at a Corporate Portfolio Board Meeting.
 - 5.2 All other residual matters.
6. The matters referred to at 5 above can be sub-delegated by the Chief Executive and by their immediate or indirect delegate(s). They can be the subject of successive sub-delegations, subject to compliance with responsible officer limits.
7. The delegations set out in this Scheme do not diminish, or in any respect, affect:
 - 7.1 The Chief Executive’s accountability for the actions of all officers;
 - 7.2 Any Director’s accountability for the action of all officers within that Director’s division.
8. In the event of any conflict between any provision of this scheme and any provision of any Board approved financial regulations the relevant provision of the regulation shall prevail.

Litigation /Arbitrations /Adjudications

9. The Chief Executive exercises the powers of sub-delegation, referred to at paragraph 6 above, in relation to the approval of actions relating to claims in which litigation/ arbitration / adjudication is or is not pending within the framework set out below and in accordance with Appendices 4 and 5.

Action on Pending Litigation /Arbitrations /Adjudications

- 9.1 The holders of the posts listed in [Appendix 4](#) will have the power to settle litigation / arbitrations / adjudications, to the extent, and in the areas of activity, listed in that appendix and subject to any additional requirements set out in the Management Statement and Financial Memorandum.
- 9.2 The settlement authorities should normally be exercisable only on the basis of a written recommendation from a lawyer. If the amount of the settlement exceeds £50,000, the recommendation will have to be supported by the opinion of a

barrister. If the amount does not exceed £50,000, the recommendation could be provided by a solicitor alone, whether in-house or out-of-house.

Action on Claims which are not the Subject of Pending Litigation / Arbitration / Adjudication

- 9.3 The post-holders listed in [Appendix 5](#) will have the authority, to the extent, and in the areas, indicated in [Appendix 5](#). The relevant officers will exercise their authority in this connection only on the basis of a written recommendation of a solicitor (whether in-house or out-of-house), or of the Insurance and Claims Section (ICS) Manager – unless the settlement is being made by the post-holders listed in Appendix 5 (“small claims settlements”).
- 9.4 In relation to such small claims settlements, no prior legal advice/recommendation is required, but the Legal Department will carry out regular quality assurance exercises, with a view to providing information to the Director of Finance on the manner in which the relevant settlement authority function is being generally discharged.
- 9.5 The General Services Section may refer claims over £500 and less than or equal to £30,000, to the external claims handling service provider for advice on liability, and quantum and for the purposes of negotiating a settlement, if possible. Any such referral and settlement must comply with the procedures and controls contained in the relevant financial control document, as approved by the Executive Team.
- 9.5.1 The ICS Manager may handle a claim for the purposes of negotiating settlement having obtained the authority of the post-holder listed in Appendix 5.

Costs

- 9.6 The authority to settle (to the extent indicated in the appendices) carries with it the authority to authorise payment of the reasonable costs of any person who is the Executive’s opponent in the relevant litigation.
- 9.7 Authority to agree to pay costs must be distinguished from the authority to approve the amount of any costs so authorised. As to amount, the arrangements will be as follows:
 - a) Authority to agree to pay costs must be distinguished from the authority to approve the amount of any costs so authorized. The authority of the relevant post holder (as set out in Appendix 4 or Appendix 5, as the case may be) will be required by the in house or out of house solicitor acting on behalf of the Executive. In those circumstances, the relevant postholder will only exercise that authority on the basis of a written recommendation by the relevant solicitor.
 - b) In cases in which the Executive’s Public Liability insurer has taken over conduct of a claim, the authority of the relevant post-holder (as set out in Appendix 4 or Appendix 5, as the case may be) will be required. In those circumstances the relevant post-holder will only exercise that authority on the basis of the insurer company’s written recommendation.

Reports

- 9.8 Each Director should inform the Executive Team, at least twice a year, of the following:

- a) Any settlement authority exercised in the course of pending litigations / arbitrations / adjudications within their division, if the amount of the settlement exceeded £10,000;
 - b) Any settlement authority exercised by him/her in relation to a claim which was not the subject of pending litigation / arbitration / adjudication.
- 9.9 In addition, the Director of Finance Audit and Assurance should inform the Executive Team, at least twice yearly, of any settlement authority exercised by the level 7/level 8 officer post specified in [Appendix 5](#).
- 9.10 The Board should be informed at least twice yearly of the settlements referred to at paragraph 9.8 above, together with those exercised by the Chief Executive at Executive Team.

APPENDIX I - POWERS RESERVED TO THE BOARD

Statutory Schemes

- (1) Approval of the terms of any draft or amended draft of:
 - (a) House Sales Scheme.
 - (b) Emergency House Repairs Scheme.
 - (c) Housing Selection Scheme.
 - (d) Scheme for the Purchase of Evacuated Dwellings.
 - (e) Schemes under the Northern Ireland Act 1998.
 - (f) The Rent Scheme.
 - (g) HMO Registration Scheme
 - (h) All other statutory schemes not mentioned above.

Governance

- (2) Approval of Standing Orders and of a schedule of matters reserved to the Board.
- (3) Approval of a scheme of delegation of powers from the Board to officers.
- (4) Approval of governance policy changes including those relating to the dossier of controls.
- (5) Approval of framework document and of any modifications to it.
- (6) Approval of staff code of conduct.
- (7) Establishment of Board committees.
- (8) Approval of the Board's Operating Framework and Board Code of Practice and of any modifications to these documents.
- (9) Continuous oversight of the activities of the Executive, by means of the receipt of such reports, of committees and officers as the Board sees fit. In particular, all monitoring returns to Government and to other public bodies shall be reported, at least in summary, to the Board.
- (10) Procedure/policy Approval of the terms of:
 - (a) Appointments and promotions procedure.
 - (b) Disciplinary procedure.
 - (c) Redeployment procedure.
 - (d) Redundancy procedure.
 - (e) Premature retirement/early retirement scheme.
 - (f) Employment equal opportunities policy.
 - (g) Whistleblowing Policies.
- (11) The appointment of the Chief Executive and other Directors.
- (12) The appraisal, disciplining and dismissal of a Chief Executive.

- (12A) Approval of the composition of the Executive Team
- (13) Approval of the performance-related element of the Chief Executive's pay.
- (14) Approval of any substantial organisational restructuring.

Policy, Strategy, Plans, Budgets and Risk Register

- (15) Development and review of key policies as deemed appropriate by the Executive Team/Committee/Board
- (16) Definition of the strategic aims, objectives and key results areas of the Executive.
- (17) Approval of the Corporate Plan and Business Plan.
- (18) Approval of the revenue and capital budgets.
- (19) Approval of the Corporate Risk Register.

Land & Property Issues (excluding Social Housing Development Programme)

- (20) Acquisition, disposal (including sale) of any asset exceeding £500,000.
- (20 a) Any proposed amendments to the Terms and Conditions of any asset disposal or contract previously approved by the Board must have prior Board approval.
- (21) Approval of applications for all vesting orders.
- (22) Declarations of Urban Renewal Areas, of proposed redevelopment areas, of Housing Action Areas, of clearance areas and of rehabilitation schemes; and extensions and cancellations of such declarations.
- (23) Approval of the transfer of Executive stock to registered Housing Associations and Social Landlords.
- (24) Approval of the Undeveloped Land Schedule (ULS).

Housing Issues

- (25) Approval of the delegation of housing management functions to external bodies.

Financial Arrangements

- (26) Approval of financial regulations.
- (27) Approval of banking arrangements including the opening or closing of any bank or investment account (other than joint deposit receipts in conveyancing transactions).
- (28) Approval of the Executive's Counter Fraud Policy and Response Plan.

Audit Arrangements

- (29) Approval of audit arrangements, receipt of reports of Audit Committee meetings and the taking of any appropriate action.

Annual Reports and Accounts

- (30) Consideration and approval of the Executive's annual report and accounts and of associated accounting policies.

Approval of Expenditure

- (31) Generally, the Annual Budget approval by the Board provides authority to incur all expenditure specified within the Budget (subject to the requisite Executive Team and other delegations as appropriate), subject to the following which require separate Board approval.
- (32) Whenever such expenditure on a particular heading or programme (e.g. procurement strategy for response and planned maintenance, IT services) requires to be tendered, then the authority to incur such expenditure (i.e. before being tendered) will require specific approval by the Chief Executive at the Executive Team. Approval by the Board of the successful tender is required where the value is in excess of £1,000,000.
- (33) Where proposed expenditure exceeding £1,000,000 on a heading or programme has not specifically been provided for in the approved Annual Budget, then the authority to incur such expenditure must be approved by the Board. If such expenditure requires to be tendered and the successful tender amount varies from the value originally approved by the Board by less than or more than 10%, then a further Board approval will be required.

Other Contracts

- (34) Approval of successful tender for banking services.

Financial/Other Assistance to External Bodies & Groups

- (35) Approval of financial and other assistance to voluntary organisations concerned with homelessness, if the value of the assistance to a particular recipient (in cash and/or in kind) exceeds £500,000 in any financial year.
- (36) Approval of financial assistance to housing associations, charities and/or other approved bodies towards the provision of, or facilitating the carrying out of, works or services for owners or occupiers of any dwellings, if the value of the assistance to a particular recipient (in cash and/or in kind) exceeds £100,000 in any financial year.
- (37) Approval of financial assistance to voluntary organisations/bodies and to community groups if the value (in cash and/or in kind) of the assistance to a particular recipient (in cash and/or in kind) exceeds £100,000 in any financial year.

Supporting People

- (38) Approval of funding to service providers, pursuant to the Housing (Support Services) Order 2002, if the value (in cash and/or in kind) of the assistance to any individual scheme (in cash and/or in kind) exceeds £500,000 in any financial year.

Social Housing Development Programme

- (39) Approval of the annual Social Housing Development Programme, pursuant to the Housing (Amendment) (Northern Ireland) Order 2006.

APPENDIX 2 - POWERS DELEGATED TO SPECIFIC POSTS

(1)	Eligibility decision relating to a person from abroad under the homelessness legislation.	Any Team Leader* (L6) or any more Senior Post Holder.
(1A)	Ineligibility Decision on the Grounds of Unacceptable Behaviour under the Homelessness Legislation	Any Team Leader* (L6) or any more Senior Post Holder.
(1B)	Reviews of Decisions of: Eligibility Decision Relating to a Person From Abroad Under the Homelessness Legislation Ineligibility Decision on the Grounds of Unacceptable Behaviour Under the Homelessness Legislation	Any Housing Services Manager (L7) or any more Senior Post Holder to the Original Decision Maker.
(2)	Decision (other than eligibility decisions) in relation to individual applications under homeless legislation (see also 2A)	Housing Advisor* (L5), Patch Manager* (L5) or any more Senior Officer to this Post Holder.
(2A)	Decision (Other Than Eligibility Decisions) in Relation to Individual Applications Under Homelessness Legislation Relating to Intimidation	Team Leader* (L6) or any more Senior Post Holder to this Post.
(2B)	Reviews of decision (other than eligibility decisions) in relation to individual applications under homelessness legislation.	Team Leader* (L6) or any Officer More Senior to the Original Decision Maker.
(3)	Recognition of the tenant's right to buy.	Any AM, HSM or AHSM
(4)	Ascertainment of amount of discount entitlement under the right to buy.	Any Land and Property Manager.
(5)	Decision in Relation to the Issuing of Statutory Notices and Documentation or Any Other Action Prior to the Decision Whether to Issue Legal Proceedings for Possession of a Dwelling.	Any Patch Manager* (L5) or any more Senior Post Holder to this post.

(5A)	Decision in Relation to the Taking of Proceedings for Possession of a Dwelling.	Any Team Leader* (L6) or any more Senior Post Holder to the Original Decision Maker.
(5B)	Decision in Relation to the Making of an Application to or Order of the Enforcement of Judgements Office.	Any Team Leader* (L6) or any more Senior Post Holder to the Original Decision Maker.
(6)	Decision Relating to Assignment (Including Direct Exchange) of a Secure Tenancy.	Lettings Manger* (L5) or any more Senior Post Holder to this Post.
(6A)	Decision Relating to a Statutory and a Policy Succession of Tenancy.	Lettings Manger* (L5) or any more Senior Post Holder to this Post.
(7)	Grant of joint tenancy.	Lettings Manger* (L5) or any more Senior Post Holder to this Post.
(8)	Decision on whether grant aid is the most satisfactory course of action where an unfit dwelling is the subject of a grant preliminary enquiry / application form.	Any HSM jointly with any grants manager (GM).
(9)	Decision on the appropriate form of statutory action for an unfit dwelling (i.e. Closing Order, Demolition Order or Repairs Notice) if dwelling is not currently the subject of grant application.	Any AM or HSM.
(10)	<p>Enforcement Powers in Relation to Houses in Multiple Occupation (HMO).</p> <p>Housing (NI) Order 1981 Article 13</p> <p>Housing (NI) Order 1981 Article 14</p> <p>Housing (NI) Order 1982 as amended:</p> <p style="padding-left: 40px;">Article 76 & 80</p> <p style="padding-left: 40px;">Article 75(N) & 75(3)</p> <p style="padding-left: 40px;">Article 79 Housing</p> <p>(NI) Order 1992 as amended:</p> <p style="padding-left: 40px;">Article 85</p> <p>Housing (Management of Houses in Multiple Occupation) Regulations (NI) 1993:</p> <p style="padding-left: 40px;">Regulation 15 & 18</p>	<p>L5, TL3 or L7</p> <p>TL3 or L7</p> <p>TL3 or L7</p> <p>L5, TL3 or L7</p> <p>TL2, TL3 or L7</p> <p>TL3 or L7</p> <p>L5, TL3 or L7</p>

(11)	Housing Application Eligibility Decision (Other than Decisions Under Items 11A&11B).	Housing Advisor* (L5), Patch Manager* (L5) or any more Senior Officer to this Post Holder.
(11A)	Housing Application Decision Relating to a Person from Abroad.	Team Leader* (L6) or any more Senior Post Holder to this Post.
(11B)	Housing Application Ineligible Decision on the grounds of unacceptable behaviour	Team Leader (L6) or any more Senior Post Holder to this Post.
(11C)	Authority to Make an Allocation of Tenancy from the Waiting List.	Lettings Manager* (L5) or any more Senior Post Holder to this Post.
(11D)	Decision Under Rule 23 of the Housing Selection Scheme Relating to Intimidation.	Team Leader* (L6) or any more Senior Post Holder to this Post.
(11E)	Decision to Withdraw an Offer of Accommodation	Assistant Area Manager* (L7) or any more Senior Post Holder to this Post
(12)	Decision as to Whether or Not to Purchase a Particular SPED Dwelling.	Director of Regional Services.
(13)	Approval of Draft Orders Extinguishing any Public Rights of Way.	Assistant Director, Regional Services (Land & Strategic Regeneration).
(14)	Decision to Seek and Anti-Social Behaviour Order.	Any Level 7 Officer or Above – Landlord Services Division.
(15)	Decision to Seek an Injunction in Relation to Anti-Social Behaviour.	Any Level 7 Officer or Above – Landlord Services Division.
(16)	Approval of Variation (Increasing) of a Building Contract/Planned Scheme (including Group Repair) by more than £10,000 in aggregate if Overall Value of the Adjusted Contract Sum is Not More than £100,000.	Regional Manager/Assistant Director, Asset Management.

(17)	Approval of Variation (Increasing) of a Building Contract/Planned Scheme (including Group Repair) by up to £10,000 in aggregate if the Overall Value of the Adjusted Contract Sum is Not More than £100,000.	Designated Contract Administrator/ Project Manager.
(18)	Approval of Variation (Increasing) of a Building Contract/Planned Scheme (including Group Repair) by up to 10% in aggregate or £50,000 (Whichever is the Lesser) if the Overall Value of the Adjusted Contract is Greater than £100,000.	Designated Contract Administrator/ Project Manager.
(19)	Authorisation of Transactions the Value of Which Exceeds the Normal Grade Based on Responsible Officer Authority Limits Using Special Case Payments Status, in Order to Facilitate Routing Decision Making.	Nominate Special Case Payment Officer approved by the Director of Finance and Director Responsible for the Functional Activity.
(20)	Authority to write off invoiced debt or waive a claim up to the value of £100 (one hundred pounds) where the recovery action is uneconomical, unlikely to succeed, or considered inappropriate, unless considered novel or contentious or potentially have significant future cost implications.	Income Manager & Shared Services Manager
(20a)	Authority to write off invoiced debt or waive a claim up to the value of £1000 (one thousand pounds) where the recovery action is uneconomical, unlikely to succeed, or considered inappropriate, unless considered novel or contentious or potentially have significant future cost implications.	Assistant Director – Financial Support Services
(21)	Authority to Approve Extra Contractual and Ex-Gratia Payments Up To £15,000, Unless Considered Novel or Contentious, or Have or Could Have Significant Future Cost Implications.	Any Director.
(22)	Approval of Financial and Other Assistance to Voluntary Organisations Concerned with Homelessness, if the Value of the Assistance to a Particular Recipient (In Cash and/or In Kind) is More than £100,000 and up to £250,000 in any Financial Year.	Director of Housing Services.
(23)	Approval of Financial and Other Assistance to Voluntary Organisations Concerned with Homelessness, if the Value of the Assistance to a Particular Recipient (In Cash and/or In Kind) up to £100,000 in any financial year.	Assistant Director Housing Services

(24)	Approval of financial assistance to housing associations, charities and/or other approved bodies towards the provision of, or facilitating the carrying out of, works or services for owners or occupiers of any dwellings, if the value of the assistance to a particular recipient (in cash and/or in kind) is more than £50,000 but less than £100,000 in any financial year.	Director of Housing Services.
(25)	Approval of financial assistance to voluntary organisations/bodies and to community groups if the value (in cash and/or in kind) of the assistance to a particular recipient (in cash and/or in kind) is more than £50,000 and up to £100,000 in any financial year.	Director of Housing Services
(26)	Approval of Funding to Supporting People Service Providers, Pursuant to the Housing (Support Services) Order 2002, if the Value (In Cash and/or In Kind) of the Assistance to Any Individual Scheme (in Cash and/or In Kind) is More Than £100,000 and up to £250,000 In Any Financial Year.	Director of Regional Services
(27)	Approval of Funding to Supporting People Service Providers, Pursuant to the Housing (Support Services) Order 2002, if the Value (In Cash and/or In Kind) of the Assistance to Any Individual Scheme (In Cash and/or In Kind) up to £100,000 in any Financial Year.	Assistant Director, Regional Services (Supporting People)
(28)	Authority to approve ex-gratia payments up to £15k in relation to claims for property damage/loss in non-standard homeless accommodation, unless considered novel or contentious or have or could have significant future cost implications	Insurance & Claims Manager

APPENDIX 3 - RESIDUAL MATTERS TO BE DECIDED AT EXECUTIVE TEAM

Governance

- (1) Approval of arrangements for dealing with complaints.
- (2) Approval for arrangements for dealing with challenges to succession and assignment of tenancy decisions
- (3) Approval of principles of Executive policy on Freedom of Information.

Policy, Strategy, Plans, Budgets and Risk Register

- (4) Approval of format and principles of District Housing Plans.

Land & Property Issues (excluding Social Housing Development Programme)

- (5) Approval of policy framework of the Acquisition of Satisfactory Houses (ASH) Scheme.
- (6) Approval of purchase of dwelling under the ASH Scheme if the value of the dwelling is in excess of £250,000.
- (7) Approval of purchase under the advance purchase arrangements if the value of the property is in excess of £250,000.
- (8) Approval of contributions towards costs of developing land sold by the Executive.
- (9) Approval of the construction of houses for sale.
- (10) Approval of all Land and Property transactions over £250,000 and under or equal to £500,000 with the exception of SPED disposals (see paragraph 10 below).
- (11) SPED disposals over £250,000 require Executive Team approval. SPED disposals under or equal to £250,000 are approved at Regional Services Clearing House Committee.
- (12) SPED acquisitions are approved by Director of Regional Services (Appendix 2).
- (13) Granting of authority to negotiate vesting compensation on an equivalent reinstatement basis.

Financial Arrangements

- (14) Approval of the writing-off of any loss, subject to the delegated limits determined by DfC as stated in the agreed Management Statement Financial Memorandum (£15,000 per case / incident) and Powers Delegated to Specific Posts ([Appendix 2](#)). This applies to the following categories of losses/special payments:
 - (a) Cash losses.
 - (b) Stores and equipment losses.
 - (c) Constructive losses.
 - (d) Fruitless payments.

(In this context, the expression “losses”, and the sub-categories of losses, are to be construed in line with the equivalent expression and sub-categories in any relevant provision of the Dossier of Controls which is in force at the date on which Board approval, of the relevant expenditure, is given).

- (15) Approval of extra contractual and ex-gratia payments over £15,000, unless considered novel or contentious, and under or equal to £50,000.
- (16) Approval of requests for departmental approval of action in relation to:
- cash losses over £15,000
 - stores and plant losses over £15,000
 - constructive losses & fruitless payments over £15,000
 - extra-contractual or ex-gratia payments over £50,000
 - all extra statutory and extra regulatory payments
 - payment of compensation in excess of £50,000 in respect of loss/damage to employees personal property
 - any waiver or abandonment of any claim not the subject of pending litigation (including arbitrations) if the amount waived or abandoned exceeds £20,000. (for delegated limits, see appendix 5)
 - any claim in the context of litigation (including arbitration) or adjudication by or against the Executive where the amount at stake or the settlement sum (excluding costs) exceeds £50,000. (For delegated limits see Appendix 4).
 - financial remedy payments over £500 (i.e. payments made to complainants through internal complaints processes, Department of Finance (DoF) approval required)
 - financial remedy payments over £50,000 to be made as a result of a recommendation from the NI Assembly Ombudsman or NI Commission for Complaints (DoF approval required).
 - foregoing the recoupment of overpayments of pay, pensions and allowances over £20,000 (DoF approval required).
 - foregoing the recoupment of overpayment of grants (DoF approval required)
 - negotiated vesting compensation payments as specified in paragraph 12 above where the amount is greater than £50,000.
 - special severance packages (DoF approval required)
- (17) The approval of compensation payments in accordance with the requirements stated in the Board Scheme of Delegation section 9, as follows (for delegated limits see Appendices 4 and 5):
- Not the subject of litigation, (including arbitration), for damage to personal property of staff where the amount is greater than £5,000 and does not exceed £50,000.
 - Not the subject of pending litigation (including arbitrations) where the amount is greater than £15,000 and less than £50,000.
 -
- (18) The approval of any waiver or abandonment of any claim, as follows (for delegated limited see Appendices 4 and 5):
- Not the subject of pending litigation (including arbitrations) if the amount waived or abandoned exceeds £15,000 but does not exceed £20,000 (for delegated limits see Appendix 5).

- (19) If an award exceeding £50,000 is made against the Executive in any judgment or decision the facts will be brought promptly to the attention of the Executive Team, so that early consideration can be given by the Chief Executive, to the possibility of an appeal and to comply with any approval requirements in the Financial Memorandum.

Building Contracts and Planned Schemes (including Group Repair)

- (20) For the avoidance of doubt, a Planned Scheme (including Group Repair) is one that consists of works of a planned nature and requires the allocation of a project number for cost collection. Financial Regulations 1 and 2 provide further directions on the level and scope of sub-delegated authorities in relation to this matter.

Authority to Incur Expenditure on Building Contracts / Planned Schemes (including Group Repair) (FR.1)

- (21) The Chief Executive at Executive Team is granted authority to incur expenditure on capital and revenue schemes of more than £500,000 and under or equal to £1,000,000.

Authority to Incur Expenditure on Land and Property Transactions (FR.1A)

- (21a) The Chief Executive at Executive Team is granted authority to incur expenditure on land and property transactions over £250,000 and under or equal to £500,000. Transactions do not include SPED acquisitions (see Appendix 2:12).
- (21b) Any proposed amendments to the Terms and Conditions of any asset disposal or contract previously approved by the Executive Team must have prior Executive Team approval.

Approval of Tenders of Building Contract / Planned Schemes (including Group Repair) (FR.2)

- (22) If the approved cost estimate is greater than £1,000,000 and the recommended tender value has not exceeded this cost estimate by more than +10%.
- (23) If the approved cost estimate is more than £500,000 and is under or equal to £1,000,000, and the recommended tender value has exceeded this cost estimate by more than +10%.

Variation of Building Contract / Planned Schemes (including Group Repair)

- (24) Approval of the issue of instructions by a contract administrator / project manager under a building contract / Planned Scheme (including Group Repair) which increases the original contract / quotation sum by:

For Contracts More Than £500,000 and Less Than or Equal to £1,000,000:

A percentage in excess of plus 10% or £50,000 in aggregate (whichever is the lesser) if the adjusted contract / quotation sum remains more than £500,000 and less than or equal to £1,000,000.

For Contracts More Than £100,000 and Less Than or Equal to £500,000:

A percentage in excess of plus 10% or £50,000 in aggregate (whichever is the lesser) if the adjusted contract / quotation sum exceeds £500,000.

Authority to Incur Expenditure Generally

- (25) Generally, the Annual Budget approval by the Board provides authority to incur all expenditure specified within the Budget (subject to the requisite Executive Team and other delegations as appropriate), subject to the following which require separate Executive Team approval.
- (26) Whenever such expenditure on a particular heading or programme (e.g. procurement strategy for response and planned maintenance, IT services) requires to be tendered, then the authority to incur such expenditure (i.e. before being tendered) will require specific approval by the Chief Executive at the Executive Team, where the value is over £250,000. Approval by the Board of the successful tender is required where the value is in excess of £1,000,000.
- (27) Authority to incur expenditure (other than building contract/Planned Schemes (including Group Repair)) of between £250,001 and £1,000,000. Directors have general delegated authority to incur expenditure up to and including £250,000.

Financial/Other Assistance to External Bodies and Groups

- (28) Approval of financial and other assistance to voluntary organisations concerned with homelessness, if the value of the assistance (in cash and/or in kind) is more than £250,000 and less than or equal to £500,000.
- (29) Approval of funding to service providers, pursuant to the Housing (Support Services) Order 2002, if the value (in cash and/or in kind) of the assistance to any individual scheme (in cash and/or in kind) is more than £250,000 and less than or equal to £500,000 in any financial year.
- (30) Approval of financial assistance to housing associations, charities and/or other approved bodies towards the provision of, or facilitating the carrying out of, works or services for owners or occupiers of any dwellings, if the value of the assistance (in cash and/or in kind) does not exceed £100,000.
- (31) Approval of financial assistance to voluntary organization/bodies and to community groups if the value (in cash and/or in kind) of the assistance does not exceed £100,000.

- (32) Approval of any applications for vesting orders (other than approvals reserved to the Board).

Social Housing Development Programme

- (33) The granting of authority to incur expenditure on the Social Housing Development Programme in compliance with Financial Regulation 4 and the relevant Dossier of Control.

Asbestos Removal Work

- (34) Approval to use grant aid as appropriate, on an exceptional basis, in respect of asbestos removal work to former (i.e. sold) Executive stock in compliance with the relevant Dossier of Control.

Miscellaneous Functions/Activities

- (35) Approval of the Review of Northern Ireland Housing Market.
- (36) Approval of the annual research programme.
- (37) Novation of any contract.
- (38) Approval of list of officers authorized to affix the seal in accordance with Standing Order A9.

APPENDIX 4 - ACTION ON CLAIMS (LITIGATION / ARBITRATION / ADJUDICATION PENDING)

Note that this delegated authority may be subject to any further requirements as defined under the agreed Management Statement Financial Memorandum. (See Board Scheme of Delegation section 9 for further guidance regarding requirements for legal advice and reporting).

Post	Area of authority	Extent (£)
Any Director	Litigation / arbitrations / adjudications mainly relevant to the functions of their area of authority.	50,000
Assistant Director Human Resources Advisory	Litigation / arbitrations / adjudications arising out of or in connection with employment issues.	40,000
Assistant Director, Housing Services	Litigation / arbitrations / adjudications mainly relevant to the functions within their area of authority	40,000
Assistant Director, Asset Management	Litigation / arbitrations / adjudications mainly relevant to the functions within their area of authority	40,000
Regional Manager	Litigation mainly relevant to the functions of a Regional Manager inc public liability & housing litigation.	40,000
Area Manager	Public liability and miscellaneous housing litigation.	35,000
Housing Services Manager	Public liability and miscellaneous housing litigation.	30,000
Head of Procurement	Contract litigation, arbitrations and adjudications	40,000
Senior Procurement Manager Construction and Claims	Contract litigation, arbitrations and adjudications.	30,000
Assistant Director, Regional Services Division	Litigation / arbitrations / adjudications mainly relevant to the functions of Regional Services Division.	40,000

Senior Principal Officer, Land and Regeneration Services	Litigation / arbitrations / adjudications mainly relevant to the functions of Land & Commercial Property within their area of	30,000
Principal Officer, Land and Regeneration Services	Litigation / arbitrations / adjudications mainly relevant to the functions of Land and Property within their area of authority.	30,000

APPENDIX 5 - ACTION ON CLAIMS (LITIGATION / ARBITRATION / ADJUDICATION NOT PENDING)

Note that this delegated authority may be subject to any further requirements as defined under the agreed Management Statement Financial Memorandum. (See Board Scheme of Delegation section 9 for further guidance regarding legal advice and reporting requirements).

Post	Area of authority	Extent (£)
Any Director	The same as the relevant Director's area of authority in the context of litigation	30,000
Any Director	Damage to personal property of staff	5,000
Manager – Insurance & Claims Section Assistant Director Financial Support Services	Public liability claims	3,000

APPENDIX 6 – SPECIAL CASE PAYMENT SCHEDULE

Note that this table is for illustrative purposes and may be subject to any further revision or amendment.

New Special Case Payments Categories				
SCP No	SCP Name	Explanation of Category, and what is included in this category?	Financial Limit	Notes
1	Audit Fees	This Special Case Payment category permits Responsible Officers within the Finance Division to authorise payment of NIAO/ external audit fees.	250,000	
2	Building and General Maintenance - Certificates and Fee Accounts	Financial Regulation 1 in the Executive's Standing Orders / Scheme of Delegation legislation details the rules regarding approval of Building and General Maintenance schemes. This special case payment facilitates the payment of certificates for approved schemes authorised by the project managers to be paid (usually via CPS/ SAMS/ PROFESS/ INSITE).	500,000	
3	Grants	This Special Case Payment allows Grants Managers to authorise the various Grant Payments outside their normal limits of delegated authority in accordance with the approved CXBC paper. These payments are via an interface from the GMS/APP systems.	See Grants SCP table (Gateway)	
4	Housing Benefit	This Special Case Payment type allows Responsible Officers within the Finance Division to authorise the bacs payment for Housing Benefit outside normal financial limits of authority.	22,000,000	
5	Payroll and Staff Deductions	This Special Case Payment permits Responsible Officers within the Finance Division to authorise payments in relation to Salaries and Wages. Designated Officers will authorise the Monthly Salary payment via bacs and payment of payroll deductions/tax/NI/pension.	7,000,000	
6	Loan Charges and Treasury	This Special Case Payment allows Responsible Officers to authorise Payments for Dept of Finance and Local Authority/ council loan charges and Treasury investments.	90,000,000	
7	Legal Fees	This Special Case Payment type allows the Legal Department to approve payment of legal fee & associated charges to Barristers/ External Solicitors instructed by the Legal Department or payments of third party legal costs when it has been agreed to do so.	100,000	
8	Land and Property	This Special Case Payment grants permission to Officers with Land & Regen to approve a payment	600,000	

	Acquisition, Redevelopment and SPED	to acquire land and property for new build, redevelopment or clearance either by agreement or vesting. Most land acquisitions require Board and Department for Communities approval. Compensation paid involves Home Loss, Disturbance compensation for the loss of their home/business. This Special Case Payment also relates to monies paid to owners of private properties which the Executive acquire under the SPED scheme.		
9	Response Maintenance Including Measured Term	This special payment allows Housing Maintenance staff to authorise payments on HMS above their delegated authority for approved maintenance activity.	250,000	
10	LPS Rates	This Special Case Payment grants officers in the Finance Division authority to authorise payments to the Land Property Services for Rates due.	50,000,000	
11	Utility Bills	This Special Case Payment allows officers within the Finance Division to authorise miscellaneous utility bills eg Mobile Phone Charges/Electricity Bills outside the normal delegated authority.	150,000	
12	Commissioned Research	This Special Case Payments is given to officers within the Research Department to authorise payments outside normal limits of authority in respect of research services approved as part of the annually approved Research Programme.		
13	Supporting People	Special Case Payment status is given to officers within Strategic Partnerships to authorise expenditure outside normal limits of delegated authority in relation to the Supporting People and associated programmes. The payments are processed through the Supporting People Interface with Accounts Payable or via EPF.	500,000	
14	Local Government Staff Commission (LGSC)	This Special Case Payment grants officers in the HR Division authority to authorise payments of the Local Government Staff commission fees.	200,000	
15	IT Expenditure	This Special Case Payment allows IT staff to authorise expenditure outside normal limits of delegated authority for routine IT charges approved in budget ie IT Assist Contract payments.	1,500,000	
16	Rent and Service Charges	This Special Case Payment allows the Facilities Services Managers to authorise Annual Rent and Service Charges payments through Accounts Payable/eProcurement.	250,000	
17	Partnership, Voluntary & Community Sector Funding	Special Case Payment status is given to the Assistant Directors Landlord Services to authorise outside normal limits of delegated authority. The payments are in respect of partnership, Voluntary & Community Sector Funding which has been approved by the Board.	250,000	

18	Construction Industry Tax	This Special Case Payment allows designated officers within Finance Division to authorise the monthly statutory payment of tax deducted at source from contractors to the Inland Revenue.	100,000	
19	Grounds Maintenance	This Special Case Payment allows designated Grounds Managers to authorise Grounds Maintenance payments for cyclical works and approved non routine expenditure.	150,000	
20	New Build / Housing Association Payments	This Special Case Payment allows designated Officers to authorise outside normal limits of delegated authority for the authorisation of monthly payments to Housing Associations.	10,000,000	
21	Corporation Tax	This Special Case Payment allows responsible Officers to authorise Corporation Tax Payments for Landlord Services and Regional Services to HM Revenue and Customs in accordance with the quarterly payment due dates.	4,000,000	
22	Recruitment Agency Payments	This Special Case Payment allows the Director of Corporate Services a nominated HR staff by him to approve payments to Recruitment Agencies.	250,000	
23	Adaptation Grants Payment for Housing Associations	This Special Case Payment allows Level 5 staff members to approve disabled adaptation grants to Housing Association properties to the same limit as Level 6 staff members	7,500	

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Supporting People Programme Transactions more than £500,00068

Supporting People Programme Transactions over £250,000 and under or equal to £500,00068

Supporting People Programme Transactions over £100,000 and under or equal to £250,00068

Supporting People Programme Transactions under or equal to £100,00068

FINANCIAL REGULATION I - AUTHORITY TO INCUR EXPENDITURE ON BUILDING CONTRACTS / PLANNED SCHEMES (INCLUDING GROUP REPAIR)

Capital and Revenue Schemes More Than £1,000,000

1. Scheme is presented to the Regional Programme Delivery Managers Clearing House to agree.
2. Landlord Services Clearing House agrees and recommends submission to the Executive Team.
3. Executive Team recommends.
4. Board/Committee approves.

Capital and Revenue Schemes Over £100,000 and Less Than or Equal to £1,000,000

1. Scheme is presented to the Regional Programme Delivery Managers Clearing House to agree
2. Landlord Services Clearing House approves.
3. Schedule is submitted to the Executive Team for information.

Capital and Revenue Schemes Over £10,000 and Less Than or Equal to £100,000

1. Scheme is presented to the Regional Programme Delivery Managers Clearing House to agree; Regional Programme Delivery Manager/Regional Manager approves.
2. Schedule is submitted to Landlord Services Clearing House Committee for information.

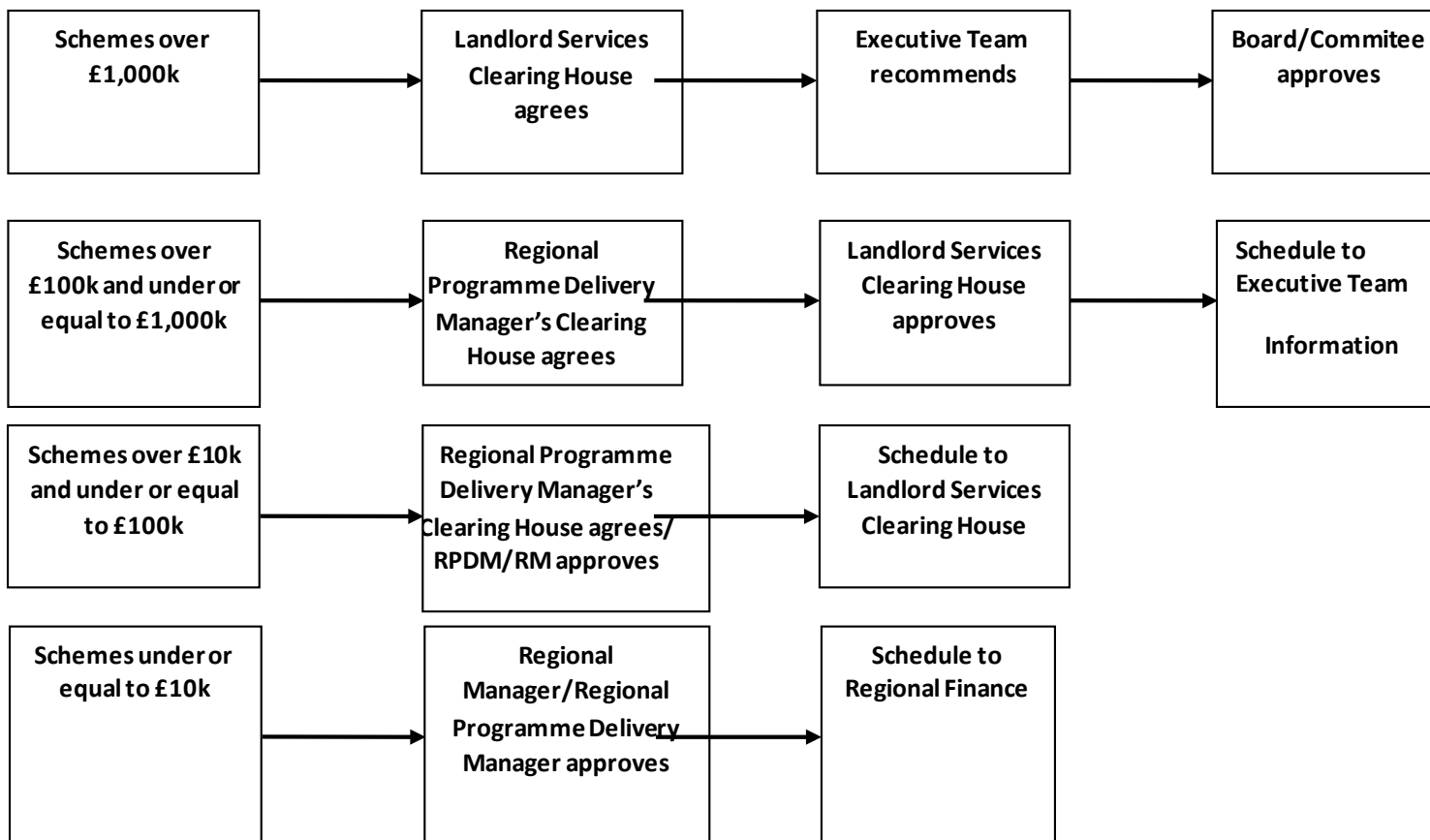
Capital and Revenue Schemes Less Than or Equal to £10,000

1. Scheme is submitted to the Regional Manager for approval.
2. Schedule submitted to regional finance for information.

The following table is for general guidance only.

AUTHORITY TO INCUR EXPENDITURE ON ALL CONTRACTS - FR I

CAPITAL AND REVENUE SCHEMES



FINANCIAL REGULATION 1A - AUTHORITY TO INCUR EXPENDITURE ON LAND AND PROPERTY TRANSACTIONS (INCLUDING SPED DISPOSALS)

Land and Property Transactions More Than £500,000

1. Paper is presented to the Regional Services Clearing House to agree
2. Regional Services Clearing House agrees and recommends submission to the Executive Team
3. Executive Team recommends submission to the Board
4. Board approves
5. Any proposed amendments to the Terms and Conditions of any asset disposal or contract previously approved by the Board must have prior Board approval.

Land and Property Transactions Over £250,000 and Under or Equal to £500,000

1. Paper presented to the Regional Services Clearing House to agree
2. Regional Services Clearing House agrees and recommends submission to the Executive Team
3. Executive Team approves
4. Any proposed amendments to the Terms and Conditions of any asset disposal or contract previously approved by the Executive Team must have prior Executive Team approval.

Land and Property Transactions Over £100,000 and Under or Equal to £250,000

1. Paper presented to the Regional Services Clearing House to agree
2. Regional Services Clearing House approves
3. Schedule is submitted to the Executive Team for information

Land and Property Transactions Over £10,000 and Under or Equal to £100,000

1. Paper is presented to Assistant Director Regional Services for approval
2. Assistant Director approves

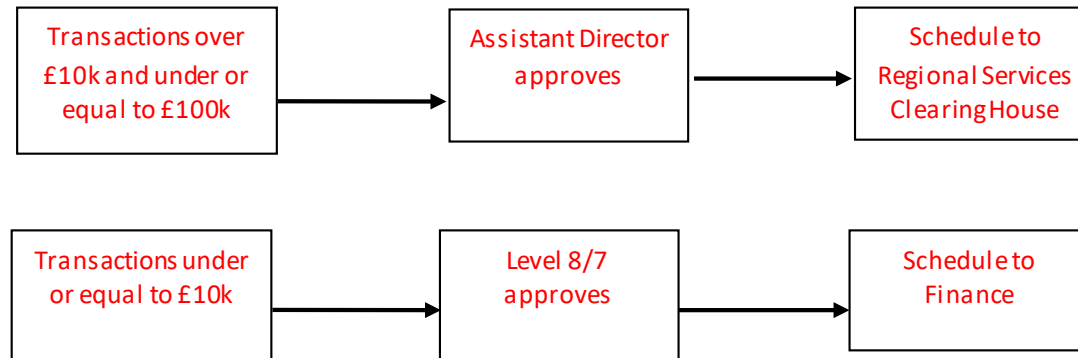
3. Schedule is submitted to Regional Services Clearing House for information.

Land and Property Transactions Under or Equal to £10,000

1. Paper submitted to the Level 8 / 7 for approval
2. Level 8 / 7 approves
3. Schedule to Regional Finance for information.

The following table is for general guidance only

AUTHORITY TO APPROVE REGIONAL SERVICES LAND & PROPERTY TRANSACTIONS (including SPED Disposal) FRI.A



* Transactions do not include SPED Acquisitions see Appendix 2:12

FINANCIAL REGULATION 2 - APPROVAL OF TENDERS FOR BUILDING CONTRACTS/PLANNED SCHEMES (INCLUDING GROUP REPAIR)

Schemes More Than £1,000,000

- [A] If a tender is returned and the cost estimate is not varied by more than plus 10% the appropriate Director may recommend acceptance (through Landlord Services Clearing House Committee) of the tender and Executive Team can approve.
- [B] If a tender is returned and the tender varies the cost estimate by more than plus 10%, the following action is required:
- Landlord Services Clearing House can recommend acceptance
 - Executive Team can support the recommendation and submit to Board
 - Board can approve

If a tender requires to be rejected because it is not the most economically advantageous tender, the appropriate Director recommends rejection and the Executive Team approves rejection.

Schemes More Than £500,000 and Less Than or Equal to £1,000,000

- [C] If a tender is returned and the cost estimate is not varied by more than plus 10% the appropriate Director may recommend acceptance of the tender and Landlord Services Clearing House can approve.
- [D] If a tender is returned and the tender varies the cost estimate by more than plus 10%, the following action is required:
- Landlord Services Clearing House can recommend acceptance
 - Executive Team can approve

In either of the circumstances described at [C] and [D] above, where a tender requires to be rejected because it is not the most economically advantageous tender, the appropriate Director recommends rejection and the Executive Team approves rejection.

- [E] In either of the circumstances described at [C] and [D] above where the increase in the cost estimate results in a tender higher than the £1,000,000 threshold Executive Team recommends submission to the Board and Board approves adopting the procedure at [B] above.

Schemes More Than £100,000 and Less than or Equal to £500,000

- [F] If a tender is returned and the cost estimate is not varied by more than plus 10%, the appropriate Director may approve the tender and schedule to the Landlord Services Clearing House Committee for information.
- [G] If a tender is returned and the tender varies the cost estimate by more than plus 10% the following action is required:
1. Appropriate Director can recommend acceptance
 2. Landlord Services Clearing House Committee can approve
 3. A schedule is submitted to the Executive Team

In either of the circumstances described at [F] and [G] above, where a tender requires to be rejected because it is not the most economically advantageous tender, the appropriate Director recommends rejection and the Landlord Services Clearing House Committee approves rejection.

- [H] In either of the circumstances described at [F] and [G] above where the increase in the cost estimate results in a tender higher than the £500,000 threshold Landlord Services Clearing House Committee recommends submission to Executive Team can approve adopting the procedure at [D] above.

Schemes Less than or Equal to £100,000

- [I] If a tender is returned and the cost estimate is not varied by more than plus 10% the appropriate Director/Regional Manager/Assistant Director Asset Management may approve.
- [J] If a tender is returned and the tender varies the cost estimate by more than plus 10% the following action is required:
1. Appropriate Director/Regional Manager/Assistant Director Asset Management can recommend acceptance
 2. Landlord Services Clearing House Committee can approve

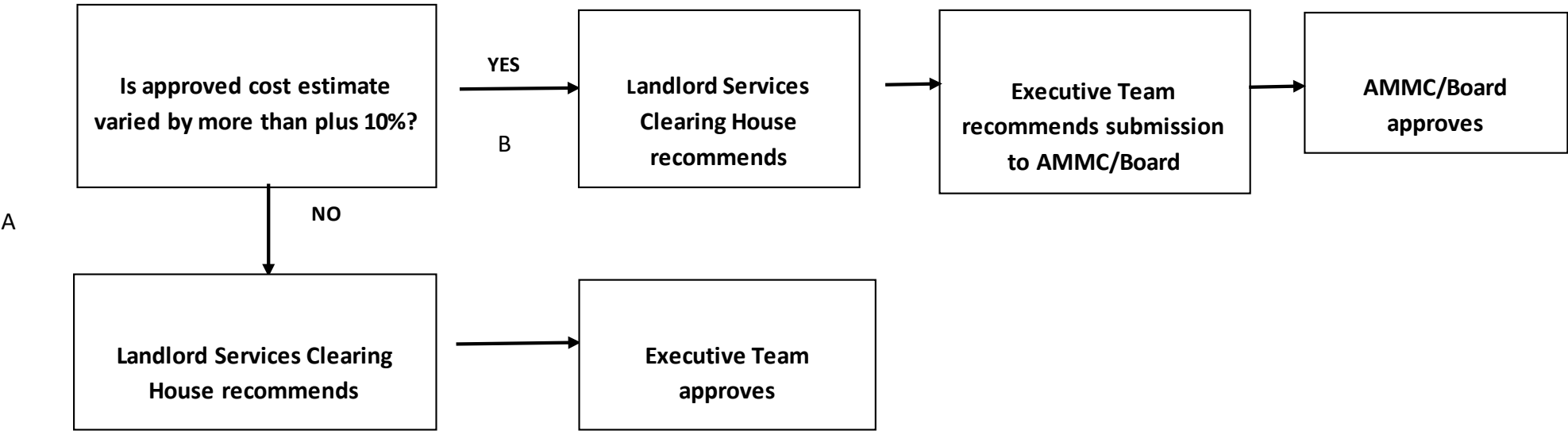
In either of the circumstances described at [I] and [J], if a tender requires to be rejected because it is not the most economically advantageous tender, the appropriate Director/Regional Manager/Assistant Director Asset Management/Regional Programme Delivery Manager approves rejection and a schedule is submitted to the Landlord Services Clearing House Committee for information.

- [K] In either of the circumstances described at [I] and [J], where the increase in the cost estimate results in a tender higher than the £100,000 threshold the appropriate Director/Regional Manager recommends acceptance and Landlord Services Clearing House Committee can approve.

The following tables are for general guidance only:

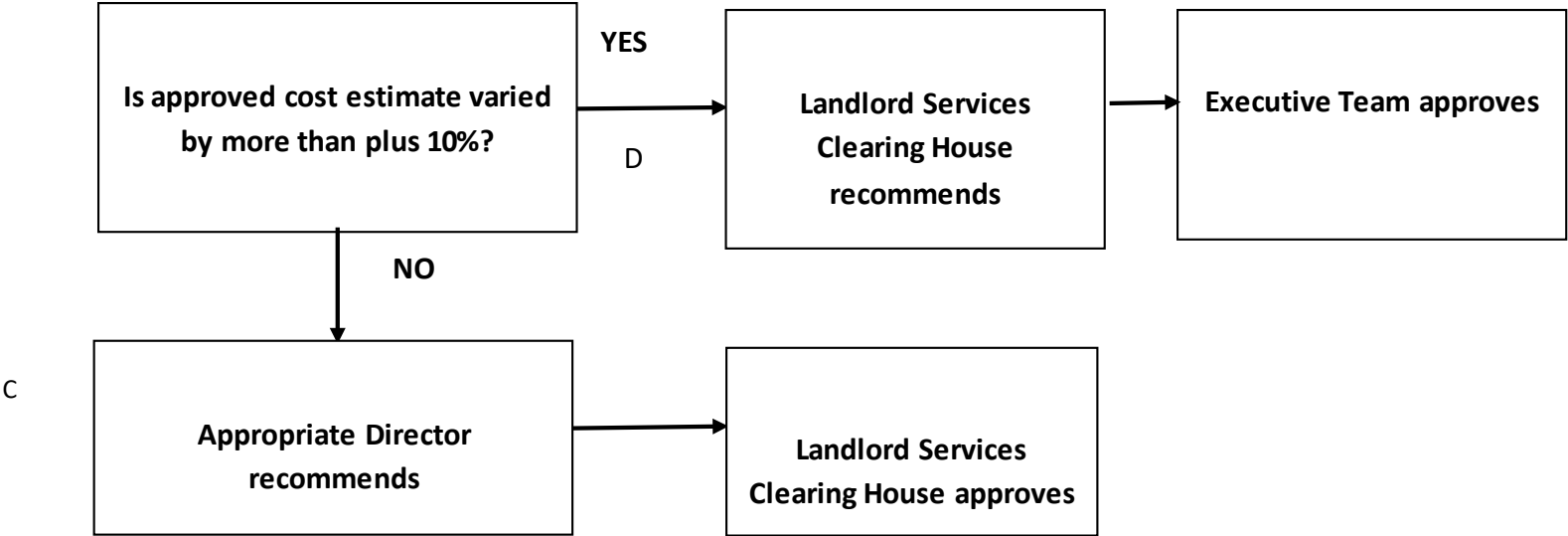
APPROVAL OF TENDERS FOR BUILDING CONTRACTS / PLANNED SCHEMES (INCLUDING GROUP REPAIR) FR 2

SCHEMES MORE THAN £1,000,000



A and B - If a tender requires to be rejected because it is not the most economically advantageous tender, the appropriate Director recommends rejection and the Executive Team approves rejection.

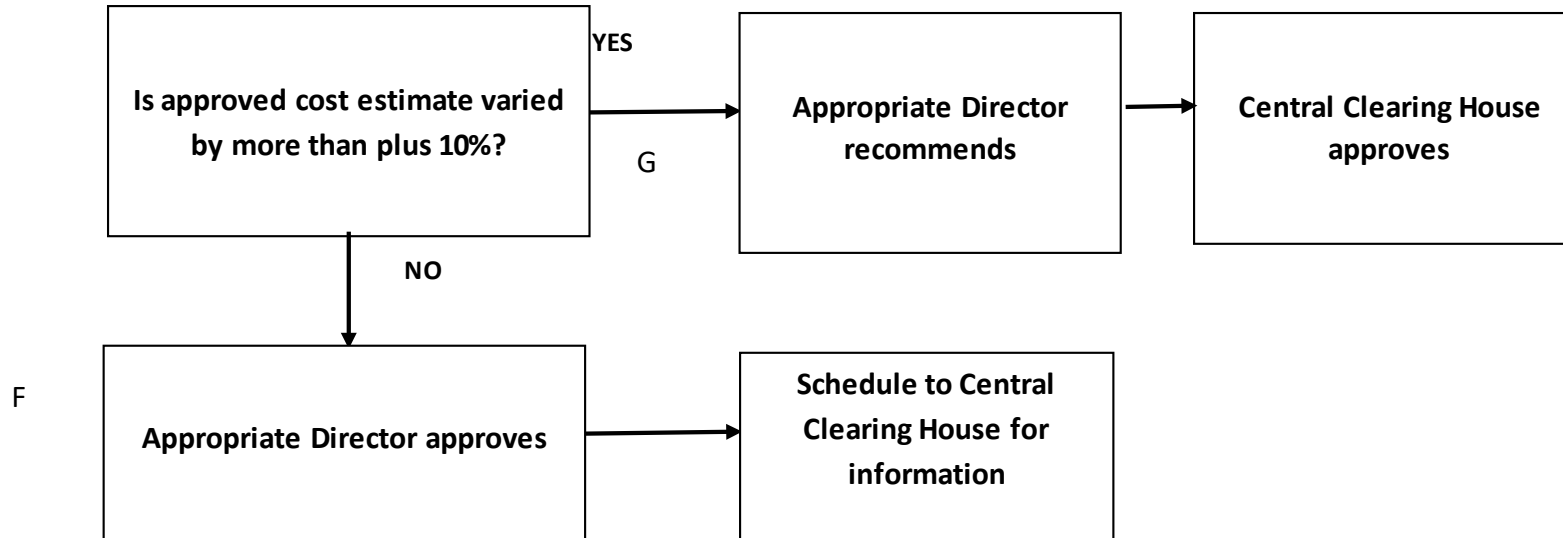
SCHEMES MORE THAN £500,000 AND LESS THAN OR EQUAL TO £1,000,000



C and D - If a tender requires to be rejected because it is not the most economically advantageous tender, the appropriate Director recommends rejection and the Executive Team approves rejection.

E - If as a result of a returned tender exceeding the estimated cost the tender is more than or equal to £1,000k Executive Team recommends submission to Board and Board approves.

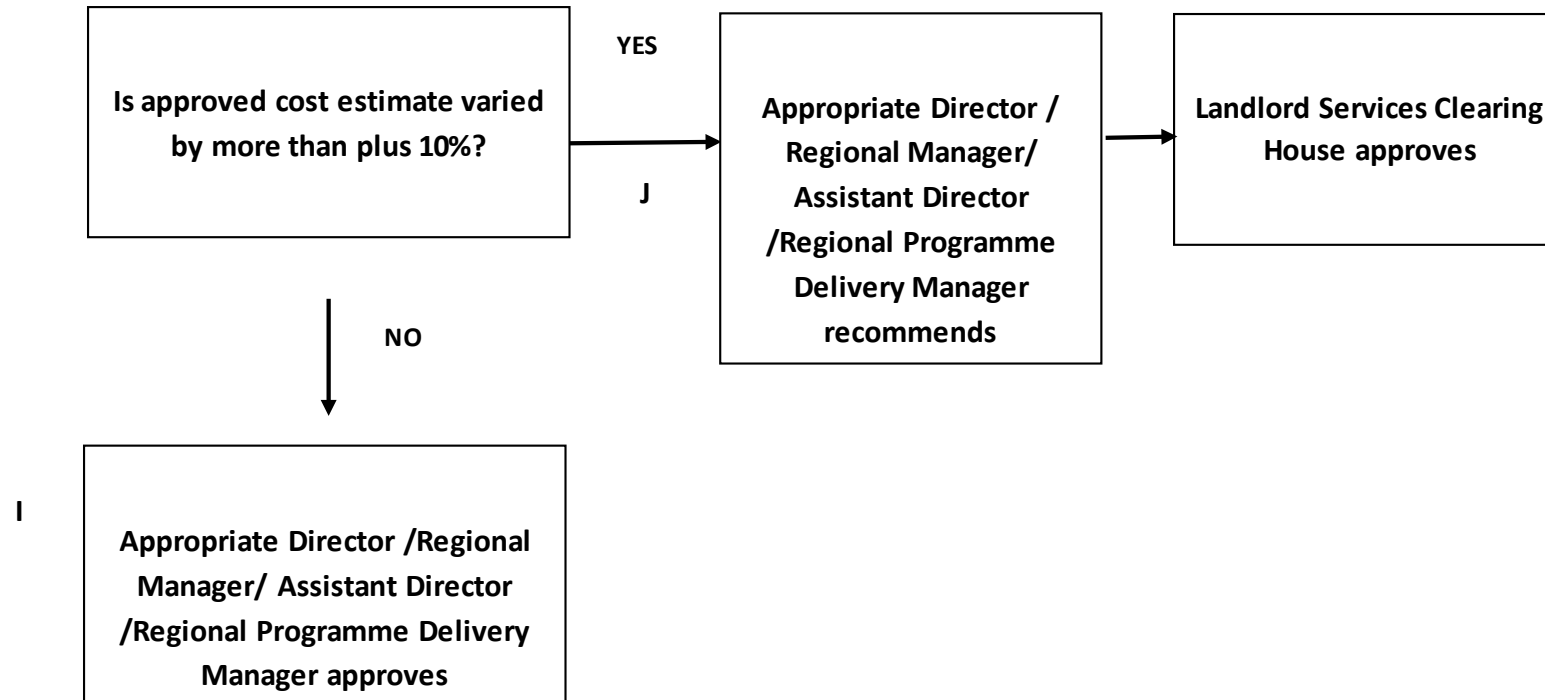
SCHEMES MORE THAN £100,000 AND LESS THAN OR EQUAL TO £500,000



F and G - If a tender requires to be rejected because it is not the most economically advantageous tender, the appropriate Director recommends rejection and the Landlord Services Clearing House Committee approves rejection.

H - If as a result of a returned tender exceeding the estimated cost the tender is more than or equal to £500k Landlord Services Clearing House Committee recommends submission to Executive Team approval.

SCHEMES LESS THAN OR EQUAL TO £100,000



I and J - If a tender requires to be rejected because it is not the most economically advantageous tender, the appropriate Director / Regional Manager/Assistant Director /Regional Programme Delivery Manager recommends rejection and the Landlord Services Clearing House Committee approves rejection.

K - If as a result of a returned tender exceeding the estimated cost the tender is more than £100k appropriate Director /Regional Manager/Assistant Director/ Regional Programme Delivery Manager can recommend acceptance of the tender and Landlord Clearing House Committee can approve.

FINANCIAL REGULATION 3 - APPROVAL OF WORK ORDERED UNDER THE STRATEGIC ICT SERVICES PARTNERSHIP

Choice of Products

If and to the extent that the Executive has influence over the choice, by the Executive's strategic partner, of any product, that influence shall be exercised subject to the following safeguards. First, any selection criteria used shall be predetermined and documented. Secondly, the selection criteria and the selection procedure shall be determined by a project board chaired by a Director.

Allocating Funds within the Budget

1. Every year the Board will be asked to approve, as part of the Annual Budget, a Strategic ICT Services Partnership budget plan ('Annual Plan').
2. The Annual Plan will outline committed expenditure within various specified categories, within the ensuing 12 months. It will outline the budget available for additions or changes to the service provision and any outline proposals for expenditure.
3. Any proposal for additional expenditure over £50,000 should be supported by a business case in accordance with the Northern Ireland Guide to Expenditure Appraisal and Evaluation (NIGEA). Where options are limited or expenditure is low the principles of proportionate effort will apply.
4. Change requests for expenditure over £1,000,000 must be submitted to the Board for recommendation. They must be submitted to DfC and approved by DoF in accordance with DAO (DoF) 06/12 or any subsequent revision.
5. The Chief Executive, at Executive Team, will have authority to approve expenditure between £250,000 and £1,000,000.
6. The Director of Finance, Audit and Assurance shall have authority to approve expenditure up to £250,000.
7. For expenditure on information technology projects led by other Divisions, the Director of Finance, Audit and Assurance may approve the project budget and delegate expenditure approval to the relevant Director, who may sub-delegate.

FINANCIAL REGULATION 4 - APPROVAL OF EXPENDITURE RELATING TO THE SOCIAL HOUSING DEVELOPMENT PROGRAMME

Introduction

This financial regulation relates to the approval of expenditure for the Social Housing Development Programme and supports the Board Scheme of Delegations (Appendices 1 & 3). The budget for the Social Housing Development Programme is approved as part of the organisation's overall annual budget.

Allocating funds within the budget

1. Each year, in December, the Director of Regional Services will seek approval from the Board for the content of the Draft Social Housing Development Programme (SHDP) for the next three-year period. This Paper also advises the Board of the indicative Budget requirement for the full three years of the Draft SHDP, and specifically the requirement for the next programme/financial year. The December Board Paper details the annual targets and indicative schemes for the Draft three-year SHDP, and will be submitted via Executive Team.
2. Each year, in January, the Director of Finance will seek approval from the Board for the annual budget plan for the SHDP, as part of the overall Finance Board Paper about the Housing Executive's annual budget plan. The January Board Paper will present the proposed total expenditure and anticipated total number of units within the ensuing 12 months and will be submitted via Executive Team.
3. If required, Executive Team will have authority to alter the list of indicative schemes during the year, the Board to be advised accordingly through the reporting arrangements specified below.
4. The Chief Executive at Executive Team will have authority to approve any expenditure pursuant to the annual budget plan. This will be by way of Scheme & Expenditure Approval Schedules.
5. The Director of Regional Services shall have authority to approve expenditure falling within the scope of the annual budget plan, but subject to the normal limits of Directors' expenditure authority. This includes approval for major adaptations, scheme amendments or Housing Association Grant (HAG) recoupments up to £250,000.
6. Executive Team approval is required if there has been an amendment of more than £250,000 to the scheme costs or level of HAG.
7. Department for Communities (DfC) approval is also required for schemes with grant funding in excess of £5.25m; and Department of Finance approval is also required for schemes with grant funding in excess of £9m.

Reporting

8. The Board will receive regular reports (on at least two occasions in any one year) on progress against the annual budget plan.

FINANCIAL REGULATION 5 - AUTHORITY TO INCUR EXPENDITURE PURSUANT TO THE HOUSING (SUPPORT SERVICES) ORDER 2002 – SUPPORTING PEOPLE PROGRAMME

Supporting People Programme Transactions more than £500,000

1. Approval of funding to Service Providers if the value (in cash and/or kind) of the assistance to any individual scheme exceeds £500,000, in any financial year requires Board approval.
2. Paper is submitted to the Executive Team to agree.
3. Executive Team recommends submission to the Board.
4. Board approves.

Supporting People Programme Transactions over £250,000 and under or equal to £500,000

1. Paper is submitted to the Executive Team.
2. Executive Team approves.

Supporting People Programme Transactions over £100,000 and under or equal to £250,000

1. Paper presented to the Director of Regional Services for approval.
2. Director of Regional Services approves.
3. Schedule is submitted to the Executive Team for information.

Supporting People Programme Transactions under or equal to £100,000

1. Paper is presented to Assistant Director Regional Services (Supporting People) for approval.
2. Assistant Director approves.
3. Schedule submitted to Finance.

AUTHORITY TO INCUR EXPENDITURE PURSUANT TO THE HOUSING (SUPPORT SERVICES) ORDER 2002 – SUPPORTING PEOPLE PROGRAMME FR. 5

