

NORTHERN IRELAND HOUSING EXECUTIVE STANDING ORDERS and BOARD SCHEME OF DELEGATIONS



As at 31 August 2016

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STANDING ORDERS

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PART A

AI MEETINGS

1.0 General

- 1.1 The meetings of the Board shall be held at such time and place as the Board may from time to time determine, subject to the provisions of the remainder of this Standing Order.

2.0 Chairman's/Vice Chair's Power

- 2.1 The Chairman (or, in his/her 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 Requisitions

- 3.1 The convening of a meeting may be required at any time by written requisition signed by 3 members of the Board, specifying the nature of the business desired to be transacted at such meetings.

4.0 Emergencies

- 4.1 In case of emergency certified by the Chairman (or, in his/her 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

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.

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 MEETINGS

1.0 The Presiding Member

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

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 his/her ruling shall not take effect unless it is supported by the majority of members present.

A4 ADJOURNMENTS

The Board 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 drawn up and entered in a book kept for that purpose.
- 1.2 Draft minutes shall be circulated to Board Members in accordance with these Standing Orders.
- 1.3 Draft minutes shall be submitted to the next meeting of the Board for approval.
- 1.4 Minutes which are being submitted for approval shall be taken as read and then approved, with or without amendment. No discussion shall be allowed on such minutes except as to their accuracy.
- 1.5 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.

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 publicly available on the Housing Executive's website.

3.0 Records of Attendance

- 3.1 In the minutes of any Board 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 Five clear days at least before any meeting of the Board, there shall be issued to every member a copy of the following:
 - (1) A notice convening the meeting, giving its time and place;
 - (2) A statement of the business to be transacted at that meeting (in these Standing Orders referred to as the agenda);
 - (3) All reports and other documents referred to in, or to be read with, the agenda.
- 1.2 However, 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 Chairman 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 his/her discretion, with the consent of a majority of the members present at the relevant meeting.

A6A DEFERRED OR WITHDRAWN PAPERS

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

- 1.1 On occasion, papers on the Board 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 agenda may be withdrawn either prior to, or at a Board 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

1.0 Constitution of Committees

- 1.1 The Board may constitute committees of its members, to which it may delegate such of its functions as it may specify, with such terms of reference and with such powers as it may determine.
- 1.2 Unless any such committee is explicitly given powers of action, all findings of that committee shall be of an advisory nature only.

2.0 Procedures of Committees

- 2.1 The Board shall designate the Chairman of any committee which it may establish.
- 2.2 The provisions of these Standing Orders shall apply as if the committee were referred to instead of the Board, except that no business shall be transacted at any meeting of any committee unless at least two Board Members are present.
- 2.3 Any such committee shall, subject to any directions by the Board, meet at such times and at such places as the committee may from time to time determine.

A I I DELEGATION BY THE BOARD

1.0 Delegations

- 1.1 The Board may decide to delegate, where it has power to do so, responsibility for specified matters to:

- (1) A committee of the Board; or
- (2) Any committee of officers; or
- (3) Any officer.

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, which will be updated regularly, provides Board guidance covering:

- (1) Matters which are delegated, and
- (2) Matters which are reserved for decisions by the Board.

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 Chairman (or, in his/her 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 his/her 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 his/her 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 Chairman 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 his/her 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.

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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PART B

B1 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).

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 Chief Executive's Business Committee 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 £100k on/under:
- a) plant, vehicles, furniture and equipment provided that the amount of any transaction, or group of associated transactions, does not exceed £100,000 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 & Personnel 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 and Personnel), 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 and Personnel), requires the approval of the Chief Executive at the Chief Executive's Business Committee.
- 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 Chief Executive's Business Committee 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 Chief Executive's Business Committee, the Chief Executive, (or in his / her absence, the nominated Director) after consultation with the appropriate Director (in his/her 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 Chief Executive's Business Committee 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 European Union (EU) 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 EU public procurement law:

Procurement Control Limits

The following control limits and methods of procurement have been developed by the Procurement Practitioners Group. 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 Guidance Note (PGN) to all CoPEs.

The limits below have, in accordance with the guidance note been slightly amended to take into account the business needs of the Northern Ireland Housing Executive (NIHE). These limits and the methodologies therein directly replace the previous limits as set out in PGN 03/10.

Table 1 – Goods and Non – Construction Services

Value	Procedure
Up to £5,000	Contracting Authorities must demonstrate that value for money has been secured. Guidance is attached at Annex A.
£5,000 to £30,000	A minimum of two tenders invited by the person authorised to procure for their organisations
£30,000 to EU Thresholds	Advertised on the NIHE website and eSourcingNi Tender process must be conducted in line with PGN 05/12 – Procurement of Goods, Works and Services Over £30,000 and below EU Thresholds.
Above EU thresholds	EU Directives apply – advertise in OJEU Advertised on the NIHE website and eSourcingNi

Table 2 – Construction Works

Value	Procedure
Up to £5,000	Contracting Authorities must demonstrate that value for money has been secured. Guidance is attached as Annex A.
£5,000 to £30,000	Contractors must be registered on Constructionline. First six contractors from a randomly selected list generated by Constructionline are invited to tender. Contractors must hold: • a valid 3rd party certification of their health and safety management system satisfying the requirements of the Buildsafe-NI initiative. • a valid health and safety competence assessment certificate issued by an organisation that is a member of the Safety Systems in Procurement Forum (SSIP).
£30,000 to £2,000,000	In advance of the competition: Contractors must be registered with Constructionline and hold: • a valid 3rd party certification of their health and safety management system satisfying the requirements of the Buildsafe-NI initiative • a valid health and safety competence assessment certificate issued by an organisation that is a member of the Safety Systems in Procurement Forum (SSIP) The competition: • Advertised on the NIHE website and eSourcingNi • Interested contractors submit a PQQ, plus experience details of key subcontractors if required in PQQ • PQQs are assessed and preferably the top 6 are invited to tender. • Selected contractors submit a price only tender • Contract awarded on the basis of lowest acceptable price but exceptionally, quality (non price) criteria may be used. (If a price/quality ratio is used then the ratio should follow those set out in BS 8534:2011). • Prices submitted that are deemed to be abnormally low should be challenged by the Contracting Authority

	and those tenderers that cannot demonstrate that they can deliver the works for the prices submitted should be excluded • Tenderers should be informed of the outcome of the process and the name of the winning bidder
£2.0m to EU threshold	In advance of the competition: Contractors must be registered with Constructionline and hold: • a valid 3rd party certification of their health and safety management system satisfying the requirements of the Buildsafe-NI initiative • a valid health and safety competence assessment certificate issued by an organisation that is a member of the Safety Systems in Procurement Forum (SSIP) The competition: • Advertised on the NIHE website and eSourcingNi • Interested contractors submit a PQQ, plus experience details of key subcontractors if required in PQQ • PQQs are assessed and preferably the top 6 are invited to tender. • Contract awarded on the basis of either lowest price or Most Economically Advantageous Tender (MEAT) i.e. Contractors invited to submit tenders that include a quality submission on the basis of quality and price. Lowest price or where MEAT, the Quality %, should be determined by the person authorised to procure on behalf of their organisation. • Prices submitted that are deemed to be abnormally low should be challenged by the Contracting Authority and those tenderers that cannot demonstrate that they can deliver the works for the prices submitted should be excluded • Tenderers should be informed of the outcome of the process and the name of the winning bidder
Above EU thresholds	EU Directives apply – advertise in OJEU. Advertised on the NIHE website and eSourcingNi Normally use the restricted procedure but all procedures are available

Table 3 – Construction Services

Value	Procedure	Award
Up to £5,000	Contracting Authorities must demonstrate that value for money has been secured. Guidance is attached at Annex A.	Value for Money
£5,000 to £30,000	Consultants must be registered on Constructionline. First five Consultants from a randomly selected list generated by Constructionline are invited to tender. Consultants must hold a valid health and safety certificate issued by an organisation that is a member of the SSIP Forum. Competition to be based on either Lowest Acceptable Price or Most Economically Advantageous Tender The person authorised to procure for their organisation decides whether to procure by way of LAP or MEAT and where MEAT the % to be applied to quality. Prices submitted that are deemed to be abnormally low should be challenged by the Contracting Authority and those tenderers that cannot demonstrate that they can deliver the works for the prices submitted should be excluded Tenderers should be informed of the outcome of the process and the name of the winning bidder.	Lowest Acceptable Price or Most Economically Advantageous Tender
£30,000 to EU Thresholds	In advance of the competition: • Consultants must be registered on Constructionline. • Consultants must hold a valid health and safety certificate issued by an organisation that is a member of the SSIP Forum. The competition: • Advertised on the NIHE website and	Lowest Acceptable Price or Most Economically Advantageous Tender

	eSourcingNi - Interested consultants submit a PQQ, plus experience details of key subcontractors if required in PQQ - PQQs are assessed and preferably the top 6 are invited to tender. - Competition to be based on either Lowest Acceptable Price or Most Economically Advantageous Tender - The person authorised to procure for their organisation decides whether to procure by way of LAP or MEAT and where MEAT the % to be applied to quality. - Prices submitted that are deemed to be abnormally low should be challenged by the Contracting Authority and those tenderers that cannot demonstrate that they can deliver the works for the prices submitted should be excluded - Tenderers should be informed of the outcome of the process and the name of the winning bidder	
Above EU thresholds	EU Directives apply – advertise in OJEU Advertised on the NIHE website and eSourcingNi Normally use the Restricted Procedure but all procedures are available.	Most economically advantageous tender

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

Purchases under £5,000 will be classified as procurement expenditure but they are not subject to the full range of procurement rules. However Contracting Authorities must ensure that all purchases below £5,000 are subject to normal value for money considerations and are in compliance with Managing Public Money Northern Ireland.

In meeting this requirement, Contracting Authorities 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.

Departments should carry out a price check with at least two suppliers to ensure value for money has been achieved. Price checks should be documented and retained on file for audit purposes. The CPU should be consulted on all procurements including those requirements valued at below £5,000.

3.0 Advertising

- 3.1 Invitations to tender will only be issued, for procurements exceeding £30,000, when an expression of interest is received by the Corporate Procurement Unit following the issue of an advertisement in a minimum of two local newspapers or the Executive's website and/or the Official Journal of the European Union if appropriate. Any such notice may also be advertised in any other publication, or in any other manner, at the discretion of the appropriate Director.
- 3.2 The revised arrangements contemplated by Standing Order B3-3.1 may include an advertisement on the Housing Executive's website, provided that the arrangements are published on an annual basis by public advertisement in at least two newspapers which circulate throughout Northern Ireland.
- 3.3 Any such public notice as envisaged in paragraph 3.1 above shall describe the nature and purpose of the works to be undertaken, or the goods or material to be supplied, or the services to be provided, and shall state the last date when applications will be considered or the last date when tenders will be received.

4.0 Invitations to Tender

- 4.1 All requirements for supplies, services or works shall be procured in accordance with the modes of procurement described in paragraph 2.1 above. As a general rule, a contract for supplies, services or works shall not be entered into by the Executive unless there is sufficient money available in the approved annual budget and written tenders have first been obtained by the appropriate director (or a duly authorised responsible officer within that Director's division) through the Corporate Procurement Unit.

- 4.2 Invitations to tender shall be sought and processed in accordance with good procurement practice.
- 4.3 Tenders shall only be sought when all necessary internal approvals, as from time to time apply, have been obtained.

4.0A Single Tender Actions and Variation of Mode of Procurement

- 4A.1 A Single Tender Action (STA) is defined as ‘the procurement of supplies, works and services, irrespective of value, without exposing the procurement to competition’.
- 4A.2 Notwithstanding the general rule as described at 4.1 – 4.3 above, exceptionally, the requirement to tender may be varied (or waived) if the appropriate Director is of the opinion that it is not reasonably practicable to invite competitive tendering. The appropriate approval must be obtained in consultation with the Head of Procurement, in accordance with 4A.3 below.
- 4A.3 The authority to approve such action contemplated by the above paragraph lies with the Chief Executive in his capacity as Accounting Officer, at the Chief Executive’s Business Committee or a project management board meeting or by the Board in accordance with [Financial Regulation 1](#) and subject to any departmental approval as may from time to time apply.

5.0 Processing of Tenders

- 5.1 The Corporate Procurement Unit is responsible for ensuring that tenders for contracts of any type are processed in accordance with confidentiality, probity, propriety and good procurement practice.
- 5.2 The Corporate Procurement Unit shall ensure that a proper record is maintained of all tenders received.
- 5.3 Tenders for each contract must be opened at the same time and only in the presence of such officers as the duly authorised responsible officer may determine.
- 5.4 A tender shall be considered only if it is received, at the place specified in the invitation to tender, no later than the latest date and time specified for receipt of tenders.
- 5.5 In the context of this standing order the “duly authorised responsible officer” means:
 - 1) The appropriate Director or his / her duly authorised responsible officer(s), or nominees, where the requirements being procured relate to supplies, services or works (not including building contracts or Planned Schemes (including Group Repair)), the total value of which does not exceed £100,000.
 - 2) The appropriate Director/Regional Manager/Regional Programme Delivery Manager, where the requirements being procured relate to a building contract or planned scheme, the total value of which does not exceed £100,000 in accordance with [Financial Regulation 1](#).
 - 3) The Chief Executive in his capacity as Accounting Officer, at the Chief Executive’s Business Committee, where the total value of the requirements to be procured irrespective of type is over £100,000 in accordance with [Financial Regulation 1](#).

6.0 Assessment and Acceptance of Tenders

- 6.1 In the present context, the “most economically advantageous” (MEAT) means the tender which following the evaluation of tenders provides the best combination of quality and cost. The MEAT criteria must have been determined and recorded prior to invitation of any tenders.
- 6.2 The appropriate Director or his/her duly authorised responsible officer(s), or nominee(s), may accept any relevant tender to which all of the following conditions apply, without approval of the Board or of the Chief Executive’s Business Committee. The conditions are:
- 1) That the total value of the tender does not exceed £100,000 (or, in the case of an authorised officer, the responsibility level of that officer as set out in ‘The Role of the Responsible Officer’ document).
 - 2) That there is sufficient money available in the approved annual budget.
 - 3) That the tender is:
 - a) The most economically advantageous tender; or
 - b) The highest offer (if payment is to be made to the Executive).
- 6.3 In the context of this Standing Order, all tenders are “relevant”, with the exception of contracts in respect of building contracts or Planned Schemes (including Group Repair).
- 6.4 Tenders in respect of building contracts or Planned Schemes (including Group Repair) shall be assessed and approved in accordance with financial regulations approved by the Board.
- 6.5 The use of lowest priced tender is only permitted in exceptional circumstances and only then following advice from the Head of Procurement to the Chief Executive for approval at the Chief Executive’s Business Committee or a project management board meeting.

7.0 Call-Off Contracts from Lists of Designated Authorities

- 7.1 Subject to compliance with Section 1.0 of this Standing Order, it is hereby declared (for the avoidance of any doubt) that there is full compliance with the requirements of Sections 2.0- 6.0 (inclusive) of this Standing Order in respect of any procurement if all of the following three conditions apply to that procurement:
- 1) The Executive chose a contractor or supplier in the latter’s capacity as the contractor/supplier under the contract of a designated public authority (“the designated authority”).
 - 2) The appropriate Director, through the Corporate Procurement Unit, is satisfied that the relevant contractor/supplier was appointed/chosen by the designated authority, in relation to that call-off contract, pursuant to procurement procedures which involved adequate competition and which achieved reasonable value for money.
 - 3) In choosing the relevant contractor/supplier, the Executive has complied with any relevant procurement protocol recommended by the designated authority.
- 7.2 In the present context, each of the following is a “designated authority”:
- a) Any government department and any agency of any such department.
 - b) Any public authority designated for this purpose by the Chief Executive at Chief Executive’s Business Committee. (Any such designation shall be brought promptly to the attention of the Board).

8.0 Variation of Contracts

- 8.1 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

- 8.2 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 more than £100,001 and under or equal to £500,000; or

The Chief Executive's Business Committee where the proposed adjusted contract/quotation sum is over £500,000 and under or equal to £1,000,000; or

The Board where the proposed adjusted contract/quotation sum is over £1,000,000.

- 8.2a For the purposes of paragraph 8.2, "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](#).
- 8.2b In circumstances where it is anticipated that expenditure on the contract will fall outside the limits as set out in paragraph 8.2, the contract administrator/project manager must submit a post tender/quotation report to the appropriate committee/Board (as detailed in paragraph 8.2) 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.
- 8.2c For the purposes of paragraph 8.2b, 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 8.2.
- 8.2d 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

- 8.3 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.

- 8.3a For the purposes of paragraphs 8.3, "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.
- 8.3b In circumstances where it is anticipated that expenditure on the contract will fall outside the limits as set out in paragraph 8.3, 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 8.2) 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.
- 8.3c For the purposes of paragraph 8.3b, 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 or Landlord Services Clearing House Committee as appropriate within delegated limits. (See Appendix "A" Example 2.)
- 8.3d 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

- 8.4 Paragraphs 8.2 and 8.3 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 Chief Executive's Business Committee.

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.

- 8.5 For the avoidance of doubt this Section 8 "Variation of Contracts", will apply to all building contracts or Planned Schemes (including Group Repair) that have not yet reached final closure as at 1st September 2015.

9.0 Final Contract Reports/Final Accounts

- 9.1A All Final Contract Reports (Final Accounts) must be reported on a schedule to the Landlord Services Clearing House unless paragraphs 9.1 – 9.4 below apply:

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

- 9.1 The appropriate Director shall report to the Chief Executive's Business Committee and subsequently to the Board 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

- 9.2 The appropriate Director shall report to the Chief Executive's Business Committee 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

- 9.3 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

- 9.4 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

- 9.5 For all schemes, irrespective of value, the appropriate Director shall report to the Chief Executive's Business Committee 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.
- 9.6 For the avoidance of doubt this Section 9 "Final Contract Reports", will apply to all building contracts or Planned Schemes (including Group Repair) that have not yet reached final closure as at 1st September 2015.

10.0 Form of Contract

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

11.0 Negotiated Contracts

- 11.1 Notwithstanding the other provisions of these Standing Orders, the Board or:
- a) The Chairman; or
 - b) (In the Chairman's absence) the Vice Chair; or
 - c) (In the absence of the Chairman and Vice Chair) the Chief Executive may, if they respectively consider it to be in the best interests of the Executive, authorise the negotiation of a contract or of contracts with any firm.
- 11.2 Any such authorisation must be obtained in writing prior to commencement of any negotiations.
- 11.3 Any authorisation by the Chairman or by the Chief Executive must be promptly reported to the Board.

12.0 Extension of Contracts

- 12.1 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 paragraph 4A - Single Tender Actions.

13.0 Termination/Determination of Contracts

- 13.1 Recommendations for the termination or determination of contracts will be referred to the Chief Executive at the Chief Executive's Business Committee for approval and to the Board for information where considered appropriate.
- 13.2 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 him/her 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 Social Development.

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 his/her 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 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 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 his/her 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 Social Development:
- 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 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 CXBC approval needs to be obtained .

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

Examples for schemes Less £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)

BOARD SCHEME OF DELEGATIONS

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BOARD SCHEME OF DELEGATIONS

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 Chief Executive’s Business Committee (CXBC) 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 his/her 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 £15,000, the recommendation will have to be supported by the opinion of a barrister. If the amount does not exceed £15,000, 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 postholders 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 – unless the settlement is being made by the level 7 / level 8 officer post 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 small claims, over £500 and less than or equal to £15,000, 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 Chief Executive’s Business Committee.

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) In cases in which an external solicitor is acting on behalf of the Executive, 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 postholder will only exercise that authority on the basis of a written recommendation by the external solicitor.
 - b) In cases in which the Legal Department is acting on behalf of the Executive, authority as to the amount of authorised legal costs will rest with the relevant solicitor in the Legal Department.

Reports

- 9.8 Each Director should inform the Chief Executive’s Business Committee, at least twice a year, of the following:
- a) any settlement authority exercised in the course of pending litigations / arbitrations / adjudications within his/her 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 should inform the Chief Executive's Business Committee, 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 CXBC.

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) 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 Chief Executive's Business Committee

- (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 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 Board 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 CXBC 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 Chief Executive's Business Committee. 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 decisions in relation to individual applications under homelessness legislation.	Any Housing Services Manager (HSM) or Area Manager (AM).
(1A)	Reviews of eligibility decisions in relation to individual applications under homelessness legislation.	Any AM or Regional Manager (RM), whoever is the senior to the original decision maker.
(2)	Decision (other than eligibility decisions) in relation to individual applications under homeless legislation.	Any HSM, or AM, Assistant Housing Services Manager (AHSM) or Senior Housing Officer (SHO).
(2A)	Reviews of decision (other than eligibility decisions) in relation to individual applications under homelessness legislation.	Any principal officer for housing (within regions) or any level 8 Area Manager, or any Regional Manager, whoever is 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 taking of proceedings for possession of a dwelling.	Any AM or HSM.
(6)	Consent to assignment of secure tenancy.	Any AM, HSM, AHSM or SHO.
(7)	Grant of joint tenancy.	Any AM, HSM, AHSM or SHO.
(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)	Enforcement powers in relation to Houses in Multiple Occupation (HMO). Housing(NI) Order 1981 Article 13 Article 41 Housing (NI) Order 1982 as amended Article 76 & 80 Article 75(N) & 75(3) Article 79 Housing (NI) Order 1992 as amended Article 85 Housing (Management of Houses in Multiple Occupation) Regulations (NI) 1993 Regulation 15& 18	L5, TL3 or L7 TL3 or L7 TL3 or L7 L5, TL3 or L7 TL2, TL3 or L7 TL3 or L7 L5, TL3 or L7
(11)	Allocations eligibility decision.	Any AM or HSM.
(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 an 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 in 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 less than or equal to £100,000.	RM/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 less than or equal to £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 the Director responsible for the functional activity.
(20)	Authority to write off an invoiced debt or waive a claim up to a limit of £50.	Accounts Receivable Manager / Income & Rent Accounting Manager.
(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 £50,000 but less than £100,000 in any financial year.	Director of Regional 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 £50,000 in any financial year.	Assistant Director Regional Services (Homelessness)
(24)	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 £50,000 but less than £100,000 in any financial year.	Director of Regional Services
(25)	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 £50,000 in any financial year.	Assistant Director Regional Services (Supporting People)

APPENDIX 3 - RESIDUAL MATTERS TO BE DECIDED AT CHIEF EXECUTIVE'S BUSINESS COMMITTEE (CXBC)

Governance

- (1) Approval of arrangements for dealing with complaints.
- (2) Approval of principles of Executive policy on Freedom of Information.

Policy, Strategy, Plans, Budgets and Risk Register

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

Land & Property Issues (excluding Social Housing Development Programme)

- (4) Approval of policy framework of the Acquisition of Satisfactory Houses (ASH) Scheme.
- (5) Approval of purchase of dwelling under the ASH Scheme if the value of the dwelling is in excess of £100,000.
- (6) Approval of purchase under the advance purchase arrangements if the value of the property is in excess of £100,000.
- (7) Approval of contributions towards costs of developing land sold by the Executive.
- (8) Approval of the construction of houses for sale.
- (9) Approval of all Land and Property transactions over £100,000 and under or equal to £500,000 with the exception of SPED disposals (see paragraph 10 below).
- (10) SPED disposals over £250,000 require CXBC approval. SPED disposals under or equal to £250,000 are approved at Regional Services Clearing House Committee.
- (11) SPED acquisitions are approved by Director of Regional Services (Appendix 2).
- (12) Granting of authority to negotiate vesting compensation on an equivalent reinstatement basis.

Financial Arrangements

- (13) Approval of the writing-off of any loss, subject to the delegated limits determined by DSD 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).

- (14) Approval of extra contractual and ex-gratia payments over £15,000, unless considered novel or contentious, and under or equal to £50,000.
- (15) 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 (including 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 (DF) 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 (DF approval required).
 - foregoing the recoupment of overpayments of pay, pensions and allowances over £20,000(DF approval required).
 - foregoing the recoupment of overpayment of grants (DF approval required)
 - negotiated vesting compensation payments as specified in paragraph 12 above where the amount is greater than £50,000.
 - special severance packages (DF approval required)
- (16) 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.
 -
- (17) 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).

- (18) 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 Chief Executive's Business Committee, 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)

- (19) 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)

- (20) The Chief Executive at CXBC 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)

- (20a) The Chief Executive at CXBC is granted authority to incur expenditure on land and property transactions over £100,000 and under or equal to £500,000.

Transactions do not include SPED acquisitions (see Appendix 2:12).

- (20b) Any proposed amendments to the Terms and Conditions of any asset disposal or contract previously approved by the CXBC must have prior CXBC approval.

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

- (21) 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%.
- (22) 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)

- (23) 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

- (24) Generally, the Annual Budget approval by the Board provides authority to incur all expenditure specified within the Budget (subject to the requisite CXBC and other delegations as appropriate), subject to the following which require separate CXBC approval.
- (25) 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 Chief Executive's Business Committee, where the value is over £100,001. Approval by the Board of the successful tender is required where the value is in excess of £1,000,000.
- (26) Authority to incur expenditure (other than building contract/Planned Schemes (including Group Repair)) of between £100,001 and £1,000,000. Directors have general delegated authority to incur expenditure up to and including £100,000.

Financial/Other Assistance to External Bodies and Groups

- (27) 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 £100,001 and less than or equal to £500,000.
- (28) 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 £100,001 and less than or equal to £500,000 in any financial year.
- (29) 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.
- (30) 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.
- (31) Approval of any applications for vesting orders (other than approvals reserved to the Board).

Social Housing Development Programme

- (32) 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

- (33) 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

- (34) Approval of the Review of Northern Ireland Housing Market.
- (35) Approval of the annual research programme.
- (36) Novation of any contract.
- (37) 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).

(* including legal costs)

Post	Area of authority	Extent (£)
Director of Corporate Services	Litigation / arbitrations / adjudications mainly relevant to the functions of Corporate Services Division.	50,000*
Director of Landlord Services	Litigation / arbitrations / adjudications mainly relevant to the functions of Landlord Services Division.	50,000*
Assistant Director, Corporate Services (HR)	Litigation / arbitrations / adjudications arising out of or in connection with employment issues.	40,000*
Assistant Director, Landlord Services	Litigation / arbitrations / adjudications mainly relevant to the functions of Landlord Services Division.	40,000*
Regional Manager	Litigation mainly relevant to the functions of Regional Manager.	40,000*
Area Manager	Public liability and miscellaneous housing litigation.	35,000
Housing Services Manager	Public liability and miscellaneous housing litigation.	30,000
Senior Procurement Manager Construction and Claims	Contract litigation, arbitrations and adjudications.	30,000*
Director of Finance	Litigation / arbitrations / adjudications mainly relevant to the functions of Finance Division.	50,000*
Director of Regional Services	Litigation / arbitrations / adjudications mainly relevant to the functions of Regional Services Division.	50,000*

Post	Area of Authority	Extent (£)
Assistant Director, Regional Services Division	Litigation / arbitrations / adjudications mainly relevant to the functions of Regional Services Division.	40,000*
Grants Manager	Litigation / arbitrations / adjudications mainly relevant to the functions of grants administration (to include litigation arising out of or in	30,000*
Senior Principal Officer, Land and Strategic Regeneration Services	Litigation / arbitrations / adjudications mainly relevant to the functions of Land & Commercial Property.	30,000*
Principal Officer, Land and Strategic Regeneration Services	Litigation / arbitrations / adjudications mainly relevant to the functions of Land and Property Role.	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	15,000
Any Director	Damage to personal property of staff	5,000
Principal officer – General Services Section/Senior Principal Officer – Finance Manager Special Projects / Assistant Director Financial Support Services	Public liability claims	500

FINANCIAL REGULATIONS

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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 Chief Executive's Business Committee (CXBC).
3. CXBC recommends.
4. Board approves.

Capital and Revenue Schemes Over £500,000 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 agrees and recommends submission to the Chief Executive's Business Committee (CXBC).
3. CXBC approves.

Capital and Revenue Schemes Over £100,000 and Less Than or Equal to £500,000

1. Scheme is presented to the Regional Programme Delivery Managers Clearing House to agree; Landlord Services Clearing House approves.
2. Schedule is submitted to the Chief Executive's Business Committee 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

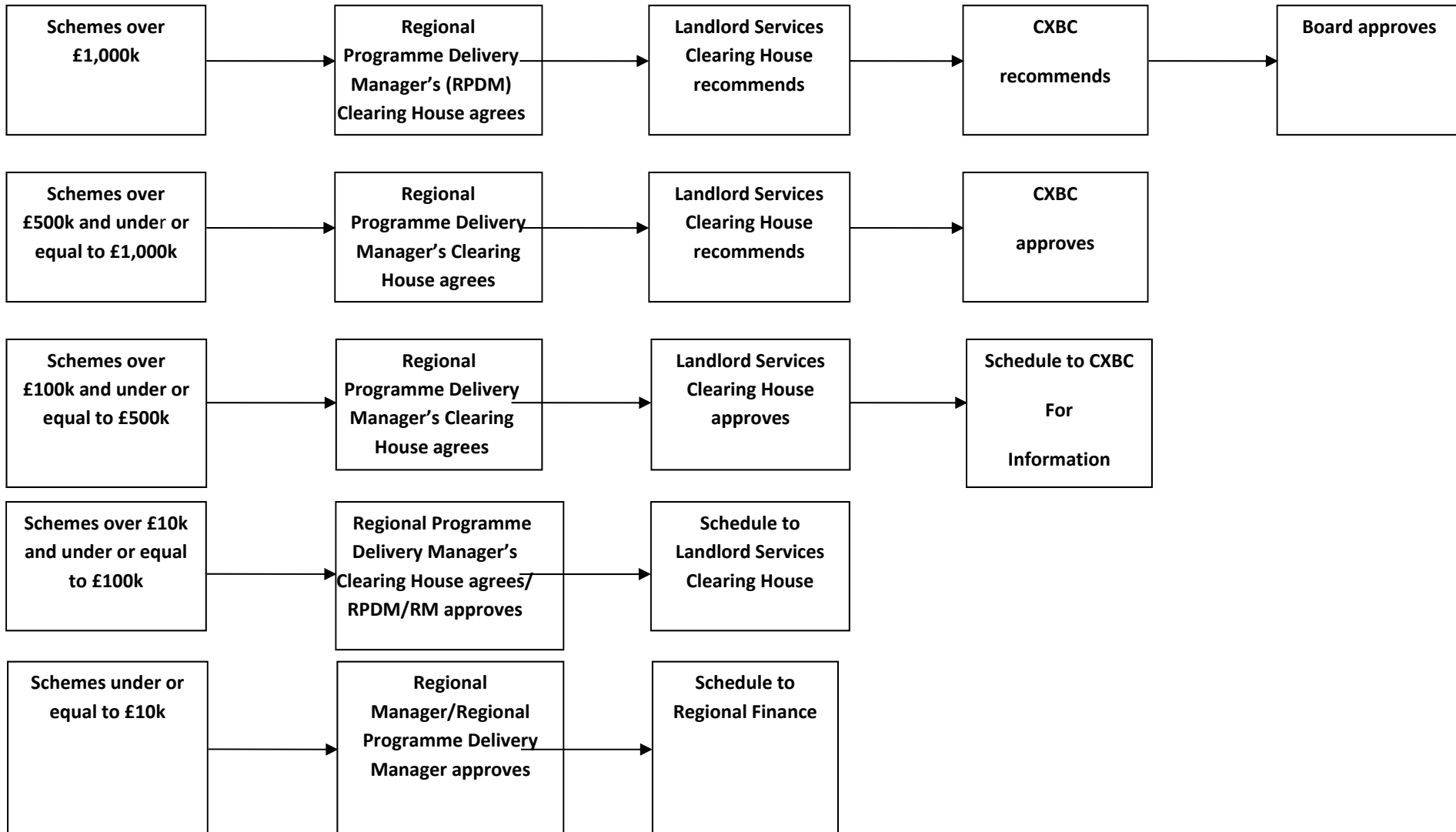
1. Scheme is submitted to the Regional Manager for approval.
2. Schedule submitted to regional finance for information.

The table

The following table is for general guidance only.

AUTHORITY TO INCUR EXPENDITURE ON ALL CONTRACTS - FR 1

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 Chief Executive's Business Committee (CXBC)
3. CXBC 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 £100,000 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 Chief Executive's Business Committee (CXBC)
3. CXBC approves
4. Any proposed amendments to the Terms and Conditions of any asset disposal or contract previously approved by the CXBC must have prior CXBC approval.

Land and Property Transactions Over £50,000 and Under or Equal to £100,000

1. Paper presented to the Regional Services Clearing House to agree
2. Regional Services Clearing House approves
3. Schedule is submitted to the Chief Executive's Business Committee for information

Land and Property Transactions Over £10,000 and Under or Equal to £50,000

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

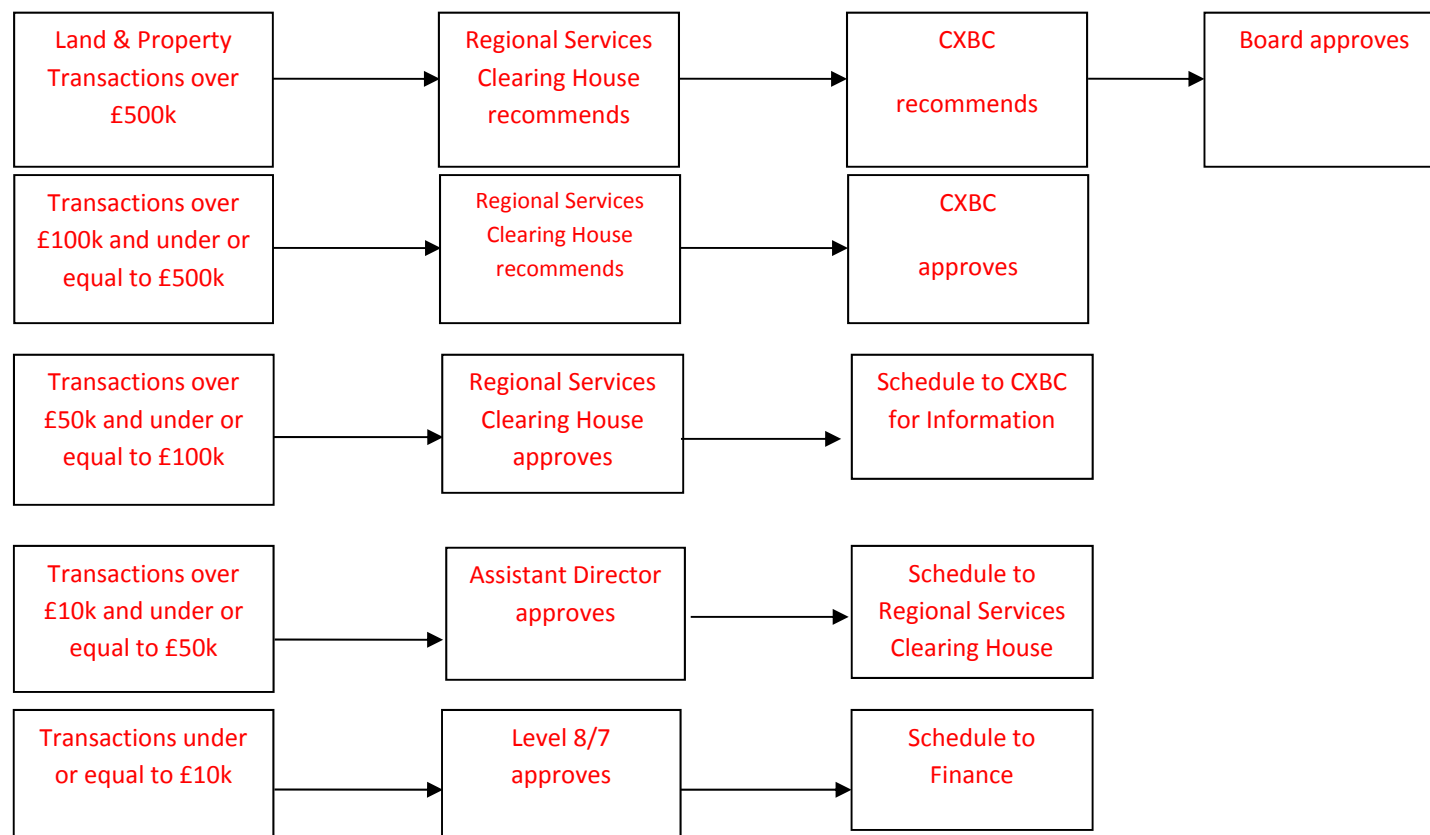
Land and Property Transactions Under or Equal to £10,000

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

The table

The following table is for general guidance only

AUTHORITY TO APPROVE REGIONAL SERVICES LAND & PROPERTY TRANSACTIONS (including SPED Disposal) FR1.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 CXBC 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
 - CXBC 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 Chief Executive's Business Committee 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
 - CXBC 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 Chief Executive's Business Committee 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 CXBC 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 CXBC

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 CXBC and CXBC 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

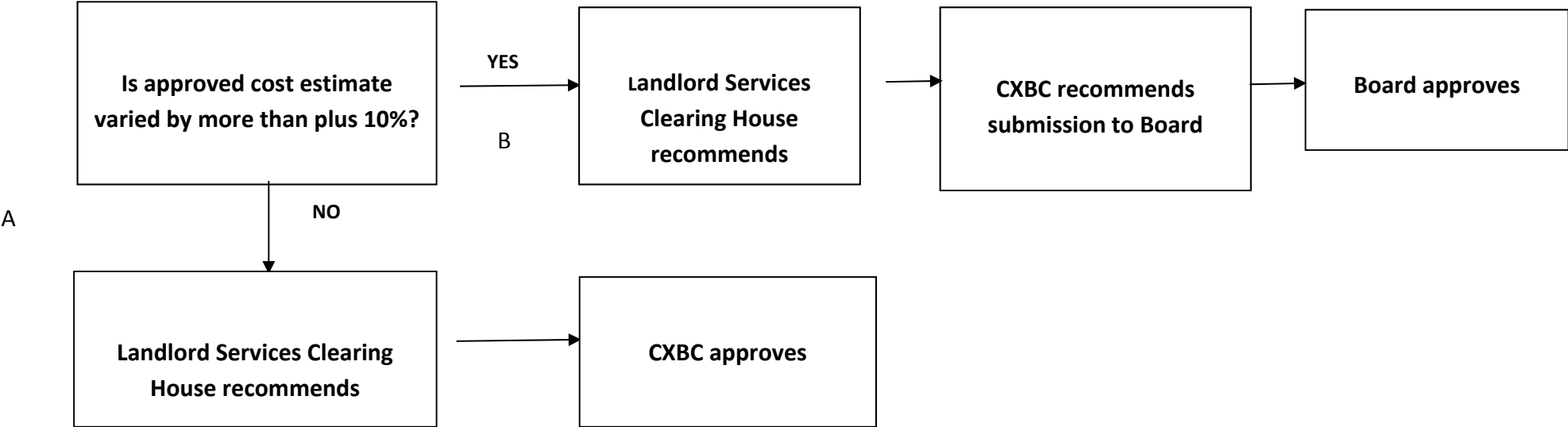
In either of the circumstances described at [I] and [J], if a tender requires to be rejected because it is not the most economically advantageous tender, the appropriate Director/Regional Manager/Assistant Director Asset Management/Regional Programme Delivery Manager approves rejection and a schedule 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 table is for general guidance only:

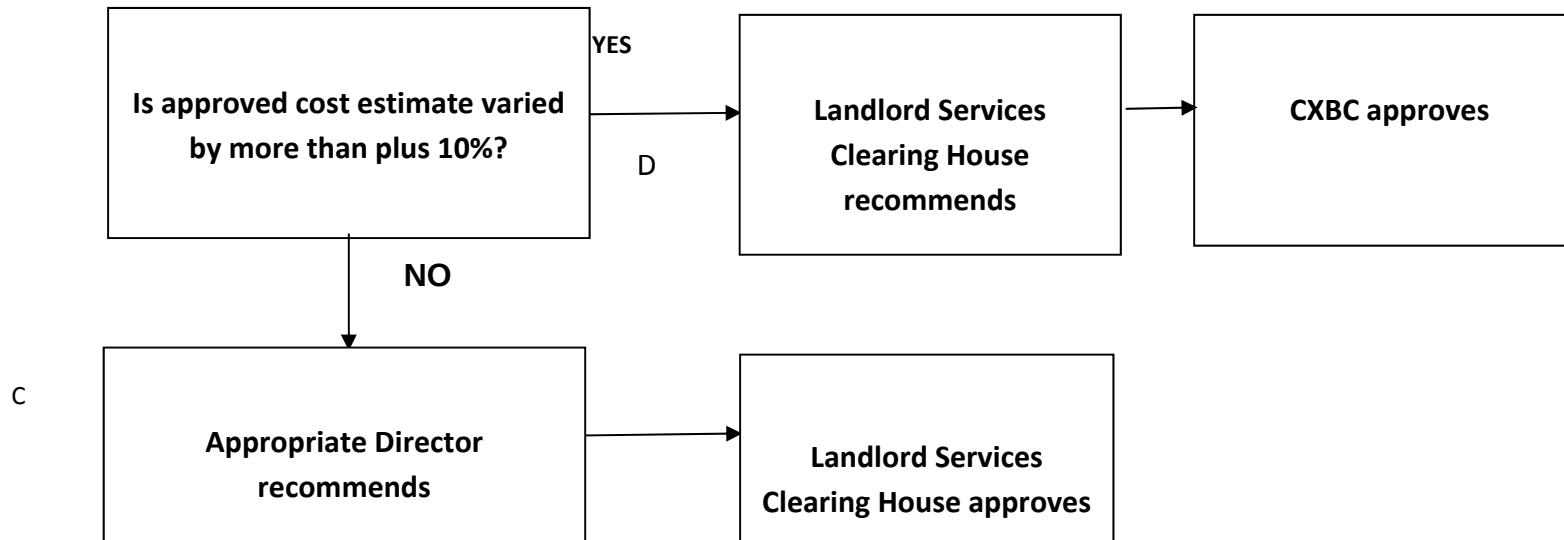
APPROVAL OF TENDERS FOR BUILDING CONTRACTS / PLANNED SCHEMES (INCLUDING GROUP REPAIR) FR 2

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 Chief Executive’s Business Committee approves rejection.

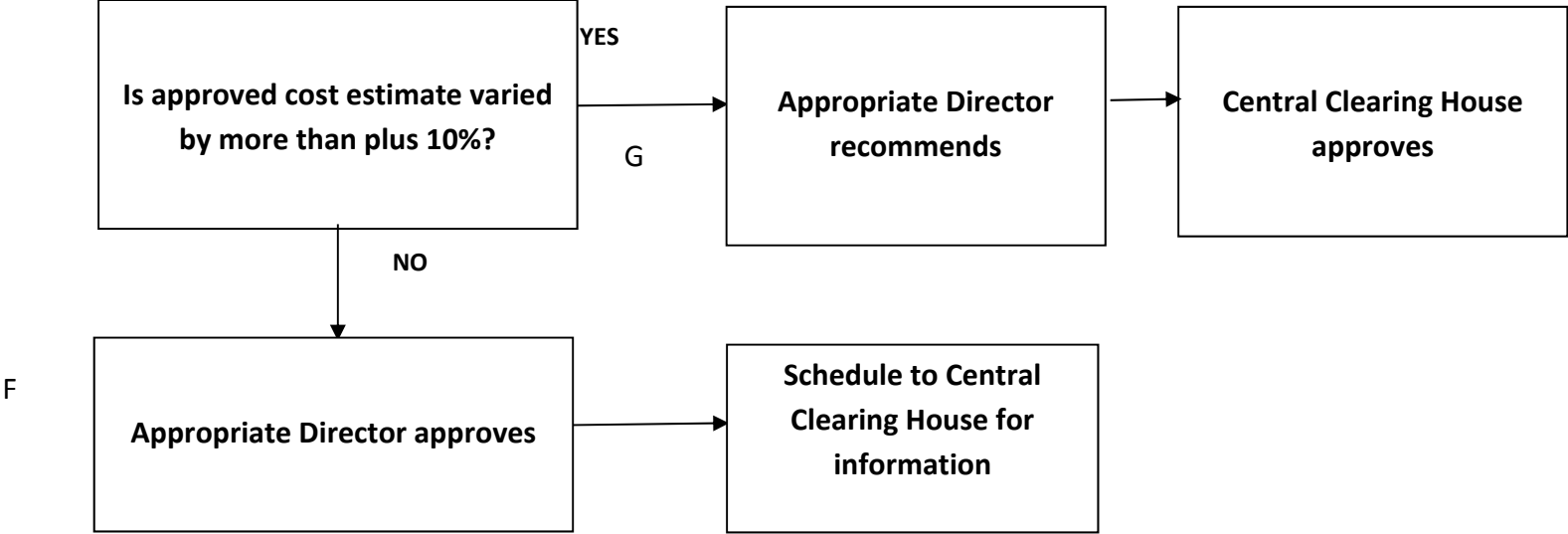
SCHEMES MORE THAN £500,000 AND LESS THAN OR EQUAL TO £1,000,000



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 Chief Executive's Business Committee 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 CXBC recommends submission to Board and Board approves.

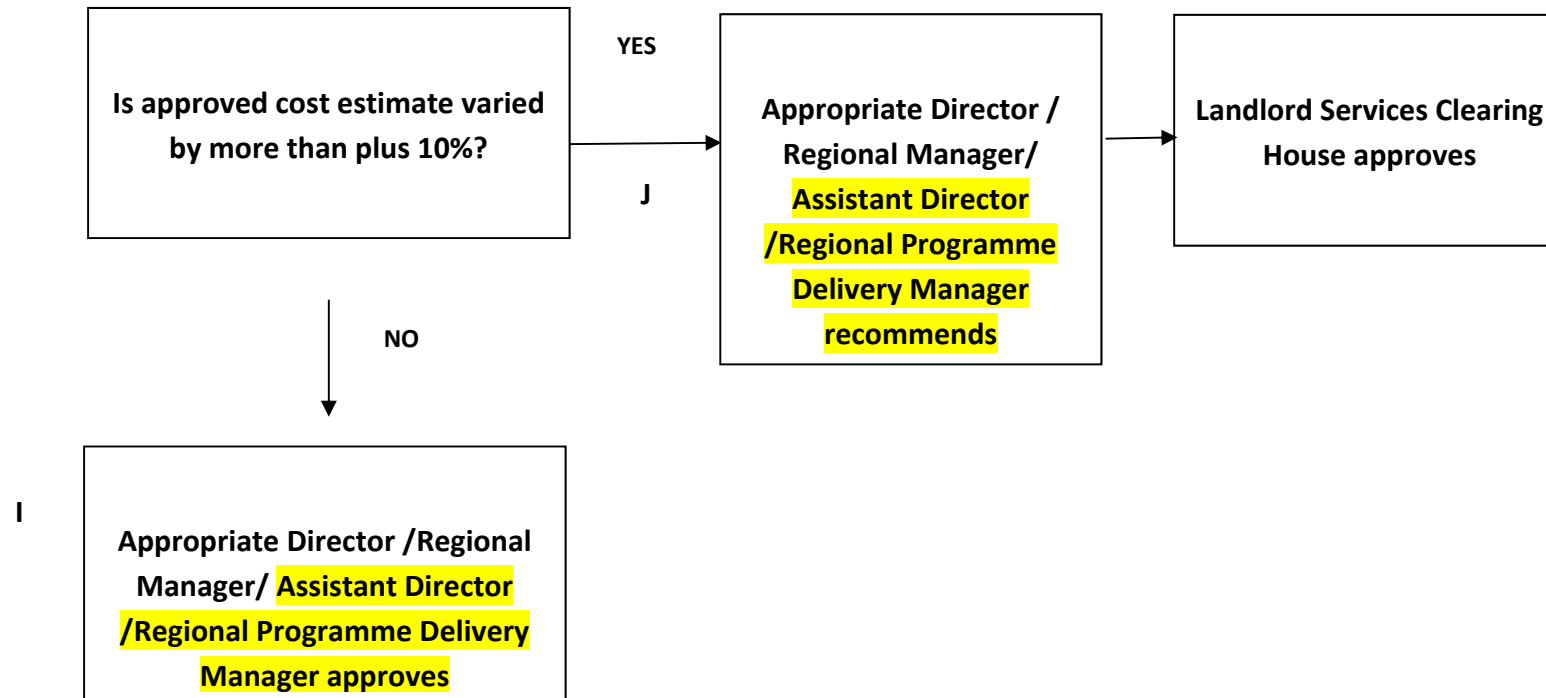
SCHEMES MORE THAN £100,000 AND LESS THAN OR EQUAL TO £500,000



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 CXBC and CXBC can approve.

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 (NIGEAE). 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 DSD and approved by DFP in accordance with DAO(DFP)06/12 or any subsequent revision.
5. The Chief Executive, at CXBC, will have authority to approve expenditure between £100,000 and £1,000,00.
6. The Director of Corporate Services shall have authority to approve expenditure up to £100,000.
7. For expenditure on information technology projects led by other Divisions, the Director of Corporate Services 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 January, the Director of Regional Services will seek approval from the Board to the annual budget plan for the Social Housing Development Programme.
2. The annual plan will present the proposed total expenditure, total number of units and indicative schemes for the Social Housing Development Programme within the ensuing 12 months and will be submitted via CXBC. If required, CXBC 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.
3. The Chief Executive at CXBC will have authority to approve any expenditure pursuant to the annual budget plan. This will be by way of a schedule of schemes.
4. 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 £100,000.
5. CXBC approval is required if there has been an amendment of more than £100,000 to the scheme costs.

Reporting

6. 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

3. 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.
4. Paper is submitted to the Chief Executive's Business Committee (CXBC) to agree.
6. CXBC recommends submission to the Board.
7. Board approves.

Supporting People Programme Transactions over £100,000 and under or equal to £500,000

5. Paper is submitted to the Chief Executive's Business Committee (CXBC).
6. CXBC approves.

Supporting People Programme Transactions over £50,000 and under or equal to £100,000

4. Paper presented to the Director of Regional Services for approval.
5. Director of Regional Services approves.
6. Schedule is submitted to the Chief Executive's Business Committee for information.

Supporting People Programme Transactions under or equal to £50,000

4. Paper is presented to Assistant Director Regional Services (Supporting People) for approval.
5. Assistant Director approves.
6. Schedule submitted to Finance.

The table

The following table is for general guidance only:

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

