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Some information has been omitted / redacted as disclosure may prejudice the commercial interests of Irvine Housing Association.

We recognise that the commercial sensitivity of information may decline over time and the harm arising from disclosure may be outweighed by the public interest in openness and transparency. We commit to review the redaction of any such information from time to time.

Some information has been redacted as it contains personal data which identifies an individual. Disclosure of this information would place Irvine Housing Association in breach of the Data Protection Act 2018.

**Board Meeting Agenda**  
**239<sup>th</sup> Meeting: Thursday 19 November 2020**  
**At 5.30 p.m. by Blue Jeans video conference**

**AGENDA**

		<b>Data Class</b>
1.	Apologies for Absence	
2.	Declarations of Interest	
3.	Previous Minutes – Minutes of the Board Meeting held on Thursday 27 August and the Special Board Meeting held on 16 September 2020.	Public
4.	Matters Arising	
5.	Substantive Business	
5.1	Covid-19 Pandemic Update	Public
5.2	Financial Plan	Restricted
5.3	Regulatory Compliance – Assurance Statement (To follow)	Internal
5.4	Growth Strategy	Confidential
5.5	Development Project – Tarryholme Phase 2	Restricted
5.6	Repairs Options Appraisal	Internal
5.7	Procurement Policy	Public
5.8	OSCR Annual Return	Public
5.9	Membership Register	Public
5.10	Equality, Diversity and Inclusion Action Plan 2020	Public
5.11	Progress Reports on Development Projects	Internal
5.12	Operational Performance Report	Public
5.13	Financial Performance Report	Restricted
5.14	MD Report	Public
6.	Minutes/Updates: a) Unconfirmed Audit & Risk Committee Meeting – 5 October 2020	Confidential

	b) Unconfirmed Group Neighbourhood Services Committee Meeting – 24 September 2020 c) Group Board Core Brief – August, September and October 2020	Confidential Confidential
7.	Disclosure	
8.	Any Other Business	
9.	Date of Next Meeting – 5.30 p.m. on Thursday 28 January 2021 – Board Meeting via MS Teams video conference	

PH / db  
3/11/2020

Date:	19 <sup>th</sup> November 2020
Subject:	COVID-19 Pandemic
Author:	Paul Hillard
Sponsor:	
Appendices:	Appendix 1 – Staff well-being survey October 2020 Appendix 2 - COVID-19 Returns to the SHR
Action:	Information
Data Class:	Public

## EXECUTIVE SUMMARY

This Report provides an update to Board members of the Association’s response to the COVID-19 Pandemic and the consequent ‘lockdown’ measures.

This Report outlines the approach being taken to the re-instatement of services and changes to ways of working as the lockdown measures are eased, our approach to supporting staff, the consequence risks, and reporting to the Scottish Housing Regulator.

## RECOMMENDATION

- It is recommended that Board note and comment on the contents of this Report.

## 1 Background

- 1.1 The UK Government announced initial lockdown measures on 16<sup>th</sup> March 2020 with a request for people and businesses to maximise working from home. Further, more significant ‘lockdown’ measures were announced on 23<sup>rd</sup> March 2020.
- 1.2 The measures contained in The Coronavirus (Scotland) Act 2020 became effective from 7<sup>th</sup> April 2020.
- 1.3 Subsequent COVID-19 Pandemic specific guidance has been issued from the Scottish Government, The Scottish Housing Regulator and the Health and Safety Executive relating to the functions and services of the Association.
- 1.4 The Association commenced home working for all staff, with limited on-going estate and property based working for some colleagues, from 18<sup>th</sup> March 2020. Where necessary a risk-assessed scheme of working has been devised and appropriate PPE issued.
- 1.5 At the end of October the Scottish Government introduced the ‘tiered’ approach to lockdown measures, increasing the levels of measures in by local authority area according factors such as to the rate of infections and NHS capacity.
- 1.6 At w/c 9<sup>th</sup> November 2020 the three Ayrshire local authorities were in Tier 3 and Dumfries and Galloway in Tier 4.
- 1.7 The most significant lockdown measure still in place effecting the Association’s business is the inability to use the office.

## **2 Recovery of Services**

- 2.1 After considering the guidance around lockdown measures for all tiers, including Tier 4, the management team are confident that we can continue to provide the vast majority of the services, albeit that they are being delivered very differently, minimising direct face to face contact with customers, or between colleagues and without a useable office. The key elements of the service are set out below:
  - 2.1.1 Repairs – A full service is now being offered with safe methods of working being adopted by contractors where repairs are being carried out.
  - 2.1.2 Safety checks – Landlord compliance safety checks are being carried out. This included gas safety inspections and enforcement action is now being undertaken. The processes for enforcement are taking account of cases where Covid-19 self-isolation or shielding by customers is in place.
  - 2.1.3 Void Properties –are being inspected and works carried out to make them available to let. Safe working practices and additional cleaning means that there is a notable increase in void turn round times to c.25 days.
  - 2.1.4 Lettings – are being carried out in accordance with normal policies. Mutual exchanges are also now being processed.
  - 2.1.5 Estate Inspections – are being carried out by the Estate Caretakers, where possible from within their cars.
  - 2.1.6 Landscape Maintenance – a full service is in place.
  - 2.1.7 Arrears Recovery– the First Minister has announced that the no evictions element of the Coronavirus legislation will be extended to the end of March 2021. Arrears are currently c.£80K to £100K higher than at the same point as a year ago, and the current trend is still rising, although the rate of increase has slowed in current weeks. To address this issue procedures have been introduced that deploy more Housing Officers' time in pursuit of rent arrears to supplement the activity of the Income Collection Team.
  - 2.1.8 Tenancy Sustainability - the team is prioritising work assisting new universal credit claimants through the process. Their workload is considerable and is likely to increase once the 'furlough' system comes to an end. We are currently investigating options to increase the resources in the team.
  - 2.1.9 Responding to Anti-Social Behaviour – We have sought to continue to respond to this through telephone contact with tenants.

## **3 Use of the Office**

- 3.1 In anticipation of an earlier easing of restrictions, the office has now been prepared for use in a way that would allow social-distancing and safe working. However, the guidance coming from the Tiered approach is that, even in Tier 0, working from home is recommended wherever practicable. The management team will examine the guidance in detail to assess if the office can be used for some level of activity as North Ayrshire enters lower tiers.

## **4 Colleague Welfare**

- 4.1 The Management Team are continuing to give priority to support colleague well-being during the pandemic. We are taking an approach of continuing with much more frequent team meetings, usually weekly, and ensuring that there is regular contact between colleagues. We have also actively sought to encourage colleagues to take annual leave during this period.
- 4.2 This has been supported by a range of Riverside-wide initiatives and resources to support wellbeing, including on-line activities and national workshops and events.
- 4.3 A further hive survey was carried out in October which demonstrated a slight reduction in scores. (The results are attached as Appendix 1) The management team have met and will be pro-actively promoting Riverside-wide measures, and developing local initiatives as part of a “Ways too Well Being” programme.

## **5 Scottish Housing Regulator**

- 5.1 In April, the SHR announced that it would require a special monthly return from all social landlords. The Association return for July 2020 is attached as Appendix 2.

## **6 Risks**

- 6.1 A COVID-19 specific Risk Schedule has been developed and shared with the Audit and Risk Committee. It is available for Board members on the REX site.

## **7 Recommendation**

- 6.1 It is recommended that the Board members note and comment on this Report.



# Wellbeing Pulse Survey September 2020

**Customer Service  
High Level Results and Outcomes**

15<sup>th</sup> October 2020



# High Level Summary - Customer Service, Sept vs. June



## Commentary

Survey sent to: **3171 colleagues**  
 Survey responses from: **1452 colleagues**  
*our highest wellbeing survey response to date*

**Customer Service**  
 Survey sent to: **633 colleagues**  
 Survey responses from: **311 colleagues**

Most areas improved or retained response rates, with just 2 areas dropping since June. In terms of scoring all areas dropped with the exception of CSC and LCR.

Most improved response was from LCR who increase by 25% since last survey

**'My Thoughts'**  
**85 comments received (53 in June)**

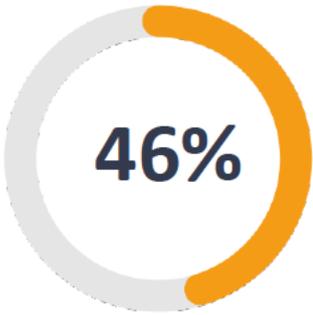
- Concerns - 51
- Ideas - 15
- Other - 19

<span style="color: green;">■</span>	70% or higher or a score of 7 or above
<span style="color: yellow;">■</span>	50-69% or a score of 5 - 6.9
<span style="color: orange;">■</span>	30-49% or a score of 3 - 4.9
<span style="color: red;">■</span>	0-29% or a score below 3

## Response by Business Areas

	Average Response Rate	Sept Outcome	June Comparisons	
<b>Riverside</b>	46%	7.5	41%	7.7
Customer Service	49%	7	44%	7.2
Irvine HA	56%	7.6	60%	8.6
Liverpool City Region	83%	7.6	58%	7.6
North Region	63%	7.6	63%	8.5
Riverside Home Ownership	50%	6.9	29%	7
Social Housing Bus Mgt	67%	x	67%	8.1
South & Central Region	52%	7.3	56%	7.8
Impact	61%	8.1	46%	8.1
CSC	35%	6.3	33%	5.9

### Riverside Overall Response Rate



↑ 5%

### Customer Service Response Rate



↑ 5%

### Average Overall Outcome



↓ 0.2

### Customer Service Overall Outcome



↓ 0.2

\*\*Out of 10

# Average Question Outcome by Service Area



X = too few responses to be able to report/not relevant (less than 6)

	Riverside Overall	Customer Service	Irvine HA	Liverpool City Region	North Region	Riverside Home ownership	Social Housing Business Management	South & Central Region	Impact	CSC
<b>Question</b>										
I feel mentally well & healthy at the moment	6.5	5.8	6.2	6.1	6.1	4.6	X	6.1	7.3	5.4
My manager is regularly checking in with me to see how I'm doing	7.5	7.4	7.9	8.4	7.8	8.7	X	7.1	8.1	6.3
I know how to access the relevant health and wellbeing support Riverside offer	7.5	7.4	7.6	8	8.1	7	X	7.8	7.4	6.5
I am able to maintain a healthy work-life balance	6.8	6.2	6.4	6.5	6.7	5.4	X	6.9	7.9	5.7
I feel comfortable making time with my manager to discuss any concerns about my health & wellbeing	7.5	7.3	8.1	8.2	7.7	8.4	X	7	8.5	6.3
I am able to manage my workload effectively	7.2	6.9	7.5	7.1	7	5.8	X	7	7.6	6.8
I am receiving and reading COVID-19 communications	8.5	8	8.5	8.2	8.4	8.2	X	8.3	9.1	7.5
I am staying connected with my colleagues/team	8.1	7.6	8.4	8.2	7.8	7.3	X	7.9	8.4	6.8
Regional Operations Managers, Heads of & Directors at my company are appropriately visible/accessible	6.9	6.1	7.1	7.2	6.3	6.8	X	6.8	7.7	4.7
I feel safe carrying out my role regardless of location home/office/front line	7.9	7.4	8.3	7.8	7.5	6.6	X	7.8	8.5	6.8
I have requested and received everything I need to do my job to the best of my ability	7.8	7.3	7.9	8.1	7.6	6.8	X	7.2	8.7	6.5
<b>Overall Business Area Average</b>	<b>7.5</b>	<b>7</b>	<b>7.6</b>	<b>7.6</b>	<b>7.4</b>	<b>6.9</b>	<b>X</b>	<b>7.3</b>	<b>8.1</b>	<b>6.3</b>

# All wellbeing survey outcomes at a glance



## April Survey

	Average Response	Average Overall Score
<b>Riverside</b>	<b>43%</b>	<b>8.1</b>
Customer Service	46%	8
Irvine HA	47%	8.9
Liverpool City Region	62%	8.1
North Region	66%	8.5
Riverside Home Ownership	39%	7.3
Social Housing Bus Mgt	60%	8.5
South & Central Region	57%	7.9
Impact	53%	8.6
CSC	35%	7.7

## June Survey

	Average Response	Average Overall Score
<b>Riverside</b>	<b>41%</b>	<b>7.7</b>
Customer Service	44%	7.2
Irvine HA	60%	8.6
Liverpool City Region	58%	7.6
North Region	63%	8.5
Riverside Home Ownership	29%	7
Social Housing Bus Mgt	67%	8.1
South & Central Region	56%	7.8
Impact	46%	8.1
CSC	33%	5.9

## September Survey

	Average Response	Average Overall Score
<b>Riverside</b>	<b>46%</b>	<b>7.5</b>
Customer Service	49%	7
Irvine HA	56%	7.6
Liverpool City Region	83%	7.6
North Region	63%	7.6
Riverside Home Ownership	50%	6.9
Social Housing Bus Mgt	67%	x
South & Central Region	52%	7.3
Impact	61%	8.1
CSC	35%	6.3

**Landlord:** 
[Definitions](#)
**Month:** 
**Please submit this return within one week of the end of the calendar month**
**Please tell us your staff absence level on the last day of the month:**

Total number of staff (FTE)	<input type="text" value="34.33"/>	Comments:	<input type="text"/>
Total number absent (FTE)	<input type="text" value="0"/>	Comments:	<input type="text"/>

Percentage of staff absent	<input type="text" value="0.0%"/>
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Number of staff placed on furlough (FTE)	<input type="text" value="0"/>	Comments:	<input type="text"/>
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Gross rent arrears	<input type="text" value=""/>	Comments:	<input type="text"/>
Total rent due	<input type="text" value=""/>	Comments:	<input type="text"/>

Gross rent arrears (%)	<input type="text" value="6.38%"/>
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Empty Homes (last day of previous reporting month)	<input type="text" value="9"/>	
Empty homes (arose during the reporting month)	<input type="text" value="12"/>	Comments: <input type="text"/>

Empty homes (last day of reporting month)	<input type="text" value="8"/>	Comments: <input type="text"/>
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Number of lets to homeless (SST)	<input type="text" value="7"/>	Comments:	<input type="text"/>
Number of lets to homeless (short SST)	<input type="text" value="1"/>	Comments:	<input type="text"/>

Number leased to relevant local authority	<input type="text" value="0"/>	Comments:	<input type="text"/>
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Number of lets to others	<input type="text" value="5"/>	Comments:	<input type="text"/>
Total lets and leased (during reporting month)	<input type="text" value="13"/>		

Balance	<input type="text" value="0"/>	Comments:	<input type="text"/>
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Cash balances as at last day of the month	<input type="text" value=""/>	Comments:	<input type="text"/>
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**Number of court actions initiated and properties recovered during the reporting month:**

Total number of court actions initiated	<input type="text" value="0"/>	Comments:	<input type="text"/>
The number of properties recovered having obtained decree for non-payment of rent	<input type="text" value="0"/>	Comments:	<input type="text"/>

The number of properties recovered having obtained decree for anti-social behaviour	<input type="text" value="0"/>	Comments:	<input type="text"/>
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The number of properties recovered having obtained decree for other reasons	<input type="text" value="0"/>	Comments:	<input type="text"/>
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**Number of Notice of Proceedings issued during the reporting month for:**

Rent arrears	<input type="text" value="14"/>	Comments:	<input type="text"/>
Antisocial behaviour / criminal activity	<input type="text" value="0"/>	Comments:	<input type="text"/>

Other reasons	<input type="text" value="0"/>	Comments:	<input type="text"/>
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**Landlord:** 
[Definitions](#)
**Month:** 

Please submit this return within one week of the end of the calendar month

**Please tell us your staff absence level on the last day of the month:**

Total number of staff (FTE)	<input type="text" value="34.33"/>	Comments:	<input type="text"/>
Total number absent (FTE)	<input type="text" value="2.4"/>	Comments:	<input type="text"/>

 Percentage of staff absent 

Number of staff placed on furlough (FTE)	<input type="text" value="0"/>	Comments:	<input type="text"/>
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Gross rent arrears	<input type="text" value=""/>	Comments:	<input type="text" value=""/>
Total rent due	<input type="text" value=""/>	Comments:	<input type="text" value=""/>

 Gross rent arrears (%) 

Empty Homes (last day of previous reporting month)	<input type="text" value="8"/>	
Empty homes (arose during the reporting month)	<input type="text" value="5"/>	Comments: <input type="text"/>

Empty homes (last day of reporting month)	<input type="text" value="4"/>	Comments: <input type="text"/>
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Number of lets to homeless (SST)	<input type="text" value="5"/>	Comments: <input type="text"/>
Number of lets to homeless (short SST)	<input type="text" value="0"/>	Comments: <input type="text"/>

Number leased to relevant local authority	<input type="text" value="0"/>	Comments: <input type="text"/>
Number of lets to others	<input type="text" value="4"/>	Comments: <input type="text"/>

Total lets and leased (during reporting month)	<input type="text" value="9"/>	
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Balance	<input type="text" value="0"/>	Comments: <input type="text"/>
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Cash balances as at last day of the month	<input type="text" value=""/>	Comments: <input type="text" value=""/>
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**Number of court actions initiated and properties recovered during the reporting month:**

Total number of court actions initiated	<input type="text" value="0"/>	Comments: <input type="text"/>
The number of properties recovered having obtained decree for non-payment of rent	<input type="text" value="0"/>	Comments: <input type="text"/>

The number of properties recovered having obtained decree for anti-social behaviour	<input type="text" value="0"/>	Comments: <input type="text"/>
The number of properties recovered having obtained decree for other reasons	<input type="text" value="0"/>	Comments: <input type="text"/>

**Number of Notice of Proceedings issued during the reporting month for:**

Rent arrears	<input type="text" value="17"/>	Comments: <input type="text"/>
Antisocial behaviour / criminal activity	<input type="text" value="1"/>	Comments: <input type="text"/>

Other reasons	<input type="text" value="0"/>	Comments: <input type="text"/>
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Date:	5 <sup>th</sup> November 2020
Subject:	Group Procurement Policy
Author:	Heather Anderson
Sponsor:	Paul Hillard
Appendices:	Yes
Action:	Adoption
Data Class:	Public

### **EXECUTIVE SUMMARY**

Irvine Housing Association currently works within the wider Riverside Group Procurement Policy framework for the purchase of goods and services. Support and assistance is provided to IHA staff by the Group Procurement Team to ensure procurement regulations are adhered to best value is achieved.

Group Procurement services have recently carried out a review of the procurement policy to ensure it remains up to date and continues to reflect Good Practice. The revised Procurement Policy is attached to this report as Appendix 1.

The key amendments are:

- The threshold for seeking one written quote from an approved supplier for the provision of goods has been increased from £2k to £5k in line with new guidance.
- New section on waivers, breaches, and due diligence.

### **RECOMMENDATION**

The Board is asked to adopt the revised Group Procurement Policy attached to this report as Appendix 1.

## **1 Background**

As above.

## **2 Next steps**

The revised policy will be circulated to all staff and an immediate implementation date.

## **5 Recommendations**

Board is asked to adopt the revised Group Procurement Policy attached to this report as Appendix 1.



**Policy:** Group Procurement Policy

**Date approved (and date policy effective from, if different):** October 2020

**Approved by:** Executive Directors

**Lead director/ policy owner:** Ian Gregg

**Applicable to:** The Riverside Group

**In consultation with:** Senior Managers  
Executive Directors

**Review date:** October 2022

**Associated Documents:** The Scheme of Delegated Authority  
Contract Management Guidance



**CONTENTS:**

1. PURPOSE
2. GUIDING PRINCIPLES
3. CATEGORY MANAGEMENT
4. PROCUREMENT PROCESS
5. PRE-MARKET ENGAGEMENT
6. DETERMINING CONTRACT VALUE
7. LOW VALUE PROCUREMENT
8. INTERMEDIATE VALUE PROCUREMENT
9. HIGH VALUE PROCUREMENT
10. WAIVERS AND BREACHES
11. APPROVAL TO AWARD CONTRACT
12. PROBITY
13. DUE DILIGENCE
  - A: NEW SUPPLIERS
  - B: EXISTING SUPPLIERS
14. SUPPLIER PAYMENT
15. CONTRACTS AND CONTRACT MANAGEMENT
16. EQUALITY, DIVERSITY AND SUSTAINABILITY
17. NOTES

Appendix 1 – Route to Market

Appendix 2 – Buying Channels and Exceptions

Appendix 3 – What business users can and can't do

Appendix 4 – Processes for Procurement

Appendix 5 – Gated Procurement Process Stages

Appendix 6 - Procurement RACI Matrix

Appendix 7 – Responsible Business



## Group Procurement Policy

Date: October 2020

### 1. Purpose

The Riverside Group Procurement Policy applies to all spend, regardless of value, across The Riverside Group and includes all business units, subsidiaries and commercial entities owned and controlled by The Riverside Group including Irvine Housing Association employees.

The policy outlines:

- The roles and responsibilities of all Riverside Group, Irvine Housing Association and Evolve employees and representatives.
- Prospect will also adhere to the policy but, as a commercial business, will use different tendering thresholds
- The principles we will abide by for selecting and putting in place supply arrangements
- How supply arrangements will be identified
- Who has the ability to award a contract
- The routes to market for new or replacement supply arrangements
- How suppliers and contractual arrangements are managed
- How employees and representatives access goods and services

Non-compliance with the policy could result in a disciplinary action.

### 2. Guiding Principles

The over-riding procurement policy requirement is that all public procurement must be based on value for money.

As such, we adhere to the EU Treaty Principles which underpin the way we work: proportionality, mutual recognition, transparency, non- discrimination and equal treatment.

Group Procurement will work with business stakeholders to understand their supply needs short and long term and will develop appropriate Category Strategies and delivery plans.

Group Procurement will set up, manage and provide effective group-wide supply arrangements to leverage group spend and maximise the Group's commercial position whilst demonstrating Value for Money.

Group Procurement will provide a level of assurance that The Riverside Group is running processes that are compliant with all relevant legislation, regulations, internal governance and delegated authorities, including any that

	<p>relate specifically to Scotland and Irvine Housing Association’s position as a Scottish Housing Association and Registered Charity.</p> <p>Business Users must provide all suppliers with an approved Purchase Order prior to provision of goods, works or services as a <b>No PO No Pay</b> policy is in force. There are some exceptions and those are specified in Appendix 2.</p> <p>Group Procurement will award and hold all contracts using, where possible, Riverside’s standard Terms and Conditions. Any variations may only be approved by Group Procurement in consultation with Legal Services where appropriate.</p> <p>Group Procurement will support Riverside’s overall approach to responsible business by ensuring it is consistently implemented and measured throughout all the appropriate commercial arrangements, strategy, processes and procedures. Further detail in Appendix 4.</p>
3.	<p><b>Category Management</b></p> <p>Group Procurement will work with business stakeholders to understand their supply needs short and long term and will develop appropriate Category Strategies and delivery plans.</p> <p>A Category Management approach will be deployed for all spend types. This will include new business requirements, variations and extensions to existing arrangements and renewals of expiring arrangements.</p> <p>Category Management will align to the budget setting and business planning process in order to deliver the contract and commercial benefits required.</p> <p>Group Procurement will own and develop the Category Management stakeholder engagement plans and take ownership for collating the business needs to establish the Category Management plan.</p> <p>Annual Category Plans will articulate the delivery programme and benefits profile. These will be presented to Executive Sponsors for approval and sign-off prior to implementation and being built into any financial forecasts.</p> <p>Category Plans will inform the schedule of procurement activity and will be reviewed on an annual basis to take into account changes in the supply market and how that could impact The Riverside Group.</p> <p>As part of our continuous improvement, some stakeholders will receive a questionnaire following a procurement activity requesting feedback which will require completing.</p>

**4. Procurement Process**

Group Procurement will set up, manage and provide effective group-wide supply arrangements to leverage group spend and maximise the Group's commercial position whilst demonstrating Value for Money.

Group Procurement will ensure that all suppliers and contractors are selected, sourced and managed in accordance with a documented and auditable procurement process that embraces best practice processes, systems and templates in line with the Public Contracts Regulations (PCR) 2015.

The standard approach for The Riverside Group will be to seek competition for procurement of goods, services and works.

The Route to Market will be determined by Group Procurement based on what will deliver The Riverside Group the best value for money (see appendix 1). It could be:

- (1) Utilising established Framework Agreements to call off against.
- (2) Establishing bespoke contracts using a competitive process.
- (3) Negotiation

As a registered charity and social housing provider, The Riverside Housing Group must demonstrate compliance with the EU Public Contracts Directive (2014/24/EU) for all supplier selection and award. Monetary values are based on a total aggregated spend excluding VAT over the life of the contract.

Group Procurement will provide a level of assurance that The Riverside Group is running processes that are compliant with all relevant legislation, regulations, internal governance and delegated authorities, including any that relate specifically to Scotland and Irvine Housing Association's position as a Scottish Housing Association and Registered Charity.

Prospect, as a Commercial entity and not reliant on PCR 2015, will operate under different parameters, as outlined in Appendix 4, to ensure value for money is achieved.

Should anyone wish to engage with a supplier (regardless of engagement level) that does not have a formal supply arrangement with The Riverside Group; support must be first sought from Group Procurement.

Regardless of spend level, Group Procurement is involved in all supplier selection and contract awards. The level of involvement will vary based on the Scheme of Delegated Authority, value of spend and the associated risk identified to the organisation. See appendix 3.

Subject to the level of spend, Group Procurement will use the appropriate Route to Market when facilitating the selection of a supply arrangement. The value of spend and type of goods and services will dictate the routes available.

	<p>If multiple routes are available to the organisation, then Group Procurement will determine the best route based on a combination of factors such as price, value for money and ease to achieve.</p>
<b>5.</b>	<p><b>Pre-Market Engagement</b></p> <p>Advice must be sought from the Procurement Team for any pre-market engagement (also known as soft market testing). The purpose of pre-market engagement is to understand the market for a particular contract, advise suppliers as to our forthcoming requirements, support the development of specifications and identify key market drivers to assist in shaping evaluation criteria.</p> <p>Pre-market engagement must not be carried out in a way that would distort competition or be perceived to have done so. The same information must be provided to all suppliers and any specific information provided to a supplier must be provided to all. It is also not to be used to choose a preferred Supplier and circumvent the procurement process.</p> <p>Pre-market engagement must be documented and information retained.</p>
<b>6.</b>	<p><b>Determining Contract Value</b></p> <p>TRG should make the best use of its purchasing power by aggregating purchases where appropriate. Goods, services or works must not be split in an attempt to avoid the applicability of this Policy, Spend thresholds or the EU Regulations.</p> <p>Where expenditure takes the form of a contract for goods, works or services to be provided over a period of time, the limits apply to the total contract value over the life of the contract.</p> <p>For example, a four (4) year contract with expected expenditure of £150,000 per annum is deemed to be an expenditure of £600,000 and the procedure to be followed and associated authorisation will be applied at that level. Contract terms must not be artificially shortened to avoid following required procedures.</p> <p>All values referred to in this Guidance are exclusive of VAT.</p> <p>All contracts should be let for a clearly defined period.</p>
<b>7.</b>	<p><b>Low Value Contracts</b></p> <p>Low value procurement is defined as the total aggregated value of the requirement, calculated in accordance with Section 6 of this Policy, being not higher than £25,000.</p> <p>Local teams/ departments are responsible for managing this procurement and keeping appropriate records within their departments. At least one written quote must be obtained from an approved supplier for spend under £5k and for spend over £5k (up to £25K) a minimum of 3 quotes must be obtained. An</p>

	Onboarding form must be completed by the new supplier. The Procurement team must approve any new suppliers.
<b>8.</b>	<p><b>Intermediate Value Contracts</b></p> <p>Intermediate value procurement is defined as the total aggregated value of the requirement, calculated in accordance with Section 6 of this Policy, being greater than £25,000 but not higher than £189,330 for goods and services, and £4,733,252 for works.</p> <p>The Procurement Team must be advised of any intermediate value procurement and will approve the procurement process to be utilised. The procurement team will work with the business area to manage the procurement utilising template documents. The process must involve obtaining a minimum of three written quotations.</p> <p>Due diligence on suppliers will be carried out through the procurement process for Intermediate Value procurements. As such an Eligibility Questionnaire will form part of the tender and must be completed by the successful supplier.</p>
<b>9.</b>	<p><b>High Value Contracts</b></p> <p>High value procurement is defined as the total aggregated value of the requirement, calculated in accordance with Section 6 of this Policy, being above the OJEU thresholds currently at £189,330 for goods and services and £4,733,252 for works.</p> <p>The Procurement Team must be advised of any high value procurement and will lead the procurement process. High Value Procurement will require an OJEU compliant process involving a formal tender in accordance with the process detailed in the Procurement Regulations, PCR2015.</p> <p>Due diligence on suppliers will be carried out through the procurement process for High Value procurements. As such a Selection Questionnaire will form part of the tender and must be completed by the successful supplier.</p>
<b>10.</b>	<p><b>Waivers and Breaches</b></p> <p>A waiver is approval to deviate from the procurement policy before the matter happens. A breach is a deviation from the policy after the matter.</p> <p>Approval for a waiver or breach must be agreed with the relevant member of the Leadership team, using the waiver and breaches template. This should then be sent to the Finance Director and Head of Group Procurement for approval.</p> <p>More than one waiver or breach for the same supplier will require additional ED approval. Any approvals for waivers and breaches over £1m (works) and £150k (goods or services) will require ED Team approval.</p>

	A register will be maintained for both waivers and breaches by the Head of Group Procurement, following approval and any suspicion or identification of either waivers or breaches must be reported immediately.										
<b>11.</b>	<p><b>Approval to Award Contract</b></p> <p>Following completion of the procurement process, a contract award report will be written and signed off by the relevant contract manager and director in accordance with the table below as power of approval Contracts can also only be signed by those levels listed below in line with the Scheme of Delegated Authority.</p> <table border="1"> <thead> <tr> <th>Role</th> <th>Authority Level</th> </tr> </thead> <tbody> <tr> <td>Director or Head of Group Procurement</td> <td>Up to £1,000,000</td> </tr> <tr> <td>Executive Director</td> <td>Up to £3,000,000</td> </tr> <tr> <td>CEO</td> <td>Above £3,000,000</td> </tr> <tr> <td>Board</td> <td>Above £5,000,000</td> </tr> </tbody> </table> <p>In addition to the table above, further approvals may be requested at Executive Director Meeting, Programme Boards or Investment Appraisal Committee (IAC).</p>	Role	Authority Level	Director or Head of Group Procurement	Up to £1,000,000	Executive Director	Up to £3,000,000	CEO	Above £3,000,000	Board	Above £5,000,000
Role	Authority Level										
Director or Head of Group Procurement	Up to £1,000,000										
Executive Director	Up to £3,000,000										
CEO	Above £3,000,000										
Board	Above £5,000,000										
<b>12.</b>	<p><b>Probity</b></p> <p>Any stakeholder within the business involved in procurement activity must declare any interest that they have with any actual or potential suppliers. Please contact governance for any additional information. Each member of an Evaluation Team must complete a Conflict of Interest form before completing any tender evaluation.</p> <p>Suppliers are also required to declare any interest they may have with TRG, its Group of companies and staff as part of their tender submission.</p>										
<b>13.</b> <b>A.</b>	<p><b>Due Diligence</b> <b>New Suppliers</b></p> <p>Due diligence must be carried out initially by the business area and then by procurement on new suppliers including the following documentation to enable new suppliers to be set up:</p> <ul style="list-style-type: none"> <li>- Bank details on business letterhead</li> <li>- Onboarding form (only required if an Eligibility Questionnaire or Selection Questionnaire hasn't been completed)</li> <li>- Insurance documentation</li> <li>- Appropriate accreditations (e.g. ISO9001, ISO18001, ISO27001, FENSA)</li> <li>- If a construction contractor, then accreditation to SafeContractor (our preferred supplier) is needed (SSIP accredited). If they don't have SafeContractor then CHAS will be considered as an alternative.</li> <li>- Company registration number</li> <li>- VAT Number (if VAT registered)</li> </ul> <p>Procurement will also check the company registration number on Companies House and independently verify the bank account, sort code and VAT number.</p>										

	<p>Credit checks are also undertaken          For Low and Intermediate Value procurements these will be done using the Dunn and Bradstreet finance check system. Any concerns found (risk higher than moderate risk) will be highlighted to the business user and finance business partner as required.          For High Value procurements, the appropriate finance business partners will be involved in the finance checks including checks on audited accounts</p> <p>Additional detail on the new supplier set up can be found on the RIC under New Supplier Procedure.</p> <p><b>B. Existing Suppliers</b></p> <p>Procurement will continue to monitor the financial performance of all current suppliers using the Dunn and Bradstreet monitoring function. If procurement receive an alert which downgrades a supplier to “High Risk of Failure” then the contract manager, director of service and finance business partner will be alerted and a decision made as to how to proceed and a contingency plan implemented if required.          Contract managers should ensure that they have up to date copies of all insurance documents and any other relevant documentation.          This will need to happen until a Groupwide central repository is available which allows suppliers to input their information themselves.          The SafeContractor portal should provide the necessary documentation for construction contractors provided the contractor is a member of SafeContractor.</p> <p>The procedure for supplier amendments is on the procurement page of the RIC.</p>
<p>14.</p>	<p><b>Supplier Payment</b></p> <p>Business Users must provide all suppliers with an approved Purchase Order prior to provision of goods or services. There are some exceptions and those are specified in Appendix 2.</p> <p>Users of goods and services can access approved supply arrangements using the Purchase Order system by drawing on an existing and approved contract.</p> <p>Only those suppliers put in place for the provision of the goods, services and works (as outlined in the contract between The Riverside Group and the supplier) are available to users to access. No expenditure should be incurred with suppliers until Group Procurement has approved their setup on the supplier database. The Riverside Group operate a <b>No PO, No Pay</b> policy and as such, no works or services should be carried out without a PO being raised.</p> <p>Access to products and suppliers will be determined by Group Procurement based on the buying needs and Delegated Authorities (see Scheme of Delegated Authority) of the employee.</p>

	<p>Approval of a Purchase Order must be made by a person(s) with the appropriate Delegated Authority as per the Scheme of Delegated Authority.</p> <p>Suppliers shall not be permitted to supply any goods/services or to commence any works to The Riverside Group until a valid and fully approved purchase order and contract is in place.</p> <p>Should a user be unable to locate a specific product, service or supplier, assistance should be sought from Group Procurement.</p>
15.	<p><b>Contracts and Contract Management</b></p> <p>Group Procurement will award and hold all contracts and Framework Agreements in a central contracts repository using Riverside’s standard Terms and Conditions or other agreed forms of contract such as JCT Suite. Any variations may only be approved by Group Procurement in consultation with Legal Services where appropriate. Procurement will also be responsible for ensuring the ongoing validity of these arrangements during the contract term.</p> <p>Contracts will be awarded in accordance with the agreed schedule of the Category Management Plans by Group Procurement.</p> <p>Group Procurement will be responsible for creating a re-letting plan of expiring Contracts and Framework Agreements in accordance with the annual Category Management planning process to ensure that all on-going business needs are addressed.</p> <p>Business areas will be responsible for identifying a contract manager for the day to day management of contracts however Group Procurement will retain oversight, and where required, intervene where contractual breaches occur, specifically for strategic contracts. The Contract Management Guidance document provides more detail.</p> <p>Group Procurement will work with stakeholders to ensure contracts are delivering the expected services at the forecast costs and standards. Any changes made to the total forecast spend, contract, service offer or goods provided must be facilitated and put in place by Group Procurement.</p> <p>Contract extensions are permitted when the contract allows for an extension. The extension must be approved in line with the Scheme of Delegated Authority. Procurement must be made aware of any contract extension being taken and are happy to support in the negotiation of the extension.</p> <p>Group Procurement will support Riverside’s overall approach to responsible business by ensuring it is consistently implemented and measured throughout all the appropriate commercial arrangements, strategy, processes and procedures. Further detail in Appendix 4.</p>

16.	<p><b>Equality, Diversity and Sustainability</b></p> <p>The Group Procurement Policy will ensure that through all policy, strategy and procedures, Riverside complies with the requirements of the Equality Act 2010. We aim to promote equality through all of our activities as employer, partner, influencer and service provider. We will comply with all legal and regulatory requirements which apply to the protected characteristics of race, religion or belief, sex, disability, sexual orientation, age, gender reassignment, marriage and civil partnership and pregnancy and maternity. We will take all reasonable steps to ensure our partners, suppliers and groups connected to Riverside are actively committed to our equality, diversity and inclusion principles.</p> <p>Group Procurement will build mainstream equality, diversity and inclusion into the procurement process throughout and will ensure that no discrimination exists on the basis of the Act's nine protected characteristics listed in section 6.1. The most effective way to address equality issues in the procurement process is to impose contract conditions on the contractor and work with them in order to ensure they meet the required standards.</p> <p>Group Procurement will ensure measures are in place to comply with the Modern Slavery Act 2015 in relation to transparency in our supply chain, and will establish processes and embed ethical principles on how suppliers and tenders are evaluated and assessed to identify vulnerabilities, driving out unethical practices from our supply chain and taking corrective action where appropriate.</p> <p>Group Procurement will secure and support social value and Responsible Business / sustainable benefits in line with company values to support corporate plan deliverables through our supply chain.</p> <p>Group Procurement will assist with the creation of economic, social and environmental benefits for local communities through our procurement activities in line with the requirements of the Public Services (Social Value) Act 2012 and Lord Young Reforms incorporated in Part 4, Public Contract Regulations 2015, seeking to maximise opportunities for local employment; and apprenticeships.</p> <p>Group Procurement will encourage our supply chain to provide opportunities of employment, work experience, training, volunteering or apprenticeship programmes or contribute to the Riverside Foundation through the tender process and effectively measure the outcomes.</p> <p>Group Procurement will actively consider environmental and sustainability impact in procurement of goods and services, assessing specifications and tender proposals appropriately for long term sustainability.</p>
17.	<p><b>Notes</b></p> <p>This policy will be communicated to all key stakeholders and made available upon request.</p>

	<p>Executive Directors must agree any changes to this policy statement.</p> <p>This policy aligns with Riverside’s ED&amp;I Policy and has been subject to an Equality Impact Assessment.</p>
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## APPENDIX 1: ROUTES TO MARKET

Group Procurement will use one or more of the following routes to market based on risk and level of spend.

ROUTE	DESCRIPTION	THRESHOLD
Soft Market Test <i>or</i> Request for Information	<ul style="list-style-type: none"> <li>Allows testing of the market to understand available solutions to meet a supply need.</li> <li>The information can be used to inform a set of requirements, understand best practise and some outline costs.</li> <li>The process is informal and not bound by the EU Public Services act</li> <li>The Soft Market Test cannot be used for supplier selection or elimination.</li> </ul>	All spend levels.
Competitive Quotations (Up to the value of £25k)	<ul style="list-style-type: none"> <li>For goods, services and works that do not exceed the values set out in the EU Public Contracts Directive.</li> <li>A non-formal sourcing process conducted in accordance with best practise guidance from Group Procurement.</li> </ul>	Goods and Services or Works Contracts  Values <b>below</b> the EU Public Contracts Directives value.
Tender: Non OJEU (RFQ)	<ul style="list-style-type: none"> <li>For goods, services and works that do not exceed the values set out in the EU Public Contracts Directive.</li> </ul>	Goods and Services or Works Contracts  Values <b>below</b> the EU Public Contracts Directives value.
Tender: Open Procurement (ITT)	<ul style="list-style-type: none"> <li>For goods, services and works that are either close to, the same as or exceed the OJEU threshold levels.</li> <li>A one stage tender process which is advertised openly for all interested applicants to request and submit tenders.</li> </ul>	Goods, Services or Works Contracts  Values <b>above</b> the EU Public Contracts Directives value.
Tender: Restricted Procurement (ITT)	<ul style="list-style-type: none"> <li>For goods, services and works that are either close to, the same as or exceed the OJEU threshold levels.</li> <li>A two-stage process which involves creating a short-list of interested parties by undertaking a pre-qualification stage, prior to the issue of invitation to tender documents.</li> </ul>	Goods, Services or Works Contracts  Values <b>above</b> the EU Public Contracts Directives value.
Framework: Mini Competition	<ul style="list-style-type: none"> <li>Mini competition between suppliers that are approved and available</li> </ul>	All spend thresholds

	through an approved Riverside or National Framework provider arrangement	
Framework: Direct Award	<ul style="list-style-type: none"> <li>• Direct award to a supplier using the contract available from an approved Riverside or National Framework provider arrangement such as CCS</li> </ul>	All spend thresholds
Direct Award	<ul style="list-style-type: none"> <li>• Direct award to a supplier.</li> <li>• Dependent on the level of spend, the award process will vary.</li> <li>• Should a Direct Award be required then a <b>WAIVER</b> will be need to be written and approved by Head of Group Procurement and the Director of Finance</li> </ul>	Goods, Services or Works Contracts

There are other procurement methodologies that can be used such as Competitive Procedure by Negotiation or Competitive Dialogue but these will be used less frequently as required.

## APPENDIX 2: BUYING CHANNELS AND EXCEPTIONS

The following table outlines the correct buying channel for goods and services that are an exception to Principle 4 above. Note that this Appendix is subject to change, depending on the contracts that Riverside has with its suppliers, and will be maintained on the Group Procurement RIC site.

PRODUCT	BUYING CHANNEL	ROLES
Flights, Trains, Hotels.	Capita Travel	All employees who travel for on business purposes only.
Temporary Staffing – Agency PSL	People Services – Talent Acquisition Team	Any business area that needs temporary FTC or day rate contractor employees <b>MUST</b> go via People Services using the PSL. Any temporary staff brought in directly will require a waiver.
Car Parks, Subsistence, Non-National Rail, Tolls and mileage for private vehicles and company vehicles.	Expenses	All employees who travel for on business purposes only.
Service Vehicle Fuel.	Fuel Card	Employees that have access to a company registered service vehicle for business travel purposes only. Service vehicle includes van, pickup, minibus and grounds maintenance equipment.
Small, incidental and urgent repairs and maintenance purchases	Trade UK Card and TradePoint discount card	Role-based entitlement as signed off in line with the scheme of delegated authority (please refer to Trade UK Card Guide on RIC)
Tenant support activities for those schemes that offer support services only, where the item is not available through an existing supplier with a Purchase Order.  This includes local travel, clothing, birth certificates, gas/electric start up and	Petty Cash	Employees with the appropriate authorities to make and authorise a purchase.

engagement activities (for those activities that cannot be purchased using a Purchase Order).		
For transactions requiring instant payment of less than £200 for permitted categories of spend where no other supply arrangement is in place (Some differences in spend limits apply).	Corporate Purchase Card (CPC)	<p>Role-based entitlement as signed off in line with the scheme of delegated authority with restrictions on merchant codes and suppliers as determined by Group Procurement. Note that a monthly credit limit will be maintained on each card.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>Care and Support</li> <li>Public Affairs Officer</li> <li>HR Learning and Development</li> <li>Marketing and Communications</li> <li>Income Processing</li> <li>Group Finance</li> <li>Group Procurement</li> </ul>
Corporate Hospitality	Corporate Credit Card	<p>Chief Executive Officer</p> <p>Executive Directors</p> <p>Directors</p>
Day to day repairs, maintenance and compliance to properties.	Housing Management System	Employees with the appropriate authorities to raise a repair.
All other items.	Purchase Order	Employees with the appropriate authorities to either request and/or authorise a purchase.

## APPENDIX 3: WHAT BUSINESS USERS CAN AND CAN'T DO

VALUE	WHAT YOU CAN DO	WHAT YOU CAN'T DO
£0 - £25,000	<p><b>Check whether your requirement is covered by an alternative procurement route:</b></p> <ul style="list-style-type: none"> <li>• IT helpdesk for IT equipment</li> <li>• Expenses on Demand</li> <li>• Capita Travel</li> <li>• Corporate Purchase Card with approved supplier</li> </ul> <p><b>If these alternative procurement routes are <u>not</u> available, check if a contract already exists by:</b></p> <ul style="list-style-type: none"> <li>• Searching the Purchase to Pay Solution (OneMarketPlace)</li> <li>• Reviewing the Group Procurement RICS page</li> <li>• Contacting Group Procurement via the helpline or mailbox who will identify the correct contract for you</li> </ul> <p><b>If a contract <u>does not</u> exist or the contract <u>does not</u> meet requirements:</b></p> <ul style="list-style-type: none"> <li>• You should submit a Request for Service (please refer to RIC page) to Group Procurement</li> <li>• Group Procurement will review your requirements and either amend an existing contract or provide you with guidance on how to procure a new contract</li> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>• Engage with suppliers who do not form part of the existing Riverside supply chain without prior approval from Group Procurement</li> <li>• Sign a contract or commit Riverside to any supply arrangement unless permitted under the Scheme of Delegated Authority</li> <li>• Commit to any payment schedule and method of payment</li> <li>• Vary Riverside standard terms &amp; conditions of contracts and/or supplier payment terms</li> <li>• Commission service delivery until such a time as the supplier is validated and approved and the necessary checks complete</li> </ul>
£25,001 and above	<ul style="list-style-type: none"> <li>• You should submit a Request for Service (please refer to RIC page) to Group Procurement</li> <li>• Group Procurement will work with you to understand your needs and agree the best approach to procure your requirements. This may result in a call off from an existing framework agreement where one exists.</li> </ul>	

## APPENDIX 4: PROCESSES FOR PROCUREMENT

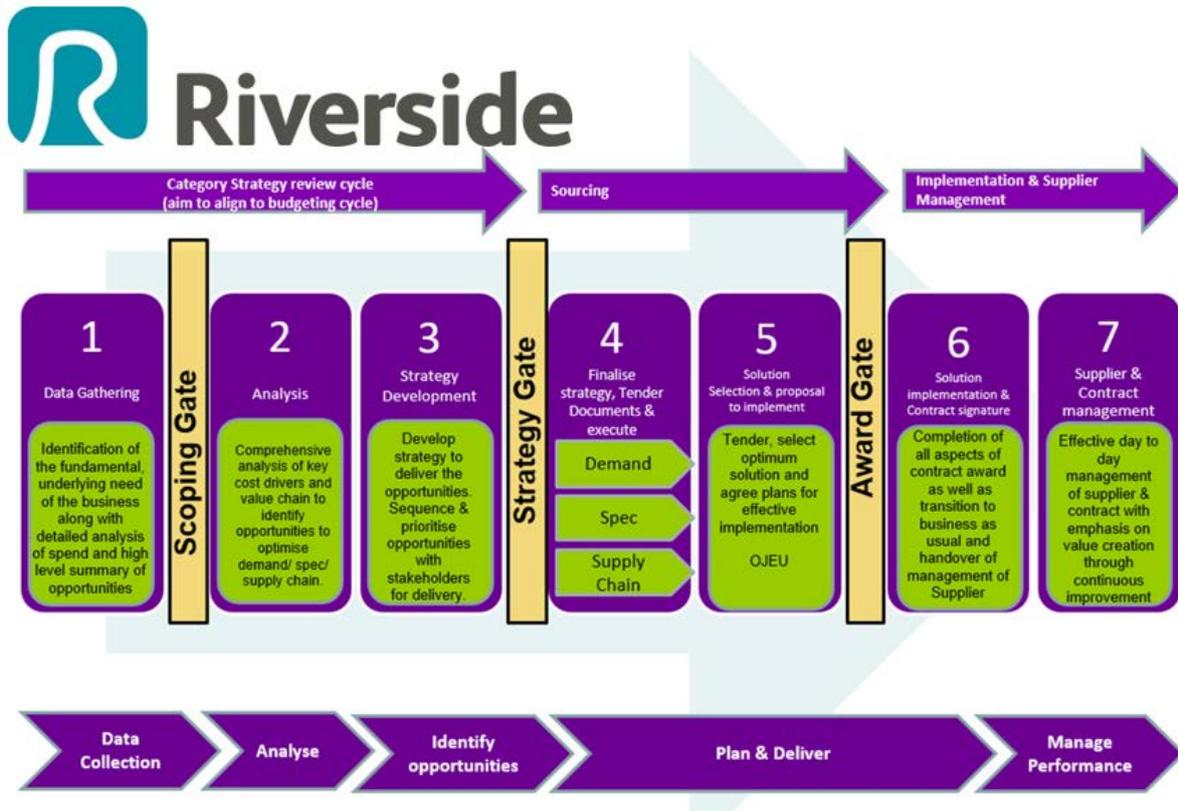
	Low Value Procurement	Intermediate Procurement	High Value Procurement
<b>Value (Excl VAT)</b>	Below £25,000 (Goods, Works, Services)	£25,000 - £189,330 (Goods and Services) £25,000 - £4,733,252 (Works)	Above £189,330 (Goods and Services) Above £4,733,252 (Works)
<b>Level of Procurement Support</b>	Not required Available on request	Procurement support required Procurement must approve the process used	Procurement led process Procurement must approve the process used Procurement Group to be set up
<b>Process</b>	Minimum 1 Written Quotation from an approved supplier up to £5k Between £5k and £25k a minimum of 3 written quotes is required	Request for Quotation process obtaining minimum 3 written quotes (preferably 5 quotes or more) Procurement will determine Route to Market	Formal Tender required OJEU Compliant process Procurement will determine Route to Market
<b>Process Timescales</b>	1 – 4 weeks	6 – 12 weeks	6 – 12 months
<b>Tender response times</b>	1 week	2 – 4 weeks	Determined by OJEU process
<b>Level of Governance</b>	Evidence of process followed must be retained  Specification must be written by Business  Onboarding Form must be completed if new supplier	Procurement Strategy and Contract Award required and approved by relevant director level (as identified at Section 9 of this policy)  TRG standard templates must be used  Specification must be written by Business	Follow TRG gated Procurement Process at Appendix 5  TRG OJEU standard templates must be used  Specification must be written by Business  RACI must be used  Procurement Strategy and Contract Award required and approved by relevant director level (as identified at Section 10 of this policy)
<b>Section 20</b>	<b>Do not use this process for service chargeable costs.</b>	Required if costs are service chargeable. Advice required from Rent and Service Charge Policy Team	
<b>TUPE</b>	Where TUPE applies, this must be stated and all information provided within the procurement documentation and transfer of staff must be considered as part of the overall cost and timescales for the process.		
<b>Customer Involvement</b>	At discretion of the Department making the purchase. Recommended for customer impacting contracts.		
<b>Social Value</b>	Does not apply	Must be considered as part of the procurement evaluation	Must be part of the procurement evaluation.

<b>GDPR/ Infosec</b>	Where suppliers will be processing data on behalf of the Group, advice must be sought from the Procurement Team, Data Protection Lead and Information Security Manager. An SSAQ may need to be included in the tender should personal data be being shared.		
<b>Evaluation Criteria</b>	Lowest Price	Price and Quality evaluation required Minimum 3 evaluators required Conflict of Interest forms to be completed by evaluators Clarification Interviews optional All documents to be either password protected or PDF'd	Detailed Price and Quality evaluation required Moderation meeting to be held Minimum 3 evaluators required Conflict of Interest forms to be completed by evaluators Clarification Interviews optional All documents to be either password protected or PDF'd
<b>Tender Publication and Opening Process</b>	Not required	eProcurement system to be used - managed by Procurement Team	
<b>T&amp;C or Contract</b>	T&Cs on Purchase Order	Must have a Contract as advised by Procurement Team	
<b>Payment / New supplier Process</b>	Follow Purchase Order process Request a New Supplier if required. All suppliers to complete an Onboarding Form (if they haven't completed an Eligibility Questionnaire or Selection Questionnaire as part of a Procurement activity) <b>NO PO, NO PAYMENT</b>		
<b>Contracts Register</b>	All contracts to be added on to the contract register by procurement		

### Prospect Homes Procurement Strategy

	<b>Low Value Procurement</b>	<b>Intermediate Procurement</b>	<b>High Value Procurement</b>
<b>Value</b>	Below £25,000 (Goods, Works, Services)	£25,000 - £200,000 (Goods and Services) £25,000 - £5,000,000 (Works)	Above £200,000 (Goods and Services) Above £5,000,000(Works)
<b>Process</b>	Minimum 1 Written Quotation from an approved supplier up to £5k Between £5k and £25k up to 3 written quotes are required	Minimum of 3 written quotes required	Supply chain tender process required. Preferred contractors chosen on a range of criteria, including quality, H&S and price. Material purchase following group deals where appropriate
	Procurement route at bidding stage will be based on agreed rates with our design and engineering consultants to allow Prospect to respond to tight tender time frames. Where possible this work will be carried out in house.		

APPENDIX 5: GATED PROCUREMENT PROCESS STAGES



APPENDIX 6: RACI

		<b>PROCUREMENT RACI CHART</b>						
		<b>STAKEHOLDERS</b>						
	Activities	Business Sponsor	Business Lead	Procurement Lead	Legal	IAC/EDs/Board	Evaluation Team	Customers
1	Define and understand the business need	Approve	Responsible	Consult	Consult	Inform		
2	Make or buy decision / Options Appraisal	Responsible	Consult	Consult		Approve		
3	Develop Procurement Strategy	Approve	Consult	Responsible	Consult	Approve	Consult	Consult
5	Pre-market Engagement / Soft Market Testing	Inform	Consult	Responsible			Consult	
6	Develop Specification and Requirements for tender	Approve	Responsible	Consult	Inform	Inform	Consult	Consult
	Develop KPIS	Approve	Responsible	Consult	Inform		Consult	Consult
	Agree T&Cs to be used	Consult	Consult	Consult	Responsible			
7	Develop Tender Documentation	Approve	Consult	Responsible	Inform		Consult	Consult
7	Issue Tender	Approve	Inform	Responsible	Inform	Inform	Inform	Inform
8	Evaluate Bids	Approve	Responsible	Responsible		Inform	Responsible	Consult
9	Award contract	Approve	Inform	Responsible		Approve	Inform	Inform
10	Terms and Conditions - agreement and signature	Approve	Consult	Responsible	Responsible	Approve	Inform	Inform
11	Supplier Mobilisation and Onboarding	Inform	Responsible	Responsible		Inform	Inform	Inform
12	Ongoing Contract Management	Consult	Responsible	Consult		Inform		
13	End of Life/Tender Lessons Learned/Continuous Improvement	Inform	Consult	Responsible		Inform	Consult	Consult
14	Savings tracking	Approve	Consult	Responsible		Inform		

Key	
Responsible	Those responsible to do the work to achieve the outcome required
Approve	Those who authorise the work and who are ultimately accountable for the correct completion of the work
Consult	Those who are consulted about the work at various stages of its progress
Inform	Those who are kept informed about the work

## **APPENDIX 7: RESPONSIBLE BUSINESS**

In addition to the principles detailed within section 6 of this Policy, Group Procurement shall further ensure support across The Riverside Group for Responsible Business by:

- Operating a mixed economy of service provision with access to a diverse but controlled range of suppliers providing quality services, including small firms, social enterprises, minority businesses and voluntary and community sector suppliers where viable and appropriate.
- Actively engaging and working with customers on supplier selection and contract awards where it is linked to the category of spend associated with a service charge or where otherwise appropriate.
- Maintaining emphasis on ‘whole life costing’ evaluations to take account of acquisition, operational and disposal costs, assessing environmental and sustainable elements of works, supplies and services contracts.
- Encouraging the development and use of local suppliers where appropriate and commercially viable.
- Accounting for the performance of suppliers in respect of diversity issues in the supplier selection process.
- Actively evaluating the ability of potential suppliers to contribute to the achievement of Riverside’s wider social, economic and environmental objectives.
- Ensuring customers have detailed information on costs for all contracts that may form part of the service charge levied and make it accessible to individuals who need it.
- Actively monitoring supply chain Key Performance Indicators in conjunction with contract managers, ensuring contractual promises are delivered and proposed benefits derived, including all elements of training, apprenticeships, social value and Responsible Business.

Date:	6 November 2020
Subject:	OSCR Annual Return
Author:	Donna Boyle
Sponsor:	Paul Hillard
Appendices:	Appendix 1: Annual Return to OSCR
Action:	Decision
Data Class:	Public

**EXECUTIVE SUMMARY**

The Association is a Scottish charitable organisation and is required to submit an Annual Return to the Office of the Scottish Charity Regulator (OSCR). The attached Annual Return has been prepared and is presented for review and approval in order that the on-line Annual Return can be submitted to OSCR.

**RECOMMENDATION(S)**

The Board is asked to review the content of the Annual Return and approve its on-line submission to OSCR.

**1.1 Background**

1.2 The Association is a Scottish charitable organisation registered with the Office of Scottish Charity Regulator (OSCR). By reporting to OSCR and meeting legal requirements, the Association demonstrates to the public that its assets are properly accounted for and that it's being run properly.

1.3 It is a requirement of OSCR that the Association submits an Annual Return. The Association's Annual Return has been prepared and is attached at Appendix 1 for information.

1.4 Subject to approval, the Annual Return will be submitted on-line via OSCR's website prior to the December deadline.

**2 Implications**

2.1 The implications associated with the OSCR Annual Return are set out below:

2.2 Risk: If the Return is not completed on time, or were to contain incorrect information, adverse attention may be focused on the Association from OSCR and the public.

2.3 Mitigation: Board must satisfy themselves that the Return has been completed correctly by Officials and is submitted to OSCR prior to the deadline of December. It is therefore intended that Board will be advised when the submission has been made.

**3 Recommendation**

3.1 It is recommended that the Board reviews the content of the Annual Return and approves its on-line submission to OSCR.

https://oscronline.oscr.org.uk/Oscr/Monitoring/A OSCR | Home Fill in Annual Return RIC

# oscr online

Home | My Charity | Annual Return Details

## Charity : SC042251 - Annual Return : SC042251.2020.1

### Annual Return Management

[Annual Returns](#)

### Fill in Annual Return

Annual Return Accounts Declaration

#### Key Charity Details

- Charity Number** SC042251
- Legal Name** Irvine Housing Association Limited
- Former Legal Name**

#### Section A

Windows Taskbar: File Explorer, Scissors, Edge, Chrome, Outlook. System tray: ENG, 14:42, 12/11/2020

The screenshot shows a web browser window with the URL <https://osconline.oscr.org.uk/Oscr/Monitoring/A>. The page title is "Section A" and the main heading is "Confirm principal contact details/supply changes". Below the heading is a note: "If the address given is a charity trustee's address, the charity trustee's name will be shown on the Scottish Charity Register e.g. 'Charity Trustee – Mrs A Smith'".

The form fields are as follows:

- Title:** Mr
- Forename:** Duncan
- Surname:** McEachran
- Suffix:** (empty)
- Position in the organisation:** Chair
- Address Line 1:** 44-46 Bank Street
- Address line 2:** Irvine
- Address line 3:** Ayrshire
- Address line 4:** (empty)
- Address Line 5:** (empty)
- Postcode:** KA12 0LP
- Country:** Scotland

The Windows taskbar at the bottom shows the system tray with the date 12/11/2020 and time 14:43. The taskbar also contains icons for File Explorer, Edge, Chrome, Outlook, and Word.

https://oscronline.oscr.org.uk/Oscr/Monitoring/A OSCROnline | Home Fill in Annual Return RIC

**Address line 2**  
\* Irvine

**Address line 3**  
Ayrshire

**Address line 4**

**Address Line 5**

**Postcode**  
\* KA12 0LP

**Country**  
\* Scotland

Please enter phone and fax numbers without spaces.

**Telephone number**  
\* [REDACTED]

**Mobile number**

**Fax number**

**Email**  
\* [REDACTED]

**Principal Office Or Trustee Address**  
\* Principal

**Website Address**  
www.irvineha.co.uk

**Alternative Contact Email**  
\* [REDACTED]

Save Save & Next

14:43  
ENG  
12/11/2020

Irvine Housing Association Limited

**Section A (continued)**

- 1. Accounting Reference Date**  
31/03/2020
- 2. Gross Income**  
\* 10830609
- 3. Gross Expenditure**  
\* 7412883
- 4a. Does your charity publish its annual reports and accounts on its website?**  
\* Yes
- 4b. Copy & paste the link to your published accounts here**  
<https://www.irvineha.co.uk/wp-content/uploads/2020/10/Financial-Statements-2020.1>
- 5. Total Number Of Charity Trustees**  
\* 11
- 6. Total Number Of Paid Staff**  
\* 38
- 7.a Does your charity have children and/or vulnerable adults as beneficiaries?**  
\* Yes
- 7.b If yes, can you confirm that your charity has appropriate policies in place to protect these vulnerable individuals?**  
Yes
- 7.c If you do not have appropriate policies, please explain how you plan to resolve this?**

Windows taskbar: File Explorer, Edge, Chrome, Outlook, Word. System tray: ENG, 14:44, 12/11/2020.

https://osconline.oscr.org.uk/Oscr/Monitoring/A OSCR | Home Fill in Accounts Information RIC

Irvine Housing Association Limited

**Former Legal Name**

**Accounting Reference Date**  
31/03/2020

### Accounts Information

Please tell us how you will provide your accounts. You must provide OSCR with a copy of your accounts within 9 months of your accounting reference date (year-end date). The accounts must include a signed charity trustees' annual report and auditor's or independent examiner's report.

If you select the option to post us your hard copy accounts, we will email you a unique reference number a few minutes after you click the final 'submit' button. You **must** write this reference number on the hard copy accounts **before** posting them to us.

If you select the option to attach scanned accounts please note these should be preferably one .pdf file of **less than 8mb** in size. If your accounts are larger than 8mb please, select the post to OSCR option and send them to us in paper format.

Only attach your accounts, independent examiner's reports and trustee annual report. If you wish to send us other documents, for example to notify us of changes to your constitution or about the winding up of your charity, please email them to us at [info@oscr.org.uk](mailto:info@oscr.org.uk)

[Here are some tips on reducing your file size if it is too large.](#)

#### Accounts Submission Option

I will attach an electronic copy of my signed accounts (including a signed trustees' annual report and signed auditor's or independent examiner's report ) in .pdf format.

I will post you a paper copy of my signed accounts by my charity's deadline date. Your deadline for providing accounts is 9 months after your accounting period end date. If your deadline date has passed, you should send the accounts to OSCR as soon as possible.

Previous Save Save & Next

Windows Taskbar: File Explorer, Edge, Chrome, Outlook, Word, ENG, 14:44, 12/11/2020

**Annual Return Management**

[Annual Returns](#)

**Upload Accounts Documents**

Annual Return Accounts Declaration

**Charity Number**  
SC042251

**Legal Name**  
Irvine Housing Association Limited

**Former Legal Name**

**Accounting Reference Date**  
31/03/2020

Up to five documents can be uploaded. Click on the 'Browse' button (or 'Choose File' for Chrome users), select the file you wish to attach and click 'Open'. Then click the 'Save' button at the foot of the page.

**Documents**

Document Name	Remove
Signed Irvine Housing Association Limited 2020 Accounts.pdf	<a href="#">View</a> <input type="checkbox"/>

**Upload Document**

Windows taskbar: File Explorer, Edge, Chrome, Outlook, Word. System tray: ENG, 14:45, 12/11/2020.

The screenshot shows a web browser window with the URL <https://osconline.oscr.org.uk/Oscr/Monitoring/A>. The page title is "Fill in Declaration" and the OSCR logo is visible. A purple information box at the top contains the following text:

- To develop a regime of proactive monitoring
- To encourage and facilitate compliance and best practice within charities
- To inform research into the charity sector in Scotland

The information on this form may be shared with Her Majesty's Revenue and Customs and other regulatory bodies. Selected information will be publicly available via the OSCR website on the Scottish Charity Register. This is a requirement of the Charities and Trustee Investment (Scotland) Act 2005. **It is an offence to knowingly provide incorrect information**

Below the information box is a progress bar with three steps: "Annual Return" (green checkmark), "Accounts" (green checkmark), and "Declaration" (grey checkmark).

The form fields are as follows:

- Charity Number**: SC042251
- Legal Name**: Irvine Housing Association Limited
- Former Legal Name**: (empty)
- Accounting Reference Date**: 31/03/2020
- I certify that the information entered in this form is correct to the best of my knowledge**:
- I confirm the information entered has been approved by the charity trustees and I am authorised to submit this information**:
- Name of person submitting**: [Redacted]
- Role of person submitting**: Governance and Company Secretarial Assistant

At the bottom of the form are three buttons: "Previous", "Save", and "Submit". The Windows taskbar at the bottom shows the time as 14:46 on 12/11/2020.

Date:	6 November 2020
Subject:	Membership Register
Author:	Donna Boyle
Sponsor:	Paul Hillard
Appendices:	Appendix 1: Members proposed for removal following 2020 AGM
Action:	Decision
Data Class:	Public

### **Executive Summary**

The Association aims to maintain a Register of Members who are interested in the affairs of the Association.

The Association's Rules provide that the Board can pass a resolution that deems membership to have been withdrawn and an ordinary share cancelled in certain circumstances, such as failing to attend or submit apologies for five consecutive AGMs.

An analysis of attendance at the 2020 AGM has identified that 11 members have now failed to attend or submit apologies for five consecutive AGMs.

### **Recommendation**

It is therefore recommended that the Board pass a resolution that:

“The 11 members identified at Appendix 1 shall be deemed to have withdrawn from membership of the Association and his / her ordinary share shall be cancelled and the amount paid thereon shall become the property of the Association”.

## **1 Background**

- 1.1 The Association currently has 80 members on its Register of Members.
- 1.2 In line with the Association's Membership Policy, we aim to attract interested people into Membership of the Association.
- 1.3 Rule 15(a) states:

“Where the Board is satisfied that:

- (ii) an ordinary member has failed to either attend or submit apologies for five consecutive annual general meetings;

that member shall be deemed to have withdrawn from membership of the Association and his / her ordinary share shall be cancelled and the amount paid thereon shall become the property of the Association with effect from the passing of a resolution by the Board to that effect.”

- 1.4 An analysis of attendees at the 2020 AGM has identified 11 members who have now failed to attend or submit apologies for five consecutive AGMs. Details of this analysis are attached at Appendix 1.

## **2 The Proposal**

- 2.1 It is recommended that the members identified in Appendix 1 are removed from the Register of Members in accordance with Rule 15(a) and all associated records will be updated accordingly.
- 2.2 This will ensure that Association has a Register of Members who remain interested in its affairs and the Association's records remain current.
- 2.3 It is intended that the members in question will be advised in writing of the Board's decision.

- 3 **Risk:** That the Association maintains a Membership Register which is not up to date and current and wastes resources communicating with persons no longer interested in the affairs of the Association.

**Mitigation:** By removing members who no longer engage with the Association, we ensure that the members we consult with remain interested and supportive of the Association's aims.

## **5 Recommendation**

It is therefore recommended that the Board pass a resolution that:

"The 11 members identified at Appendix 1 shall be deemed to have withdrawn from membership of the Association and his / her ordinary share shall be cancelled and the amount paid thereon shall become the property of the Association".

Share N	Date Registered	2016	2017	2018	2019	2020
74	19/02/1999	N1	N2	N3	N4	N5
82	30/07/1999	N1	N2	N3	N4	N5
223	27/08/2008	N1	N2	N3	N4	N5
271	29/01/2010	N1	N2	N3	N4	N5
277	29/01/2010	N1	N2	N3	N4	N5
301	17/03/2010	N1	N2	N3	N4	N5
302	17/03/2010	N1	N2	N3	N4	N5
403	16/03/2011	N1	N2	N3	N4	N5
407	16/03/2011	N1	N2	N3	N4	N5
401	16/03/2011	N1	N2	N3	N4	N5
556	16/07/2015	N1	N2	N3	N4	N5

Date:	19-11-2020
Subject:	Equality, Diversity & Inclusion Action Plan
Author:	Caroline Cameron
Sponsor:	Morag Hutchinson
Appendices:	Appendix 1: 2019-20 EDI Action Plan Monitoring Sheet Appendix 2: Equality, Diversity & Inclusion Action Plan 2021
Action:	N/A – Information paper
Data Class:	Public

## EXECUTIVE SUMMARY

This paper provides an update on the 2019-20 Equality, Diversity & Inclusion Action Plan and shares the 2021 action plan which has been developed.

## RECOMMENDATION

The Board is asked:

- To note the contents of the 2019-20 EDI Action Plan Monitoring Sheet and the Equality, Diversity & Inclusion Action Plan 2021.

## 1 Background

- 1.1 In September 2017, the Board approved a new Equality, Diversity & Inclusion (EDI) Policy and it was agreed that an associated action plan flowing from this would be presented to the Board bi-annually. The last update was at its meeting in November 2019.
- 1.2 Since the action plan was last presented to Board, work has continued with the Association to embed the ethos of equality and to ensure that the environment we create is inclusive for customers and staff alike. This work included a presentation on each of the Riverside Staff Groups (Enable, Spectrum and Origin) at the annual staff conference in February 2020, encouraging staff to attend the AGMs of the staff groups during the year and also examining the opportunities for IHA to become a member of Stonewall Scotland. In terms of our customers, we undertook a full membership drive for our Customer Panel and work is ongoing, part of the aim is to have a fully inclusive membership base to ensure we are considering all our customers' views.

## 2 Action Plan

- 2.1 The updated 2019-20 EDI Action Plan Monitoring Sheet can be found at appendix one and details our progress and results to date.
- 2.2 The Action Plan for 2021 is attached appendix two. It sets out the outcomes and priorities for the coming year, which build upon the work progressed to date. It also sets out the context for the organisation with refreshed stock figures and information relating to our Board and staff.

## **2 Scottish Housing Regulator (SHR)**

2.1 In its *Regulation of Social Housing in Scotland, Our Regulatory Framework*, the SHR has underlined the importance it places on equalities and human rights, by introducing a new requirement for social landlords to:

- *Have assurance and evidence that it considers equality and human rights issues properly when making all of its decisions, in the design and review of internal and external policies, and in its day-to-day service delivery*

As well as to continue collecting data relating to each of the protected characteristics for existing and new tenants, waiting list applicants, governing body members and staff.

## **3 Risk**

3.1 Failing to implement the EDI Policy could result in a number of significant risks arising including:

- reputational damage caused by not providing services equally to all parts of the community;
- exposure to legal claims for unfair treatment;
- not providing the right support to those who need it; and
- not harnessing the skills of employees and the governance community.

## **4 Recommendation**

4.1 It is recommended that the Board notes the progress made during 2019-20.

4.2 It is recommended that the Board notes the contents of the EDI Action Plan 2021.

## Key:

	Completed for 2019-20
	Up to one month slippage
	Over one month slippage
	Ongoing task

## Equality, Diversity &amp; Inclusion

## Action Plan 2019-20

Customer Objectives	Detail	Outcomes	Deadline	Owner	Update
1. Getting to know our customers	Continue to collect customer diversity information, ensuring that it is stored securely and meets the GDPR. We will use this information to better understand the needs of our customers and identify and shape our services accordingly.	IHA will provide tailored services that are accessible to all customers, taking into account individual needs wherever possible.	Dec-20	HA	Tenants are asked to complete E&D information at the point of applying for housing and at tenancy sign up stage. Data is routinely gathered on tenants who are assessed as having a need for adaptations. We are already seeing improvements on information gaps, e.g. 23.89% ethnicity was unknown in the 2020 action plan, the 2021 action plan sees this decreased to 18.82%.
2. Supporting our customers	Continue to work closely with local community organisations and health services representing specific groups ensuring that our Tenancy Sustainability Team are equipped with the knowledge they need to engage with and support our most vulnerable customers.	To ensure that we understand and can identify our customers' needs and signpost them to the right agencies to offer support at the time when they need it most.	Jun-20	HA	Due to the threat of Covid-19 we began contacting all tenants aged 65 or older to offer support and signposting people if they required assistance, linking in with the council's community planning partnerships where appropriate. This was then extended to the over 45s, then all remaining customers, with regular call backs offered to all those contacted. The tenancy sustainability team are also providing greater support to homeless households leaving hostel accommodation for a new tenancy, doing what we can to ensure that they have what they need to set up their new home.
3. Involving our diverse communities	Analyse the profile of our Customer Panel to understand how representative its membership is. Using the results of this analysis, try to recruit more members from any under-represented groups from our communities.	To ensure that the opinions from our Customer Panel are more likely to be representative of our whole communities, to ensure that decisions to shape our services are made in a way that will benefit the most customers and not exclude any groups.	Jul-20	MH	A recent drive to increase membership saw 73 customers join our Panel, this is still a work in progress. We are revamping incentives which should prompt more members to take part in surveys this is still in progress stage and not yet offered but will be in the coming weeks. Our Marketing team also plan to promote more regularly – including the new incentive – promoting through our service update. We are still contacting customers who complete STAR survey and encouraging them to join. Once the new incentive is finalised and ready to roll out there will be a bigger push to have frontline staff promote/ refer customers to join the customer panel. Hopefully with more numbers we will have a higher response rate and much wider representation. We will carry out analytics to measure this in the coming year.
Staff Objectives	Detail	Outcomes	Deadline		Update
1. Getting to know our staff	Continue to encourage 100% of staff to complete their diversity profile on the HR system.	IHA will have a clear evidence base to understand and address key and emerging issues in its workforce. It will also be able to ensure that throughout their employment, all employees are treated fairly and with respect	Dec-20	PH	Progress is being made and this is an ongoing task that will continue into 2021/22.
2. Promoting our staff groups	Increase local involvement where appropriate in the Riverside Group's three staff groups which represent different diversities: * ENABLE * Spectrum * ORIGIN	Staff feel they have a 'voice' in the wider organisation and have an opportunity to be heard, by helping to influence and shape policies and services.	Jun-20	PH	We supported the 'Time to Talk' drop in in at the start of February, which was well-attended by staff from Irvine HA and Riverside's Shared Services. We promoted staff wellbeing at our Staff Conference, which included sessions on the staff groups, as well as speakers from The Art of Brilliance and the NHS' Healthy Working Lives. During the Covid-19 lockdown, daily contact between managers and staff is taking place, as well as fortnightly whole team meetings via video conference. Resources are also being made available via Group to support colleagues.
3. Creating an inclusive environment for customers and staff	100% of staff to have undergone equality and diversity e-learning. 100% of managers to have undergone unconscious bias training.	IHA will ensure that all staff and customers are treated with fairness, respect and dignity. We will aim for a working environment which is free from unconscious bias, discrimination, harassment and bullying.	May-20	PH	This has been undertaken as part of staffs' annual Learning Zone profile.
4. Embedding a culture of fairness and respect	At team meetings, directors will facilitate regular E&D 'tool box talks' or 'did you know' quizzes. Topics will relate to key issues that have been identified as relevant to our locality for instance; disability and long-term chronic health conditions; mental wellbeing; LGBT, and; sectarianism	A powerful message is cascaded across the business, helping to embed a culture of fairness, respect and dignity throughout IHA.	Aug-20	PH	This has been achieved during 2020 to date but is an ongoing task that will continue into 2021/22, particularly on how we will achieve this in the new digital world that our teams are working in.

## **Irvine Housing Association**



## Introduction

Irvine Housing Association is committed to supporting and promoting equality, diversity and inclusion. We want to build an environment where staff, customers, contractors and visitors are treated with respect and dignity, free from unlawful discrimination, harassment and bullying.

This action plan sets objectives for staff, which will help us to create this culture, ensuring we involve customers and staff at all times. These objectives will further improve our service delivery to our customers.

We aim to:

- prevent discrimination, eliminate prejudice, promote inclusion and celebrate diversity within the organisation
- be fair in our dealings with all people we have relationships with, taking into account the diverse nature of their culture and backgrounds
- ensure that equality, diversity and inclusion is embedded in everything we do.

Our [Equality, Diversity and Inclusion Policy](#) covers all aspects of equality, as defined in the Equality Act 2010. These are age, disability, religion or belief, sex, gender reassignment, race, sexual orientation, marriage and civil partnership and pregnancy and maternity.

### Our objectives are to:

- embed equality, diversity and inclusion into all that we do
- ensure that all customers have equal access to our services
- provide a working environment where staff can be who they are
- support staff to deliver excellent, equality focussed services
- use customer data to engage with customers in the way they want to connect with us
- ensure we achieve the outcomes and standards relating to the customer / landlord relationship as outlined in the Scottish Social Housing Charter.

## Profile of our customers and staff

We have compared the data we currently hold for customers, board members and staff with that held for the combined demographics of the three local authorities where we provide homes.

Using the data, we have analysed the characteristics of Irvine HA's customers. When we say 'more than expected', this means 'compared to the characteristics of Scotland'.

We found that:

-We do not have information regarding the ethnicity of 18.8% of our tenants as this either has not been collected or the tenant has preferred not to say, this has however improved since our 2020 publication when the data gap was 23.9%.

- 66.7% of our tenants identify as White Scottish. This is significantly (17.3%) below the national average, however this is probably due to the higher number of those who consider themselves to be White British - 10.5%.

- 1.6% of our tenants identify as White English. This is as expected.

-0.3% of our tenants identify as Asian, Asian Scottish or Asian British. This is in line with data published in the Scottish Census 2011.

-22.7% of our tenants are aged 65 or over. This is as expected.

- 65.4% of our tenants are female, while only 34.6% of our tenants are male. This is a marked difference from the national average which is a 51/49% split. However, we calculate this measure based on the named tenants, not on the household composition, so these figures do not provide the full picture.

In Dumfries and Galloway 19.1% of our tenants identified themselves as having a disability, which is slightly lower than the average for the local authority by 2.7%.

In East Ayrshire there is a far greater disparity in the figures; only 7.7% of our tenants have identified themselves as having a disability, whilst the local authority average is 22.1%.

However, in North Ayrshire 22.7% of our tenants identified themselves as having a disability, which is in line with the local authority's data.

In total, 20.7% of our tenants identify themselves as having a disability. This is as expected.

Whilst we hold information on the majority of our tenants, the gaps in our data make customer profiling less easy.

Board Profile:

- 55.6% of Board members are female.
- 66.7% of our Board members identify as White Scottish.
- 11.1% of our Board members identify as Welsh and 11.1% as British.
- 88.9% of our Board members identified themselves as not having a disability.
- 11.1% of our Board members did not provide equality information to us.

Staff Profile:

- 77% of our staff are female.
- 46% of our staff identify as White Scottish.
- 48% of our staff identified as White British.
- 2% of our staff identified as Irish.
- 3% of our staff did not provide ethnicity information
- 9% of our staff identified themselves as having a disability.

## Objectives | customers

### Objective 1 Getting to know our customers

What	Why	Outcomes	When
Continue to collect customer diversity information, ensuring that it is stored securely and meets the GDPR. We will use this information to better understand the needs of our customers and identify and shape our services accordingly.	To build up a better “picture” of our customers, including their race, age, any disabilities, sexual orientation and religious and cultural requirements. This will provide us with an understanding of the issues our tenants are facing.	IHA will provide tailored services that are accessible to all customers, taking into account individual needs wherever possible.	December 2021

### Objective 2 Supporting our customers

What	Why	Outcomes	When
Continue to work closely with local community organisations and health services representing specific groups ensuring that our Tenancy Sustainability Team are equipped with the knowledge they need to engage with and support our most vulnerable customers.	To prevent homelessness and enable greater tenancy sustainability.	To ensure that we understand and can identify our customers' needs and signpost them to the right agencies to offer support at the time when they need it most.	June 2021

## Objectives | customers

### Objective 3 Involving our diverse communities

What	Why	Outcomes	When
Analyse the profile of our Customer Panel to understand how representative its membership is. Using the results of this analysis, continue to try to recruit more members from any under-represented groups from our communities.	In order to have a genuine representation from a cross section of the communities where we are based.	To ensure that the opinions from our Customer Panel are likely to be representative of our whole communities, to ensure that decisions to shape our services are made in a way that will benefit the most customers and not exclude any groups.	December 2021

### Objective 4 Neighbourhood Planning

What	Why	Outcomes	When
Ensure we have the right tools in place in order to assess neighbourhood needs based on our diverse customer base	In order to ensure that plans are targeted to the correct audience	The design of a tool that can supply the teams within IHA with diversity information condensed to neighbourhood level	May 2021

## Objectives | staff

### Objective 1 Getting to know our staff

What	Why	Outcomes	When
Continue to encourage 100% of staff to have completed their diversity profile on the HR system	To ensure we have an accurate profile of our staff, to monitor the diversity of who is joining and leaving the organisation, those accessing training and promotion opportunities and those subject to disciplinary action.	Irvine Housing Association will have a clear evidence base to understand and address key and emerging issues in its workforce. It will also be able to ensure that throughout their employment, all employees are treated fairly and with dignity and respect.	December 2021

### Objective 2 Promoting our staff groups

What	Why	Outcomes	When
Increase local involvement where appropriate in the Riverside Group's three staff groups which represent different diversities: * ENABLE * Spectrum * ORIGIN	To ensure the staff groups have as wide and diverse a range of members as possible.	Staff feel they have a "voice" in the wider organisation and have an opportunity to be heard, by helping to influence and shape policies and services.	June 2021

## Objectives | staff

### Objective 3 Creating an inclusive environment for customers and staff

What	Why	Outcomes	When
<p>100% of staff to have undergone equality and diversity e-learning.</p> <p>100% of managers to have undergone unconscious bias training.</p>	<p>We support all our staff and equip them to understand the principles of equality and diversity and how to apply them to their day to day work.</p>	<p>Irvine Housing Association will ensure that all staff and customers are treated with fairness, respect and dignity. We will aim for a working environment which is free from unconscious bias, discrimination, harassment and bullying.</p>	<p>May 2021</p>

### Objective 4 Embedding a culture of fairness and respect

What	Why	Outcomes	When
<p>At team meetings, directors will facilitate regular E&amp;D 'tool box talks' or 'did you know' quizzes. Topics will relate to key issues that have been identified as relevant to our locality for instance; disability and long-term chronic health conditions; mental wellbeing; LGBTQ+, and sectarianism.</p>	<p>Equality and diversity issues remain high on team agendas and staff are supported to understand the key priorities.</p>	<p>Building on the work carried out in 2020, we will concentrate on remote working methodologies (e.g. team meetings online) to ensure powerful message is cascaded across the business, helping to embed a culture of fairness, respect and dignity throughout Irvine Housing Association.</p>	<p>August 2021</p>

## Objectives | staff

### Objective 5 Becoming a recognised inclusive place to work

What	Why	Outcomes	When
Irvine Housing Association will have an accredited membership that shows a commitment to improving the working lives of LGBTQ+ employees and potential employees.	We have a desire to be a recognised diverse employer of choice without exception, it is a proven finding that staff perform better when they can be themselves and we will therefore provide an overall better service.	We will have membership with Stonewall Scotland.	October 2021

### How we will report and monitor on our progress

A progress report will be presented to Board bi-annually, and discussed at Business Assurance meetings quarterly.

- C1. Getting to know our customers: we will measure how much information has been collected against the benchmark of our 2020 results.
- C2. Supporting our Customers: we will monitor which agencies our customers are being signposted to and assess the scale of welfare checks carried out on customers (100% during the Covid-19 pandemic).
- C3. Involving our Diverse Communities: we will carry out a profile analysis of our customer panel following on from the successful 2020 recruitment initiative.
- C4. Neighbourhood Planning: the right tool will be ready and available for use.
- S1. Getting to know our staff: we will continue to encourage staff to complete their HR profile, while ensuring we treat everyone with respect and dignity.
- S2. Promoting our staff groups: we will continue to promote the staff groups and make them more accessible by explaining what they are, how you join, and what they do, with an aim to having a member within each group from IHA.
- S3. Creating an inclusive environment for customers and staff: we will monitor the training undertaken by managers and staff.
- S4. Embedding a culture of fairness and respect: we will ensure we discuss, key identified issues at team meetings.
- S5. Becoming a recognised inclusive place to work: membership of Stonewall Scotland will be in place.

## Local context

Irvine Housing Association owns and manages just over 2,200 social housing properties across Dumfries, Ayrshire and Arran.

### Offices and Agile Working:

The main office is in Irvine delivering a range of services including, operational service delivery, strategic planning, finance, and development. A second office in Dumfries provides operational service delivery to customers there.

An agile working culture is embedded within the association, with staff equipped and supported to deliver services across our neighbourhoods and the wider geography, direct to our customers. This was tested and proved successful during the Covid-19 pandemic when we were able to continue our services and check in on customer welfare.

### Shared Services:

As well as staff employed by Irvine Housing Association, the Irvine office is home to a customer service centre and an income collection team, both of which are part of the Riverside Group's shared services.

### Accessible housing:

Almost 15.7% of our homes are bungalows with many of them suitable for people who need amenity or accessible housing. We also offer retirement living in two locations in Kilwinning.

We also continue to build new homes that are suitable for the changing needs of our customers, as can be evidenced with the properties in our Tarryholme development in Irvine.

### Ayrshire:

The northern part of the region operates across North and East Ayrshire with an office in Irvine serving 1,919 properties. These homes are mainly clustered around the towns of Irvine, Kilwinning and Drongan.

North Ayrshire has seen some of the largest increases in deprivation since 2012 and has been ranked as the fifth most deprived Council area in Scotland according to the Scottish Index of Multiple Deprivation 2020. This ranking is reflected in the area's unemployment rates, the lower average income and the high number of people with long term health issues or disabilities.

The population of North Ayrshire is in decline (whilst the Scottish population continues to rise) and it is projected to fall by 8.8% between 2012 and 2037. The population is also an aging one, meaning that the number of people aged over 64 in this period is predicted to rise, whilst the number of younger people will fall.

### Arran:

We have 50 properties on the Isle of Arran. Arran is a rural island community, with a regular ferry service to the mainland. Providing support to tenants on an island can bring with it a greater challenge. Amenities on the island are more limited and, in severe weather, ferries are unable to operate and the community can be cut off from the mainland.

### Dumfries & Galloway:

The office in Dumfries provides predominantly general needs housing with a total of 387 units, the majority of which are in Stakeford.

The population of Dumfries has 3% more people over the age of 64 than would be expected, at 19.1% of the population. As many of our properties are four-in-a-block, we have a number of ground floor homes of various sizes and to suit different needs.

## Contact us

If you have any queries you can contact us in the following ways:

Call us:

You can contact us on the phone at any time on 0345 112 6600

Email us:

[info@irvineha.co.uk](mailto:info@irvineha.co.uk)

Write to us:

44-46 Bank Street, Irvine, Ayrshire, KA12 0LP

Follow us on Facebook or Twitter @IRVINEHA

Date:	6 <sup>th</sup> November 2020
Subject:	Operational Performance
Author:	Heather Anderson
Sponsor:	Paul Hillard
Appendices:	Yes
Action:	Information
Data Class:	Public

**EXECUTIVE SUMMARY**

This paper and appendices sets out performance across the operational KPIs as at the end of October 2020.

**RECOMMENDATION**

The Board is asked to consider and note the performance position.

**1 Background**

- 1.1 Performance against the current agreed KPIs is reported to each Board meeting using the newly developed performance reporting system, Tableau. The revised performance dashboards as at October 2020 are attached to this report as Appendix 1. Customer satisfaction surveys have now resumed following their suspension due to the Covid-19 pandemic and the monthly results are now being reported.

**2 Performance Context**

- 2.1 The agreed KPIs for 2020/21 for Irvine are:

- Total unadjusted arrears (4 weekly average)
- Arrears movement per unit.
- Void rent loss.
- Rent Evictions
- Repairs timescales.
- Gas Compliance
- Tenancy Turnover
- Tenancy Sustainability
- Overall satisfaction
- Listening to Views
- Repairs and Maintenance
- Latest Repair satisfaction
- Complaints Handling
- Complaints resolved at first stage.

**3 Performance update and analysis**

3.1 Following the Covid-19 crisis, rent arrears have started to increase sharply since the beginning of June 2020, and currently stand at a 4 week average of 4.52%. Recent detailed analysis has been carried out on Irvine arrears cases and the recovery approach. The findings from this reflect the wider improvement work ongoing across Group, which will seek to:

- Maximise the use of the OPEN Housing management system to work more intuitively, to identify broken arrangements and missed monthly Direct Debit payments.
- Develop an automated text and email 'payment reminder' process which enables customers to make a payment to their rent directly from their smart phone.
- Introducing case discussions for high risk cases and repeated non engagers between Income Collection teams, Housing Officers, and Money Advice services.
- New processes through which Income Collection services must exhaust all contact options if they repeatedly cannot contact a customer on the phone.
- Maximising the opportunity to discuss rent accounts with customers when they contact the Association for repairs and maintenance services – specifically the annual gas servicing process.
- Continue in Irvine with four Housing Officers dedicated to arrears recovery and supporting the Income Collection team, proactively contacting all customers by any available methods, assisting with Benefit and UC claims, visiting and leaving calling cards, sending text messages and emails.

3.2 Gas safety check compliance increased to 100% following the impact of Covid.

Void rent loss remains relatively stable since resuming mainstream lets and has improved slightly on the previous month. The average number of re-let days has also decreased to 18, dropping from 23 last month. There is still an additional 5 days included in the void turnaround time to allow for a deep clean as per Covid safety guidelines.

There has been a 4% increase in repairs and maintenance customer satisfaction from last month, and a 4% improvement in complaints handling satisfaction. We are anticipating that the new process of having the Asset Services Support Officer coordinating all asset complaints and contacting customers individually to confirm issues have been resolved, is starting to have a positive impact.

There has also been a small monthly improvement in 'Listening to Views' satisfaction.

**4 Next steps**

- 4.1 Teams will be working over the coming weeks to target arrears recovery action and to resume actions set out in our Customer Plan.

**5 Recommendations**

- 5.1 As described in the Executive Summary.

# Irvine Performance Dashboards

As at Period 7 End (01/11/20)

# Irvine Operational KPIs - Board...

Report Date  
03/11/2020

Rent Evictions  
**0**

Repairs Completed in Ti..  
**97.2%**  
Total Repairs: **2,853**

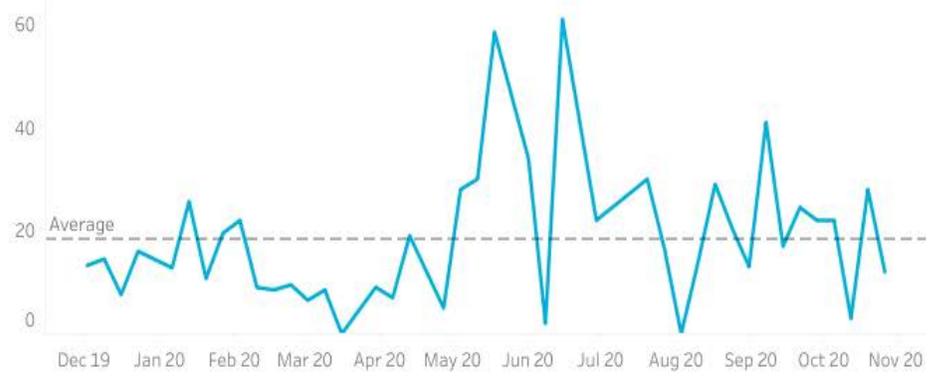
Gas Compliance  
**100.0%**  
Expired: **1**

Tenancy Turnover  
**2.3%**  
Tenancies Ended: **53**

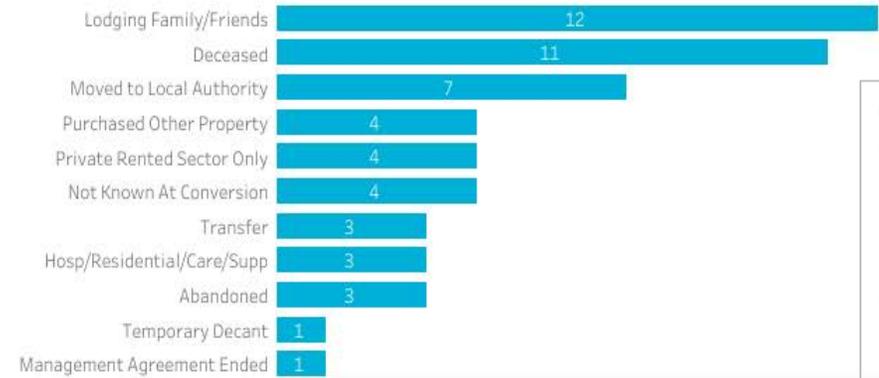
Tenancy Sustainability  
**3**

Refusals  
**3.17%**  
63 Lets with 2 refusal

Average Relet Days Week by Week



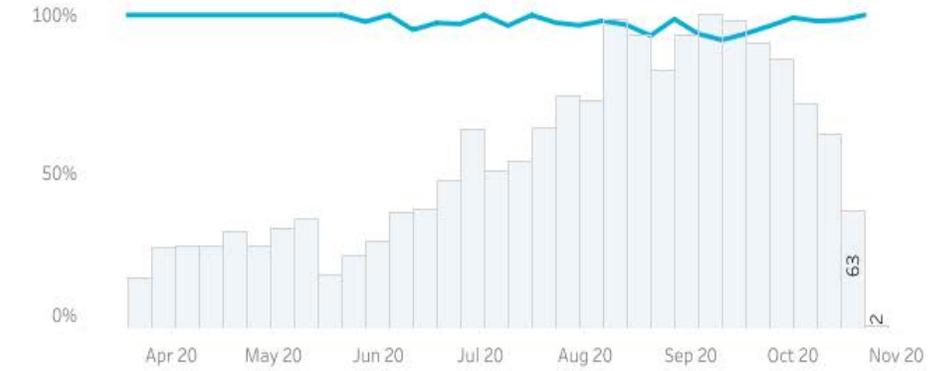
All Ended Tenancies



**Commentary:**

- Normal void processes have resumed and the average re-lets days reduced on the previous month. A 5 day deep clean remains part of the process as per Covid guidelines.
- No new tenancy failures within the period.

Repairs Completed in Time vs Volume of Repairs



Repairs Completed in Time by Priority



# Social Housing Cash Leakage - NSC Paper...

Currently Showing: **Irvine A**

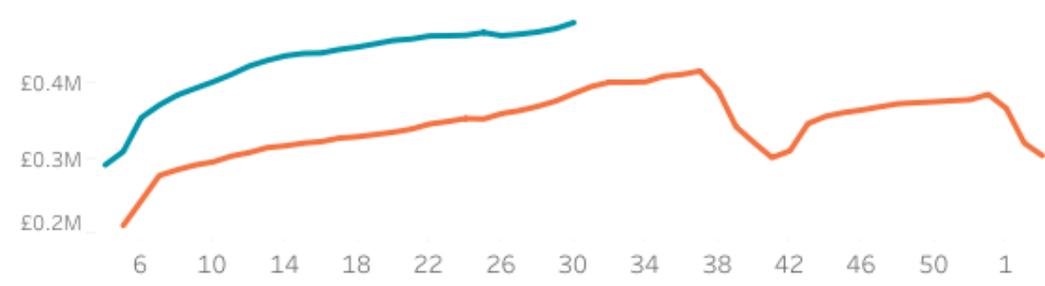
Stock  
Riverside

Report Date  
01/11/2020



Current Arrears  
**£0.48M**  
£10.61M (4.52%)

Arrears 4 Week Average **This Year** vs **Last Year**  
*The latest week is fixed at the centre of the chart*



Commentary

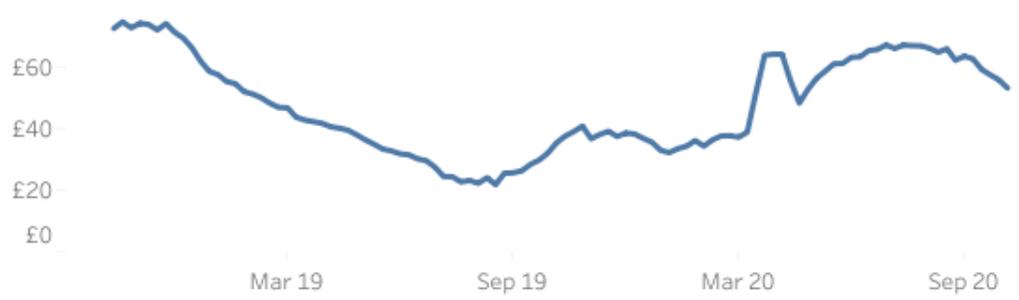
- Total arrears have increased by approximately 0.25 on last month. Detailed analysis has been carried out and further improvement actions identified, including: roll out of proactive text payment reminders, responsive reports for broken arrangements.
- Four Housing Officers remain focused on arrears recovery work and are supporting the Income Collection team.

Year Movement Per Unit

**+£53**

Moved to Former: **£0.04M**

Yearly Movement Per Unit  
*(Arrears Per Unit - Arrears Per Unit 1 Year Ago) + Arrears Moved to Former in Year per Unit*



Commentary

Void Rent Loss  
**0.30%**  
£18,746 / £6.20M

Void Rent Loss Weekly  
*The Rent Loss for each individual week*



Commentary

- Void processes have resumed following Covid. Void rent loss and average re-let days have both improved on previous month.
- New process has been put in place to record every property that has been void during the month, and the associated void rent loss to enable more detailed analysis to be carried out.
- There has been a spike in the number of void properties following the re-let suspension during the Covid lockdown period.



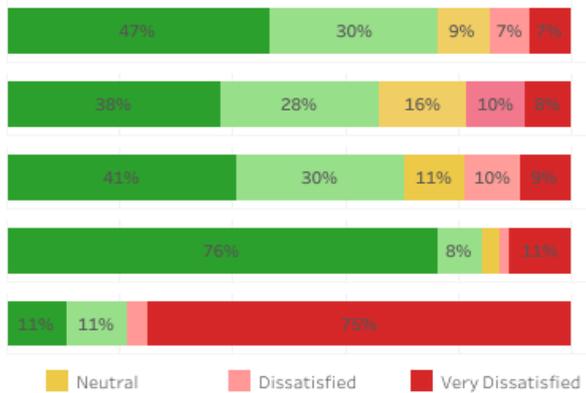
Overall Satisfaction by Month



Responses

Overall Satisfaction	333
Listening to Views	290
Repairs & Maintenance	290
Latest Repair	266
Complaints Handling	28

Breakdown of Responses



Listening to Views



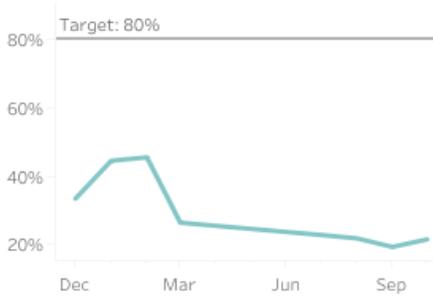
Repairs & Maintenance



Latest Repair



Complaints Handling



**Commentary:**

- We have seen slight improvements on last month for 'Listening to Views', 'Repairs and Maintenance' satisfaction and complaints handling satisfaction.
- The new process of the Asset Support Officer coordinating complaints and contact customers should be starting to have a positive impact.
- The ongoing Repairs Options Appraisal process will include an assessment of repairs and maintenance satisfaction, benchmarking of results, consideration of methodology, and engagement with customers to discuss service gaps.
- The capital investment programme has resumed following Covid and progressing very well. Work programmes have been re-profiled across the remainder of the year and we are confident that the programme will be complete by the end of the financial year.

Date:	19th November 2020
Subject:	Managing Director's Report
Author:	Paul Hillard (paul.hillard@irvineha.co.uk)
Sponsor:	N/A
Appendices:	None
Action:	Noting and comment
Data Class:	Public

**EXECUTIVE SUMMARY**

This Report is provided to Board to give an update on the following matters where no formal decisions are required at this time:

- Board Succession Planning
- Irvine Office [REDACTED]
- Branding of Irvine HA
- Homelessness Funding
- Pennyburn Lock Ups
- Data Incident

**RECOMMENDATION**

- It is recommended that Board Members note and comment on the contents of this Report.

## 1 Board Succession Planning

- 1.1 The facilitated Board session considering the potential remuneration of Board members, or specifically officer positions on the Board, concluded that the Association should maintain the status quo at the present time. In light of that it is now proposed to move ahead with a recruitment process for the Chair's position and up to a further 3 additional Board members.
- 1.2 Based on our previous experience we will be engaging the assistance of a recruitment / executive search consultancy. A mini-tender exercise is currently being carried out for this process, with a view to confirming an appointment by 3<sup>rd</sup> December 2020.
- 1.3 The outline process and timetable will then be as set out below:

Preparation of recruitment pack for the Chair's position	December 2020
Advertising for Chair	January 2021
Shortlisting and interviews for Chair	February 2021
Confirmation of successful candidate for Chair	Early March 2021
Preparation of recruitment packs for Board Members	March 2021
Shortlisting and interviews for Board Members	April 2021
Chair and Board Members join the Board*	May 2021 to September 2021

\* The Association's Rules allow for different routes for individuals formerly joining the Board. These will be discussed, and timetables agreed with the successful candidates.

- 1.4 The selection process for both Chair and Board Members process will require the establishment of an interview panel. It is proposed that the Panel for the recruitment of the Chair is made up as follows:
- Chair of Audit & Risk Committee
  - Riverside Board Nominee
  - Two other Board Members (including one Board Member who is a tenant of the Association).
- 1.5 Board members are asked to comment on and approve this proposed process.

## 2 Irvine Office

### 2.1

[REDACTED]

2.2

[REDACTED]

### **3 Branding of Irvine HA**

3.1 The work on the potential name change for the Association was suspended because of the pandemic lockdown. We have now recommenced consideration of this issue. Having carried out a rule change this year, which is the legal process required to achieve a name change, [REDACTED] we are revisiting changing our branding without legally changing our name.

3.2 The marketing and communications team have been working on the detail of how this would work and the extent of changes that would be required. They are also producing some mock ups of the appearance of alternative branding options. These will be presented to the meeting for initial comment.

### **4 Homelessness Funding**

4.1 The Association has been successful in its bid to the Scottish Government's fund for RSLs to support homelessness prevention initiatives. We will use the funding to develop a 'Housing First for Families' project, which will involve two Link Workers with responsibility for co-ordinating and delivering wrap-around intensive support for tenant families with children who are at risk of homelessness. The Link Workers will act as a single point of contact for all agencies needed to assist the household to sustain their tenancy, including Health and Addiction services, Council Homelessness services, Schools, befriending services, and IHA's own Tenancy Sustainment service. We are now commencing the process of recruiting to these two posts.

### **5 Pennyburn Lock Ups**

5.1 In our new Corporate Plan we have set out our aim of progressing regeneration activity across our largest mixed tenure estate in Pennyburn. It is envisaged this project will be over the medium to long term, and will consist of refurbishment of existing properties, potentially some demolition and new build housing, and a re-design of landscaping and tree configuration.

5.2

[REDACTED]

5.3



**6 Data Incident**

6.1



**7 Recommendation**

7.1 It is recommended that Board Members note and comment on the contents of this Report.