

**CHA Improvement Action Plan – Self-assurance Process 2019**

**Updated 21.11.19**

<b>Standard/Section</b>	<b>Improvement</b>	<b>Who</b>	<b>Target Date</b>	<b>Date Actioned/ Completed</b>	<b>Material (Yes/No)</b>
-------------------------	--------------------	------------	--------------------	---------------------------------	--------------------------

<b>AN- Assurance and Notification</b>					
<b>SHR requirements relating to Annual Assurance Statements and Legal Obligations</b>					
AN1.4	Development of an annual procedure for self-assurance process . to be updated with quarterly meetings and Working Group member details	SK	07/10/19	07/10/19	No
AN1.6	Develop format for self-assurance action plan improvements	SK & LL	08/10/19	08/10/19	No
AN3.8	All relevant quarterly HSSC reports will contain benchmarking information as standard out with standalone benchmarking report	JF/AMacf	13-Dec	In progress	No
AN3.10	Develop a stand-alone Evictions Policy	JF	13-Dec	Scheduled for Jan-20 (next HSSC)	No
AN3.10	Develop a stand-alone Evictions Procedure	JF	13-Dec	Scheduled for Jan-20 (next HSSC)	No
AN3.23	Liaison process to be set up with WDC & Blue Triangle to ensure adequate and timely transfer of information (improvement)	AMacf	29-Nov	In progress	No
AN3.23	CHA to carry out its own 6 monthly H&S inspections at the HMOs. Although no legal requirement to do so, this will bolster our own knowledge and ensure we can be satisfied that all is well	AMacf	29-Nov 29-May	In progress	No
AN3.24	Include H&S responsibilities included in new HMO lease with WDC	JF	13-Dec	In progress . meeting arranged with WDC	
AN4.6	Register to be completed in full and in a user friendly format	AMacf	10-Dec	In progress	No

**CHA Improvement Action Plan – Self-assurance Process 2019**

**Updated 21.11.19**

Standard/Section	Improvement	Who	Target Date	Date Actioned/ Completed	Material (Yes/No)
<b>CH - Each landlord must involve tenants, and where relevant, other service users, in the preparation and scrutiny of performance information.</b>					
CH1.4	To create separate benchmarking reports	SF/SS	28-Feb	In progress	No
CH2.1	To regularly review and agree our approach to tenant scrutiny with tenants. Include as a standard agenda item	SF	22-Oct	22-Oct	No
CH2.2	Ensure programme in place in advance of new scrutiny year	SF	30-Nov	In progress	No
CH2.2	Ensure programme includes review of previous decisions in relation to scrutiny . what has been adopted	SF	15-Jan	In progress	No
CH2.9	To publish our tenant scrutiny responses	SF	15-Jan	In progress	No
CH3.3 and 4.8	Feedback form will be issued with each charter report and on the website	SF	Oct-19	25-Oct	No
CH3.2	SHR landlord report on ARC results to be issued to and considered by governing body/committee and any agreed action plan	SK	Oct-19	29-Oct	No
CH4.6	In regards to Gypsies and traveling community - explain why this part of the charter does not apply to us	SF	Oct-19	25-Oct . on front page of charter report	No
CH4.7	<del>36</del> -monthly review by Senior Staff of Charter report . <u>review of</u> improvements delivered/commitments made <u>and include Feedback from tenants (Charter report content)</u>	SF/SS	<del>29-Nov</del> <u>Jan-20</u>	First meeting scheduled for Jan-20	No
<b>EH1 - Each landlord must 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.</b>					
EH1.1	Information in different formats procedure to be updated annually	SF/SS	13-Dec	22-Oct	No

**CHA Improvement Action Plan – Self-assurance Process 2019**

**Updated 21.11.19**

<b>Standard/Section</b>	<b>Improvement</b>	<b>Who</b>	<b>Target Date</b>	<b>Date Actioned/ Completed</b>	<b>Material (Yes/No)</b>
EH2	Systems, forms and reporting mechanisms etc. will be amended before the end of the financial year to include monitoring in line with equalities characteristics as required by the SHR	All	Oct-19	25-Oct and ongoing	No
<b>OC1-Make publicly available, including online, up-to-date details of:</b> – who is on its governing body – the date when they first became a member/office holder – how to become a member of the RSL and of the governing body, and – minutes of governing body					
OC1.4	We will publish information about joining the GB, including the specific skills and knowledge we have identified we need, in advance of our Annual General Meeting (AGM). Will be added to AGM checklist	LL	30-Apr-20	Ongoing	No
OC2	We will establish a central location for all job descriptions/roles	SK/LL	13-Dec	Ongoing	No
<b>SG1 - Comply with, and submit information to us (SHR) in accordance with, our guidance on notifiable events (NE)</b>					
SG2.9	CHA's procurement practices to be rolled out to our subsidiary in the upcoming year . Improvement	LL	28-Feb-20	Ongoing	No
<b>TS1 - Each landlord must make information on reporting significant performance failures, including SHR leaflet, available to its tenants.</b>					
TS2.7	Performance comparisons in handling complaints with that of other landlords reported to MC	SF	13-Dec	Scheduled for Jan-20 Complaints report to MC	No
TS3.4 and 3.5	Tenant Panel has not yet scrutinised complaints handling procedures/performance . future topic and/or standard agenda item	SF	30-Apr-20	Ongoing	No

**CHA Improvement Action Plan – Self-assurance Process 2019**

**Updated 21.11.19**

Standard/Section	Improvement	Who	Target Date	Date Actioned/ Completed	Material (Yes/No)
<b>Regulatory Standard 1</b>					
<b>The governing body leads and directs the RSL to achieve good outcomes for its tenants and other service users</b>					
1.1 The governing body sets the RSL's strategic direction. It agrees and oversees the organisation's business plan to achieve its purpose and intended outcomes for its tenants and other service users.					
1.1.7	Improvement to be discussed in regards to how tenants are involved in and consulted about the organisation's strategy and plans for the future	SF/SS	<del>13-Dec</del> <u>Feb-20</u>	In line with Business Planning process. Survey will be produced Feb-20 to improve consultation	No
1.1.7	Include Business Plan feedback form on web	SF/SS	13-Dec	In progress	No
1.4 All governing body members accept collective responsibility for their decisions.					
1.4.6	Annual GBM reviews to explicitly include reference to collective responsibility and decision-making. Stand-alone question in appraisal to be added	KT/SK	15-Dec	In progress-meeting arranged 02.12.19	No
1.5 All governing body members and senior officers understand their respective roles, and working relationships are constructive, professional and effective.					
1.5.3	Draft Induction Policy for MC approval	SK	Oct-19	29-Oct	No
1.5.4	Induction feedback form to be devised and procedure for ongoing monitoring and support for new members in line with good practice	SK	30-Nov	21-Nov	No
1.6 Each governing body member always acts in the best interests of the RSL and its tenants and service users, and does not place any personal or other interest ahead of their primary duty to the RSL.					
1.6.4	Development report template will be rolled out across the organisation including sub-committee reporting.	SS	31-Jan-20	In progress	No

**CHA Improvement Action Plan – Self-assurance Process 2019**

**Updated 21.11.19**

<b>Standard/Section</b>	<b>Improvement</b>	<b>Who</b>	<b>Target Date</b>	<b>Date Actioned/ Completed</b>	<b>Material (Yes/No)</b>
1.6.8/1.7.3	Background information on candidates for AGM elections to be provided to shareholders in advance of meeting	LL	Jun-20	Ongoing	No
1.7 The RSL maintains its independence by conducting its affairs without control, undue reference to or influence by any other body (unless it is constituted as the subsidiary of another body).					
1.7.3	Induction Policy to be devised	SK	Oct-19	29-Oct	No
<b>Regulatory Standard 2</b> <b>The RSL is open about and accountable for what it does. It understands and takes account of the needs and priorities of its tenants, service users and stakeholders. And its primary focus is the sustainable achievement of these priorities.</b> 2.1 The RSL gives tenants, service users and other stakeholders information that meets their needs about the RSL, its services, its performance and its future plans					
2.1.4	Finalise Communication Strategy and Action Plan	SF	13-Dec	In progress	No
2.4 The RSL seeks out the needs, priorities, views and aspirations of tenants, service users and stakeholders. The governing body takes account of this information in its strategies, plans and decisions.					
2.4.2	All survey information to be brought together in one place . communications/surveys	All staff	Dec-19	In progress	No
2.4.9	File note/minute to be created after all tenant/service user involvement	SF/SS	Dec-19	Files/folder created for one point of access . In progress	No

**CHA Improvement Action Plan – Self-assurance Process 2019**

**Updated 21.11.19**

Standard/Section	Improvement	Who	Target Date	Date Actioned/ Completed	Material (Yes/No)
<p><b>Regulatory Standard 3</b>  <b>The RSL manages its resources to ensure its financial well-being, while maintaining rents at a level that tenants can afford to pay.</b>                      3.1 The RSL has effective financial and treasury management controls and procedures, to achieve the right balance between costs and outcomes. The RSL ensures security of assets, the proper use of public and private funds, and access to sufficient liquidity at all times.</p>					
3.1.7	Tenant consultation on VFM statement to be organised (tenant conference)	LL	06-Nov	06-Nov	No
3.1.7	Add VFM question on Rent Policy Review consultation leaflet which goes out to all tenants	JF	02-Dec	In progress	No
3.1.13	Next review of Treasury Management Policy to include Corporate Social Responsibility/ethical investment statement/policy	LL	05-Nov	05-Nov	No
<p>3.2 The governing body fully understands the implications of the treasury management strategy it adopts, ensures this is in the best interests of the RSL and that it understands the associated risks.</p>					
3.2.5	Reference to maximum borrowing per Model Rules to be included in Loan Portfolio Return/Report to MC	LL	Jun-20	Ongoing	No
<p>3.5 The RSL monitors, reports on and complies with any covenants it has agreed with funders. The governing body assesses the risks of these not being complied with and takes appropriate action to mitigate and manage them.</p>					
3.5.4	15 minute training slot to be dedicated to quarterly sub-committee meetings	SS	Jan-20	Ongoing-will be introduced from Jan-20	No
<p>3.6 The governing body ensures that employee salaries, benefits and its pension offerings are at a level that is sufficient to ensure the appropriate quality of staff to run the organisation successfully, but which is affordable and not more than is necessary for this purpose.</p>					
3.6.2	Benchmarking staff costs in year ahead through SHN Peer Group	LL	Jan-20	In progress	No
3.6.6	Severance Policy to be developed	SK	Oct-19	25-Oct	No

**CHA Improvement Action Plan – Self-assurance Process 2019**

**Updated 21.11.19**

Standard/Section	Improvement	Who	Target Date	Date Actioned/ Completed	Material (Yes/No)
<p><b>Regulatory Standard 4</b>  <b>The governing body bases its decisions on good quality information and advice and identifies and mitigates risks to the organisation’s purpose .</b>                      4.1 The governing body ensures it receives good quality information and advice from staff and, where necessary, expert independent advisers, that is timely and appropriate to its strategic role and decisions. The governing body is able to evidence any of its decisions.</p>					
4.1.8	Plan to have more group training sessions within West Dunbartonshire RSLs and mix with other Board members	SK/KT	31-Mar-20	In progress-meeting arranged 02.12.19	No
<p>4.2 The governing body challenges and holds the senior officer to account for their performance in achieving the RSL’s purpose and objectives</p>					
4.2.3	Comparisons with Scottish Average and local HA’s made via reports to MC and tenants . more benchmarking required via Scottish Housing Network . what is our overall position (upper, mid, lower quartile?)	SK	Feb-20	Ongoing	No
<p>4.3 The governing body identifies risks that might prevent it from achieving the RSL’s purpose and has effective strategies and systems for risk management and mitigation, internal control and audit.</p>					
4.3.2	Annual training session on these SHR reports (thematic studies, intervention reports etc.) to increase GB and staff awareness and improve mitigation strategies	SK	Mar-20	To be arranged in New Year	No
4.3.12	Set up/manage a register of where things have gone wrong/things have gone well in past for future reference (register currently in place not maintained)	SK	Feb-20	Due Dec-19	No

**CHA Improvement Action Plan – Self-assurance Process 2019**

**Updated 21.11.19**

Standard/Section	Improvement	Who	Target Date	Date Actioned/ Completed	Material (Yes/No)
4.5 The RSL has an internal audit function. The governing body ensures the effective oversight of the internal audit programme by an audit committee or otherwise. It has arrangements in place to monitor and review the quality and effectiveness of internal audit activity, to ensure that it meets its assurance needs in relation to regulatory requirements and the Standards of Governance and Financial Management. Where the RSL does not have an audit committee, it has alternative arrangements in place to ensure that the functions normally provided by a committee are discharged.					
4.5.6	Ensure staff withdraw from meetings whilst report is being presented to ensure GB are able to ask questions	SS	<del>17-Dec</del> Jan-20	IA report to MC due Jan-20	No
4.6 The governing body has formal and transparent arrangements for maintaining an appropriate relationship with the RSL's external auditor and its internal auditor.					
4.6.3	External audit overdue (recommended no more than 7 years)	LL	Jan-20	In progress	No
4.6.4	MC to be offered opportunity to take part in tender assessment	SK/LL	Jan-20	In progress	No
<b>Regulatory Standard 5</b>					
<b>The RSL conducts its affairs with honesty and integrity.</b>					
5.2 The RSL upholds and promotes the standards of behaviour and conduct it expects of governing body members and staff through an appropriate code of conduct. It manages governing body members performance, ensures compliance and has a robust system to deal with any breach of the code.					
5.2.5	Include CHA values and the Code of Conduct feature in the annual GBM reviews/staff appraisals	SK/KT	15-Dec	In progress-meeting arranged 02.12.19	No
5.6 There are clear procedures for employees and governing body members to raise concerns or whistleblow if they believe there has been fraud, corruption or other wrongdoing within the RSL.					
5.6.7	Ensure annual appraisals and reviews used to remind GBMs and staff of the whistleblowing procedures	SK/KT	15-Dec	In progress-meeting arranged 02.12.19	No



**CHA Improvement Action Plan – Self-assurance Process 2019**

**Updated 21.11.19**

Standard/Section	Improvement	Who	Target Date	Date Actioned/ Completed	Material (Yes/No)
<p>5.7 Severance payments are only made in accordance with a clear policy which is approved by the governing body, is consistently applied and is in accordance with contractual obligations. Such payments are monitored by the governing body to ensure the payment represents value for money. The RSL has considered alternatives to severance, including redeployment.</p>					
5.7.1	Severance Policy to be put in place	SK	Oct-19	29-Oct	No
<p>5.8 Where a severance payment is accompanied by a settlement agreement the RSL does not use this to limit public accountability or whistleblowing. The RSL has taken professional legal advice before entering into a settlement agreement.</p>					
5.8.2 5.8.3 5.8.4	Severance Policy to be put in place	SK	Oct-19	29-Oct	No
<p><b>Regulatory Standard 6</b></p>					
<p><b>The governing body and senior officers have the skills and knowledge they need to be effective.</b></p>					
<p>6.3 The RSL ensures that all governing body members are subject to annual performance reviews to assess their contribution and effectiveness. The governing body takes account of these annual performance reviews and its skills needs in its succession planning and learning and development plans. The governing body ensures that any non-executive member seeking re-election after nine years of continuous service demonstrates continued effectiveness.</p>					
6.3	Formal Annual Review Policy to be devised	SK	15-Dec	On target-meeting arranged 02.12.19	No
6.3.2	Annual GB review could be more detailed in terms of a direct question on view of composition and capability and also a direct question on intention to seek re-election	SK/KT	15-Dec	On target-meeting arranged 02.12.19	No

**CHA Improvement Action Plan – Self-assurance Process 2019**

**Updated 21.11.19**

Standard/Section	Improvement	Who	Target Date	Date Actioned/ Completed	Material (Yes/No)
6.4 The RSL encourages as diverse a membership as is compatible with its constitution and actively engages its membership in the process for filling vacancies on the governing body.					
6.4.4 	One to one sessions with Chairperson to be offered - <u>include review of MC application form</u>	SK/KT	29-Nov (MC Meeting)	Meeting arranged 02.12.19 To be included in MC application form	No
6.7 The governing body is satisfied that the senior officer has the necessary skills and knowledge to do his/her job. The governing body sets the senior officer's objectives, oversees performance, ensures annual performance appraisal, and requires continuous professional development.					
6.7.4	Details of Senior officer's training and development to be added to senior officer's appraisal report from Chairperson	SK/KT	Aug-20	Ongoing	No
<p><b>Regulatory Standard 7</b>  <b>Where an RSL is considering organisational or constitutional change, or acquisition or disposal of land or assets:</b>  <b>The RSL ensures that any organisational changes or disposals it makes safeguard the interests of, and benefit, current and future tenants.</b></p>					
The governing body ensures that disposals, acquisitions and investments fit with the RSL's objectives and business plan, and that its strategy is sustainable. It considers these taking account of appropriate professional advice and value for money - whether as part of a broader strategy or on a case by case basis.					
7.7	To devise a Sustainability Policy	SK	29-Nov	Delayed due to level of business on Nov MC Agenda . will be available for 17-Dec MC Meeting	No