

CHA Improvement Action Plan – Following self-assurance process 2020

24.11.2020

Standard/Section	Improvement	Who	Target Date	Completed Yes/No	Date Actioned/ Completed	Material (Yes/No)
AN- Assurance and Notification						
SHR requirements relating to Annual Assurance Statements and Legal Obligations						
AN1 Prepare an Annual Assurance Statement in accordance with SHR published guidance, submit it to us (SHR) between April and the end of October each year, and make it available to tenants and other service users.						
AN1.1	Tenant consultation still to be organised for review of AAT	SF	30/11/2020	No		No
AN1.8	Tenant consultation still to be organised for review of AAT	SF	30/11/2020	No		No
AN2 Notify us (SHR) during the year of any material changes to the assurance in its Annual Assurance Statement.						
AN2.3	Non-compliance with landlord gas safety obligations due to Covid-19 – one service outstanding – NE registered on SHR portal	JF/AMac/JD	30/11/2020	No		Yes
AN2.3	Office premises closed to the general public due to Covid-19 – NE registered on SHR Portal	Senior staff	Feb-21	No		No
AN3 Each landlord must have assurance and evidence that it is meeting all of its legal obligations associated with housing and homelessness services, equality and human rights, and tenant and resident safety.						
AN3.26	Non-compliance with landlord gas safety obligations due to Covid-19 – one service outstanding – NE registered on SHR portal	JF/AMac/JD	30/11/2020	No		Yes
AN3.26	CHA Health and safety aspects listed as a standard item on pre-start/contract meeting agendas and recorded in minutes	JF/AMac/JD	30/11/2020	No		No
AN4 Notify us (SHR) of any tenant and resident safety matters which have been reported to, or are being investigated by the Health and Safety Executive, or reports from regulatory or statutory authorities, or insurance providers, relating to safety concerns.						
AN4.5	Covid-19 meant that the Association has experienced 9 instances where we did not carry out an annual gas service within the legislative requirement timescales. 1 remains outstanding	JF/AMac/JD	30/11/2020	No		Yes

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	due to COVID-19 and is being reviewed on an ongoing basis in line with the Association's procedures and advice from various sources including Scottish Government and HSE – NE registered					
CH - Each landlord must involve tenants, and where relevant, other service users, in the preparation and scrutiny of performance information.						
CH1 Submit an Annual Return on the Charter (ARC) to us (SHR) each year in accordance with our published guidance.						
CH1.4	Full business plan performance reports delayed although individual performance reported at S-C meetings due to Covid-19	Senior Staff	Dec-20	No		No
CH1.5	ARC benchmarking reports – improvement in committee reporting (carried forward from 2019/20)	Senior Staff/SF	Jan-21	No		No
CH3 Each landlord must report its performance in achieving or progressing towards the Charter outcomes and standards to its tenants and other service users (no later than October each year). It must agree the format of performance reporting with tenants, ensuring that it is accessible for tenants and other service users, with plain and jargon-free language						
CH3.3	SHR Landlord report on ARC results to be issued to and considered by GB including agreed action plan – delayed (Covid-19). Will be issued to MC as soon as received from SHR	SF	Jan-21	No		No
EH - Equality & Human Rights - 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.						
EH2	Systems, forms and reporting mechanisms etc. will be amended to include monitoring in line with equalities characteristics as required by the SHR in their guidance (not yet published) (carried forward from 2019/20)	All	Jan-21	No		

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SG1 - Comply with, and submit information to us (SHR) in accordance with, our guidance on notifiable events (NE)						
SG2.9	CHA's procurement practices to be rolled out to our subsidiary in the upcoming year – carried forward from 2019/20	LL	Mar-21	No		No
TS1 - Each landlord must make information on reporting significant performance failures, including SHR leaflet, available to its tenants.						
TS3.4 and 3.5	Tenant Panel has not yet scrutinised complaints handling procedures/performance – future topic and/or standard agenda item – carried forward from 2019/20	SF	Feb-21	No		No
Regulatory Standard 1						
The governing body leads and directs the RSL to achieve good outcomes for its tenants and other service users						
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.						
1.1.1/11	No strategic away day in 2020 – ensure away day organised for 2021 (Covid-19)	SF/SS	Mar/Apr-21	No		
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 – delayed due to Covid-19 – carried forward from 2019/20	SF/SS	Mar/Apr-21	No		No
1.2 The RSL's governance policies and arrangements set out the respective roles, responsibilities and accountabilities of governing body members and senior officers, and the governing body exercises overall responsibility and control of the strategic leadership of the RSL						
1.2.7	BP Performance to 31 March not yet reported to MC (Covid-19) BP Performance to 30 September not yet reported to MC (Covid-19)	SF/SS	Dec-20	No		No

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Regulatory Standard 3 The RSL manages its resources to ensure its financial well-being, while maintaining rents at a level that tenants can afford to pay. 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.						
3.1.7	Add VFM question on Rent Policy Review consultation leaflet which goes out to all tenants – carried forward from 2019/20 (omitted in error)	JF/LL	Dec-20	No		No
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.						
3.2.5	Reference to maximum borrowing per Model Rules to be included in Loan Portfolio Return/Report to MC – carried forward from 2019/20	LL	Dec-20	No		No
3.2.7	Training on investment and associated risks to be organised	LL	May-21	No		
3.3 The RSL has a robust business planning and control framework and effective systems to monitor and accurately report delivery of its plans. Risks to the delivery of financial plans are identified and managed effectively. The RSL considers sufficiently the financial implications of risks to the delivery of plans.						
3.3.3	BP Performance to 31 March not yet reported to MC (Covid-19) BP Performance to 30 September not yet reported to MC (Covid-19)	Senior staff	Dec-20	No		No
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.						
3.5.8	Training session on covenants/compliance to be carried out – delayed due to Covid-19	LL	May-21	No		No

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Regulatory Standard 4						
The governing body bases its decisions on good quality information and advice and identifies and mitigates risks to the organisation's purpose.						
4.2 The governing body challenges and holds the senior officer to account for their performance in achieving the RSL's purpose and objectives						
4.2.3	BP Performance to 31 March not yet reported to MC (Covid-19) BP Performance to 30 September not yet reported to MC (Covid-19)	Senior staff	Dec-20	No		No
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?) – carried forward from 2019/20	Senior staff	Mar-21	No		No
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.						
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 – carried forward from 2019/20	SK	Mar-21	No		No
Regulatory Standard 5						
The RSL conducts its affairs with honesty and integrity.						
5.1 The RSL conducts its affairs with honesty and integrity and, through the actions of the governing body and staff, upholds the good reputation of the RSL and the sector.						
5.1.5	Annual MC and staff appraisals report to MC delayed due to Covid-19	SK/KT	30.11.2020	No		No

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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.						
5.2.4	Annual MC appraisals report to MC delayed due to Covid-19 which review contributions that individual GBM make to RSL governance	KT	30.11.2020	No		No
Regulatory Standard 6 The governing body and senior officers have the skills and knowledge they need to be effective. 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' continuous service demonstrates continued effectiveness.						
6.3	Annual MC appraisals report to MC delayed due to Covid-19	KT	30.11.2020	No		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 – Appraisal completed interview to be held by target date	SK/KT	30.11.2020	No		No