

Succession Planning Policy

Prepared By	Anne Wilson, Corporate Services Director
Policy Created	June 2021
Date of Last Review	28 June 2021
Date of Current Review	25 November 2024
Date of Next Review	October 2027
Reviewed By	Management Committee

CORPORATE FIT	
Internal Management Plan	✓
Risk Register	✓
Business Plan	✓
Regulatory Standards	✓
Equalities Strategy	✓
Legislation	✓

On request, the Association will provide translations of all our documents, policies and procedures in various languages and other formats such as computer disc, tape, large print, Braille etc. and these can be obtained by contacting the Association's offices.

## **1. Succession Planning Policy**

### **1.1 Statement of Intent**

This policy is intended to provide a strategic framework to ensure the Association has identified its key posts for Committee and Staff and has considered issues of resilience in support of the delivery of Tollcross Housing Association's services.

The policy details the definition of succession planning, the roles and responsibilities of those involved and how to identify successors for vacant Committee Member and Staff Member posts and how to recruit and select successors.

Succession Planning is a major aid to business continuity management and is a process by which one or more successors are identified to replace business critical and leadership roles within the organisation. The Succession Planning Model recognises future business requirements and provides development opportunities and pathways within the organisation to maximise learning and development investment.

The policy will link with our business requirements with the overall aim to ensure that the right people are in the right place at the right time with the right skills to meet the needs of the people and communities we serve in Tollcross, Lilybank and Carmyle.

### **1.2 Aims and Objectives**

Tollcross Housing Association believes in local people having local control and its aim is to improve housing conditions for the people who need our services. The following four strategic objectives help us achieve this.

1. Assess THA's operating environment deliver quality, value for money services that meet our customers' needs
2. Provide quality homes and neighbourhoods
3. Manage our assets well, by spending wisely
4. Work with local partners to provide support and opportunities to people in our communities
5. Offer a great workplace environment
6. Make sure that THA continues to be well-governed and financially sustainable

## **2. Standards**

### **2.1 Regulatory & Legal Basis**

In preparing this policy, the Association has considered the following legal requirements:

- Equality
- Human Rights
- Tollcross Housing Association's Rules & Registration
- Regulatory Requirements

The Association has determined that the following Regulatory requirements apply:

- 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.
- 1.5 All governing body members and senior officers understand their respective roles, and working relationships are constructive, professional and effective.
- 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 necessary for this purpose.
- 4.2 The governing body challenges and holds senior officers to account for their performance in achieving the RSL's purpose and objectives.
- 5.3 The RSL pays due regard to the need to eliminate discrimination, advance equality and human rights, and foster good relations across the range of protected characteristics in all areas of its work, including its governance arrangements.
- 6.1 The RSL has a formal, rigorous and transparent process for the election, appointment and recruitment of governing body members. The RSL formally and actively plans to ensure orderly succession to governing body places to maintain an appropriate and effective composition of governing body members and to ensure sustainability of the governing body.
- 6.2 The governing body annually assesses the skills, knowledge, diversity and objectivity it needs to provide capable leadership, control and constructive challenge to achieve the RSL's purpose, deliver good tenant outcomes, and manage its affairs. It assesses the contribution of continuing governing body members, and what gaps there are that need to be filled.

- 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.

## **2.2 Equalities**

- 2.2.1 An Equality Impact Assessment (EIA) has been carried out when preparing this policy and is attached as Appendix 1,.
- 2.2.2 Where there is a need for follow-up action, the tasks and timeframe for achieving them shall be noted in the Equality and Human Rights Action Plan to ensure they are addressed.

## **2.3 Monitoring / Feedback**

The Chairperson with support of the Corporate Services Director will be responsible for implementing and monitoring this policy to ensure a consistent approach is maintained.

# **3. Procedure Section**

## **3.1 Succession Planning Model**

- 3.1.1 Succession Planning is a major aid to business continuity management and is a process by which one or more successors are identified to replace business critical and leadership roles within the organisation. Succession planning sits inside a much wider strategic framework encompassing areas such as resource management, skills analysis, and career development.

In very simple terms **it is about ensuring we have the right people in the right place at the right time.**

- 3.1.2 A model for Succession Planning has been developed for the Association to ensure that all roles are covered. This model builds upon existing policies and procedures relating to such issues as performance review, talent management, coaching and mentoring. The tiers of the model are:

- Committee (Governing Body)
- Future Leaders (Senior Management)

### **3.2 Assessment Process - Committee**

- 3.2.1 The following framework has been developed to ensure consistent assessment of all Committee roles for the purposes of succession planning.
- 3.2.2 On an annual basis, the Chairperson with support from the Corporate Services Director will be responsible for co-ordinating the succession planning review process and ensuring corporate record exists. Appendix 2 will be used to support this review in line with individual assessments and/or appraisals undertaken.
- 3.2.3 The assessment in relation to Committee (Governing Body Members) will be undertaken as part of the Annual Committee Appraisals.
- 3.2.4 Feedback from the succession planning process will be provided within a report to Management Committee. This report will highlight the main areas covered and any recommendations made, e.g. skills gaps and tenure. Management Committee will consider appropriate actions as necessary and this action plan will be monitored on a quarterly basis by the Audit & Business Sub-Committee.
- 3.2.5 Please note that there is no guarantee that any member will be appointed at an Annual General Meeting as the appointment of members is part of an election process by the membership.
- 3.2.6 The assessment in relation to the Office Bearer Committee Members will be undertaken as part of the Annual Committee appraisals as follows:
- i) Chairperson – the form will be provided to all Committee Members for peer assessment and the Chair will be asked during the Committee appraisal process what additional support and/or training specific to their role they feel may be required.
  - ii) Vice-Chairperson – will be asked during the Committee appraisal process what additional support and/or training specific to their role they feel may be required.
  - iii) Secretary – will be asked during the Committee appraisal process what additional support and/or training specific to their role they feel may be required.
- 3.2.7 Please note that there is no guarantee that any member will be appointed as an Office Bearer even though they have been identified as a suitable candidate through this process and carried out the relevant training as appointment of Office Bearers is subject to Committee Members' (GBM) election.

Where possible, the Chairperson should be a local tenant or resident.

3.2.8 Contained within this document (appendix 3) is the Committee Skills that we would look to have or be achieved via training for a Committee Member and Office Bearers.

3.2.9 All Committee and Staff are responsible for identifying (talent spotting) possible Committee Members from the community and encouraging such individuals to consider applying at the next AGM, or joining the Performance Improvement Network (or PILS), as a route to Committee Membership, if appropriate.

3.2.10 When a potential member is identified full support is to be given and this support can include attendance at Committee meetings as an observer, invitation to Committee training events and informal discussions with existing Committee Members.

3.2.11 Opportunities to shadow chair/convenor of Sub-Committees and/or chair all or part of Committee meetings shall be made available to those who have expressed an interest in becoming an Office Bearer.

### **3.3 Assessment Process – Senior Management Team**

3.3.1 The following framework has been developed to ensure consistent assessment of Senior Management Team roles for the purposes of succession planning within the Association. This requires a review of the post and the post holder using the questions and scoring mechanism detailed below:

- Question 1 – Is the post critical to the delivery of the current strategic plan?

Yes, absolutely critical (3 points)

Not critical to the delivery of the strategic plan, but key to the effectiveness of the Association (2 points)

All other roles (1 point)

- Question 2 – What is the likelihood of a vacancy occurring within the next 12 months, given the age profile(s), turnover rates and individuals stated intentions?

Very likely (3 points)

Likely within the next 3 years (2 points)

Unlikely within the next 3 years (1 point)

- Question 3 - Do the skills and experience required to fulfil the role exist in the market place if a vacancy does occur?

Very unlikely (3 points)

Available, but only in the Housing Movement (2 points)

Available within the organisation/wider market (1 point).

- 3.3.2 On an annual basis, the Chief Executive and Corporate Services Director will be responsible for co-ordinating the succession planning review process for Senior Management Team and ensuring corporate record exists. Leadership Team members and the Chairperson will be involved in Leadership Team post assessments and Senior Management Team members will be involved in SMT post assessments. Appendix 1 will be used to support this review in line with individual assessments and/or appraisals undertaken.

3.3.3 Contained within this document (appendix 4) is the competency framework (key skills) that we would look to have or be achieved via training for a member of the Senior Management Team.

### **3.4 Oversight**

3.4.1 The Chief Executive should ensure that the Senior Management Team Members keep succession planning for their department under constant review.

3.4.2 On an annual basis, all line managers will, as part of every 6-monthly 1-2-1, identify the main development areas necessary to prepare individuals for possible future posts and potential achievers who are capable at performing at a higher grade should an opportunity arise.

3.4.3 Line managers take responsibility for managing performance and for identifying and developing talent and also see talent as a corporate source rather than a departmental resource.

3.4.4 It is the responsibility of the Chairperson with support from the Chief Executive to ensure formal succession plans are in place and being progressed wherever it is deemed advantageous, however, they must ensure ALL posts, with a succession plan score of 7 or more have an active succession plan in place.

### **3.5 Selection Process**

3.5.1 Difficulties can occur when individuals perceive that selection for succession planning purposes guarantees access to a given Committee/job role in the future. To reinforce that this is not the case, the following will apply.

3.5.2 All senior management Staff posts that become available will automatically be subject to open recruitment and temporary appointments will only be used to cover an absence (e.g. long term illness or whilst post is being recruited).

3.5.3 All Committee vacancies will be appointed at the Annual General Meeting (elected and or re-elected). Vacant Office Bearer positions during the year will be filled on a temporary basis until the first meeting held after an Annual General Meeting.



- 3.5.4 Development opportunities will be freely available to a range of individuals and all candidates will be treated fairly with no individual being discriminated against under our equality and human rights policy. Development opportunities are for example, using local coaching/mentoring, access to projects, training etc.
- 3.5.6 Where, however, there is an organisational need to develop an individual(s) for the purposes of formal succession planning outwith the role of the Senior Management Team, and that development opportunity is limited, then there should be an open selection process. In such cases, an internal advert will be placed, outlining the role and range of support to be put in place to develop the individual's potential. (This does not apply to short term temporary responsibility pay in the event of Staff absences).
- 3.5.7 The selection process itself will seek to measure 'potential' not existing ability, but in all other senses, will follow normal recruitment processes.
- 3.5.8 The successful candidate will be provided with a Personal Development Plan, not a new contract. The plan will set out what support is to be provided and detail the commitment expected of the individual. At any stage, management or the individual selected are entitled to bring the Personal Development Plan to an end as there is no actual or intended contractual commitment involved.
- 3.5.9 It should be noted that selection under succession planning arrangements does not automatically provide a guarantee of any form of release from the individual's substantive role. Whilst it may be necessary to seek temporary release to complete a project or undertake specialist training, this is not available as a right.
- 3.5.10 When the anticipated vacancy occurs, it is not permissible to simply select the individual who has been subject to support under the succession planning arrangements. Whilst they will hopefully be a strong candidate having undertaken role specific development, the job will be advertised under normal recruitment arrangements, with selection now being based on ability, not potential.

### **3.6 Personal Development Plan**

- 3.6.1 Any individual selected to receive support as part of formal succession planning; (Committee or Staff) should be provided with a tailored Personal Development Plan.

3.6.2 The Personal Development Plan will, by its very nature, support development of the individual, but there is no guarantee that any activity that requires funding will be provided. Such requests will be subject to the normal prioritisation process for dealing with training requirements. (1-2-1s and Training & Development Policy).

#### **4. Policy Review**

This policy will be reviewed every three years or sooner as deemed necessary due to changes in legislation or as directed by the Management Committee.

## Appendix 1 – Equality & Human Rights Impact Assessment

<b>Policy</b>	Succession Planning Policy		
<b>EIA Completed by</b>	Corporate Services Director	<b>EIA Date</b>	November 2024

  

<b>1. Aims, objectives, and purpose of the policy / proposal</b>			
To ensure we have a plan in place to work towards attracting and retaining new and effective Committee members and senior officer candidates.			
<b>2. Who is intended to benefit from the policy / proposal?</b>			
Volunteers and Employees			
<b>3. What outcomes are wanted from this policy / proposal?</b>			
To have well trained and knowledgeable Staff and Committee members who feel supported in seeking promotion (office bearer, more senior role)			
<b>4. Which protected characteristics could be affected by proposal?</b>	<input type="checkbox"/> Age	<input type="checkbox"/> Gender reassignment	<input type="checkbox"/> Religion or belief
	<input type="checkbox"/> Disability	<input type="checkbox"/> Marriage & civil partnership	<input type="checkbox"/> Sex
	<input type="checkbox"/> Race	<input type="checkbox"/> Pregnancy and maternity	<input type="checkbox"/> Sexual orientation
<b>5. If the policy / proposal is not relevant to any of the protected characteristics listed in part 4, state why and end the process here.</b>			
The policy provides a framework for how attract, develop and retain staff and committee members. The process does not negatively impact on the protected characteristics.			
<b>6. Describe the likely impact(s) the policy / proposal could have on the groups identified in part 4</b>			
<b>7. What actions are required to address the impacts arising from this assessment? (This might include; collecting data, putting monitoring in place, specific actions to mitigate negative impacts).</b>			

## **Appendix 2**

### **Management Committee & Staffing**

### **Succession Planning**

**Role Being Reviewed** \_\_\_\_\_

<b>1. Current Membership</b>		
1a	Committee/Staff Composition	
1b	Age distribution	
1c	What is the gender mix?	
1d	Length of service of each member	

<b>2. Committee/Staff Turnover</b>		
2a	Committee/Staff resignations in the past 12 months	
2b	Committee/Staff dismissed in the past 12 months	
2c	Committee/Staff leaving in the next 12 months	

<b>3. Assessment - Scoring</b>		
3a	Is the post absolutely critical to the delivery of the current strategic plan?  Yes, absolutely critical (3 points)  Not critical to the delivery of the strategic plan, but key to the effectiveness of the Association (2 points)  All other roles (1 point)	
3b	What is the likelihood of a vacancy occurring within the next 12 months, given the age profile(s), turnover rates and individuals stated intentions?	

	<p>Very likely (3 points)</p> <p>Likely within the next 3 years (2 points)</p> <p>Unlikely within the next 3 years (1 point)</p>	
3c	<p>Do the skills and experience required to fulfil the role exist in if a vacancy does occur?</p> <p>Very unlikely (3 points)</p> <p>Available, but only in the Housing Movement (2 points)</p> <p>Available within the organisation/wider market (1 point)</p>	
3d	<p><b>Overall Points</b></p> <p>7 – 9 points</p> <p>Immediate Action – complete form below</p> <p>4 – 6 points Monitor Situation</p> <p>1 – 3 points No action required</p>	<p>Complete Full form</p> <p>Complete strengths/areas for development and future direction sections only</p>

#### 4. Volunteering/Job Review Process

4a	Is pro-active use being made of the Appraisal/1-2-1 outcomes?	
4b	Are individual outcomes effective?	
4c	<p>If not - Who needs training or retraining?</p> <p>- In what skills?</p> <p>- Over what timescale?</p>	

### 5. Strengths/Areas For development

5a	Strengths of Committee/Staff Member	
5b	Areas for development of Committee/Staff Member	
5c	What are the potential problems/areas for development you have identified as a result of your analysis?	

### 6. Summary of Current Situation

6a	What does the above analysis of this information indicate regarding the current Committee/Staff situation?	
6b	What is the impact on results in terms of problems and possible solutions identified following this analysis?	

### 7. Future Requirements

7a	What will the effect of the Association's future plans (i.e. Strategic Plan) have on Committee/Staff needs and skills levels in your function?	
7b	Looking to the future will there be a requirement for increased/decreased/ different skills or people on the Committee/Staff	

7c	If yes – Over what period of time has this been identified?	
7d	Have you identified future potential office bearers/Senior Management Team members?	
7e	Have training programmes been put in place for them?	

#### **8. Action required**

8a	What, if any, additional information regarding the Committee/Staff do you need to establish/generate and consider prior to formulating your future plans?	
8b	Are you clear about who would replace key Committee/Staff in an emergency?	
8c	How prepared would the replacement Committee/Staff Member be?	
8d	How effective would this replacement be in terms of achievement of the Committee/Staff?	

8e	What action are you presently taking that makes the fullest use of the Appraisal/1-2-1 system that the Association has in place?	
8f	What are you doing now to develop your successors?	
8g	Which member of your Committee would you choose to assume Chair and Secretary responsibilities, if for whatever reason current Committee were unable to continue in your role from tomorrow?	
8h	Which member of your Staff would you choose to assume a role on the Senior Management Team if for whatever reason a current member were unable to continue in their role from tomorrow?	
8i	Why would you choose this person?	
8j	Your selection should be objective and made on the basis of equal opportunities for all – is it?	
8k	Is the selected person(s) as prepared as they can be to do the job now?	
8l	What is your estimate of their current performance?	



8m	Is there a gap? – How big is the 'gap' between ideal and actual performance? -What specifically is the cause of this gap?  -What action is planned/being taken to close this gap?	
8n	Do you have a 'second choice' of an individual with appropriate skills for succession needs for the role in question?	

**Review Undertaken by:**

Name:

Signature:

Date:

## **Appendix 3 Management Committee Succession Planning Committee Skills**

### **Role Description for Governing Body Members of Tollcross Housing Association (THA)**

#### **1. Introduction**

**The governing body leads and directs the RSL to achieve good outcomes for its tenants and other service users.**

- 1.1 This role description has been prepared to set out the responsibilities that are associated with being a Governing Body Member (GBM) of Tollcross Housing Association (THA). It should be read in conjunction with the accompanying person specification and THA's Rules and Standing Orders.
- 1.2 THA is a Registered Social Landlord. The role description reflects the principles of good governance and takes account of (and is compliant with) the expectations of the Regulatory Standards of Governance and Financial Management for Scottish RSLs and relevant guidance produced by the Office of the Scottish Charity Regulator (OSCR).
- 1.3 THA encourages people who are interested in the Association's work or are tenants to consider seeking election as a GBM and is committed to ensuring broad representation from the communities that it serves. GBMs do not require 'qualifications' but, from time to time, we will seek to recruit people with specific skills and experience to add to or expand the existing range of skills and experience available to ensure that the governing body is able to fulfil its purpose. We carry out an annual review of the skills that we have and those that we need to inform our recruitment activities.
- 1.4 This role description applies to all members of the Governing Body, whether elected or co-opted, new or experienced. It is subject to periodic review.

#### **2. Primary Responsibilities**

- 2.1 As a GBM your primary responsibilities are, with the other members of the Governing Body, to
  - Lead and direct THA's work
  - Promote and uphold THA's values
  - Set and monitor standards for service delivery and performance
  - Control THA's affairs and ensure compliance

- 2.2 Responsibility for the operational implementation of THA's strategies and policies is delegated to the Chief Officer (Chief Executive).

### **3. Key Expectations**

- 3.1 THA has agreed a Code of Conduct for Governing Body Members which every member is required to sign on an annual basis.
- 3.2 Each GBM must accept and share collective responsibility for the decisions properly taken by the Governing Body. Each GBM is expected to contribute actively and constructively to the work of THA. All members are equally responsible in law for the decisions made.
- 3.3 Each member must always act only in the best interests of THA and its customers, and not on behalf of any interest group, constituency or other organisation. GBMs cannot act in a personal capacity to benefit themselves or someone they know.

### **4. Main Tasks**

- To contribute to formulating and regularly reviewing THA's values, strategic aims and performance standards
- To monitor THA's performance
- To ensure that THA operates within and is compliant with the relevant legal and regulatory frameworks
- To ensure that risks are realistically assessed and appropriately monitored and managed
- To ensure that THA is adequately resourced to achieve its objectives and meet its obligations
- To act, along with the other members of the governing body, as the employer of THA's Staff

### **5. Duties**

- Act at all times in the best interests of THA
- Accept collective responsibility for decisions, policies and strategies
- Attend and be well prepared for meetings of the governing body (Management Committee) and Sub-Committees
- Contribute effectively to discussions and decision making
- Take part in training and other learning opportunities

- Take part in an annual review of the effectiveness of THA's governance and of your individual contribution to THA's governance
- Maintain and develop your personal knowledge of relevant issues and the wider housing sector
- Represent THA positively and effectively at all times, when attending meetings and other events
- Respect and maintain confidentiality of information
- Treat colleagues with respect and foster effective working relationships within the governing body and between the governing body and Staff
- Be aware of and comply with our policy on the restrictions on payments and benefits
- Register any relevant interests as soon as they arise and comply with THA's policy on managing conflicts of interest.

## **6. Commitment**

6.1 An estimate of the annual time commitment that is expected from GBMs is:

Activity	Time (hrs)
Attendance at up to 11 regular meetings of the Governing Body	<b>22</b>
Reading and preparation for meetings of the governing body	<b>22</b>
Attendance at up to 4 Sub-Committee (Audit & Business) meetings	<b>8</b>
Attendance at up to 5 Sub-Committee (Operations) meetings	<b>10</b>
Reading and preparation for Committee (Audit and Operations) meetings	<b>18</b>
Attendance at annual planning and review events (including individual review meeting)	<b>7</b>
Attendance at events such as estate tours, tenant / customer conferences, openings and site visits	<b>7</b>
Attendance at internal briefing and training events	<b>10</b>
External Training and conference attendance (may include overnight stay or weekend)	<b>14</b>
<b>Total</b>	<b>118</b>

## **7. What THA Offers GBMs**

- 7.1 All GBMs are volunteers and receive no payment for their contribution. THA has policies which prevent you or someone close to you from benefiting personally from your involvement with THA, although these policies also seek to ensure that you are not unfairly disadvantaged by your involvement with THA. All out of pocket expenses associated with your role as a GBM are fully met and promptly reimbursed.
- 7.2 In return for your commitment, THA offers:
- A welcome and introduction when you first join the governing body;
  - A mentor from the governing body and a named Staff contact for the first six months, with ongoing support
  - Clear guidance, information and advice on your responsibilities and on THA's work
  - Formal induction training to assist settling in
  - Papers which are clearly written and presented, and circulated in advance of meetings
  - The opportunity to put your experience, skills and knowledge to constructive use
  - The opportunity to develop your own knowledge, experience and personal skills
  - The chance to network with others with shared commitment and ideals

## **8. Review**

This role description was approved by the Governing Body on 28<sup>th</sup> June 2021. It will form the basis of the annual review of the effectiveness of your contribution to our governance. It will be reviewed by the Governing Body not later than June 2024.

## **Role Description for Chair of Tollcross Housing Association (THA)**

### **1. Introduction**

- 1.1 This role description sets out the particular duties and responsibilities that attach to the Chair of THA [and to the Chairs of THA's Sub-Committees]. The responsibilities described here are additional to those set out in the Governing Body Members' (GBM) role description. It should be considered alongside THA's Rules and Standing Orders.
- 1.2 This role description will be used to support the annual review of the Governing Body's effectiveness. It will be used to appoint the Chair after each AGM. GBMs who wish to be considered for this office will be invited to say how, if elected, they will carry out the duties that are set out here before the election takes place.
- 1.3 In the event that the Chair is unable to fulfil their responsibilities, the Vice Chair will carry out the duties of the Chair.
- 1.4 As set out in the Standing Orders, the Chair may not also serve as the Chair of a Sub-Committee and each Sub-Committee must elect a different Chair.
- 1.5 An overview of the Role of the Chair is outlined in Rule 59.6 of THA's Rules.
- 1.6 The Chair will be elected by the Governing Body each year at the first Governing Body meeting following the AGM. Whilst the Chair of THA can be re-elected, in accordance with Rule 59.11 of THA's Rules, they cannot serve a continuous term of more than five years. There is no expectation that the Chair must serve the full five year maximum term.

### **2. Key Responsibilities**

- 2.1 The Chair must act, and be seen to act, at all times on behalf of the Governing Body. The Chair's key responsibilities are:
  - To lead the Governing Body constructively, provide direction and manage meetings effectively
  - To develop and maintain a constructive and positive working relationship with the Chair and Chief Executive and senior Staff
  - To uphold THA's Code of Conduct and promote good governance
  - To ensure that THA's business is conducted effectively between meetings and that emergency decisions are taken appropriately when required

### **3. Leadership and Direction**

- 3.1 The Chair is expected to:

- Represent THA positively and effectively
- Set the style and tone of Governing Body meetings to ensure effective and participative decision making
- Promote and uphold the Code of Conduct for THA's Governing Body
- Ensure that the necessary arrangements are in place to enable THA to honour its obligations, achieve its objectives and meet agreed targets
- Demonstrate and support the principles of good governance at all times
- Ensure that the Governing Body has access to the range of skills, knowledge and experience necessary for the achievement of THA's aims and objectives and for the fulfilment of the Governing Body's responsibilities
- Ensure that the Governing Body has access to the necessary advice, information, and support to fulfil its responsibilities and that, where appropriate, external and/or specialist advice is sought
- Provide support to new and experienced Governing Body Members by promoting access to relevant induction, training, and development opportunities

#### **4. Working with the Chief Executive**

##### **4.1 The Chair should:**

- Establish a constructive relationship with the Chief Executive and ensure that their respective roles of leading and managing are recognised and promoted effectively. Committee (Sub-Committee) Chairs should establish similar relationships with the relevant senior Staff Member.
- Ensure that the conduct of THA's business continues effectively between meetings of the Governing Body and act under delegated or emergency authority when necessary
- In the event of a vacancy, ensure that effective arrangements are implemented for the recruitment and appointment of a Chief Executive, in accordance with THA's agreed recruitment practices
- Carry out, with at least one other Governing Body member, the Chief Executive's annual appraisal and report to the Governing Body
- Ensure that appropriate arrangements are in place and implemented effectively for the support and remuneration of the Chief Executive

- In the event that it is necessary, be responsible for dealing with a grievance or disciplinary action in respect of the Chief Executive, in accordance with THA's agreed procedures

## **5. Promoting Good Governance**

### **5.1 The Chair is required to:**

- Promote and demonstrate the highest standards of ethical conduct and integrity
- Initiate any investigation under the terms of THA's Code of Conduct
- Chair all general meetings of THA in accordance with the Rules
- Chair all Governing Body meetings of THA, in accordance with the Rules and Standing Orders
- Ensure that all Governing Body members have access to appropriate information and have an opportunity to contribute to discussion and consideration of all matters requiring their attention
- Manage meetings effectively to ensure that there is sufficient time for the consideration of all relevant issues; for performance to be monitored effectively and for risk to be assessed realistically
- Ensure that all delegated authorities are monitored and reporting arrangements are implemented effectively

## **6. Conduct of Housing Association's Business**

### **6.1 The Chair is expected to:**

- Ensure that THA's business is efficiently and accountably conducted between Governing Body meetings
- Sign documents requiring the Governing Body or the Chair's authorisation, in accordance with THA's standing orders
- Take decisions on behalf of the organisation in the event of emergencies that occur outside the regular meeting cycle and report these back to the Governing Body for ratification
- Ensure that the skills, knowledge and support available to the Governing Body are kept under periodic review.

## **7. Monitoring and Review**

### **7.1 This role description was approved by the Committee 28<sup>th</sup> June 2021. It will be reviewed not later than June 2024.**



## **Role Description for Vice Chair of Tollcross Housing Association (THA)**

### **1. Introduction**

- 1.1 This role description sets out the particular duties and responsibilities that attach to the Vice Chair of THA. The responsibilities described here are additional to those set out in the Governing Body Members' (GBM) role description. It should also be considered alongside:
- the Role Description for the Chair of THA;
  - THA's Rules; and
  - THA's Standing Orders.
- 1.2 In the event that the Chair of THA is unable to fulfil their responsibilities, the Vice Chair will carry out these duties.
- 1.3 The position of Vice Chair will be elected by the Governing Body, every year at the first meeting following the AGM.
- 1.4 In accordance with Rule 59.11 of THA's Rules, the Chair cannot serve a continuous term of more than five years. There is no expectation that the Chair must serve the full five year maximum term.
- 1.5 When the Chair stands down, the Vice Chair in post will have the same opportunity as the full members of the Governing Body to stand for election to become Chair. Please note there is no guarantee that a vice-chair will automatically be elected as the Chair.
- 1.6 The role of Vice Chair must be carried out by a Governing Body member.

### **2. Role of Vice Chair**

- 2.1 The role of the Vice Chair is to deputise, support and (where required) stand in for the Chair of THA. Therefore, this role description must be read in conjunction with the Role Description for the Chair of THA.
- 2.2 When known in advance, the Vice Chair should ensure that they are available for any Governing Body meeting that the Chair is unable to attend – e.g., where the Chair has booked a holiday. Close liaison with the Chair is a key requirement of the role.
- 2.3 The individual holding the post of Vice Chair will gain training and insight as to whether they would like to consider performing the role of Chair in the future.

### **3. Monitoring and Review**

- 3.1 This role description was approved by the Committee 28<sup>th</sup> June 2021. It will be reviewed not later than June 2024.

## **Role Description for Secretary of Tollcross Housing Association (THA)**

### **1. Introduction**

- 1.1 This role description sets out the particular duties and responsibilities that attach to the Secretary of THA. The responsibilities described here are additional to those set out in the Governing Body Members' (GBM) role description. It should also be considered alongside THA's Rules and Standing Orders.
- 1.2 The role of the Secretary will be carried out by a Governing Body Member of THA who will be elected by the Governing Body, every year at the first meeting following the AGM.
- 1.3 Where appropriate, the Secretary's duties can be delegated to an appropriate employee of THA, with the Secretary assuming responsibility for ensuring that they are carried out in an effective manner. All of the practical duties detailed at 2.1 – with the exception of attendance at meetings - will be delegated to the Chief Executive.

### **2. Duties of the Secretary**

- 2.1 THA's Rules specify the Role of the Secretary in detail. All references to the Secretary within THA's Rules are provided as Annex 1
- 2.2 The duties of the secretary include:
  - Calling and going to all Annual General Meetings, Special General Meetings and Governing Body meetings
  - Keeping the minutes for all Annual General Meetings, Special General Meetings and Governing Body meetings
  - Sending out letters, notices calling meetings and relevant documents to Members before a meeting
  - Preparing and sending all the necessary reports to the Financial Conduct Authority and the Scottish Housing Regulator
  - Ensuring compliance with THA's Rules
  - Keeping the Register of Members and other Registers required by THA's Rules
  - Supervision of the THA's seal

### **3. Monitoring and Review**

- 3.1 This role description was approved by the Committee on 28<sup>th</sup> June 2021. It will be reviewed not later than June 2024.

## **References to Secretary within Tollcross Housing Association's Rules**

### **Rules Relating to Correspondence with Members**

#### **Rule 10**

If you change your address, you must let the Association know by writing to the Secretary at the registered office within three months. This requirement does not apply if you are a tenant of the Association and have moved home by transferring your tenancy to another property owned and managed by the Association.

#### **Rule 11.1.1**

You resign your membership by giving the Secretary one month's notice in writing at the registered office; or

#### **Rule 11.1.4**

The Association receives a complaint about your behaviour and two-thirds of the Members voting at a special general meeting agree to end your membership. The following conditions apply to this procedure:

#### **Rule 11.1.4.2**

The Secretary must notify the Member of the complaint in writing not less than one calendar month before the meeting takes place;

### **Rules Relating to Representing an Organisation**

#### **Rule 12.2**

To confirm the identity of a representative, the organisation must send the Association a copy of the authorisation or appointment of an individual as a representative. This should be signed by a Director, Secretary or Authorised Signatory of the organisation which signature must be witnessed, or in the case of a local authority, by the Chief Executive, or properly authorised Officer of the local authority.

## **Rules Relating to Annual and Special General Meetings**

#### **Rule 22.1**

All general meetings other than annual general meetings are known as special general meetings. The Secretary will call a special general meeting if:

**22.1.1** The Committee requests one; or

**22.1.2** At least four Members request one in writing. If there are more than 40 Members, at least one tenth of all the Members must ask for the meeting.

### **Rule 21.2**

Whoever asks for the meeting must give the Secretary details of the business to be discussed at the meeting.

### **Rule 22.3**

If a special general meeting is requested, the Secretary must within 10 days of having received the request give all Members notice calling the meeting. The meeting must take place within 28 days of the Secretary receiving the Members' request. The Secretary should decide on a time, date and place for the meeting in consultation with the Committee or the Chairperson, but if such consultation is not practicable the Secretary can on his/her own decide the time, date and place for the meeting.

### **Rule 22.4**

If the Secretary fails to call the meeting within ten days, the Committee or the Members who requested the meeting can arrange the meeting themselves.

### **Rule 23.1**

The Secretary will call all general meetings by written notice posted or sent by fax or email to every Member at the address, fax number or email address given in the Register of Members at least 14 days before the date of the meeting. This notice will give details of:

- 23.1.1** the time, date and place of the meeting;
- 23.1.2** if the meeting is to be held by means of electronic facility or facilities, the notice shall: include a statement to that effect; specify the means, or all different means, of attendance and participation at the meeting; and state how it is proposed that persons attending or participating in the meeting electronically should communicate with each other during the meeting;
- 23.1.3** whether the meeting is an annual or special general meeting;
- 23.1.4** the business for which the meeting is being called.

### **Rule 27.6**

If there is to be an election of Committee Members at an Annual General Meeting, you can vote by post. Not less than 14 days before a meeting is held at which one or more Committee Members will be elected, you will receive a ballot paper for the election. You can vote in the election by returning the ballot paper to the Secretary at least 5 days before the day of the meeting, or by bringing your ballot paper along to the meeting.

## **Rules Relating to Committee Meetings and Special Committee Meetings**

### **Rule 50**

Committee Members must be sent written notice of Committee meetings posted, or delivered, by hand or sent by fax or email to the last such address for such communications given to the Secretary at least seven days before the date of the meeting. The accidental failure to give notice to a Committee Member or the failure of the Committee Member to receive such notice shall not invalidate the proceeding of the relevant meeting.

### **Rule 56.1**

The Chairperson or two Committee Members can request a special meeting of the Committee by writing to the Secretary with details of the business to be discussed. The Secretary will send a copy of the request to all Committee Members within three working days of receiving it. The meeting will take place at a place mutually convenient for the majority of Committee Members, normally the usual place where Committee Meetings are held, between 10 and 14 days after the Secretary receives the request.

### **Rule 56.3**

If the Secretary does not call the special meeting as set out above, the Chairperson or the Committee Members who request the meeting can call the meeting. In this case, they must write to all Committee Members at least seven days before the date of the meeting.

## **Rules Relating to the Role of the Secretary**

### **Rule 59.1**

The Association must have a Secretary, a Chairperson and any other Office Bearers the Committee considers necessary. The Office Bearers, except for the Secretary, must be elected Committee Members or Committee Members appointed to fill casual vacancies in accordance with Rule 41 but cannot be co-optees. An employee may hold the office of Secretary although not be a Committee Member. The Committee will appoint these Office Bearers. If the Secretary cannot carry out his/her duties, the Committee, or in an emergency the Chairperson, can ask another Office Bearer or employee to carry out the Secretary's duties until the Secretary returns.

### **Rule 59.2**

The Secretary and the other Office Bearers will be controlled, supervised and instructed by the Committee.

### **Rule 59.3**

The Secretary's duties include the following (these duties can be delegated to an appropriate employee with the Secretary assuming responsibility for ensuring that they are carried out in an effective manner):

- 59.3.1** calling and going to all meetings of the Association and all the Committee Meetings;
- 59.3.2** keeping the minutes for all meetings of the Association and Committee;
- 59.3.3** sending out letters, notices calling meetings and relevant documents to Members before a meeting;
- 59.3.4** preparing and sending all the necessary reports to the Financial Conduct Authority and The Scottish Housing Regulator;
- 59.3.5** ensuring compliance with these Rules;
- 59.3.6** keeping the Register of Members and other registers required under these Rules; and
- 59.3.7** supervision of the Association's seal.

### **Rule 59.4**

The Secretary must produce or give up all the Association's books, registers, documents and property whenever requested by a resolution of the Committee, or of a general meeting.

### **Rule 59.10**

The Chairperson can resign his/her office in writing to the Secretary and must resign if s/he leaves the Committee or is prevented from standing, for or being elected to the Committee under Rule 43. The Committee will then elect another Committee Member as Chairperson.

### **Rule 63**

The Association shall execute deeds and documents in accordance with the provisions of the Requirements of Writing (Scotland) Act 1995 and record the execution in the register. The use of a common seal is not required. The Association may have a seal which the Secretary must keep in a secure place unless the Committee decides that someone else should look after it. The seal must only be used if the Committee decides this. When the seal is used, the deed or document must be signed by the Secretary or a Member of the Committee or another person duly authorised to subscribe the deed or document on the Association's behalf and recorded in the register.

## **Rule 68**

At the last Committee meeting before the annual general meeting, the Secretary must confirm in writing to the Committee that Rules 62 to 67 have been followed or, if they have not been followed, the reasons for this. The Secretary's confirmation or report must be recorded in the minutes of the Committee meeting.

## **Rule 75.1**

Every year, within the time allowed by the law, the Secretary shall send to the Financial Conduct Authority the annual return in the form required by the Financial Conduct Authority.

## **Rule 75.2**

The Secretary must also send to the Financial Conduct Authority:

**75.2.1** a copy of the auditor's report on the Association's accounts for the period covered by the return; and

**75.2.2** a copy of each balance sheet made during that period and of the auditor's report on that balance sheet.

## **Rule 85**

The Secretary shall, on demand, provide a copy of the Rules of the Association free of charge to any Member who has not previously been given a copy and, upon payment of such fee as the Association may require, not exceeding the amount specified by law, to any other person.

## **Appendix 4**

### **Competency Framework**

#### **Staff**



## **Section 1 - Introduction**

Tollcross Housing Association's Staff Competency Framework has been developed to support the organisation achieve its ambitions to provide excellent customer service and continually improve the services that we provide.

The framework is focused on attitudinal and behavioural competencies, rather than those that look at technical skills. This is because we traditionally have been able to address technical gaps in knowledge through established training and development activities. Behavioural and attitudinal development however is also a crucial aspect of the work of our Staff team in delivering our wide range of services to our customers.

This framework applies to the majority of the Association's Staff team.

Answers to some of the questions that you may have about the framework are provided below.

### **What is a competency framework?**

Our competency framework is a method of describing the underpinning values that shape and define the culture of the Association. They also provide a clear focus to support the development of our team members in order to deliver the best possible services.

The competencies are focused on ensuring we have the capacity to deliver the strategic objectives of the Association and make Tollcross a highly effective organisation that deliver excellent services.

There are seven competency areas within the framework:

1. Organisational Awareness
2. Communicating Effectively
3. Effective Team Working
4. Developing Yourself
5. Delivering Customer Excellence
6. Planning, Organising, and Achieving Success
7. Demonstrating Professional Values

Further information is provided below on each of these – this includes a general description of the competency and a list of attitudes and behaviours that would indicate competence in the relevant area. The list is not exhaustive but is designed to give a flavour of the approach encouraged in all team members that the framework applies to. There are also statements at the end of each competency that indicate the sort of behaviour that is actively discouraged, as it works against the principles of excellence and continual improvement that we are striving for.

### **Why do we need a competency framework?**

The competency framework serves several purposes, which together enable Tollcross Housing Association to improve and develop our Staff team and services.

The framework:

1. Informs prospective recruits on what is expected of them
2. Informs colleagues of the sort of attitudes and behaviours the organisation encourages when team members are carrying out their duties
3. Informs team members of what they can expect from their managers
4. Shapes and defines a culture based around principles of customer service, integrity, respect and excellence
5. Supports team members at all levels in their development in order to maximise their potential

The competencies in the framework are also linked to our strategic objectives. Given this, they are crucial to our success in achieving excellence in everything we do.

### **How will they be used?**

Initially all Staff Members will receive information about the framework, and they will then be encouraged to informally assess themselves against the competencies with a view to developing their skills in the relevant areas.

The framework will be reviewed and revised to ensure it continues to reflect the needs of Tollcross Housing Association's Staff team.

## Section 2 – Tollcross Housing Association Key Competencies

### 1. Organisational Awareness

**Understands the broader picture, aware of the direction the Association wishes to take and supportive of our strategic priorities.**

#### **A Tollcross Housing Association Employee:**

Actively seeks out information concerning the Association.

Is aware of the strategic priorities and goals of the organisation.

Understands the importance of their role within the organisation and how it can impact on the overall performance.

Actively supports the organisation's commitment to excellence.

Offers suggestions where they see improvements can be made in any areas of the Association's performance.

Promotes the values of the organisation, both internally and externally.

#### **A Tollcross Housing Association Employee does not:**

Display a silo mentality, refusing to work with other teams and departments and/or taking no interest in other areas of the organisation.

Exhibit a cynical attitude towards the Association's priorities and objectives.

### 2. Communicating Effectively

**Communicates appropriately, openly and effectively with colleagues and customers.**

#### **A Tollcross Housing Association Employee:**

Adapts content and style to meet the needs of others.

Makes sure information is passed to those requiring it.

Uses appropriate language, gestures and tone when communicating with everyone.

Checks others have understood and seeks advice when necessary.

Actively seeks to improve all forms of communication with others.

Communicates professionally by using formal channels appropriate to the situation.

**A Tollcross Housing Association Employee does not:**

Use inappropriate and unacceptable methods of communication that contribute to unsubstantiated rumours, comments, and opinions.

Use jargon or language to impress rather than help understanding.

### **3. Effective Team Working**

**Works positively with all colleagues both inside and outside the team. Looks beyond the boundaries of own job to support others, sharing knowledge and contributing to a positive team spirit.**

**A Tollcross Housing Association Employee:**

Reacts constructively to others' suggestions and requests.

Values the contributions and views of other colleagues and encourages their involvement in the team.

Asks for help when necessary.

Actively seeks to help others.

Is aware of the impact of own behaviour on others.

Contributes positively to the team spirit.

**A Tollcross Housing Association Employee does not:**

Ignore the benefits of working as part of a team.

Alienate or be dismissive of team colleagues.

## 4. Developing Yourself

**Demonstrates a positive attitude to change and contributes to new ideas and improved ways of working. Looks to continually improve self and service.**

### **A Tollcross Housing Association Employee:**

Is prepared to try new things and provide feedback on these.

Understands that changes are needed if things are to be improved.

Finds new and creative ways of doing things better.

Actively seeks to develop own skills and knowledge.

Learns from mistakes and welcomes constructive feedback.

Stays up-to-date with developments that affect their role and the organisation.

### **A Tollcross Housing Association Employee does not:**

Fail to see the need to continually improve.

Create barriers to change and improvement.

## 5. Delivering Customer Excellence

**Maintains a professional approach and presents a positive image to internal and external people when representing self, service and the Association. Makes every effort to ensure the experience customers have of the Association is positive and productive.**

### **A Tollcross Housing Association Employee:**

Recognises the importance of high standards of customer service.

Is committed to providing an excellent service to all our customers in line with our customer service standards.

Understands the links between own professionalism and the possible impact on the Association's image.

Has a professional attitude that sets an example to colleagues.

Takes pride in own work and that of colleagues.

Is respectful, courteous and helpful at all times.

Is committed to improving the service provided.

Sees providing great customer service as being at the heart of their work.

**A Tollcross Housing Association Employee does not:**

Criticise the Association or colleagues to others.

Fail to keep customers updated on issues that affect them.

## **6. Planning, Organising and Achieving Success**

<b>Takes a logical approach to work, prioritising tasks effectively, and consistently meets deadlines in order to provide an excellent service.</b>
---

**A Tollcross Housing Association Employee:**

Where possible, plans ahead and organises work in advance.

Involves others in setting and meeting targets.

Reorganises work when necessary.

Accomplishes tasks to the highest standard possible.

Seeks help if workload becomes unmanageable.

Uses initiative to report issues that arise that impact on others.

Is flexible in order to meet demands.

**A Tollcross Housing Association Employee does not:**

Fail to consider the most effective method of getting the job done.

Create barriers that hinder success.

## 7. Demonstrating Professional Values

**Acts professionally at all times and demonstrates honesty, integrity and respect.**

### **A Tollcross Housing Association Employee:**

Values diversity and promotes equality, challenging unfair or unethical behaviour.

Can be relied upon to do the right thing and to help others.

Will be open and honest in all their dealings with customers and colleagues.

Acts as an ambassador for the organisation.

Takes responsibility for their own actions.

Respects customers, colleagues, and anyone else who they come in contact with during the working day.

Strives for excellence in all that they do.

### **A Tollcross Housing Association Employee does not:**

Bring the organisation into disrepute through their behaviour or actions.

Withhold information concerning his or herself, family, or friends that may impact on decisions made by the organisation.

## **Succession Planning Policy Flow Chart**

### **Scoring**

<b>Is post critical to Strategic Plan?</b>		
Yes – Score 3	Key but not critical – Score 2	No – Score 1

<b>Likelihood of vacancy in next 12 months</b>		
Very likely – Score 3	Likely within 3 years – Score 2	Unlikely – Score 1

<b>Do the skills and experience required to fulfil the role exist in the market place if a vacancy does occur?</b>		
Very unlikely – Score 3	Available only in housing – Score 2	Available in THA or wider movement – Score 1

### **Overall Scoring**

#### **Scoring 7 to 9 Points**

- **Immediate Action**
- **Complete Full Assessment (appendix 1)**

#### **Scoring 4 to 6 Points**

**Monitor situation**  
**Complete sections 1, 2, 3 & 5**

#### **Scoring 1 to 3 Points**

**No action required**  
**Assessment form not required**



