



## Planned Maintenance Policy

Approved at Management Committee March 2021  
Next review due October 2023

<p><b>Policy Document</b></p> <p><b>PLANNED MAINTENANCE</b></p>
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**Policy Document  
PLANNED MAINTENANCE**

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**Ratified by Management Committee 11/03/2021**

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**Related Documents**

- Standard Maintenance Policy
- Gas Maintenance Policy
- Asset Management Policy
- Procurement Policy 2019

**1. INTRODUCTION**

This policy describes our arrangements for ensuring that properties owned and factored by the Association are well maintained and kept in good and safe repair, both for the benefit of existing tenants and other service users to maximise the long-term life of each property.

**Repairs:** We provide an efficient and effective responsive repairs service to our tenants.

**Stock management:** We follow sound stock management strategies to ensure our houses are in demand, maintained, modernised and adapted as people's needs change.

**Lifetime maintenance:** We know the condition of our houses and have costed plans for their lifetime maintenance and improvement. We can demonstrate that resources will be available for future planned work, taking account of the financial frameworks in which we operate. We survey the internal condition of our properties on a continual rolling basis. **The Association last commissioned** an independent stock condition survey in 2017/18 to look at the external envelope of the properties, close stairs and common areas. We are delivering maintenance programmes efficiently and effectively.

**Adaptations:** We are responsive to the particular needs of applicants and the changing needs of existing tenants. We will adapt our properties, through referrals from social work and funding from the City Council, to efficiently meet need. We hold good records on the adapted houses we own.

**Policies and procedures:** We have high-quality written policies and procedures to guide our actions.

**Resource management:** We make the best use of our people and our physical resources to achieve value for money, continuous improvement and to deliver high quality services.

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**Procurement:** We have a systematic and accountable approach to finding the most cost-effective way of securing the quality of assets and services we need.

In developing this policy we took cognisance of, and comply with, current procurement reform legislation, regulation and regulatory assurance

### **Regulatory Assurance associated with this Policy**

- |            |   |
|------------|---|
| Standard 1 | The Governing body leads and directs the RSL to achieve good outcomes for tenants and other service users.  |
| Standard 2 | The RSL is open and accountable for what it does. It understands and takes account of the needs and priorities of tenants, service users and stakeholders. Its primary focus is the sustainable achievements of these priorities. |
| Standard 3 | The RSL manages its resources to ensure its financial wellbeing and economic effectiveness.   |
| Standard 4 | The Governing Body bases its decisions on good quality information and advice and identifies and mitigates risks to the organization's purpose.   |
| Standard 5 | The RSL conducts its affairs with honesty and integrity.  |
| Standard 6 | The Governing body and senior officers have the skills, experience, knowledge and training to successfully lead and manage the organization.  |

In implementing this policy our objectives are to:

- ◆ Ensure that policies comply at all times with all current legal responsibilities and codes of good practice.
- ◆ Provide prompt, economic and efficient planned maintenance service.
- ◆ Achieve a high standard of customer care and satisfaction by monitoring our contractors' performance regularly and enabling tenants to comment on repairs undertaken.
- ◆ Establish and maintain a comprehensive and systematic programme of cyclical painting, gutter cleaning, planned maintenance, major repairs and property improvements.
- ◆ Provide a value for money service by seeking competitive quotes or tenders for all contract work.
- ◆ Provide opportunities for tenants to be involved through providing options for consideration where possible. Ensure that all internal

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procedures supporting this policy are clear, comprehensive and available to all staff, to ensure a consistent approach to managing, implementing and budgeting for all aspects of our planned repair and maintenance service.

## **2. AUTHORITY AND CONTROL**

- The Association's Management Committee approves the overall budget for repairs, maintenance and improvements as part of the annual budget setting process.
- The Management Committee reviews contractors' performance through the Services Sub-Committee and staff reports.
- Responsibility for setting the policy for planned maintenance is delegated by the Management Committee to the Services Sub-Committee.
- The Services Sub-Committee monitors expenditure against budget for all types of planned maintenance.
- The implementation of policy together with the management and administration of the repairs and maintenance service are delegated to the Director of Property Services.

## **AUTHORISATION OF EXPENDITURE**

- Authorisation of expenditure on individual repair or maintenance items within overall annual budgets is delegated to individual members of staff. The current levels of delegated authority are detailed in Appendix 1 of policy. These levels will be reviewed regularly, particularly in light of the impact of inflation on cost levels.

## **ESTIMATES, QUOTATIONS AND TENDERS**

- The cost levels per item of work above which an estimate, quotation or tender must be obtained are detailed in Appendix 1a. These levels will be reviewed regularly, both to take account of inflation and also to take into account the results of any review of our policy and procedures on placing orders for goods and services.

## **3. PLANNED PROGRAMMES OF WORK**

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The main objective of the planned maintenance strategy is to carry out an efficient programme of works in order to prolong the useful life of the Association's buildings and provide a comfortable living environment for tenants and other service users. In order to ensure compliance with the planned maintenance strategy the Association will maximise expenditure on planned maintenance.

There are three categories of planned maintenance works:

- Major repairs;
- Capital repairs; and
- Cyclical repairs.

### **3.1 Major and Capital Repairs**

Major and capital repairs are the works required to deal with the replacement or renewal of major building components required because of ageing, defects in design or defects in construction or materials. Works which are capital are accounted separately from major works to take account of depreciation.

Major and capital repairs can be split into two types:

- Predictable; renewal of worn out building components which reach the end of their useful life; and
- Unpredictable repairs that can include building failures arising from defects, external conditions or abuse.

Appendix 2A shows a list of major and capital repair types.

Major and capital repairs are usually carried out as part of a planned maintenance programme.

Examples of Major repairs: List not exhaustive

- Works requiring scaffolding;
- Significant roof works;
- Renewal of rainwater and sewage discharge pipes; and
- Stone-works.

Example of Capital Works: List not exhaustive

- New kitchens
- New bathrooms;

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- New central heating systems
- New boilers.

### **3.2 Cyclical Maintenance**

Cyclical maintenance programmes deal with the gradual deterioration of building components and finishes. It includes cyclical inspection at planned intervals of building components and maintenance works arising from these inspections including pre-painting repairs and paintwork. Cyclical maintenance is carried out as a preventative or protective measure.

When developing a cyclical maintenance programme, the performance of components as well as sources such as reactive repairs reports which show patterns of premature component failure will be taken into account.

When setting and or reviewing the cyclical maintenance works the following issues will be considered:

- identifying appropriate cycles and programmes;
- developing a detailed costed programme of works on a rolling cycle of 5 years;
- the importance of ensuring the programme is running to time;
- ensuring that the governing body receive regular reports on cyclical works; and
- Life-cycle costing for resourcing works.

Appendix 2B consists of the Association's cyclical maintenance work indicative frequency.

The Association will ensure there is a firm forward maintenance plan covering 5 years in place which includes both timescales and funding strategies.

## **4. Costed Plans for Lifetime Maintenance and Improvement**

The first step in committing funding to repairs and maintenance is drawing up a budget. In order to achieve this step the association will have in

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place a Life Cycle Costing document which will project the cost of future repairs due to ageing of the properties.

#### **4.1 The principles of the Association's Life Cycle Costing**

The Association's 30 year Life Cycle Costing will include:

- A stock profile;
- Planned maintenance/replacement programme on a scheme by scheme basis;
- Estimates of anticipated costs including costs for consultants;
- Summary of estimated expenditure over 30 year period.
- Review date – annual
- Financial Profile for submission to finance department for integration into the overall financial budget.

### **5. Tendering and Public Contracts Scotland Quick Quote Procedures**

Quick quotes will be sought for works in excess of £12,000\* and on or under £50,000 (see appendix 1). \*amended October 2019 cost excluding VAT

Tenders will be sought for works over £50,000.

When tenders or quick quotes are sought the documentation issued to the tenderer or submitter of quick quotes will include:

- letter of invitation;
- instructions;
- a full description of the works (project brief);
- contractor's brief;
- principles of assessment;
- the conditions of contract which will apply;
- the period in which works are to be completed;
- the title of the supervising officer for the works;
- any arrangements for the prior inspection of the work by the service providers;
- insurance requirements;
- conditions of payment; and
- details of the appropriate procedure to follow the submission of tenders or quick quotes.

Letter of invitation

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- name of contract for clarification;
- list of documents;
- number of service providers bidding;
- information on how results will be made known; and
- offer of a debriefing if unsuccessful.

Instruction to tenderer or submitter of quick quote:

- date and time of submission; and
- date of possible interview, if applicable.
- Project Brief:
  - details of project objectives.

Contract Brief:

- clear description of standard specification and products list as well as services required; and
- roles and responsibilities of all parties to contract.

Principles of Assessment:

- outlines the principles to be used in assessment of the responses giving the order of priority attached to selection by value if applicable.

The Conditions of Contract:

- the conditions on which the contract is to be let must be stated.

Contract Period:

- period in which contract is to be completed will be specified in document.

### **6.1 Tender or quick quote opening and selection**

- Service provider submissions under £12k will be opened by the maintenance officer/manager and one senior staff member.
- Service provider submissions over £12k will be opened by the maintenance officer/manager, one senior staff member and two committee members;

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- Where submissions are submitted via the Procurement Scotland Portal, the portal will be accessed by the Property Services Officer/Manager in the presence of a senior staff member and two committee members.
- Submissions either in writing or via the Portal will be opened in the Association Registered Office.
- Submissions will be opened and read by committee members who will advise staff of the submitted sum for entry in the tender register;
- Maintenance Manager/Maintenance Officer will check submissions for accuracy and verify detail;
- Where lowest submission is unacceptable, for example, because another service provider scores better on quality the maintenance Manager/Officer will prepare a report for management committee; and
- Where a submission is acceptable the maintenance Officer/Manager will advise the service provider and progress the contract and a report will be prepared for management committee for information.

## **7 Decoration Allowance**

- When carrying out any major or capital works the association will pay to tenants a decoration allowance of £100 per room for any disruption to decoration within the tenant's property:
- If removing the living-room feature fire an allowance of £150 will be paid by the Association.

## **8. On Major or Capital Projects the Association will**

- 8.1 When renewing kitchens re-paint walls in emulsion paint in a colour chosen by tenants and paint ceilings with white emulsion paint.
- 8.2 During any other major or capital works that might require tenants to redecorate and, as above, pay an allowance of £100. – Remove as duplicated in 7 above.
- 8.3 There will be no financial compensation for inconvenience or disruption.
- 8.4 All major and capital projects will include a pre-start meeting to confirm the scope of works;

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- 8.5 Daily inspections noting conformance with materials specified and methodology stated; and
- 8.6 Recording of the above, and progress, and any variances agreed.

## **9 COMPENSATION FOR IMPROVEMENTS INSTALLED BY TENANTS**

### **The Scottish Secure Tenants (Compensation for improvements) Regulations 2002.**

Compensation for improvements will be paid to tenants as per the above document which states:

#### **Qualifying improvement work**

Improvement work is prescribed qualifying improvement work if it consists of the installation or replacement of the items shown in appendix 3.

#### **Circumstances where compensation is not payable in respect of qualifying improvement work:**

- a) Where the compensation which would otherwise be payable is less than £100 being the prescribed amount for the purposes of the Act.
- b) Where the tenancy ends in one or more of the following circumstances for the purposes of the Act:
  - i) an order for recovery of possession was made on any of the grounds specified in Part 1 of Schedule 2 to the Act.
  - ii) the house was disposed of under section 14 of the 1987 Act
  - iii) the house was disposed of under section 65 of the 2001 Act
  - iv) the qualifying person has been granted a new tenancy, whether alone or jointly, of the same, or substantially the same, house by the same landlord.

#### **Amount of compensation**

- 1. [Subject to paragraphs (2 – 4)] The amount of compensation payable for qualifying improvement work shall be calculated in accordance with the formula:

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C x 1 -  $\frac{Y}{N}$  C - Cost of improvement work from which shall be deducted the amount of any grant made  
N – Notional life of the improvement  
Y – the number of years starting on the date on which the improvement was completed and ending on the date on which the tenancy ends (part of a year will be counted as a year).

2. Where:

- a. the cost of the improvement work was excessive.
  - b. the improvement effected by the work has deteriorated at a rate greater than that provided for in the notional life for that improvement.
  - c. the improvement effected by the work is of a higher quality than it would have been had the landlord effected it, the landlord may deduct from the amount of compensation calculated in accordance with paragraph (1) such sum as is reasonable in order to take into account the appropriate paragraph.
3. Where the improvement has deteriorated at a rate lower than that provided for in the notional life for the improvement the Association may add to the amount of compensation calculated in paragraph 1.
4. Compensation shall not be payable to the extent that the amount of compensation would exceed £4,000 per improvement.

**Where no receipts are available for improvements:**

The tenant must provide a receipt for any approved alteration/improvement made as soon as the work is complete. This will be kept in the tenant's file in the event a claim is made for compensation. If a receipt is provided, compensation will be calculated using the formula provided.

In the event a receipt is not provided, the tenant must appoint an arbitrator to provide a formal report on the alteration/improvement made which must include the following:

- When installed
- Current market value
- Current condition
- Remaining lifespan

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An arbitrator must be a third party and have professional accreditation. For instance, a gas-safe registered engineer can provide a professional report on a gas combination boiler.

If the tenant is unable to procure services of an arbitrator, the Association will appoint one on behalf of the tenant on the understanding the payment for this will be deducted from any compensation that may be due to the tenant.

### **Claims for compensation**

- Claims for compensation shall contain sufficient information to enable the Association to calculate the amount of compensation payable.
- Claims shall be made in writing within the period starting 28 days before and ending 21 days after the tenancy comes to an end.
- The Association shall respond to the claim within 28 days of the date of the claim.
- Claims will be paid to tenant within 7 days of the end of tenancy after a final check has been carried out to the property.

### **Set off**

The association will set off against any compensation payable under these Regulations any sum owed by the tenant.

### **Disputes**

- Where a qualifying person is aggrieved by any decision of the Association concerning these regulations that person may within 28 days of receiving notification of the decision require it to be reviewed or reconsidered.
- Where a review or reconsideration is required the decision :
  - shall be reviewed by a valuer or surveyor, who took no part in making the decision, appointed for the purpose by the landlord
  - shall be reviewed by any of the landlord's members or committee members who took no part in making the decision
  - shall be reconsidered by all the landlord's members or committee members.

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- The tenant may make written representations to and accompanied by any representative of their choice to the persons undertaking the review.
- The tenant or the landlord may appeal to the sheriff against any decision taken on a review or reconsideration.

## **10. Risk**

### **10.1 Policy associated risks**

- Availability of appropriately skilled contractors;
- Procurement Legislation and Regulation;
- Contract Management and Design Regulations (CDM) 2015. Single trade contractors' being able to assume the role of Principle Contractor. If they can't we will lose the facility to have two single trade contractors on the same job;
- Changes in legislation and regulation. Staff not appropriately trained or skills sets individually updated;
- Imperative of contract monitoring for health and safety, quality management and value for money;
- Unforeseen major works;
- Carbon footprint; and
- Available finance.
- National pandemic affecting the progression of the works

## **APPENDIX 1**

1. Works below £1,000 will be instructed as necessary (Owners approval required, where appropriate, in common works).
2. Works between £1,000 and £12,000 will require three written quotes And these will be opened in the office by an Officer and Manager. These will be logged in the quotes register.
3. Works between £12,000 and £50,000 will be procured through Public Contracts Scotland's Quick Quote process: These will be opened in the Association's office in the presence of an Officer, Manager and two committee members. Details will be logged in the tender register.

Works in excess of £50,000 will go to tender through Public Contracts Scotland's tender process.

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These will be opened in the Association's office in the presence of an Officer, Manager and two committee members. Details will be logged in the tender register.

***Cost amounts in this section are exclusive of VAT***

### **Invoice Authorisation**

Invoice authorisation will be by signing the authorisation stamp field on the original invoice or by electronic confirmation from the appropriate staff member and attached to the invoice.

- Invoices up to and including £500 can be authorised by the Maintenance Officer, Factoring Officer, Maintenance Manager, Compliance Manager, Director of Property Services or Chief Executive.
- Invoices up to and including £1,000 can be authorised by the Property Services Manager, Director of Property Services, the Compliance Manager or Chief Executive;
- Invoices over £1,000 will be authorised by the Chief Executive, Director of Property Services or Compliance Manager;

***\*all costs for invoicing purposes are inclusive of VAT***

- To ensure business continuity; where appropriate, in the absence of the Chief Executive, Director of Property Services or Compliance Manager, one the Property Services Manager Manager, will authorise the invoice(s) by signing the invoice(s) and passing a copy to the Chief Executive, Director of Property Services or Compliance Manager to be countersigned and retained for audit purposes.

### **Invoice Processing**

- Once authorised, invoices will be processed through the computer system by the Property Services Assistants.
- Where necessary, invoices can also be processed by the Property Services Manager and the Property Services Officer.

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## **APPENDIX 2A**

### **MAJOR REPAIRS CLASSIFICATION**

- Replacement ceilings;
- Renewal of electrical distribution boards;
- Renewal of electrical accessories (complete house renewal);
- Replacement external close doors;
- Replacement clothes poles/rotary dryers;
- Renewal roughcast/brickwork;
- Outbreak of wet/dry rot;
- Outbreak of woodworm;
- Subsidence of building/walls not covered by insurance;
- Stone-works;

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- Significant roof repairs;
- Renewal of rainwater or sewage discharge pipes;
- Asbestos removal;
- Any work requiring scaffold; and
- Any unforeseen repair that could not have been planned.

List not exhaustive.

### **CAPITAL REPAIRS CLASSIFICATION**

- Replacement central heating;
- Boiler renewal;
- Replacement Radiators;
- Replacement kitchen units;
- Replacement kitchens;
- Replacement sanitary units;
- Replacement bathrooms; and
- Replacement gutters complete;
- Replacement windows; and
- Roof renewal.

List not exhaustive.

### **APPENDIX 2B**

#### **CYCLICAL MAINTENANCE WORK FREQUENCY**

Contract services (servicing of boilers, lifts, warden call systems, fire alarms, on-call systems)	Annually.
Smoke alarm maintenance	Annually.
Communal ventilation units	Annually.
Roof anchor maintenance	Annually.

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Landscaping	Annually.
Gutter cleaning	Annually but 6 monthly where an identified requirement.
Electrical installations	5 years.
Attic inspections	5 years.
Close painting	7 - 10 years dependent on inspection determination.
Window mastic renewal	7 years.
Structural inspections	10 years.

### APPENDIX 3

#### QUALIFYING IMPROVEMENT WORKS AND NOTIONAL LIFE

Improvement work is prescribed qualifying improvement work if it consists of the installation or replacement of the following items:

Item	Notional Life in years.
------	-------------------------

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Bath or shower	18
Cavity wall insulation	20
Sound insulation	20
Double glazing or other external window replacement or secondary glazing	20
Draft proofing of external doors or windows	8
Insulation of pipes, water tank or cylinder	10
Installation of mechanical ventilation in bathrooms and kitchens	7
Kitchen Sink	18
Loft insulation	20
Rewiring and the provision of power and lighting or other electrical fixtures including smoke detectors	20
Security measures other than burglar alarm systems	15
Space or water heating	15
Storage cupboards in bathroom or kitchen	10
Thermostatic radiator valves	7
Wash hand basin	18
Water closet	12
Work surfaces for food preparation	18

**Appendix 4.  
Equalities Impact Assessment**

<b><u>Yorkhill Housing Association - Equality Impact Assessment Tool</u></b>			
<b><u>Name of Policy/proposal to be assessed</u></b>	Planned Maintenance Policy	<b><u>Is this a new policy or a revision?</u></b>	Revision
<b><u>Person responsible for the assessment.</u></b>	Pauline Hollinsworth Director of Property Services		

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<b><u>Briefly describe the aims, objectives and purpose of the policy.</u></b>	Policy for Planned Maintenance on properties and common areas	
<b><u>Who is intended to benefit from the policy/proposal (e.g. applicants, staff, tenants, contractors).</u></b>	Tenants and owners will benefit from the policy as their homes and common environment are maintained in good condition.	
<b><u>What outcomes are wanted from this policy/proposal (e.g. the benefits to customers).</u></b>	The benefits is the continual improvement to properties and facilities.	
<b><u>Which protected characteristics could be affected by the proposal? (tick all that apply)</u></b>		
<input checked="" type="checkbox"/> <b><u>Age</u></b>	<input checked="" type="checkbox"/> <b><u>Disability</u></b>	
<input type="checkbox"/> <b><u>Marriage/Civil Partnership</u></b>	<input checked="" type="checkbox"/> <b><u>Pregnancy/Maternity</u></b>	
<input type="checkbox"/> <b><u>Race</u></b>	<input type="checkbox"/> <b><u>Religion or Belief</u></b>	
<input type="checkbox"/> <b><u>Gender</u></b>	<input type="checkbox"/> <b><u>Gender Reassignment</u></b>	
<input type="checkbox"/> <b><u>Sexual Orientation</u></b>		
<b><u>If the policy/proposal is not relevant to any of the protected characteristics listed above state why and end the process here.</u></b>		
The policy relates specifically to physical properties and the repairs required to ensure they meet a good standard. Any person's protected characteristic would not have any impact on the policy only on consultation and how he process is implemented.		
<b><u>Describe the likely positive or negative impact(s) the policy/proposal could have on the protected characteristics identified.</u></b>	<b><u>Positive impact</u></b>	<b><u>Negative impact</u></b>
	Improvements being made to benefit the customer	Customers ability to cope with disruption during works.
<b><u>What actions are required to address the impacts arising from this assessment? (This may include; collecting additional data, putting monitoring in place, specific actions to mitigate negative impacts).</u></b>	Monitoring and taking into account specific needs prior to works progressing in properties. Provision of Support during works.	

**Signed: Pauline Hollinsworth**

**Job Title: Director of Property Services**

**Date the Equality Impact and Diversity Impact Assessment was completed: 20/10/20**

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