

The Commissioner for Ethical Standards in Public Life in Scotland (the Commissioner) delegates to the under noted post-holders, the authority to exercise the following duties. In addition, the table highlights the key tasks underpinning the operation of the Commissioner's office.

| ITEM   | AUTHORISED SIGNATORY   |
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| <b>FINANCE</b>   |  |
| <b>Placing orders for goods and services</b>                       |  |
| <ul style="list-style-type: none"> <li>Up to £200</li> </ul>       | For purchasing stationery, toner cartridges, office equipment and travel arrangements.<br>To be authorised by one of the following: <ul style="list-style-type: none"> <li>Corporate Services Officers</li> <li>Investigations Paralegal</li> </ul>  |
| <ul style="list-style-type: none"> <li>Up to £3,499</li> </ul>     | To be authorised by one of the following: <ul style="list-style-type: none"> <li>Any member of the Senior Management Team</li> <li>Public Appointments Officer</li> <li>Business Officer</li> </ul>  |
| <ul style="list-style-type: none"> <li>£3,500 to £6,999</li> </ul> | To be authorised by the Head of Corporate Services and one of the following, or two of the following if the Head of Corporate Services is not available: <ul style="list-style-type: none"> <li>Any member of the Senior Management Team</li> <li>Public Appointments Officer</li> <li>Business Officer</li> </ul> |
| <ul style="list-style-type: none"> <li>£7,000 and over</li> </ul>  | To be authorised by the Head of Corporate Services and the Commissioner or one of the following and the Commissioner, if the Head of Corporate Services is not available: <ul style="list-style-type: none"> <li>Any member of the Senior Management Team</li> </ul>   |

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| <b>Authorising payment of invoices</b>                                       | <i>After invoice registered by the Business Team and initialled in the first instance by the team member who placed the order/contract confirming satisfactory receipt of goods/services.</i>  |
| <ul style="list-style-type: none"> <li>Up to and including £3,499</li> </ul> | One of the following other than the requester: <ul style="list-style-type: none"> <li>Any member of the Senior Management Team, except the Head of Corporate Services</li> <li>Public Appointments Officer</li> <li>Investigating Officers</li> </ul>  |
| <ul style="list-style-type: none"> <li>£3,500 to £6,999</li> </ul>           | Any two of the following other than the requester: <ul style="list-style-type: none"> <li>Any member of the Senior Management Team, except the Head of Corporate Services</li> <li>Public Appointments Officer</li> <li>Investigating Officers</li> </ul>  |
| <ul style="list-style-type: none"> <li>£7,000 and over</li> </ul>            | The Commissioner and any one of the following other than the requester: <ul style="list-style-type: none"> <li>Any member of the Senior Management Team, except the Head of Corporate Services</li> </ul>  |
| <b>Paying invoices electronically</b>  | <i>Via bank account, following invoice authorisation as detailed above.</i>  |
| <ul style="list-style-type: none"> <li>Up to a value of £7,000</li> </ul>    | One of the following: <ul style="list-style-type: none"> <li>Head of Corporate Services</li> <li>Business Officer</li> </ul>   |
| <ul style="list-style-type: none"> <li>Over £7,000</li> </ul>                | One of the following: <ul style="list-style-type: none"> <li>Head of Corporate Services</li> <li>Business Officer</li> </ul> and the online payment to be overseen by: <ul style="list-style-type: none"> <li>Any member of the Senior Management Team, except the Head of Corporate Services</li> </ul> |

| ITEM  | AUTHORISED SIGNATORY  |
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| <b>Paying invoices by cheque</b>  | <i>Following invoice authorisation as detailed above.</i>   |
| <ul style="list-style-type: none"> <li>Up to and including £3,499</li> </ul>                  | Any one of the following: <ul style="list-style-type: none"> <li>Head of Corporate Services</li> <li>Public Appointments Manager</li> <li>Senior Investigating Officer</li> <li>the Commissioner</li> </ul>   |
| <ul style="list-style-type: none"> <li>£3,500 to £6,999</li> </ul>                            | Any two of the following: <ul style="list-style-type: none"> <li>Head of Corporate Services</li> <li>Public Appointments Manager</li> <li>Senior Investigating Officer</li> <li>the Commissioner</li> </ul>   |
| <ul style="list-style-type: none"> <li>£7,000 and over</li> </ul>                             | The Commissioner and one other signatory  |
| <b>Miscellaneous</b>  |   |
| Establishing bank accounts and amending signatories   | <ul style="list-style-type: none"> <li>the Commissioner</li> </ul>  |
| Adding and amending supplier records in the bank accounts                                     | After seeking assurances that addition/amendments are legitimate (see Anti-Fraud Policy), the <ul style="list-style-type: none"> <li>Business Officer or</li> <li>Head of Corporate Services</li> </ul>   |
| Issued with a Credit Card and responsible for all transactions up to a credit limit of £4,000 | <ul style="list-style-type: none"> <li>Head of Corporate Services</li> </ul>  |
| Clearance of monthly Credit Card statements   | <ul style="list-style-type: none"> <li>Individual account-holder reviews and signs off their transactions</li> </ul> Following this <ul style="list-style-type: none"> <li>the Commissioner reviews and signs off the full statement</li> </ul> Thereafter the Business Team makes a journal entry to the accounts recording the transactions (of any value). |
| Use of Petty Cash (NB: a maximum of £100 is held in cash)                                     | <ul style="list-style-type: none"> <li>Head of Corporate Services</li> <li>Business Officer</li> <li>Corporate Services Officers</li> <li>Investigations Paralegal</li> </ul>   |

| ITEM   | AUTHORISED SIGNATORY  |
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| Approval of Expenses Claims under £500   | One of the following other than the staff member submitting the claim: <ul style="list-style-type: none"> <li>• Any member of the Senior Management Team</li> <li>• Public Appointments Officer</li> <li>• Business Officer</li> </ul>                    |
| Approval of Expenses Claims £500 and over  | <ul style="list-style-type: none"> <li>• the Commissioner</li> </ul>  |
| Cash advances on salary under £1,000   | Prepared by the Business Team and approved by one of the following other than the staff member submitting the request: <ul style="list-style-type: none"> <li>• Any member of the Senior Management Team</li> </ul>                                       |
| Cash advances on salary £1,000 and over  | Not permitted   |
| Monthly Review of Bank Statements  | Prepared by the Business Team and approved by the Commissioner or in the Commissioner's absence one of the following: <ul style="list-style-type: none"> <li>• Any member of the Senior Management Team, except the Head of Corporate Services</li> </ul> |
| Annual budget submission   | Reviewed by the Head of Corporate Services and approved by the Commissioner.  |
| Funding Drawdown Request   | Prepared by the Business Team and approved by the Commissioner or in the Commissioner's absence one of the following: <ul style="list-style-type: none"> <li>• Any member of the Senior Management Team</li> </ul>  |
| Establishing a Direct Debit with a value under £100 per transaction and a contract value under £3,500 or annual value under £1,000.              | Reviewed by the Head of Corporate Services and approved by one of the following: <ul style="list-style-type: none"> <li>• Any member of the Senior Management Team</li> <li>• Business Officer</li> </ul>   |
| Establishing a Direct Debit with a value £100 and over per transaction or with a contract value over £3,500 or with an annual value over £1,000. | Reviewed by the Head of Corporate Services and approved by the Commissioner.  |

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| Journal entries (excluding those associated with monthly credit card and salary processing) with a value |  |
| <ul style="list-style-type: none"> <li>• Below £1,000</li> </ul>   | <ul style="list-style-type: none"> <li>• Business Officer</li> <li>• Head of Corporate Services</li> </ul>   |
| <ul style="list-style-type: none"> <li>• Between £1,000 and £6,999</li> </ul>                            | Prepared by the Business Team and approved by one of the following: <ul style="list-style-type: none"> <li>• Any member of the Senior Management Team</li> </ul> |
| <ul style="list-style-type: none"> <li>• £7,000 and over</li> </ul>                                      | Reviewed by the Head of Corporate Services and approved by the Commissioner.   |
| Monthly payroll submission consisting of payroll summary, new start details and amendments.              | Prepared by the Business Team and approved by one of the following: <ul style="list-style-type: none"> <li>• Any member of the Senior Management Team</li> </ul> |
| Monthly review of payroll report, payments to HMRC and pension schemes and planned journal entries       | Prepared by the Business Team and approved by the Commissioner.  |
| Corrections or amendments to the payroll below £1,000  | Prepared by the Business Team and approved by one of the following: <ul style="list-style-type: none"> <li>• Any member of the Senior Management Team</li> </ul> |
| Corrections or amendments to the payroll £1,000 and over   | Reviewed by the Head of Corporate Services and approved by the Commissioner.   |
| Administration of the pension scheme   | <ul style="list-style-type: none"> <li>• The Business Team</li> </ul>  |
| Monthly submission of pensions data to Civil Service Pension Scheme                                      | <ul style="list-style-type: none"> <li>• The Business Team</li> </ul>  |
| Management of the Fixed Asset register   | <ul style="list-style-type: none"> <li>• The Business Team</li> </ul>  |

| ITEM  | AUTHORISED SIGNATORY   |
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| <b>CONTRACTS</b>  |  |
| Following review of the budget and tendering (if appropriate), entering into contracts for goods or services with a total estimated value of: |  |
| <ul style="list-style-type: none"> <li>• Up to and including £3,499</li> </ul>  | To be authorised by one of the following: <ul style="list-style-type: none"> <li>• Any member of the Senior Management Team</li> <li>• Public Appointments Officer</li> <li>• Business Officer</li> </ul>  |
| <ul style="list-style-type: none"> <li>• £3,500 to £6,999</li> </ul>  | To be authorised by the Head of Corporate Services and one of the following, or two of the following if the Head of Corporate Services is not available: <ul style="list-style-type: none"> <li>• Any member of the Senior Management Team</li> <li>• Public Appointments Officer</li> <li>• Business Officer</li> </ul> |
| <ul style="list-style-type: none"> <li>• £7,000 and over</li> </ul>   | To be authorised by the Head of Corporate Services and the Commissioner or one of the following and the Commissioner, if the Head of Corporate Services is not available: <ul style="list-style-type: none"> <li>• Any member of the Senior Management Team</li> </ul>   |
| Reviewing supplier and contractor performance   | <ul style="list-style-type: none"> <li>• the Manager assigned to the oversee the contract</li> </ul>   |
| Cancellation of Contracts   | After assessing the financial and operational impact <ul style="list-style-type: none"> <li>• the Commissioner or one of the following after consultation with colleagues and as appropriate, legal, accountancy and/or audit advisors:</li> <li>• Any member of the Senior Management Team</li> </ul>                   |

| ITEM  | AUTHORISED SIGNATORY  |
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| <b>DOCUMENTATION</b>  |   |
| Formal Deeds, Agreements, Memoranda and Concordats relating to corporate matters        | <ul style="list-style-type: none"> <li>the Commissioner</li> </ul>  |
| Formal Approval of Publications   | <ul style="list-style-type: none"> <li>the Commissioner</li> </ul>  |
| Formal Approval of the Annual Report and Accounts                                       | <ul style="list-style-type: none"> <li>the Commissioner. (NB: the Governance Statement is prepared and signed by the Accountable Officer.)</li> </ul>   |
| Formal Approval of the statutory, general Annual Report                                 | <ul style="list-style-type: none"> <li>the Commissioner</li> </ul>  |
| Formal Approval of business and strategic plans   | <ul style="list-style-type: none"> <li>the Commissioner</li> </ul>  |
| Formal Approval of Press Releases   | <p>The Commissioner or one of the following after consultation with colleagues and, as appropriate, advisors:</p> <ul style="list-style-type: none"> <li>Any member of the Senior Management Team</li> </ul>          |
| Requests for information (under Freedom of Information and Data Protection legislation) | <p>One of the following after consultation with the Corporate Services Team, colleagues and, as appropriate, advisors:</p> <ul style="list-style-type: none"> <li>Any member of the Senior Management Team</li> </ul> |
| Freedom of Information Review/Complaint   | <ul style="list-style-type: none"> <li>Nominated staff member</li> </ul>  |
| Amending entries in the Data Protection register operated by the ICO                    | <p>The Corporate Services Team or any two of the following:</p> <ul style="list-style-type: none"> <li>Any member of the Senior Management Team</li> </ul>  |
| Health and Safety risk assessments  | <ul style="list-style-type: none"> <li>Head of Corporate Services</li> </ul>  |
| Consultation responses  | <p>The Commissioner or one of the following after consultation with colleagues and, as appropriate, advisors:</p> <ul style="list-style-type: none"> <li>Any member of the Senior Management Team</li> </ul>          |
| Approval of formal minutes  | <ul style="list-style-type: none"> <li>the Commissioner</li> </ul>  |
| Approval of office policies and procedures  | <ul style="list-style-type: none"> <li>the Commissioner</li> </ul>  |
| Approval of branding, logo and website design   | <ul style="list-style-type: none"> <li>the Commissioner</li> </ul>  |
| Approval of risk register   | <ul style="list-style-type: none"> <li>the Commissioner, following consultation with the SMT, internal auditors and the AAB.</li> </ul>   |

| ITEM                            | AUTHORISED SIGNATORY  |
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| Publishing documents on website | One of the following after consultation with colleagues and, as appropriate, advisors: <ul style="list-style-type: none"><li>• Any member of the Senior Management Team</li><li>• Public Appointments Officer</li><li>• Business Officer, Corporate Services Officers and Investigations Paralegal with authority from one of the above</li></ul> |



| ITEM  | AUTHORISED SIGNATORY  |
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| <b>STAFFING</b>   |   |
| Approval of job descriptions  | <ul style="list-style-type: none"> <li>the Commissioner</li> </ul>  |
| Approval of recruitment packs   | <ul style="list-style-type: none"> <li>the Commissioner</li> </ul>  |
| Terms and conditions including pay awards, annual leave and public holiday allowances and expenses limits | <ul style="list-style-type: none"> <li>the Commissioner following approval by the Scottish Parliamentary Corporate Body and consideration of the budgetary implications.</li> </ul>                             |
| Letters of appointment and contracts of employment  | <ul style="list-style-type: none"> <li>the Commissioner</li> </ul>  |
| Letters of regret – no interview or after interview   | <ul style="list-style-type: none"> <li>by the individual manager responsible for the appointment</li> </ul>   |
| Setting public holidays   | <ul style="list-style-type: none"> <li>the Commissioner</li> </ul>  |
| Approving annual and flexi-leave requests up to and including 5 days                                      | After ensuring appropriate office cover: <ul style="list-style-type: none"> <li>the appropriate line manager</li> <li>if the line manager is not available, any member of the Senior Management Team</li> </ul> |
| Approving annual leave requests over 5 days   | <ul style="list-style-type: none"> <li>the appropriate line manager</li> </ul>  |
| Monthly sign off of flexi-timesheets  | <ul style="list-style-type: none"> <li>the appropriate line manager</li> </ul>  |
| Approval of training requests   | <ul style="list-style-type: none"> <li>the appropriate line manager (after ensuring budget is available)</li> </ul>   |
| Setting staff objectives  | <ul style="list-style-type: none"> <li>the appropriate line manager</li> </ul>  |
| Conducting staff reviews  | <ul style="list-style-type: none"> <li>the appropriate line manager</li> </ul>  |
| Appointment of members of the Advisory Audit Board  | <ul style="list-style-type: none"> <li>the Commissioner</li> </ul>  |
| Restructuring of the staff complement   | <ul style="list-style-type: none"> <li>the Commissioner, following consultation with the SMT, internal auditors, employees, the AAB and the SPCB.</li> </ul>  |

| ITEM   | AUTHORISED SIGNATORY   |
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| <b>CORRESPONDENCE</b>  |  |
| Non-controversial oral and written correspondence regarding corporate services | <ul style="list-style-type: none"> <li>The team member with responsibility for the particular area</li> </ul>            |
| Controversial oral and written correspondence regarding office operation       | <ul style="list-style-type: none"> <li>Head of Corporate Services; and if necessary</li> <li>the Commissioner</li> </ul> |

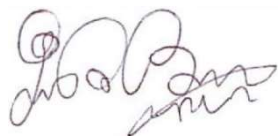
| ITEM   | AUTHORISED SIGNATORY   |
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| <b>ABSENCE PROVISIONS</b>  |  |
| In the event of the Commissioner and/or the Accountable Officer's short-term absence or planned leave (up to one month): | The remaining Senior Management Team will use precedents, Schemes of Delegation and a policy of peer review to enable the office to function in the short-term. Advice will be sought from advisors, the AAB and the SPCB as necessary.  |
| In the event of the Commissioner's unplanned absence of one month or more):  | The Commissioner has nominated the Accountable Officer to undertake decisions on their behalf following consultation with the SMT and advisors. The Accountable Officer will refer the matter to the Scottish Parliamentary Corporate Body (SPCB) who may decide to appoint an Acting Commissioner.    |
| In the event of the Commissioner's planned absence of one month or more:   | The Accountable Officer will undertake decisions on their behalf following consultation with the SMT and advisors. The SPCB will be informed and consulted prior to such an absence.   |
| In the event of the Accountable Officer's unplanned absence of one month or more:  | The Commissioner will undertake decisions on their behalf following consultation with the SMT and advisors. In addition, the Commissioner will refer the matter to the SPCB who may decide to appoint an Acting Accountable Officer.   |
| In the event of the Accountable Officer's planned absence of one month or more:  | The Commissioner will undertake decisions on their behalf following consultation with the SMT and advisors. The SPCB will be informed and consulted prior to such an absence.  |
| In the event of both the Commissioner and the Accountable Officer's prolonged, unplanned absence:                        | The remaining Senior Management Team will refer the matter to the SPCB who may decide to appoint an Acting Commissioner and Acting Accountable Officer. In the interim the remaining Senior Management Team will undertake decisions following consultation with advisors and the SPCB as appropriate. |

| ITEM   | AUTHORISED SIGNATORY                                    |
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| In the event of short-term absence or planned leave, duties will be assigned as follows: |   |
| • Commissioner   | Senior Management Team as appropriate                   |
| • Public Appointments Manager  | Commissioner  |
| • Senior Investigating Officer   | Commissioner and Nominated Investigating Officer        |
| • Head of Corporate Services   | Commissioner and Corporate Services Team as appropriate |

**APPOINTMENTS AND CONDUCT COMPLAINTS**

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| Procedures relating to the Commissioner's public appointments and standards functions. | Delegated duties in relation to the Commissioner's public appointments and standards functions are outlined in the following document: <a href="#">Standards &amp; Appointments Delegated Duties Oct 2018.xlsx</a> |
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Signed:



Dated: 31 March 2022

**Ian Bruce, Acting Commissioner for Ethical Standards in Public Life in Scotland**

| <b>Team</b>   | <b>Position</b>  | <b>Name</b>          |
|---|--|----------------------|
| Senior Management Team  | Acting Ethical Standards Commissioner                  | Ian Bruce            |
| Senior Management Team  | Senior Investigating Officer                           | Angela Glen          |
| Senior Management Team  | Acting Public Appointments Manager                     | Melanie Stronach     |
| Senior Management Team, Business Team & Corporate Services Team | Head of Corporate Services, Acting Accountable Officer | Karen Elder          |
| Investigations Team   | Investigations Paralegal                               | Holly Ormerod        |
| Investigations Team   | Nominated Investigating Officer                        | Sara Breslin         |
| Investigations Team   | Investigating Officer                                  | Chris Lavery         |
| Investigations Team   | Investigating Officer                                  | Emma Reid            |
| Investigations Team   | Investigating Officer                                  | Lindsay Young        |
| Public Appointments Team  | Public Appointments Officer                            | Vacancy              |
| Business Team & Corporate Services Team                         | Business Officer                                       | Jenni Green          |
| Corporate Services Team   | Corporate Services Officer                             | Katherine Lafreniere |
| Corporate Services Team   | Corporate Services Officer                             | Vacancy              |