



HISTORIC SCOTLAND
ALBA AOSMHOR

HISTORIC SCOTLAND

FRAMEWORK DOCUMENT 2012

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1. INTRODUCTION

- 1.1 Historic Scotland is an Executive Agency of the Scottish Government. All functions performed by the Agency are carried out on behalf of Scottish Ministers. It is headed by a Chief Executive who is responsible to Scottish Ministers, within the terms of this Framework Document, for its management, performance and future development.
- 1.2 This document sets out the detailed accountability and governance framework for the Agency. In particular, the document describes:
- The role, purpose and key functions of the Agency;
 - The roles and responsibilities of Scottish Ministers, the Permanent Secretary/Principal Accountable Officer, the Director General/Portfolio Accountable Officer and the Agency Chief Executive/Agency Accountable Officer;
 - Accountabilities – to the public through Scottish Ministers and the Scottish Parliament and detailed financial accountability mechanisms;
 - Management arrangements – the Chief Executive’s delegated authority and performance management arrangements;
 - Relationships with other bodies; and
 - How amendments to this Framework Document will be made and agreed.
- 1.3 This document replaces the Framework Document of 2008.

Mission, Vision and Strategic Priorities of the Agency

- 1.4 Historic Scotland believes that our historic environment provides a strong foundation for building a successful future for Scotland.
- 1.5 Historic Scotland’s vision is of a well understood, creatively managed and fully appreciated historic environment that contributes to the delivery of the Scottish Government’s Purpose of increasing sustainable growth, through the pursuit of the following strategic priorities:
- Championing Scotland’s historic environment;
 - Contributing to sustainable economic growth;
 - Managing our historic environment creatively;
 - Supporting the transition to a low carbon economy; and
 - Delivering our business.
- 1.6 The corporate plan, published on 29 February 2012, shows how the strategic priorities for the three years to 2015 contribute to the delivery of all of the National Outcomes in the Scottish Government’s National Performance Framework and in particular to the National Indicator “Improve the state of Scotland’s historic buildings, monuments and environment”.

Main Functions

- 1.7 The main functions which Historic Scotland carries out on behalf of Scottish Ministers are:
- Caring for and presenting to visitors the properties in care on behalf of Scottish Ministers;
 - Maintaining the statutory schedule of monuments of national importance, the statutory list of buildings of architectural or historic interest, the inventory of Gardens and Designed Landscapes, the Inventory of Historic Battlefields and Marine Protected Areas;
 - Considering policies, plans and proposals that impact on the historic environment;
 - Providing financial assistance towards the conservation and enhancement of the historic environment;
 - Providing guidance on the management of the historic environment;
 - Advising on policy for the historic environment;
 - Ensuring proper procedures are followed for securing the propriety and regularity of public funds, including meeting the requirements of the Scottish Public Finance Manual are met; and
 - Ensuring Best Value in all aspects of the Agency's operations.
- 1.8 Key commitments and targets are provided in Historic Scotland's corporate and business plans.

Policy Development

- 1.9 Historic Scotland fulfils the same role for the historic environment in policy development as do other Scottish Government Directorates and will be involved at the same time as other Directorates in wider policy development.

2. ROLES, RESPONSIBILITIES AND RELATIONSHIPS

- 2.1 This section sets out the roles and responsibilities of Scottish Ministers, the Director General/Portfolio Accountable Officer, the Agency Chief Executive/Agency Accountable Officer, the Advisory Committee and the Senior Management Team.

The Scottish Ministers

- 2.2 The Scottish Ministers are responsible for setting the policy and resources frameworks within which Historic Scotland operates and, ultimately, are accountable to the Parliament for its functions and performance. They exercise these responsibilities in the light of advice from the Director General Strategy and External Affairs and others, as they consider appropriate, by:
- Holding the Chief Executive to account for Agency performance;
 - Approving the Framework Document for the Agency and any revisions to it;
 - Approving the Corporate Plan, strategic priorities and business plans for the Agency;
 - Approving strategic policies and key principles for the Agency in the Scottish Historic Environment Policy;
 - Setting the overall budgets for the Agency in periodic spending reviews;
 - Setting key performance indicators for the Agency, at least one of which will relate to improving the efficiency or effectiveness of the Agency, and monitoring its performance;
 - Receiving the annual report and audited financial accounts from the Chief Executive; and
 - Ensuring that the Agency's Chief Executive has the right of direct access to appropriate Ministers.
- 2.3 The Scottish Ministers do not normally intervene in the operational management of the Agency's functions.
- 2.4 The Scottish Ministers are accountable to the Scottish Parliament for what Historic Scotland does. They reply to correspondence from Members of the Scottish Parliament on policy matters. They normally look to the Chief Executive to reply to Members' correspondence on other operational matters.

The Director General / Portfolio Accountable Officer

- 2.5 The Director General Strategy and External Affairs, in consultation as necessary with the Permanent Secretary and others, has the following responsibilities in respect of Historic Scotland:

Governance

- Ensuring that an appropriate Framework Document is in place and maintained. In practice, usually a Framework Document is prepared by the Agency in consultation with the core Scottish Government before being submitted to the Director General / Portfolio Accountable Officer for approval;
- Approving matters not covered by the delegated authority arrangements set out in the Agency Framework Document; and
- Advising the Scottish Ministers on the appointment of the Chief Executive.

Performance

- Ensuring that the Agency's strategic priorities and performance contribute to and are part of the Portfolio as a whole; and are aligned to the Government's Purpose and national outcomes set out in the National Performance Framework;
- Supporting Scottish Ministers in the discharge of their duties towards the Agency, including on setting the Agency's strategic priorities and related performance targets and outcomes; agreeing the corporate plan and annual business plans; and setting an appropriate budget, in discussion with the Agency Chief Executive;
- Ensuring that there is a clear framework for strategic performance improvement and management of the Agency's work; providing support and constructive challenge to ensure that the Agency is high performing and continuously improving; and ensuring that operational accountability is being exercised properly;
- Monitoring the financial performance, operational effectiveness and risk management arrangements of the Agency using materials such as Agency Advisory Committee, Audit and Risk Committee or Senior Management Team papers and the annual reports and accounts, seeking clarification on any matter as and when required; and
- Performance appraisal of the Chief Executive and countersigning of the performance appraisal of senior civil servants below the Chief Executive.

Resources

- Ensuring that the requirements of the Scottish Public Finance Manual and any additional guidance issued to Portfolio Accountable Officers are met;
- Ensuring the Agency is taking steps to improve its operating efficiency,
- Including through participation in collaborative procurement and shared service arrangements; and
- Ensuring, where necessary, that appropriate Scottish Government-wide corporate services are available to support and facilitate the work of the Agency.

Relationships

- Ensuring the relationship between Chief Executive and Scottish Ministers is healthy and working effectively;
- Promoting integration and organisational alignment, as appropriate, e.g. by involving Agency Chief Executives within portfolio management arrangements; holding regular meetings with the Chief Executive; ensuring the Chief Executive is aware of Scottish Government-wide strategic developments and corporate decisions impacting on the management or operations of the Agency;
- Ensuring that the position of the Agency is taken into account in relevant Scottish Government policy decisions;
- Ensuring that the wider Scottish Government has due regard for the advice provided by the Agency; and
- Representing the interests of the Agency within the wider Scottish Government.

2.6 In exercising these functions on behalf of the Scottish Ministers, the Director General Strategy and External Affairs may require appropriate information and support from the Chief Executive but will not normally intervene in the operational management of Historic Scotland.

The Chief Executive

2.7 The Chief Executive of the Agency is a member of the Senior Civil Service and is accountable to the Scottish Ministers for the delivery of its functions, its performance and for planning its future development as well as for ensuring that the Scottish Ministers receive sound and well-researched advice on the matters for which they are responsible.

2.8 In particular the Chief Executive is responsible for:

- Being Accountable Officer for the management of the Agency's resources, as appointed by the Principal Accountable Officer;
- Being personally answerable for the efficient and effective operation and financial management of the Agency and for performance against key targets;
- Developing Scottish Government policy and providing Scottish Ministers and others with strategic policy advice;
- Ensuring that the Agency works across Government in support of the Government's purpose and national outcomes set out in the National Performance Framework;
- Delivering statutory functions/responsibilities;
- Ensuring that the Agency is a high performing and continuously improving organisation and that it is contributing to the 'Serving Government Better' business strategy;
- Providing support to the Director General/Portfolio Accountable Officer, including assurance about the financial performance,

operational effectiveness and risk management arrangements of the Agency and its business improvement activity;

- Ensuring that all relevant financial considerations and Scottish Government guidance, including issues of propriety, regularity, efficiency and value for money, are taken into account in delivering the Agency's business;
- Preparing and publishing annual reports, accounts and corporate and business plans, subject to Ministerial approval;
- Management, development and well-being of Agency staff;
- Ensuring Best Value in all aspects of the Agency's operations, both front line delivery and corporate support functions, including the use of collaborative procurement and shared service arrangements where participation offers value for money for the Agency or to the wider public purse;
- Replying to correspondence from MSPs on operational and related policy issues within the Agency's responsibilities and otherwise supporting Scottish Ministers by preparing Ministerial briefing and responses to Ministerial correspondence and Written or Oral Parliamentary Questions;
- Keeping the content of the Agency's Framework Document under review, discussing changes with the Director General/Portfolio Accountable Officer;
- Determining the operational policies for the Agency;
- Determining the Agency's organisation and management structure;
- Exercising responsibility for the Agency's delegated human resource management and financial powers;
- Security at all sites managed by the Agency;
- Health and safety in relation to all Agency business (see section 72); and
- Communications and public relations.

2.9 The Chief Executive will consult the Director General Strategy and External Affairs before the Agency puts advice to Scottish Ministers about major policy issues concerning the historic environment and about strategic policies for the Agency. The Chief Executive will likewise consult the Director General Strategy and External Affairs before implementing any operational policies for the Agency which have significant implications for other parts of the Scottish Government.

2.10 The Chief Executive will report to the Director General Strategy and External Affairs regularly, on a basis agreed between them, on progress towards achieving the key performance indicators set by Scottish Ministers.

Management Boards, Senior Management Teams and Non-Executive Directors

- 2.11 The Chief Executive, as Agency Accountable Officer, is personally accountable to Scottish Ministers for the performance of the Agency and delivery of its functions. He or she is supported by the Senior Management Team who is the corporate decision making body for the Agency. The Senior Management Team is responsible for all operational matters in the Agency, including the management of its resources.
- 2.12 The Chief Executive is advised by an Advisory Committee. The membership of the Committee include the Senior Management Team and up to 6 independent external members. It is chaired by the Chief Executive. The Committee acts as 'critical friend' providing challenge, support and advice on the overall vision and strategic direction taken by the Agency. Particular attention will be paid to the implementation of the Corporate Plan. The Committee will not offer advice on the day-to-day business of the Agency. The remit of the Committee may be revised at the discretion of the Chief Executive.
- 2.13 Non-Executive Advisory Committee Members is appointed by the Chief Executive following good practice and may also serve on the Audit and Risk Committee.
- 2.14 The Chief Executive may seek additional non-executive advice, over and above the Committee members, at any point from particular stakeholders or experts for a limited period or in connection with a particular issue or subject.
- 2.15 The Chief Executive may also establish any other corporate committees that may be required to discharge the Agency's responsibilities and functions.

Accountable Officer Responsibilities

- 2.16 The Permanent Secretary is the Principal Accountable Officer for the Scottish Government and is responsible for designating, under section 15 of the Public Finance and Accountability (Scotland) Act 2000, the relevant Director General as the Portfolio Accountable Officer and the Agency Chief Executive as the Agency Accountable Officer. These Accountable Officers have personal responsibility to Parliament for the propriety and regularity of public finances for the part of the Scottish Administration for which such Accountable Officers have stewardship.
- 2.17 The roles and responsibilities of Portfolio Accountable Officers and Agency Accountable Officers are set out in the Memorandum to Accountable Officers for parts of the Scottish Administration.

- 2.18 The Director General Strategy and External Affairs is the Portfolio Accountable Officer for the budget from which Historic Scotland is funded.
- 2.19 The Director General Strategy and External Affairs, as Portfolio Accountable Officer, is accountable for the propriety and regularity of the public finances for that part of the Scottish Administration for which they are responsible, including the money paid to public bodies from their budgets. As such, they must ensure:
- That financial and other management controls are in place to safeguard public funds;
 - That the conditions attached to the funding of the public body conform with the Budget Act and that these are monitored to ensure that they are complied with; and
 - That the public body has the statutory authority for the expenditure it incurs.
- 2.20 The Chief Executive of Historic Scotland is designated as Agency Accountable Officer by the Permanent Secretary as Principal Accountable Officer.
- 2.21 The Chief Executive, as Agency Accountable Officer, is accountable for the proper, efficient and effective use of resources provided to the Agency, in pursuit of the agreed Corporate Plan strategic priorities and key performance indicators. As Agency Accountable Officer he or she is responsible for ensuring that proper procedures are followed for securing the propriety and regularity of the public funds for which he or she is responsible. He or she is further responsible for ensuring that the requirements of the Scottish Public Finance Manual and any additional guidance issued to Accountable Officers are met.

Duty of Best Value

- 2.22 The duty of best value is placed on the Chief Executive in his or her role as Accountable Officer under the Public Finance and Accountability (Scotland) Act 2000. Specifically, the duty of Best Value is:
- To make arrangements to secure continuous improvement in performance whilst maintaining an appropriate balance between quality and cost; and in making those arrangements and securing that balance; and
 - To have regard to economy, efficiency, effectiveness, the equal opportunities requirements and to contribute to the achievement of sustainable development.

Parliamentary Committee Attendance

- 2.23 The Scottish Parliament has the power to request a particular individual to attend a Parliamentary Committee. Scottish Ministers decide who should represent them at Parliamentary Committee hearings. In practice, the Chief Executive, as Accountable Officer for the Agency, will normally represent Scottish Ministers on matters of his or her delegated responsibility.
- 2.24 The Chief Executive may also be required to appear before Committees of the Scottish Parliament, including the Audit Committee to account for the discharge of his or her responsibilities under the terms of the Framework Document.
- 2.25 The Chief Executive is responsible for implementing any relevant recommendations from the Audit Committee or other Committees of the Scottish Parliament which are accepted by the Scottish Ministers.

Arrangements for Dealing with Parliamentary Correspondence

- 2.26 The Cabinet Secretary will encourage MSPs to communicate directly with the Agency Chief Executive on operational matters within his or her authority. The Chief Executive will provide Scottish Ministers with any necessary information and support the answer of Parliamentary Questions or deal with any other Parliamentary business for which the Agency is responsible.

Complaints and the Ombudsman

- 2.27 The Chief Executive is responsible for ensuring that an effective complaints procedure, which complies with the statement of principles published by the Scottish Public Services Ombudsman (SPSO) and which sets out how the Agency deals with complaints, is in place and published.
- 2.28 The Agency may be subject to investigation by the SPSO and anyone not satisfied with the way the Agency has responded to a complaint may raise their concerns with the SPSO. The Chief Executive ensures that any actions arising from investigations by the SPSO are appropriately and promptly addressed.

3. RESOURCE PLANNING AND MANAGEMENT

- 3.1 This section sets out the type of financial framework within which the Agency operates, the process by which financial provision is made for the Agency and the financial delegations to the Agency.
- 3.2 The Chief Executive is responsible for ensuring that financial procedures comply with financial guidance issued by the Scottish Government Finance Directorate and the Scottish Government Procurement and Commercial Directorate. The Agency complies with the requirements of the Scottish Public Finance Manual and other relevant guidance and engages with the relevant Finance Business Partners (or equivalent).
- 3.3 The Agency operates financial and other systems which provide the Chief Executive and the Director General/Portfolio Accountable Officer with sufficient information to assure them that the Agency's expenditure is being handled in a proper and prudent manner, and that it is achieving efficiency improvements and value for money from its resources in delivering its functions.
- 3.4 Material, novel, contentious or repercussive financial transactions will be drawn to the attention of the Chief Executive and Senior Management Team by Agency officials for appropriate action and prior approval of the relevant Scottish Government Finance Business Partner (or equivalent) will be sought even if they fall within delegated limits.
- 3.5 The Agency has appropriate counter-fraud arrangements, with control systems and procedures designed to prevent, detect, report and handle instances of fraud. Procedures set up to counter fraud are carefully followed and monitored and set out in a fraud policy statement and fraud response plan.
- 3.6 The Agency has a Whistleblowing Policy which provides a procedure for members of staff to remain protected while reporting unethical, criminal or unlawful activity to the Agency.

Funding

- 3.7 Historic Scotland is funded by the Scottish Parliament through the Culture and External Affairs budget. The Agency's budget covers all capital and current programme expenditure by Historic Scotland together with direct administrative costs. In addition, Historic Scotland generates significant income from admissions, sales and other activities which is retained by the Agency and treated as Budget Income.

Delegations to the Chief Executive

- 3.8 The financial delegations to the Chief Executive are set out in Annex A and are determined by the Portfolio Accountable Officer taking into account the business and budget of the Agency. These arrangements should provide the Chief Executive with maximum practicable flexibility to make efficient use of the resources available to the Agency, within the context of the strategic priorities and corporate plans agreed by the Scottish Ministers.
- 3.9 The Chief Executive reviews these limits regularly and proposes amendments where this would assist in delivering Scottish Government and Historic Scotland's agreed strategic priorities.
- 3.10 The Chief Executive is responsible for ensuring that relevant Scottish Government financial procedures are followed and may delegate functions in writing within the limits set by the Framework Document.

Arrangements for Audit

- 3.11 The Chief Executive is responsible for establishing systems of internal audit, in accordance with the objectives and standards laid down in the Government Internal Audit Manual and in a way which demonstrates best value for money.
- 3.12 The Agency has an Audit and Risk Committee, with an independent external chair, with membership and operating procedures determined by the appropriate guidance in the Scottish Public Finance Manual and the Audit Committee Handbook. The remit of the Audit and Risk Committee will include supporting the Chief Executive with regard to the efficient and effective use of programme expenditure and the associated responsibilities for risk, control, governance and assurance.
- 3.13 The Audit and Risk Committee is responsible for drawing any significant matters arising in this respect to the attention of the Portfolio and/or Scottish Government Audit and Risk Committee, for example in instances where issues may depend upon factors which are beyond the control of the Agency or have implications for the operation of the Scottish Government and its public bodies more generally. The Audit and Risk Committee will be responsible for determining the meeting cycle of the Committee.
- 3.14 The Director General/Portfolio Accountable Officer reserves the right to have appropriate representatives (e.g. Scottish Government Internal Audit) undertake any work required to provide independent assurance about the Agency's management and control, if he or she considers it necessary.

- 3.15 The Agency is subject to external audit by the Auditor General for Scotland (AGS) or by auditors appointed by the AGS.

Arrangements for Producing Accounts

- 3.16 The Chief Executive is responsible for producing and publishing accounts for the Agency and for laying them before the Parliament together with the Agency's annual report reviews the Agency's performance over the previous year against the key performance indicators and comments on how the Agency has responded to unforeseen circumstances. The accounts are produced in accordance with the accounts direction from Scottish Ministers and the timetable for the production of the Scottish Government's consolidated accounts each year. The Public Finance and Accountability (Scotland) Act 2000 stipulates that the Scottish Government's consolidated accounts will be laid before the Scottish Parliament and published after they have been audited and certified by the Auditor General for Scotland.
- 3.17 The Chief Executive is responsible for maintaining a sound system of internal control that supports the achievement of the body's policies, aims and objectives and for regularly reviewing the effectiveness of that system. A Statement on Internal Control is to be provided by Accountable Officers alongside the Agency's annual accounts.

Corporate and Business Plans

- 3.18 The Chief Executive is responsible for preparing and publishing the corporate plan¹ which covers the medium to long term business of the Agency and an annual business plan that takes account of and reflects the Scottish Government Business Strategy. The corporate plan is approved by Scottish Ministers. Exceptionally, if policy or circumstances change, revisions may be proposed. Any revisions will also be subject to approval by Scottish Ministers.
- 3.19 The Corporate and business plans set out how the strategic priorities of the Agency are aligned to the Scottish Government's purpose and the national outcomes set out in National Performance Framework.
- 3.20 The corporate and business plans are developed in consultation with internal and external stakeholders at the earliest stage possible and the corporate plan assessed for impacts on Equalities, the Environment and Business/Regulation. The final drafts produced and published prior to the reporting year that they take effect. The corporate and business plans are placed in the Scottish Parliament Information Centre (SPICe) and published on the Agency's website.

¹ The corporate plan covers three years and is aligned to the Spending Review cycles.

Performance Management

- 3.21 The main basis for judging the performance of the Agency is through the delivery of the key commitments set out in the three year Corporate Plan and achievement of annual key performance targets, set and agreed by the Scottish Ministers. The Agency reports annually on performance against the key performance indicators and produces a wider annual summary of its performance.
- 3.22 Scottish Ministers will set targets for Historic Scotland for achieving efficiency savings. The Chief Executive will be responsible for delivering and reporting on these targets to the Scottish Government as required.

Risk Management

- 3.23 The Chief Executive is responsible for implementing and monitoring appropriate risk management arrangements in accordance with the relevant guidance in the Scottish Public Finance Manual for the successful delivery of agency functions and projects.
- 3.24 The Chief Executive is supported in his or her role by an Audit and Risk Committee and the internal advisory work of Internal Audit.

4. OTHER MANAGEMENT ARRANGEMENTS INCLUDING HUMAN RESOURCES, PAY POLICY AND HEALTH AND SAFETY

- 4.1 This section sets out the status of Agency staff, their terms and conditions of employment, pay policy, health and safety and other management arrangements.
- 4.2 The Chief Executive is responsible for the human resources management of all Agency staff not within the Senior Civil Service. The Chief Executive keeps under review the structure of Historic Scotland's Advisory Committee (see paragraph 2.12) and may make recommendations to the Director General Strategy and External Affairs concerning posts within the Senior Civil Service. He or she considers the need for open competition to fill senior posts and participates fully in the selection of staff to fill such vacancies.
- 4.3 The Agency aims to offer its staff good and satisfying career opportunities and is committed to fostering career development and equal opportunities for all staff.

Status of Staff and Conditions of Service

- 4.4 Agency staff are Civil Servants and employees of the Scottish Ministers. Variations to suit the Agency's particular circumstances may be introduced in terms and conditions of service with the approval of the Scottish Ministers and after full consultation with the Agency's staff and their representatives. The Chief Executive is responsible for the operation of formal employee relations machinery within the Agency and chairs meetings of the Partnership Board (a management and trades unions partnership).
- 4.5 The Chief Executive has delegated responsibility for pay negotiations for all staff not within the Senior Civil Service. The basis on which the delegation operates is set out below:
- The Agency complies with the Scottish Ministers' Public Sector Pay Policy for Staff Pay Remits;
 - Functions and the conditions within which the delegation and control framework are exercised are automatically devolved to the Scottish Ministers who are responsible to the Scottish Parliament for the exercise of the delegation;
 - The Chief Executive exercises the delegation on behalf of the Scottish Ministers; and he or she puts in place systems necessary to underpin delegated pay and conditions of service bargaining; and
 - The Chief Executive will seek clearance by Scottish Ministers to pay remits in advance of entering into formal negotiations with the trades unions.

- 4.6 The Agency complies with the Civil Service Code (Scottish Executive version), which sets out the core values of the Civil Service and the standards expected of civil servants.
- 4.7 The Agency is responsible for the recruitment of its staff, in consultation with the Scottish Government's Human Resources and Organisational Development Directorate. All recruitment adheres to the Civil Service Management Code, the Scottish Government Main Resourcing Policy and procedures and, for external recruitment, the Civil Service Commissioners' Recruitment Principles.
- 4.8 The Agency is responsible for promoting and supporting effective employee relations and, where appropriate, consulting with Civil Service Trades Unions in line with either a local Partnership Agreement or the overarching Partnership Agreement that exists between the Permanent Secretary and the Council of Scottish Government Unions.
- 4.9 The Chief Executive is responsible for the development of Agency staff, drawing as necessary on Scottish Government staff development resources and activity.
- 4.10 The Chief Executive is responsible for ensuring that appropriate promotion arrangements are in place and, through the Common Citizenship arrangements, Agency staff are eligible for promotion opportunities within the Scottish Government Main and vice versa. The Agency will be expected to consult with Scottish Government Human Resources the arrangements to ensure that common promotion standards are in place.
- 4.11 The Agency's risks, including public and employer liability, are carried in line with the Scottish Government's policy on insurance. The Chief Executive will keep the Portfolio Finance Team or equivalent informed of the level of any contingent liabilities, as defined in the Scottish Public Finance Manual, including where possible an assessment of their values and will report contingent liabilities to the Scottish Parliament, seeking prior approval where appropriate also in line with the Scottish Public Finance Manual.
- 4.12 The Chief Executive is responsible for the management of Health and Safety, in line with current Health and Safety legislation, guidance and/or best practice. Assurances on Health and Safety management may be sought by the Occupational Health & Safety Branch of the Scottish Government.
- 4.13 The Chief Executive, with regard to the requirements of efficient Government and value for money, keeps the provision of support services under review as part of ensuring best value in all aspects of the Agency's operations. This includes the use of shared service arrangements where participation offers value for money for the Agency or to the wider public purse. Opportunities to share the delivery of front-facing services will also

be considered. The Agency will report annually on the steps taken during each financial year to improve efficiency, effectiveness and economy (including details of shared services activity), under the terms of the Public Services Reform (Scotland) Act 2010 and the associated guidance;

- 4.14 The Chief Executive is responsible for ensuring that the Agency complies with all statutory duties and relevant Scottish Government policies to which it is subject; and
- 4.15 The Chief Executive is responsible for ensuring adherence to all Scottish Government equality and diversity policies and relevant equalities legislation, including relevant public sector duties.

Appointment of the Chief Executive

- 4.16 The Chief Executive is a Civil Servant and is subject to the Civil Service Code. The post of Chief Executive may be filled by a managed move within the Senior Civil Service, in the same way as any other senior management position within the Scottish Government, or it may be filled by open competition overseen by the Civil Service Commissioners.
- 4.17 The arrangements for appointing a Chief Executive will be managed by the Senior Staff Team within the Scottish Government's Human Resources and Organisational Development Directorate.

5. RELATIONSHIP WITH STAKEHOLDERS AND OTHER BODIES

- 5.1 This section sets out the relationship between the Agency and stakeholders with an interest in its work, reflecting the emphasis on collaborative working across the public sector and with the third and private sector wherever possible.
- 5.2 The Agency is committed to engaging with all of its partners and customers, with a strong focus on stakeholder communications.

Sponsorship of the Royal Commission on the Ancient and Historical Monuments of Scotland

- 5.3 Historic Scotland acts as the Scottish Government sponsor for the Royal Commission on the Ancient and Historical Monuments of Scotland (RCAHMS), a Royal Commission founded by Royal Warrant in 1908. The sponsor relationship is defined in a separate Framework Document.
- 5.4 Historic Scotland liaises with Culture Division in the Scottish Government Culture External Affairs and Constitution Directorate, which co-ordinates the portfolio budget from which RCAHMS is funded. There are also common issues between RCAHMS and the other national cultural collection public bodies sponsored by Culture Division.

Scottish Government Liaison with the National Trust for Scotland

- 5.5 Historic Scotland acts as the main liaison point for the Scottish Government's interaction with the National Trust for Scotland, an independent membership-based charity. This involves supporting the Scottish Ministers in all portfolios, providing briefings and answering correspondence, and channelling business to appropriate Scottish Government Directorates.

Shared Services

- 5.6 The Scottish Government continues to make available to the Agency, at a suitable charge, access to the SCOTS system and associated support.
- 5.7 The Scottish Government continues to make the services of the Scottish Government Legal Directorate (SGLD) available to the Agency on the same basis as they are provided to Directorates, and the Agency does not seek separate legal advice except under the supervision of SGLD. Six months notice will be given of any change in the terms of the service provided by SGLD.

- 5.8 Historic Scotland continues to collaborate with the Scottish Procurement Directorate (SPD) on appropriate procurement projects and to avoid duplication of purchasing effort where possible.
- 5.9 The Scottish Government retains responsibility for the HR management of Senior Civil Service staff in the Agency.
- 5.10 The Agency may continue to draw on other specialist support from the Scottish Government.
- 5.11 The Agency seeks other opportunities to share services where this will improve efficiency and effectiveness.

6. REVIEW AND PUBLICATION OF THE FRAMEWORK DOCUMENT

- 6.1 This section sets out the review and publication arrangements of the Framework Document.
- 6.2 The Framework Document can be reviewed at any time but at least once every three years and at particular key trigger points such as when there has been a change in Chief Executive or Minister. This Framework Document was revised and agreed in March 2012.
- 6.3 The next date for formal review of the Framework Document by Scottish Ministers, the Director General Strategy and External Affairs and the Chief Executive will be 2015. Changes may be proposed before then in the light of experience or changed circumstances. Relevant parts of the Scottish Government will be consulted on any proposed changes before they are submitted to the Scottish Ministers for approval.
- 6.4 Copies of this Framework Document, and of any subsequent changes, will be placed in the Scottish Parliament Information Centre and on the Historic Scotland website.

Enquiries

- 6.5 All enquiries about this Framework Document should be addressed in the first instance to:

The Chief Executive
Historic Scotland
Longmore House
Salisbury Place
EDINBURGH
EH9 1SH

Telephone 0131 668 8693
FAX 0131 668 8699
E-Mail ruth.parsons@scotland.gsi.gov.uk.

ANNEX A: HISTORIC SCOTLAND FINANCIAL DELEGATIONS

Within agreed overall budgetary provision, and subject to the Scottish Public Finance Manual and Scottish Procurement Policy Handbook, Historic Scotland's Chief Executive has delegated authority as set out below. The Chief Executive may sub-delegate authority to staff within the Agency but will remain accountable for decisions taken and transactions carried out under such arrangements.

Explanatory Notes

'Unlimited' in the context of this annex means unlimited within the agreed overall Spending Review and annual budget provisions.

'Capital Expenditure' on monuments is classified as either operational or heritage capital. Operational capital includes works on offices, shops and cafes included within a monument. Heritage capital is all other work on monuments and is treated as revenue expenditure. As capital projects can have both heritage and operational elements the delegated limits apply to the projects as a whole and not to each element.

CAPITAL EXPENDITURE	LIMIT
1. To acquire monuments, buildings and related land.	£500,000
2. To incur expenditure on new works at monuments in care (except where costs exceed initial contract price by 10% in real terms).	Unlimited
3. To dispose of land and buildings at or above District Valuer's valuation	Unlimited
4. To dispose of other assets at or above market value.	Unlimited
5. To incur expenditure on administrative facilities, including the acquisition and improvement of property, equipment, vehicles, plant and machinery but not including information systems and related equipment.	£750,000
6. To incur expenditure on information technology systems and related equipment.	£1,000,000 for any single project.

CAPITAL EXPENDITURE	LIMIT
7. To conserve and maintain monuments in care and ancillary buildings and to provide conservation services to others on repayment.	Unlimited
8. To carry out compulsory preservation work and make Management Agreements.	Unlimited
9. To present monuments in care to the general public and to interested bodies and individuals, and provide interpretative, retailing and other facilities for visitors.	Unlimited
<p>10. To pay grants and loans to individuals and bodies:</p> <ul style="list-style-type: none"> • For acquisition of monuments and work carried out at monuments by: <ul style="list-style-type: none"> ◦ Local authorities the National Trust for Scotland; and ◦ Others; • For repair and maintenance of outstanding historic buildings or outstanding conservation areas; and • For conservation work and other related purposes. 	<p>Unlimited</p> <p>£500,000 per grant</p> <p>£1.25m in any one case or 85% grant per case</p> <p>£1.25m in any one case or 85% grant per case</p>
11. To pay grants and make payments under contract to bodies and individuals for archaeological activities, including associated scientific and conservation work, together with recording and publishing the findings.	£200,000 per project per annum and £500,000 per project in total
12. To inform the general public and interested bodies and individuals about monuments in care and Scotland's historic environment.	Unlimited
13. To fund research on Scotland's historic environment.	£250,000 per project
14. To incur expenditure on staff remuneration, administrative expenses and any other necessary operating expenses including equipment, vehicles, plant and machinery, consultancies, publicity and accommodation.	Unlimited

GIFTS AND INDEMNITIES ETC		LIMIT
16.	To accept gifts, legacies and donations including properties, contents of monuments and of buildings of outstanding historic or architectural interest.	Unlimited
17.	To make gifts of publications, souvenirs etc to important visitors.	£200 per gift within an annual total of £2,000
18.	To make special and ex gratia payments, write offs, losses etc <ul style="list-style-type: none"> ○ Cash losses, including overpayment of staff pay, pensions and allowances; ○ Cash losses due to overpayments of grant ○ Other losses including stores losses; ○ Special and ex-gratia payments ○ Bad debts, claims abandoned or not recovered, or claims waived; ○ Fruitless payments and constructive losses 	<p>Unlimited</p> <p>£100,000 per case</p> <p>Unlimited</p> <p>£10,000 within an annual aggregate limit of £20,000</p> <p>Within an aggregate limit of £100,000</p> <p>Unlimited</p>
19.	To pay compensation: <ul style="list-style-type: none"> ○ To site owners or occupiers for loss or expense incurred by them arising directly from entry, survey, inspection, excavation or recording of a site; ○ Arising from decisions on scheduled monument consent; and ○ Arising from service of preservation notice or order. 	<p>£10,000 per project</p> <p>£60,000 per project</p> <p>£250,000 per project</p>
20.	To pay rewards for archaeological finds at monuments in care.	£200 per find or 10% of value, whichever is less

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