

FORTH HOUSING ASSOCIATION LIMITED
COMMITTEE MEMBERS CODE OF CONDUCT

Code: GOV 02

Approval: June 2024

Review Date: June 2027

Cross Reference: Gov 01 Standing Orders
Gov 21 Rules 2020
GOV14 Publicity Policy
GOV 24 Whistleblowing



This document can be made available in alternative languages or formats (such as large print, audio etc). Please contact staff as required.

Policy Summary

The Code of Conduct sets out standards set out by Forth and the relevant governing bodies, in particular the Scottish Federation of Housing Associations. A number of Forth policies support the Code of Conduct. Where applicable, reference is made to those policies.

Equalities

This Policy will be applied in accordance with Forth's Policy on Equality, Diversity and Inclusion, as well as the Equality Act 2010. There are no potential implications for employees, workers, contractor or volunteers who have protected characteristics under the Equality Act. The application of this policy and associated policies will ensure that reasonable adjustments are made for people with protected characteristics

Privacy

When managing processes and responding to events which fall within the scope of the Code of Conduct, Forth processes personal data collected in accordance with its data protection policy. Data collected from employees, workers, contractors and volunteers is held securely and accessed by, and disclosed to, individuals only for the purposes of managing matters related to the Code of Conduct. Inappropriate access or disclosure of employee data constitutes a data breach and should be reported in accordance with Forth's data protection policy immediately

Policy Owner

Name: Head of Corporate Services

Date of Next Review: June 2027

1. Introduction

- 1.1. All members of the Committee must sign this Code of Conduct when they are elected, co-opted or appointed, and on an annual basis thereafter. References throughout this Code of Conduct (the Code) to 'we', 'us' and 'our' mean Forth Housing Association. The Code reflects our Values which are 'We will undertake all of our objectives in a responsive, fair and transparent manner in accordance with our policies and legal obligations.'
- 1.2 We attach the greatest importance to ensuring that high standards of governance and ethical behaviour are demonstrated by all of our people and in all of our activities.

2.0 Principles

- 2.1 Our Code of Conduct sets out the requirements and expectations which are attached to your role as a member of our Committee. You have a personal responsibility to uphold the requirements of our Code. You cannot be a member of the Committee¹ if you do not agree to adopt our Code of Conduct. To confirm that you understand its requirements and accept its terms, you must review and sign this Code annually.
- 2.2 As a Registered Social Landlord (RSL), we are required to adopt and comply with an appropriate Code of Conduct². Our Code is based on the Model Code of Conduct produced by the Scottish Federation of Housing Associations, which the Scottish Housing Regulator (SHR) has confirmed fully complies with its Regulatory Standards.
- 2.3 Our Code of Conduct is an important part of our governance arrangements; it is supported by the Role description which describes your responsibilities as a Committee member. You are responsible for ensuring that you are familiar with the terms of this Code and that you always act in accordance with its requirements and expectations. Committee Members must always ensure their actions accord with the legal duties of the RSL and with regulatory guidance. You must also ensure you are familiar with any policies which are linked to this code.

¹ Our Rules state that the Committee can remove a member who fails to sign the Code of Conduct (Rule 44.5.2); it is a regulatory requirement that our Rules enable the Committee to take such action (SHR Regulatory Framework (2019) Constitutional Standard 19)

² Scottish Housing Regulator (2019) Regulatory Framework, [Regulatory Standard 5.2](#)

- 2.4 If there is a concern that a member of the Committee may have breached any part of this Code, the matter will be investigated in accordance with the Protocol that we have adopted. A serious breach of our Code may result in action being taken by the Committee to remove the Committee member(s) involved.

3.0 Aim and Objectives

- 3.1 The aim of this policy is to ensure that we comply with our regulatory and legal requirements. It is intended to give clarity to our committee members around the conduct expected of them.
- 3.2 Our Code of Conduct applies to all elected, appointed and co-opted members of our Committee and its sub-Committees.
- 3.3 The Committee should ensure a clear understanding of their respective roles in relation to maintaining standards amongst employees and Committee members.

4.0 Policy Framework

How Our Code Is Structured

- 4.1 Our Code of Conduct is based on the seven principles which are recognised as providing a framework for good governance. They demonstrate honesty, integrity and probity.³
- 4.2 Each principle is described, as it applies to the activities of FHA and its Committee members, and supporting guidance is offered for each to provide more explanation of our Code's requirements. The guidance is not exhaustive and it should be remembered that FHA and our Committee members are responsible for ensuring that their conduct at all times meets the high standards that the RSL sector is recognised for upholding.
- 4.2 The seven principles that you must adhere and commit to by signing this Code are:
- A. [Selflessness](#)
 - B. [Openness](#)
 - C. [Honesty](#)
 - D. [Objectivity](#)
 - E. [Integrity](#)
 - F. [Accountability](#)
 - G. [Leadership](#)

³ Committee for Standards in Public Life (May 1995), [Nolan Principles](#)

A Selflessness

You must act in the best interests of FHA at all times and must take decisions that support and promote our strategic plan, aims and objectives. Members of the Committee should not promote the interests of a particular group or body of opinion to the exclusion of others.

- A.1** I will always uphold and promote FHA's aims, objectives and values and act to ensure their successful achievement.
- A.2** I will exercise the authority that comes with my role as a Committee member responsibly.
- A.3** I will accept responsibility for all decisions properly reached by the Committee (or a sub-Committee or working group with appropriately delegated responsibility) and support them at all times, even if I did not agree with the decision when it was made.
- A.4** I will consider and respect the views of others.
- A.5** I will not seek to use my position inappropriately to influence decisions that are the responsibility of staff.
- A.6** I will not seek to use my influence inappropriately or for personal gain or advantage or for the benefit of someone to whom I am closely connected⁴ or their business interests.

⁴ See Appendix 1, p13-15 for definition of "closely connected"

B. Openness

You must be transparent in all of your actions; you must declare and record all relevant personal and business interests and must be able to explain your actions.

- B.1** I will use my best endeavours and exercise reasonable skill and care in the conduct of my duties.
- B.2** I will avoid any situation that could give rise to suspicion or suggest improper conduct.
- B.3** I will declare any personal interest(s) and manage openly and appropriately any conflicts of interest; I will observe the requirements of our policy on the matter. I will keep my entry in the Register of Interests complete, accurate and up to date. I will make an annual statement to confirm my declarations are accurate.
- B.4** I will not accept any offers of gifts or hospitality from individuals or organisations which might reasonably create – or be capable of creating – an impression of impropriety or influence or place me under an obligation to these individuals or organisations. I will comply with FHA’s policy on Entitlements, Payments and Benefits Policy.
- B.5** I will ensure that, in carrying out my role as a Committee member, I am informed about and take account of the views, needs and demands of tenants and service users.
- B.6** I will ensure that FHA is open about the way in which it conducts its affairs and positive about how it responds to requests for information.
- B.7** I will not prevent people or bodies from being provided with information that they are entitled to receive.

DEALING WITH INFORMATION

- B8.** When handling information, there should be a balance between openness and confidentiality. It is a requirement that certain information is available to members, auditors, and the Regulator(s). You should be aware of these requirements and act accordingly.

Disclosure of information

B.9. In the course of your involvement with Forth you may have access to confidential information about our business, customers, partners, fellow board members/employees and of other organisations. It is forbidden to disclose such information to another party, without first obtaining the written permission of the Management Committee.

Examples of confidential information can include:

- information relating to specific individuals or their financial affairs, including customers, employees and committee members
- details of contracts for the supply of goods or services
- financial statements and business projections
- information concerning the terms of negotiations relating to the acquisition or disposal of property
- marketing plans or strategies,
- new business developments or plans, or business acquisition plans,
- plans to employ new personnel,
- information concerning labour relations, consultations or negotiations with staff,
- information concerning legal proceedings
- items specifically marked "confidential"
- software and computer programmes.

It is your duty to keep all such information confidential. This obligation applies both during the time you are associated with Forth and also after your association ceases.

The permission of the director is also required before confidential correspondence or documents are removed from the work premises.

Social networking

B10. We respect your right to a private life and that includes joining any social sites you wish. However, information posted on such sites is classed as public and not private. You are therefore not allowed to disclose confidential information relating to Forth, its customers, partners, suppliers, committee members, employees, etc; on any social networking sites. It is also prohibited to post any comments on people and events connected to Forth, or make any remarks which could potentially bring Forth into disrepute. Any such actions could result in disciplinary action, including dismissal.

Public statements

B.11 Forth HA has a policy on handling media inquiries (GOV14 Publicity Policy). Committee members and employees must comply with this policy. You are not allowed to publish any material or deliver any lecture or address issues relating specifically to Forth or its business without prior approval. This approval should be requested and given in writing by the Management Committee or appropriate Sub Committee. However, for guidance, you must be aware that your comments on issues which are subject to debate must be limited to professional advice, fact, legal and financial implications. This does not circumscribe your duties and responsibilities but aims to prevent you being considered to be a participant, or biased, in campaigns or politics, which directly affect Forth.

C. Honesty

You must ensure that you always act in the best interests of the organisation and that all activities are transparent and accountable.

- C.1** I will always act honestly and in good faith when undertaking my responsibilities as a Committee member.
- C.2** I will use my experience, skills, knowledge and judgement effectively to support our activities.
- C.3** I will ensure that decisions are always taken and recorded in accordance with our Rules and procedures.
- C.4** I will ensure that FHA has an effective whistleblowing policy and procedures to enable, encourage and support any staff or Committee member to report any concerns they have about possible fraud, corruption or other wrongdoing.⁵
- C.5** I will report any concerns or suspicions about possible fraud, corruption or other wrongdoing to the appropriate senior person within the organisation in accordance with our whistleblowing policy.
- C.6** I will comply with our policies and procedures regarding the use of our funds and resources⁶ and I will not misuse, contribute to or condone the misuse of these resources.
- C.7** We forbid all forms of bribery, meaning a financial or other advantage or inducement intended to persuade someone to perform improperly any function or activity. I will neither accept from nor give bribes or any other inducement to anyone. I will comply with our policy on bribery (Anti-Bribery Policy) and will report any instances of suspected bribery or corruption within the organisation or any of its business partners.
- C.8** I will ensure that neither I nor someone closely connected to me receives or is seen to receive preferential treatment relating to any services provided by the organisation or its contractors/suppliers. I will declare all interests openly and ensure they are effectively managed to demonstrate this.

⁵ These concerns might include, but are not confined to, suspected fraud, dishonesty, breach of the law, poor practice, non-compliance with regulatory requirements, misconduct, breach of this code.

⁶ Resources include people, equipment, buildings, ICT, funds, knowledge, stationery, transport

D. Objectivity

You must consider all matters on their merits; you must base your decisions on the information and advice available and reach your decision independently.

- D.1** I will ensure that the decisions that I take are consistent with our aims and objectives and with the relevant legal and regulatory requirements (including those of the Scottish Housing Regulator, the Office of the Scottish Charity Regulator, the Financial Conduct Authority and the Care Inspectorate).
- D.2** I will prepare effectively for meetings and ensure I have access to all necessary information to enable me to make well-informed decisions.
- D.3** I will monitor performance carefully to ensure that the organisation's purpose and objectives are achieved and take timely and effective action to identify and address any weaknesses or failures.
- D.4** I will use my skills, knowledge and experience to review information critically and always take decisions in the best interests of the organisation, our tenants and our service users.
- D.5** I will ensure that the Committee seeks and takes account of additional information and external/independent and/or specialist advice where necessary and/or appropriate.
- D.6** I will ensure that effective policies and procedures are implemented so that all decisions are based on an adequate assessment of risk, deliver value for money, and ensure the financial well-being of the organisation.
- D.7** I will contribute to the identification of training needs, keep my knowledge up to date, and participate in ongoing training that is organised or supported by us.

E. Integrity

You must actively support and promote our values; you must not be influenced by personal interest in exercising your role and responsibilities.

- E.1** I will always treat my Committee colleagues our staff, our customers and partners with respect and courtesy.
- E.2** I will always conduct myself in a courteous and professional manner; I will not, by my actions or behaviour, cause distress, alarm or offence.
- E.3** I will publicly support and promote our decisions, actions and activities; I will not, by my actions or behaviour, compromise or contradict the organisation, its activities, values, aims or objectives. I will notify the Chair quickly if I become aware of any situation or event that I am associated with which could affect FHA and/or its reputation.
- E.4** I will fulfil my responsibilities as they are set out in the relevant role description(s); I will maintain relationships that are professional, constructive and that do not conflict with my role as a Committee member.
- E.5** I will comply with, support and promote our policies relating to equalities, diversity and human rights as well as uphold our whistleblowing and acceptable use⁷ policies.
- E.6** I will respect confidentiality and ensure that I do not disclose information to anyone who is not entitled to receive it, both whilst I am a member of the Committee and after I have left.
- E.7** I will observe and uphold the legal requirements and our policies in respect of the storage and handling of information, including personal and financial information.

⁷ This relates to the use of ICT, social media and networking, facilities etc., and is specific to each individual RSL.

F. Accountability

You must take responsibility for and be able to explain your actions and demonstrate that your contribution to our governance is effective.

- F.1** I will observe and uphold the principles and requirements of the SHR's Regulatory Framework, and gain assurance that relevant statutory and regulatory guidance and FHA's legal obligations are fulfilled.
- F.2** I will ensure that we have effective systems in place to monitor and report our performance and that corrective action is taken as soon as the need is identified.
- F.3** I will contribute positively to our activities by regularly attending and participating constructively in meetings of the Committee, its Committees and working groups.
- F.4** I will participate in and contribute to an annual review of the contribution I have made to our governance.
- F.5** I will ensure that there is an appropriate system in place for the support and appraisal of our Senior Officer and that it is implemented effectively.
- F.6** I will not speak or comment in public on our behalf without specific authority to do so.
- F.7** I will co-operate with any investigations or inquiries instructed in connection with this Code whilst I am a Committee member and after I have left.
- F.8** I recognise that the Governing Body as a whole is accountable to its tenants and service users, and I will demonstrate this in exercising my judgement and in my decision-making

G. Leadership

You must uphold our principles and commitment to delivering good outcomes for tenants and other service users, and lead the organisation by example.

- G.1** I will ensure that our strategic aims, objectives and activities deliver good outcomes for tenants and service users. I will make an effective contribution to our strategic leadership.
- G.2** I will ensure that our aims and objectives reflect and are informed by the views of tenants and service users.
- G.3** I will always be a positive ambassador for the organisation.
- G.4** I will participate in and contribute to the annual review of the Governing Body's effectiveness and help to identify and attain the range of skills that we need to meet our strategic objectives.
- G.5** I will not criticise or undermine the organisation or our actions in public.
- G.6** I will not criticise staff in public; I will discuss any staffing related concerns privately with the Chair and/or Senior Officer.
- G.7** I will not harass, bully or attempt to intimidate anyone.
- G.8** I will not use social media to criticise or make inappropriate comments about the organisation, its actions or any member of the Committee, staff or other partners.
- G.9** I will not act in a way that could jeopardise our reputation or bring us into disrepute.⁸

⁸ This includes activities on social media, blogs and networking sites.

5. Breach of this Code

5.1 I recognise that each member of the Committee has a personal and individual responsibility to promote and uphold the requirements of this Code. If I believe that I may have breached the Code, or I have witnessed or become aware of a potential breach by another member, I will immediately bring the matter to the attention of the Chair.

6. Acceptance and Signature

I _____ have read and understood the terms of this Code of Conduct and I agree to uphold its requirements in all my activities as a member of our Committee. I am aware that I must declare and manage any personal interests. I agree to review all relevant Registers regularly to ensure that all entries relating to me are accurate. I understand that, if I am found to have breached this Code of Conduct, action will be taken by the Committee which could result in my removal.

Signed _____
Date _____

7.0 Monitoring of the Policy

- 7.1 The Head of Corporate Services will monitor and review at appointment of new members and annually thereafter. A record will be maintained of all members signed code of conduct

8.0 Complaints and Appeals

- 8.1 Forth Housing Association welcomes complaints and positive feedback, both of which provide information which helps us to improve our services.

Appendix 2 outlines the Protocol for Managing an Alleged/Suspected Breach of Code of Conduct.

Furthermore the GOV24 Whistleblowing policy outlines further action on how to report a complaint in regards to breach of code of conduct.

9.0 Equalities

- 9.1 Equality and diversity underpin all our activities and services. When delivering our services, we never discriminate on the basis of sex or marital status, race, disability, age, sexual orientation, language, social origin, or of other personal attributes, including beliefs or opinions such as religious beliefs or political opinions. Full details of our Equalities Policy can be found on our website www.forthha.org.uk or can be obtained from our office.

10.0 Data Protection – Privacy

- 10.1 We recognise the importance of data protection legislation, including the General Data Protection Regulation, in protecting the rights of individuals in relation to personal information that we may handle, use and disclose about them, whether on computer or in paper format. We will ensure that our practices in the handling, use and disclosure of personal information as part of the processes and procedures outlined in this policy comply fully with data protection legislation. More information is available from our Data Protection Officer

11.0 Availability

- 11.1 This policy is available on our website and can be made available in a number of other languages and other formats on request.

12.0 Review

- 12.1 This policy will be reviewed at least every 3 years by the Management Committee and staff are responsible for ensuring that it meets legal and good practice requirements.

Appendix A

Equality Impact Assessment Screening Questions

Committee Code of Conduct

Will the implementation of this policy have an impact on any of the following protected characteristics?

1. Age	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
2. Disability	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
3. Gender reassignment	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
4. Marriage and Civil Partnership	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
5. Pregnancy and Maternity	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
6. Race	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
7. Religion or belief	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
8. Sex	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
9. Sexual orientation	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>

*If you have answered 'Yes' to any of these points, please complete a full Equality Impact Assessment.
If you have answered 'No', you need take no further action in completing an Equality Impact Assessment*

Appendix B

Privacy Impact Assessment Questions

1. A substantial change to an existing policy, process or system that involves personal information	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
2. A new collection of personal information	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
3. A new way of collecting personal information (for example collecting it online)	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
4. A change in the way personal information is stored or secured	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
5. A change to how sensitive information is managed	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
6. Transferring personal information outside the EEA or using a third-party contractor	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
7. A decision to keep personal information for longer than you have previously	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
8. A new use or disclosure of personal information you already hold	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
9. A change of policy that results in people having less access to information you hold about them	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
10. Surveillance, tracking or monitoring of movements, behaviour or communications	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
11. Changes to your premises involving private spaces where clients or customers may disclose their personal information (reception areas, for example)	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

If you have answered 'Yes' to any of these points, please complete a full Privacy Impact Assessment. If you have answered 'No', you need take no further action in completing a Privacy Impact Assessment.

Declaring and Managing Personal Interests

1. Introduction

- 1.1 Being a member of our Governing Body is of course only one part of your life. Other aspects of your life - such as family, friends and neighbours, voluntary work, causes you support, possibly business or financial interests, possibly your own housing arrangements - may have the potential to cross over into your role as a Governing Body Member.
- 1.2 However, as we are an organisation that works for the community and uses public funds, it is essential that there is no conflict - and that there can be no reasonable perception of conflict - between your duties as a Governing Body Member and your personal (or personal business or financial) interests.
- 1.3 Any potential conflict between your position as a member of Governing Body and your other interests must be openly declared and effectively managed so as to protect the good reputation of Forth Housing Association Ltd and the RSL sector.
- 1.4 Where you have a personal business or financial interest in any matter that is relevant to our activities or is being considered (or is likely to be considered) or you know that someone to whom you are closely connected has such an interest, you must declare it promptly and record it in the Register of Interests.
- 1.5 This Appendix gives further guidance on how to declare and manage any personal (including personal business or financial) interests.

2. Examples of interests that must be declared

- 2.1 The following are examples of the kind of interest that you must declare. Please note that this list is not exhaustive, and there may be other interests that you should also declare.
- Tenancy of a property (by you or someone to whom you are closely connected) of which we are the landlord.
 - Occupancy or ownership of a property (by you or someone to whom you are closely connected) which is factored or receives property related services from us.
 - Receipt of care or support services from us.
 - Membership of a community or other voluntary organisation that is active in the area(s) we serve.
 - Voluntary work with another RSL or with an organisation that does, or

is likely to do, business with us.

- Membership of the governing body of another RSL.
- Being an elected member of any local authority where we are active.
- If you purchase goods or services from us.
- If you purchase goods or services from one of our contractors or suppliers.
- Significant shareholding in a company that we do business with.
- Membership of a political, campaigning or other body whose interests and/or activities may affect our work or activities.
- Ownership of land or property in our areas of operation excluding for the purpose of your own residential use (i.e. there is no requirement for you to declare any house in which you currently live).
- Unresolved dispute relating to the provision of services in connection with a tenancy or occupancy agreement or a contractual dispute over the provision of goods or services with us.

2.2 If you are not sure whether a certain matter needs to be declared, you must seek guidance from the Chair or CEO. If doubt remains, the advice would always be to declare the matter.

2.3 You should note that in some circumstances, declaration of an interest may not be sufficient, and that it may be necessary for the organisation to take additional measures to deal satisfactorily with the situation so as to protect the probity and reputations of both yourself and the organisation.

3. Definition of 'close connection'

3.1 Someone 'closely connected' to you includes family members and persons who might reasonably be regarded as similar to family members even where there is no relationship by birth or law.

3.2 As well as considering your own actions, you must be aware of the potential risk created by the actions of people to whom you are closely connected. Who you should consider, and our expectations of you to identify and declare such actions are outlined in Table A on page 15.

Table A

Group	Required Response
<p>Members of your household This includes:</p> <ul style="list-style-type: none"> • Anyone who normally lives as part of your household (whether related to you or otherwise) • Those who are part of your household but work or study away from home 	<p>We expect you to be aware of and declare any relevant actions of all people in your household. You must take steps to identify, declare and manage these.</p>
<p>Partner, Relatives and friends This includes:</p> <ul style="list-style-type: none"> • Your partner (if not part of household) • Your relatives and their partners • Your partner’s close relatives (i.e. parent, child, brother or sister) • Your close friends • Anyone you are dependent upon or who is dependent upon you • Acquaintances (such as neighbours, someone you know socially or business contacts/associates) 	<p>Where you have a close connection and are in regular contact with anyone within this group, we expect you to be aware of and declare any relevant actions. Under these circumstances, you must take steps to identify, declare and manage these actions.</p> <p>Where you do not have a close connection and regular contact with someone in this group, we do not expect you to be aware of or to go to unreasonable lengths to identify any relevant actions. However, if you happen to become aware of relevant actions by such individuals, then these should be declared and managed as soon as possible.</p>

What You Need To Consider

3.3 The following are the relevant actions /involvement by those to whom you are closely connected that you should consider, declare and manage as per our expectations outlined in Table A:

- A significant interest in a company or supplier that we do business with. A

significant interest means ownership (whole or part) or a substantial shareholding in a business that distributes profits, but does not include where an individual has shares in large companies such as banks, utility companies or national corporations, i.e. where owning shares would not give the individual any significant influence over the activities of that organisation.

- Where the individual may benefit financially from a company with which we do business
- Involvement in the management of any company or supplier with which we do business
- Involvement in tendering for or the management of any contract for the provision of goods or services to us.
- Application for employment with us.
- Application to join our Board or any of its subsidiaries
- Application to be a tenant or service user of the organisation
- If they are an existing tenant or service user of the organisation

4. Declaring personal interests

- 4.1 The Committee Members Code of Conduct will be considered annually at the first Committee meeting following the Annual General Meeting and you will be expected to complete a Committee Member's Details & Declarations Form for entry in the Register of Interests at this point.
- 4.2 You must keep your entry in the Register of Interests up to date, add any new interests as soon as they arise, and amend existing interests as soon as any change takes effect.
- 4.3 A situation may arise where you are invited to be present at a meeting where a matter in which you have a personal (or a personal business or financial) interest is discussed. In such cases you must inform the meeting chair at the start of the meeting, or as soon as you become aware that this is the case. You would then be required to leave the meeting for the duration of the particular item. If in any doubt, you should ask the meeting chair or another senior person present for guidance. This applies to all meetings that you attend as a member of our Governing Body – both internal and external.
- 4.4 Any failure to make a complete, accurate and prompt declaration - whether deliberately or through taking insufficient care - will be regarded as a breach of this Code.

Appendix 2

FHA Protocol for Managing an Alleged/Suspected Breach of Code of Conduct

1. Introduction

- 1.1 This protocol will be used by FHA to deal with any alleged breaches of our Code of Conduct for Governing Body Members. It is based on the Model Protocol provided by SFHA.

2. Who is Responsible?

- 2.1 The Chair has delegated authority to deal with all potential breaches of the Code, unless the allegation relates to him/her. In that event, the Vice Chair should take on the responsibilities that the protocol allocates to the Chair. It may be necessary to ask other members of the Committee to take on responsibilities should the allegation relate to both the Chair and Vice Chair.
- 2.2 The Chair should consult with other office-bearers (or members of the Committee to instruct, progress and conclude internal and external investigations carried out in accordance with this protocol.
- 2.3 The Scheme of Delegation identifies who has primary responsibility for overseeing the management of alleged breaches of the Code of Conduct [INSERT RELEVANT SECTION OF SCHEME OF DELEGATION e.g.

Delegated Authority to Oversee Potential Breaches	Any two from the following (must include at least one Committee member
Committee	Chair, Vice-Chair, [other office bearers; nominated members]
Senior Staff	Director, SMT members [corporate / governance staff]

- 2.4 No one who is directly involved in a matter that gives rise to a concern that there may have been a breach of the Code of Conduct should be involved in reviewing or managing/conducting an investigation of the matter. Consequently, it may be necessary to ask other members of the Committee to take on the responsibilities that the Protocol allocates to the Chair and other office bearers.

2.5 The Chair may seek advice from our solicitors in exercising all of the responsibilities associated with this protocol.

3. What Constitutes a Breach?

3.1 A breach of the Code of Conduct is a serious matter. This Protocol is a process that will apply to managing and/or responding to alleged breaches of the Code of Conduct. Breaches can include:

- Conduct by a Committee member during a meeting (which might involve a member being obstructive, offensive or disregarding the authority of the Chair or failing to observe Standing Orders)
- Complaints that the conduct of a Committee Member has failed to meet the requirements of the Code of Conduct; is contrary to FHA's Values, Rules or policies; threatens the reputation of FHA; risks bringing the organisation into disrepute or undermines FHA and/or its people
- Inappropriate behaviour towards colleagues, staff, customers or partners

3.2 Some complaints and/or concerns may relate to relatively minor matters, whilst other may involve more significant issues. Consequently, different approaches are likely to be appropriate, depending on the details of individual circumstances, recognising that it may not always be appropriate to undertake a formal investigation in response to an isolated and/or relatively minor issue.

4. Initial Review to Determine if Further Investigation Required

4.1 When a complaint is received or a concern is raised, consideration should be given as to which is the most appropriate course of action. This may (but may not) require some initial review of the complaint or allegations before concluding on a specific approach. The review should be carried out by those members of the Committee appointed in accordance with 2.2 of this Protocol, with support from the Director if required.

4.2 It may be that such a review concludes that there is no substance to the concern or allegation. Depending on the circumstances, it may be appropriate to report the outcome of such a review to the Committee. This might be the case, for example, if an anonymous complaint is received which cannot be investigated because of a lack of information.

4.3 Anonymous complaints or allegations can be difficult to resolve but, in the event that anonymous information is received or made known, an initial review should be undertaken to establish whether there is the potential for any substance to the concern. If so, an investigation should be undertaken, although it is recognised that it may not be possible to conclude any such

investigation satisfactorily.

4.4 Minor issues, actions or conduct at an internal meeting or event are unlikely to constitute a breach of the Code of Conduct that warrant investigation. The Chair (and other office bearers) should exercise their judgement in determining which of the courses of action set out in this Protocol is more appropriate.

4.5 Two routes are described in this Protocol: Route A and Route B.

4.6 SHR requires that alleged breaches of the Code which are to be investigated under either Route A or Route B must be regarded as Notifiable Events, in accordance with the terms of the SHR's Statutory Guidance. The Chair is responsible for ensuring that the necessary notifications are made to the Scottish Housing Regulator, and that the SHR's requirements (as set out in the relevant guidance⁹) in terms of reporting the outcome of the investigation are met.

5. Route A

5.1 Route A is an internal and informal process to address potential minor breaches. This is intended to be a relatively informal process, used to address e.g. one-off discourtesy at an internal meeting, isolated or uncharacteristic failure to follow policy.

5.2 Alleged breaches that occur during the course of a meeting or other internal event (and which have not happened before) will, unless the Chair believes it to be serious, be dealt with by the Chair of the meeting, either during the meeting/event and/or within 24 hours of the meeting. In these circumstances, the Chair may ask the member to leave the meeting or a vote may be taken to exclude the member from the rest of the meeting.

5.3 After the meeting, the Chair or sub-committee Convenor will discuss such behaviour with the member and may require the member to apologise or take such other action as may be appropriate (Route A). Where the Chair regards such behaviour as being serious, it should be investigated in accordance with Route B as will repeated incidents of a similar nature.

5.4 It may be appropriate for the Chair to record the terms of the discussion in a letter to the Committee member e.g. to confirm the provision of training or support or to record a commitment to uphold a specific policy or to record an apology.

⁹ Scottish Housing Regulator (2019) [Notifiable Events guidance](#)

5.5 It is possible that a concern that it is initially agreed can be addressed via route A ends up being the subject of a formal investigation, if more significant issues emerge, or actions are repeated.

6. Route B

6.1 Route B will involve formal investigation of repeated breaches or an alleged significant/major breach. Investigations may be conducted internally or independently, according to the circumstances and people involved.

6.2 An investigation under Route B will usually be overseen by the Chair and another office-bearer or Committee member.

6.3 The Chair or office-bearer, in consultation with the other office-bearers, will decide whether to instruct an independent investigation or carry out an internal investigation.

6.4 In the event that the Chair or other office-bearer is the subject of a complaint, an independent investigation should be conducted, overseen by the Vice-Chair and another Committee member.

6.5 If the Chair is likely to be involved in an investigation (e.g. as a witness), it will be necessary for the office bearers to consider who should be involved in overseeing the investigation.

6.6 The Director can support the implementation of the Protocol (unless involved in the issue, in which case the role should be assigned to another senior member of staff).

6.7 Our scheme of delegation identifies who has primary responsibility for overseeing the management of alleged breaches of the Code of Conduct (see section 2.3)

6.8 Allegations of a potential breach should normally be made to the Chair or, where the complaint relates to the Chair, to another office-bearer. Where a complaint is made to the Director, the matter should immediately be notified to the Chair.

6.9 Alleged breaches may be the subject of written complaints or allegations; they may also be witnessed by someone. However the alleged breach is identified, the Chair and Secretary should ensure that there is always a written statement of the complaint or allegation that is used as the basis for the investigation. If no written complaint is made, the statement of the matter should be prepared by someone unconnected to the event/situation (e.g. a verbal complaint made by a Committee

member should be recorded by someone who was not present when the issue arose – this could be a member of staff).

- 6.10 The Committee member who is the subject of the complaint/allegation that is to be investigated will be notified in writing of the alleged breach within seven working days, either of occurring or of receipt of the complaint. A Committee member who is subject to an investigation should take leave of absence until the matter is resolved. Rule 37.8 of the 2020 Model Rules contain the provisions to secure this. The letter will inform the Committee member of the nature of the potential breach, the arrangements for the investigation and will advise that leave of absence will be in place for the duration of the investigation. Committee members are expected to co-operate with such investigations¹⁰.
- 6.11 An alleged breach of the Code of Conduct which is being dealt with via Route B will be notified to the Committee, normally by the Chair or Secretary, within seven working days, either of occurring or of receipt of the complaint. The notice (which should be confidential) will not describe the detail of the complaint and will set out the proposed arrangements for investigation, including who will conduct the investigation and which members of the Committee are responsible for its oversight.
- 6.12 The appointment of an external Investigator (when it is decided to be the appropriate response) should be approved by the Committee members responsible for overseeing the investigation.
- 6.13 An internal investigation (when it is decided to be the appropriate response) will be carried out by at least two and not more than three Members of the Committee, who are not responsible for overseeing the investigation. In selecting the Committee members, we will seek to ensure that the investigators represent the profile of the Committee.

7. Investigation Under Route B

- 7.1 The conduct of an investigation should remain confidential, as far as possible, in order to protect those involved (witnesses, complainant(s)) and the Committee member(s) who are the subject of the complaint.
- 7.2 All investigations will be objective and impartial. Investigations will normally be investigated by an independent person, unless it is decided that an internal investigation is appropriate.

¹⁰ Code of Conduct F7

- 7.3 Investigations should not usually take more than six weeks to conclude.
- 7.4 The investigator(s) will be supported by the Director (or other senior member of staff if the Director is involved in the complaint). The Chair and other office-bearer, with any support they feel necessary, will brief the agreed advisor/investigator and then consider their recommendations at the end of the investigation, before reporting to the Governing Body.
- 7.5 All investigations will be the subject of a written brief which sets out the Committee's requirements and which includes the statement of the alleged breach (scope, timescale, reporting requirements, access to information etc.). The brief may refer to any action previously taken that is relevant.
- 7.6 All investigations will include at least one interview with the Committee member who is the subject of the allegation, who will be invited to provide any relevant information. The interview(s) may be conducted face to face or remotely (by telephone or video call). Committee members may be accompanied during an interview by a friend (at their request), as a companion to provide support and not to represent. It is not appropriate for another Committee member to fulfil this role nor is it appropriate for the RSL to meet any costs (other than reasonable expenses as provided for in the relevant policy) in respect of a companion's attendance.

8. Considering the Outcome of the Investigation

- 8.1 The advisor/investigator will normally present their report to the Committee. Before doing so, the report will be reviewed by those overseeing the investigation to ensure that the Brief has been met and that the report is adequate to support the Committee's consideration and decision making.
- 8.2 The Committee member whose conduct is being investigated will not be party to any of the discussions relating to the investigation.
- 8.3 The report will be considered at a meeting of the Committee, which may be called specifically for this purpose. It is the responsibility of the Committee to consider the report and findings from the investigation and to determine:
- Whether there has been a breach
 - How serious a breach is
 - What action should be taken
- 8.4 The Committee will report the findings of the investigation and the proposed action to the member concerned within seven days of the meeting at which the report of the investigation was considered.

9. Action to Deal with a Breach

- 9.1 If, following investigation, a breach of the Code is confirmed, action will be taken in response. This action will reflect the seriousness of the circumstances. It may take the form of some or all of the following:
- A discussion with the member concerned (which may be confirmed in a subsequent letter)
 - advice and assistance on how their conduct can be improved
 - the offer of training or other form of support
 - a formal censure (e.g.in the form of a letter setting out the conclusions, expressing concern and specifying that there must be improvement / no repetition etc)
 - a vote to remove the Member from the Committee
- 9.2 Where, it is concluded that a serious breach has occurred, the Committee may require the member to stand down from their position in accordance with the Rules.
- 9.3 If the Committee proposes to remove a member, following investigation, the member will have the right to address the full Committee before their decision is taken at a special meeting called for that purpose. Any such decision must be approved by a majority of the remaining members of the Committee, in accordance with Rule¹¹ (44.5).
- 9.4 A record of the outcome of an investigation will be retained in the Committee member's file for 12 months.
- 9.5 The outcome of any investigation will be notified to the Scottish Housing Regulator, in accordance with the requirements of the Notifiable Events Statutory Guidance.

10. Definitions

- 10.1 FHA will regard the following actions as a “serious breach” of the Code of Conduct (this list is not exhaustive):
- Failure to act in our best interests and/or acting in a way that undermines or conflicts with the purposes for which we operate.
 - Support for, or participation in, any initiative, activity or campaign which directly or indirectly undermines or prejudices our interests or those of our service users, or our contractual obligations.
 - Accepting a bribe or inducement from a third party designed to influence the decisions we make.
 - Consistent or serious failure to observe the terms of the Code of Conduct.
 - Serious inappropriate behaviour towards a colleague, member of staff, tenant, customer, partner or stakeholder

¹¹ SFHA Model Rules (2020)

Appendix 3: Further Guidance for Governing Body members

Supporting Guidance to the Code of Conduct for Committee Members

This Guidance has been prepared for members of the Committee to support the adoption of our Code of Conduct. All members of the Committee must sign the Code of Conduct when they are elected, co-opted or appointed, and then on an annual basis thereafter. References throughout this Code of Conduct (the Code) to 'we', 'us' and 'our' mean FHA.

We attach the greatest importance to ensuring that high standards of governance and ethical behaviour are demonstrated by all of our people and in all of our activities. Our Code of Conduct sets out the requirements and expectations which are attached to your role as a member of our Committee. You have a personal responsibility to uphold both the spirit and the requirements of our Code.

Our Code of Conduct is an important part of our governance arrangements. It is supported by the Role description which describes your responsibilities as a Committee member and you are responsible for ensuring that you are familiar with the terms of the Code and that you always act in accordance with its requirements and expectations. Committee members must always ensure their actions accord with the legal duties of the RSL and with regulatory guidance. You must also ensure you are familiar with any policies which are linked to this code.

As a Registered Social Landlord (RSL), we are required to adopt and comply with an appropriate Code of Conduct¹². Our Code is based on the Model Code of Conduct produced by the Scottish Federation of Housing Associations (2021), which the Scottish Housing Regulator (SHR) has confirmed fully complies with its regulatory requirements.

You cannot be a member of the Committee if you do not agree to adopt our Code of Conduct. To confirm that you understand its requirements and accept its terms, you must review and sign this Code annually. Our rules state that the Committee can remove a member who fails to sign the Code of Conduct (Rule 44.5.2). It is a regulatory requirement that our rules enable the Committee to take such action.¹³

Each year, following the AGM, Committee members will be asked to sign and date our Code of Conduct to confirm your commitment to the principles, requirements and

¹² Scottish Housing Regulator (2019) Regulatory Framework, [Regulatory Standard 5.2](#)

¹³ SHR Regulatory Framework (2019) Constitutional Standard 19

expectations that it describes and to meet the requirements of our rules. A copy of our Code, showing your signature throughout your membership of the Committee, will be retained by us, in accordance with our Data Protection/Privacy policy.

Our Code of Conduct applies to all elected, appointed and co-opted members of our Committee and its sub-Committees.

Breach of the Code

If a complaint is made or concern is raised that a member of the Committee may have breached any part of our Code, the matter will be investigated in accordance with the Protocol which has been approved by the Committee. The protocol forms part of our governance policies and is accessible [L:\Policies & Procedures\Governance](#)

A potential breach will normally be formally investigated. It is the responsibility of the Chair to decide, in consultation with other office bearers, if an internal or an independent investigation should be conducted.

A Committee member who is the subject of a complaint or concern about a potential breach of our Code is expected to take leave of absence whilst an investigation is carried out: (our Rules allow the Committee to require that this happens)¹⁴. Whilst on leave of absence for this reason, a Committee member is not entitled to receive any papers or correspondence (other than in relation to the investigation) or to take part in any meetings in their role as a Committee member. The requirements of our Code of Conduct continue to apply throughout the term of the leave of absence.

A serious breach of our Code may result in action being taken by the Committee to remove the member(s) involved. This is a serious course of action which is provided for in our rules¹⁵. It requires a majority of Committee members who attend a special meeting of the Committee to support a resolution to remove the member because of their failure to comply with the requirements of the Code or our rules, policies or standing orders. If a Committee member is removed as a result of such a resolution, or resigns, having been notified of the Committee's intention to consider such a resolution, they cannot be re-elected or appointed or co-opted to the Committee during the subsequent five year. A Committee member who has been removed cannot be elected, appointed or co-opted to the governing body of another RSL during the same period¹⁶.

¹⁴ Rule 37.8

¹⁵ Rule 44.5

¹⁶ Rule 43.1.5 / 43.1.5 /43.1.7

