

REGULATORY STANDARD 5: The RSL conducts its affairs with honesty and integrity.					
No.	Guidance	Met?	Compliance Evidence – and what contributes to compliance	Additional Actions Required for Compliance	Further Suggestions for Improvement
5.1	The RSL conducts its affairs with honesty and integrity and, through the actions of the governing body and staff, upholds the good reputation of the RSL and the sector.	Yes	<p>Adherence to Rules. Organisational values. Compliance with regulatory guidance and standards. Codes of conduct – signed annually. Standing orders. Ensuring returns accurate and timely. Take external advice as required. Open and transparent. Active customer and resident forum reviewing work and holding to account. Reporting framework and audit trails. Internal audit. Annual independent committee governance review. Staff appraisal system. Behaviours Framework. Publishing outcomes and updates – publication of minutes, newsletters, annual report etc. Wider sector networking. Chair writing to committee if not meeting requirements. Standing orders – committee structure, responsibilities and delegated authorities. Committee structure annual review. Committee & staff induction processes. Role description for governing body members and office bearers. Governing body members guide. Members of external sector bodies. External accreditations.</p>		

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			Standard item on Committee meeting agendas regarding Declarations. Whistleblowing Policy Entitlements, Payments and Benefits Policy and reporting register. PR – e.g. speaking at conferences, promoting PHA, etc		
5.2	The RSL upholds and promotes the standards of behaviour and conduct it expects of governing body members and staff through an appropriate code of conduct. It manages governing body members' performance, ensures compliance and has a robust system to deal with any breach of code.	Yes	Minutes of meetings with action points and tracker report. Committee member code of conduct follows SFHA model (approved by SHR). Policies and procedures. Committee member role description. Staff job descriptions. Standing orders. Entitlements, payments and benefits policy. Committee and staff recruitment and induction processes. Staff member code of conduct follows SFHA/EVH model. Codes reviewed and signed annually. Actively manage declarations and register of interest. Signed declarations for staff and committee.		

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			Annual independent committee governance appraisal review. Staff appraisal and support system (SDPRs and 121s). Internal audit. Use of models documents amended to be appropriate. Behaviours Framework. Actively manage rules requirements.		
5.3	The RSL pays due regard to the need to eliminate discrimination, harassment and victimisation, and advance equality of opportunity and human rights, and foster good relations across the range of protected characteristics in all areas of its work, including its governance arrangements.	Yes	Equality and Diversity policy and processes. Equality monitoring and review. Systems to reduce access issues – Happy to Translate (HTT), accessibility to services/premises, hearing loop system etc. Encourage community participation. Policies and procedures and regular reviews. Hate crime reporting. Equality Training – staff and committee. Work with GCIL/Stewart Montgomery. Recruitment Processes. Accessible Offices & Services. Equality Impact Assessments. Equality Strategy Action Plan Dignity at Work Policy		
5.4	Governing body members and staff declare and manage openly and appropriately any conflicts of interest	Yes	Codes of conduct for staff and committee – signed annually		

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	and ensure they do not benefit improperly from their position.		<p>Codes reviewed and re-signed annually.</p> <p>Entitlements, payments and benefits policy.</p> <p>Actively manage declarations and register of interest.</p> <p>Conflict, eligibility and register of interest declarations standard CoM meeting agenda item and recorded in minutes.</p> <p>Annual declarations.</p> <p>Supplier reviews and details updated.</p> <p>Recruitment processes.</p> <p>Annual reviews and ongoing management.</p> <p>Internal audit.</p> <p>Training.</p> <p>Audit trails of decisions.</p> <p>Gifts & Hospitality Register with reporting to CoM.</p>		
5.5	The governing body is responsible for the management, support, remuneration and appraisal of the RSL's senior officer and obtains independent, professional advice on matters where it would be inappropriate for the senior officer to provide advice.	Yes	<p>Full membership of EVH – pay scales and terms & conditions.</p> <p>Options appraisal at senior officer change.</p> <p>Use of external recruitment for senior officer position.</p> <p>External advice sources – EVH, Solicitors, Internal and External auditors, SFHA etc.</p> <p>360 appraisal and reviews.</p> <p>Independent good practice training.</p>		

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			6 monthly Senior Officer Appraisal by Office Bearers reported to CoM. Independent Advice on pensions & LTP review. EVH Senior Officer job evaluation review. Whistleblowing Policy Procedure for Handling a Serious Grievance against Director Monthly 121 between Senior Officer and Chair.		
5.6	There are clear procedures for employees and governing body members to raise concerns or whistleblow if they believe there has been fraud, corruption or other wrongdoing within the RSL.	Yes	Whistleblowing policy & procedures. SHR guidance. Notices/leaflets in office. Training. Fraud and Bribery Policy. Fraud Register. Handling a Serious Grievance against Director - Policy and Procedure. Internal and external audit review of controls. Reminders to staff and committee about whistleblowing and reporting suspected fraud and/or bribery.		

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5.7	Severance payments are only made in accordance with a clear policy which is approved by the governing body, is consistently applied and is in accordance with contractual obligations. Such payments are monitored by the governing body to ensure the payment represents value for money. The RSL has considered alternative to severance, including redeployment.	Yes	Severance and Settlement Agreements Policy. EVH Terms and Conditions of employment. Financial payment audit trails. Internal and external audit. No settlement agreements since present Director in post – April 2014.		
5.8	Where a severance payment is accompanied by a settlement agreement the RSL does not use this to limit public accountability or whistleblowing. The RSL has taken professional legal advice before entering into a settlement agreement.	Yes	Severance and Settlement Agreements Policy. EVH Terms and Conditions of employment. Financial payment audit trails. Internal and external audit. No settlement agreements since present Director in post – April 2014. DPO Services.		