



# Group Policy: Entitlements, Payments & Benefits Policy

Policy Owner: Director of Group Services

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Approval Body: RCH Group Board

Approval Date 7<sup>th</sup> February 2023

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## 1. Introduction

### Who the Policy Affects

1.1 This policy is aimed at:

- All members of our Board and of the Board of any of our subsidiaries
- Everyone who works or volunteers for us or any of our subsidiaries

1.2 For the remainder of this policy the above will be referred to as “our people.”

### About This Policy

1.3 We are a Registered Social Landlord (RSL) and a Scottish Charity. We are part of a sector that has a strong reputation for integrity and accountability: to the people we exist to help our Regulators, partners and funders. We must ensure that our organisation upholds its reputation and that of the sector. Our people cannot benefit inappropriately from their connection to us.

1.4 This policy describes the entitlements, payments and benefits that our people are able to receive. It also describes what is not permitted and the arrangements that we have in place to ensure that the requirements of this policy are observed.

1.5 The Scottish Housing Regulator (SHR) requires us to have a policy that sets out what payments and benefits we permit and to ensure that these arrangements demonstrate transparency, honesty and propriety<sup>1</sup>. We must ensure there is no justifiable public perception of impropriety. This policy is based on the Scottish Federation of Housing Association’s (SFHA) Model Entitlements Payments and Benefits Policy, which the SHR have confirmed meets their regulatory requirements.

1.6 As we are a Scottish Charity, all of our Governing Body Members must also ensure that they comply with the Office of the Scottish Charity Regulator (OSCR) guidance to Charity Trustees<sup>2</sup> and charity legislation.

1.7 This Policy is intended to be a practical document that supports us in meeting all of the above requirements, ensuring that none of our people benefits (or is seen to benefit) improperly or inappropriately from their involvement with us, but also that they are not unfairly disadvantaged. We expect our people to act in good faith, and in applying the terms of the policy we will always take this into account.

1.8 As someone who is affected by this policy, you are personally responsible for ensuring that you are familiar with and comply with its terms<sup>3</sup>.

1.9 At all times, we expect a common-sense approach to be applied to the interpretation and application of this policy. If you are unsure about anything relating to entitlements, payments and benefits you should consult with the

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<sup>1</sup> Scottish Housing Regulator (February 2019) [Regulatory Framework Standard 5.4](#)

<sup>2</sup> Office of the Scottish Charity Regulator (2017) [Guidance for Charity Trustees](#)

<sup>3</sup> Code of Conduct for Board Members; Code of Conduct for Staff

Chair or CEO (if you are a member of the governing body) or with your line manager (if you are a member of staff).

### What this Policy Covers

1.10 This policy covers:

- Managing Your Interests
  - Registering and Declaring Interests
  - Entitlements, Payments & Benefits
- People Connected to You
  - Who Else You Should Consider When Declaring Interests
  - What You Should Consider
- Use of Our Contractors/Suppliers by Our People

### Other Relevant Policies

1.11 The Code of Conduct is linked to this policy. Failure to comply with the terms of this policy may be regarded as a breach of the Code of Conduct.

1.12 You are also required to be familiar with and observe the terms of our Anti-Bribery and Fraud policy. We prohibit any attempt to induce the organisation or our people to offer preferential services or business terms and we will at all times comply with the Bribery Act 2010.

1.13 Our policies and procedures relating to the following are also relevant to this document and must be complied with at all times:

- Code of Governance
- Allocations
- Repairs and Maintenance
- Adaptations
- Procurement
- Training
- Expenses
- Recruitment
- Sale/Disposal of our Property
- Fraud and Bribery

Please note that this list is not exhaustive and you are required to comply with all of our policies and procedures.

1.14 Sponsorship and Donations Guidance is attached at Appendix B.

## 2. Managing Your Interests

### Registering and Declaring Interests

2.1 In order to protect our reputation and demonstrate that we conduct our affairs with openness, honesty and integrity, we maintain a Register of Interests. You must record in this register any interests that you or someone connected to you (see Section 3) has which are relevant to our business and /or our activities. You will be required to maintain the accuracy of the interests you declare and to confirm annually that your entry is accurate and up to date.

- 2.2 Where you have an interest in any matter that is being discussed or considered, including at a meeting, you must declare your interest and play no part in the consideration, discussion and decision-making; you must withdraw from any part of a meeting where the interest arises and play no part in the discussion. Our Articles of Association require that any Board member who has an interest in a matter that is being considered withdraws from all discussions and plays no part in decision-making<sup>4</sup>
- 2.3 The Codes of Conduct which our Board and staff are required to uphold contain requirements about Declaring Interests that you should comply with at all times.
- 2.4 An annual report will be made to our Board on the entitlements, payments, benefits that have been recorded in the Register(s) by our people.
- 2.5 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 of which we are the landlord.
  - Occupancy or ownership of a property 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 (see section 4).
  - Significant shareholding in a company that we do business with (or are considering doing business with).
  - Membership of any other body whose interests and/or activities may directly affect our work or activities.
  - Ownership of land or property in our areas of operation. This excludes property for the purpose of your own residential use (i.e. there is no requirement for you to declare any house in which you

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<sup>4</sup> River Clyde Homes Articles of Association – Article 52

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.

2.6 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.

2.7 The Declaration of Interest Procedure and Approval Process outlined at Appendices C and D respectively must be adhered to.

### Entitlements, Payments and Benefits

2.8 Many of the interests you will be required to declare can be classed as entitlements, payments or benefits.

2.9 As one of our people, you potentially could be offered benefits over and above that to which you are entitled (as a result of policy or contractual terms), such as gifts or hospitality from external parties. Such offers would be as a direct result of you being one of our people and cannot always be accepted. We require that any such offers are managed and recorded very carefully to ensure the highest levels of probity in our organisation. Our people should not benefit – or be seen to benefit – inappropriately from their involvement with us.

2.10 Apart from payments that our people are entitled to by contract, statute, policy or other agreement (e.g. salary, expenses), we will only make a payment to, or accept a payment from, someone affected by this policy in exceptional circumstances. Appendix A explains the payments we can and cannot make in more detail.

2.11 As we contribute to the economy(ies) of the area(s) we work in and we have commercial and business relationships with many different companies, contractors, suppliers and service providers, you must ensure that we are fully aware of any connection that you or someone you are close to (see section 3) has with any of these businesses or organisations.

2.12 Some entitlements, payments and benefits we can never permit, and others we have additional requirements or conditions that must be met before we can permit.

2.13 Appendix A lists the entitlements, payments and benefits that fall under this policy, and states:

- Which could be permitted by the organisation
- Which will never be permitted by the organisation
- Which you require to declare in the register of interests
- Any other further requirements the organisation has before permitting

### 3. People Connected to You

#### Who Else You Should Consider When Declaring Interests

3.1 Someone ‘closely connected’ to you includes members of your household, family members and other relatives and your friends.

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 below. If you are in any doubt about whether or not a declaration is required, you should consult the Chair, CEO or, for staff, your line manager.

**Table A**

Group	Required Response
<p><b>1. Members of your household</b></p> <p>This includes:</p> <ul style="list-style-type: none"> <li>• Anyone who normally lives as part of your household (whether related to you or otherwise)</li> <li>• Those who are part of your household but work or study away from home</li> </ul>	<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><b>2. Partner, Relatives and friends</b></p> <p>This includes:</p> <ul style="list-style-type: none"> <li>• Your partner (if not part of household)</li> <li>• Your relatives and their partners</li> <li>• Your partner’s close relatives (i.e. parent, child, brother or sister)</li> <li>• Your friends</li> <li>• Anyone you are dependent upon or who is dependent upon you</li> </ul>	<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 (please be aware that this list is not exhaustive or exclusive):

- A significant interest in a company or supplier that we do business with (or are considering doing 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 (or are considering doing business with)
- Involvement in the management of any company or supplier with which we do business (or are considering doing business with)
- 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 River Clyde Homes or any of its subsidiaries

## 4. Use of Our Contractors & Suppliers

4.1 In order to help us maintain our excellent reputation, where possible you should avoid using the organisation's contractors/suppliers for your own personal purposes. We have made a list available to all of our people which outlines the contractors and suppliers that fall under the terms of this policy. This list is available by clicking the following link: [Supplier List](#)

4.2 We recognise that there could be certain circumstances where it might not be possible for you to avoid the use of all the contractors/suppliers on this list, such as where market conditions in your local area make it difficult to obtain a reasonable selection of potential contractors or suppliers. Under such circumstances you could be permitted to use those contractors/suppliers outlined in the link above provided you are able to demonstrate that you received no preferential treatment in terms of price, quality or any other aspect of service delivery due to your involvement with us.



- 4.3 Approval to use those contractors outlined in the link above at the discretion of the approving officer (in accordance with our scheme of delegation). In order to be granted approval, you will be required to demonstrate that there is no reasonable alternative contractor/supplier providing the service required in your local area, and that you will receive no preferential treatment in terms of service or cost (which you will be required to demonstrate through quotations and receipts)
- 4.4 If you are looking to purchase goods or services from any contractor/supplier on this list then you must make a declaration in the register outlining:
- That you have received approval from the appropriate approving officer prior to the commencement of works
  - That you received no preferential treatment in terms of service or cost (which you will be required to demonstrate through quotations and receipts).
  - Where you inadvertently use a contractor on the list outlined in the link above in an emergency situation, you must notify the approving officer as quickly as possible thereafter and enter an appropriate declaration in the register.
- 4.5 Any contractor/supplier not included on the list at outlined in the link above can be used without the need for any declaration/further action. The Suppliers List link above represents the majority of the contractors/suppliers that we use, but does not include any of our contractors/suppliers that:
- Only provide services of a small value (e.g. local window cleaners or sandwich shops) or
  - Have such a large national or local standing that no favour could ever realistically be gained (e.g. Amazon, utilities, BT, banks or national chains)
- 4.6 The approving officer will have an appropriate level of seniority, in accordance with our scheme of delegation. In making their decision, the approving officer will consider the level of potential reputational risk or any potential conflicts of interest that may arise by granting approval and, if granting approval, consider the steps required to mitigate against future conflicts of interest. This includes ensuring that the individual is not involved in any transactions with or decisions about the contractor/supplier in question on behalf of the organisation.
- 4.7 River Clyde Homes will maintain a clear audit trail of every approval to use any of our contractors outlined in the link above. The total number of our people to use contractors and suppliers, including the reasons for approval, and confirmation that no advantage was gained due to an individual's role within the organisation - will be formally reported annually to our Board.

## 5. Equality, Diversity and Inclusion

- 5.1 The RCH Group will apply this policy fairly and consistently. In implementing this policy, we will not directly or indirectly discriminate against any person or group of people because of their race, religion or belief, gender, disability, age, sexual orientation, or any other grounds. Our commitment to equality and

fairness will apply irrespective of factors such as age, disability, gender reassignment, marital or civil partnership status, pregnancy or maternity, race, religion or belief, sex, sexual orientation, or other personal attributes

## 6. Review

- 6.1 This policy has been approved by our Board and is based on the Model published by the SFHA. It is consistent with our Articles of Association and the requirements of our Codes of Conduct for Board members and for Staff. These Codes have been confirmed by the Scottish Housing Regulator as meeting their regulatory requirements.
- 6.2 This policy was adopted by our Board on \_\_\_\_\_ It will be reviewed not later than \_\_\_\_\_

Appendix A – Entitlements, Payments and Benefits

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
<b>HUMAN RESOURCES AND RECRUITMENT</b>		
<p>All entitlements arising from your contract of employment with us or one of our subsidiaries, including (but not restricted to):</p> <ul style="list-style-type: none"> <li>• Payment of salary to staff</li> <li>• access to car or travel loans or salary advances where specified in the employment contract;</li> <li>• pension and/or private health care provided as part of the remuneration package;</li> <li>• performance related pay or bonus awarded in accordance with contractual terms;</li> <li>• books and equipment in connection with employment or training in accordance with agreed policies and/or contractual terms</li> <li>• Reimbursement of professional fees</li> </ul>	<p>Yes</p>	<p>Any entitlement in the terms of your contract is always permitted without the need to record in the register of interests. There are Human Resource processes in place for this purpose.</p>

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
Payment to a member of the Board for their role as a Board member, in accordance with the terms of their letter of appointment	Yes	Such payments will only be permitted if they are in accordance with the conditions set out in Section 67(3) of the Charities and Trustees Investment (Scotland) Act 2005 <sup>5</sup>  The Payment must be approved by the Board.  The payment must be recorded in the register of interests within five days of the appointment being confirmed and the register must be kept up to date.
All payments made in accordance with the terms of our expenses policy including: <ul style="list-style-type: none"> <li>• payment of permitted out of pocket expenses</li> <li>• reimbursement of travel costs</li> </ul>	Yes	Entitlements in connection with your role as one of our people set out in our expenses policy are always permitted and do not need to be declared provided claims are made in accordance with our procedures.
Provision of a loan by the organisation to one of our people	No	This is not permitted unless in connection with the contractual terms of employment. We cannot make any other loans to individuals.
Redundancy or Voluntary severance payment to an employee	Yes	We can make redundancy payments to an employee in line with terms their contract  Or

<sup>5</sup> Legislation.Gov.Uk (2005) Charities and Trustees Investment (Scotland) Act 2005 Section 67 (3) available [here](#)

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
		<p>We can make a voluntary severance payment to an employee which is outside the terms of their contract of employment provided:</p> <ul style="list-style-type: none"> <li>• It arises directly from a decision to terminate the employee's contract of employment</li> <li>• Payment is approved by the Board</li> <li>• That the total sum of the non-contractual payment and benefit does not exceed, in the opinion of our employment adviser, the total cost of a successful application by the employee to a Court or Tribunal (including the likely level of compensation that might be awarded by a court or tribunal and associated costs to the organisation to participate in the tribunal)</li> <li>• Payment does not exceed the equivalent of one year's salary for the employee</li> <li>• That this payment is instead of (rather than additional to) any redundancy entitlement</li> </ul>
An offer of employment (temporary or permanent) to someone who is closely connected to a member of staff	Yes	<p>This is permitted as long as:</p> <ul style="list-style-type: none"> <li>• There has been an open recruitment exercise in accordance with our policy that you have not played any part in and</li> <li>• You have no direct or indirect line management or supervision responsibility for the post and</li> <li>• The offer of employment complies with our policy and is approved by the relevant Director(s) and</li> </ul>

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
		<ul style="list-style-type: none"> <li>You record your connection to the successful applicant in the register within five days of their acceptance of the offer.</li> </ul>
The offer of employment or contract for the provision of services (e.g. specialist advice) to someone who is, or has been in the last twelve months, a member of our Board or to anyone who is related to a member of the Board	No	This cannot be permitted.
Appointment of one of our staff members to the Board	Yes	This can be permitted in accordance with the Articles of Association.
Nominations to join the Board from people who are connected to a serving member.	No	This cannot be permitted in accordance with the Articles of Association.
<b>OUR PEOPLE AS TENANTS OR SERVICE USERS</b>		
The offer of a tenancy or lease in one of our or any of our subsidiaries' properties to one of our people or to someone closely connected to them.	Yes	<p>This is permitted as long as</p> <ul style="list-style-type: none"> <li>it is in accordance with our published allocations policy <b>and</b></li> <li>Neither the applicant or anyone connected to the applicant is involved in any way or in any part of the allocation process <b>and</b></li> <li>The offer is approved by the Governing Body in advance <b>and</b></li> <li>The tenancy is recorded as an interest in the appropriate register within five days of the tenancy commencing</li> </ul>

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
<p>Where one of our people (or someone connected to one of our people) is a tenant and receives a repair, improvement or adaptation to their home</p>	<p>Yes</p>	<p><b>Repairs</b> carried out in accordance with our policy do not need to be recorded.</p> <p><b>Adaptations</b> must comply with our policy and be approved by the Head of Customer Services. The adaptation should be recorded in the register of interests within five days of approval.</p> <p><b>Improvements</b> must be carried out as part of an approved programme and in accordance with our policy. The person affected should declare their interest if/when the programme is being discussed and the improvement recorded in the register of interests within five days of completion</p>
<p>Where one of our people (or someone connected to one of our people) is a tenant and receives payment of a decoration allowance, tenant reward/incentive as part of an agreed scheme or prize.</p>	<p>Yes</p>	<p><b>Payment of decoration allowances or incentive/reward payments</b> must be made in accordance with our policies and procedures and recorded in the register within five days of receipt.</p> <p><b>Prizes or awards</b> in competitions open to all tenants in the same community (e.g. garden competitions) can only be given if the selection process for giving the award/prize has been carried out by someone who is independent. Receipt of the award and the circumstances surrounding it must be recorded in the register within five days of receipt.</p>

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
<b>TRAINING AND EVENTS</b>		
Attendance at training events or seminars (e.g. SFHA Conferences) or openings/similar events hosted by other RSLs	Yes	There is no requirement to declare and record in the register of interests.
The organisation paying for accommodation in connection with attendance at relevant conferences or events that you are attending on behalf of or in connection with your role with us or our subsidiaries	Yes	<p>Accommodation that is part of a conference or training package does not need to be recorded in the register, but attendance will be recorded on the relevant individual training plan.</p> <p>Residential conferences are important in ensuring that our people have the necessary skills, knowledge and experience to make an effective contribution to our activities.</p>
Attendance by you at events to mark awards, achievements or other significant milestones relevant to our business.	Yes (where total cost does not exceed £500)	<p>The Board must approve attendance in advance, and will only do so if:</p> <ul style="list-style-type: none"> <li>• The organisation or one of our people (because of their role with us) has been nominated for an award; or</li> <li>• attendance is in recognition of achievement of or in pursuit of appropriate business development; or</li> <li>• we can demonstrate that attendance or participation is directly related to furthering our aims and objectives.</li> </ul> <p>Where we ask you to represent us at such an event, this should be recorded in the register along with any associated costs (including travel, accommodation and the costs of attendance at the event) within five days of attendance.</p>



EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
		<p><b>The total cost should not exceed £500 per person and we will make all arrangements in advance.</b></p> <p>Where costs would exceed £500, you will not be permitted to attend unless there is a clear, viable business case for attending. In such a case, specific approval of the Board would be required.</p>
Nominating a member of staff, Board Member, Customer or external body or colleague for an award.	Yes	The Nominations Proposal Form at appendix F must be completed and presented to the Executive Leadership Team (ELT) for approval <b>prior to</b> submitting a nomination to the awards body.
<b>GIFTS AND HOSPITALITY</b>		
Gifts received from tenants and external sources	Yes (not exceeding a value of £60)	<p>Small gifts (e.g. a box of chocolates, pens, folders, paperweights, flowers) can be accepted if:</p> <ul style="list-style-type: none"> <li>• the cumulative value of gifts received from the same source in a 12 month period does not exceed £60</li> <li>• you do not receive more than two such gifts from the same source in a 12 month period</li> <li>• you record receipt of the gift(s) in the register</li> </ul> <p>You should not normally accept other gifts and should decline any gifts with a value of more than £60 unless to do so would cause offence or otherwise damage our reputation. In these cases you must:</p>

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
		<ul style="list-style-type: none"> <li>• Advise the donor that the gift will be donated to charity or will form part of our annual charity fund raising activities</li> <li>• Record the gift and the action taken in the register within five days</li> </ul> <p>You should not regularly accept gifts from the same source and never more than twice from the same source within a 12 month period. The total cumulative value of gifts received from the same source over the course of a year must never exceed £60.</p> <p>You should also record any offers that you decline and the reasons for this, in the register within five days.</p>
<p>Gifts given from us to one of our people or received by one of our people from external sources to mark special occasions.</p>	<p>Yes (not exceeding a value of £100)</p>	<p>Gifts from the organisation to our people can be permitted in cases where it is to mark a special occasion or significant events including:</p> <ul style="list-style-type: none"> <li>• Family events (e.g. marriage, milestone birthday, birth of a child),</li> <li>• Retirement</li> <li>• Leaving the organisation</li> </ul> <p>These must be recorded in the relevant register and the value of such gifts will not normally exceed £100.</p> <p>Please note, that this does not include collections by our people using their own personal funds to mark special occasions. These are always permitted with no requirement</p>

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
		to declare. For staff, contractual terms may be in place that dictate the value of any gift upon retirement/long service.
Hospitality associated with our business and that of its partners	Yes (when not exceeding a value of £60)	<p>Modest hospitality, such as a sandwich lunch or networking event, is permitted and does not need to be recorded</p> <p>All other hospitality up to a value of £60 is permitted but must be recorded in the register, along with an estimation of the value of hospitality received, within five days of attendance.</p> <p><b>You should not accept invitations with a value that is greater than £60, unless you have prior approval from the Board. The type of hospitality offered will also be taken into consideration, e.g. we will not normally accept invitations to sporting events, concerts, golf tournaments etc.</b></p> <p>In this case, the reason for acceptance must also be included in the register and countersigned by Director of Group Services.</p>
Our people seeking donations from our contractors/suppliers when fundraising for charity	Yes	<p>This is permitted provided:</p> <ul style="list-style-type: none"> <li>• Approval is gained from a member of the Senior Leadership Team prior to making any approach</li> <li>• Any donations received are recorded in the register</li> </ul> <p>We recognise our social responsibility and promote charity fundraising by the organisation and our people. We have a</p>

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
		separate policy that sets out our approach to supporting other charities.
Sponsorship or donations made by RCH or any of its subsidiaries	Yes	This is permitted provided the guidance attached at Appendix B is followed.
<b>PROCURING GOODS/SERVICES</b>		
Sale of our interest (whole or part) in a property to someone affected by this policy via LIFT, HomeBuy; Help to Buy or other LCHO scheme	Yes	<p>This is permitted, provided:</p> <ul style="list-style-type: none"> <li>• Our policy and procedures are followed</li> <li>• The prospective purchaser should play no part in the processing of the transaction by the organisation</li> <li>• It is declared and recorded in the register within five days of the missives being concluded confirming the process followed.</li> </ul>
The organisation entering into a contract with an organisation where one of our people, or someone connected to them, has significant control.	No (in almost all cases)	<p>This is not permitted in almost all circumstances. We could only consider this where:</p> <ul style="list-style-type: none"> <li>• The person affected by this policy is not involved in any part of the procurement process or decision</li> <li>• The appointment is approved by the Governing Body which is satisfied that the appointment is reasonable in the circumstances</li> <li>• There is no reasonable alternative (e.g. because of geography or the specialist nature of the goods/services)</li> </ul>

EXAMPLE	CAN THIS BE PERMITTED?	FURTHER ACTION NECESSARY BEFORE THIS WILL BE PERMITTED?
		In such rare circumstances, the appointment would be recorded in the register along with details of the process followed.
The purchase of land or other assets from anyone who is, or has been in the last twelve months, one of our people or who is connected to one of our people	No (in almost all cases)	<p>This cannot be permitted in almost all cases.</p> <p>The only exception would be if you were referred to us under the Scottish Government's Mortgage to Rent scheme, where this would be permitted provided:</p> <ul style="list-style-type: none"> <li>• Our policy and procedures are followed</li> <li>• The prospective seller plays no part in the decision to purchase the property or the processing of the transaction by the organisation</li> <li>• It is declared and recorded in the register within five days upon conclusion</li> </ul>
The purchase of goods/services from our suppliers/contractors by one of our people	Yes	This should normally be avoided, and will only be potentially permitted if the procedure identified in Section 4 is followed

## Appendix B – Sponsorship and Donations Guidance

1. Annually the Board will set a budget for sponsorship and donations. Sponsorship or donations up to the value of £5,000 can be authorised by the Chief Executive. Where the value exceeds £5,000, the prior approval of the Board will be sought. All donations and sponsorships granted must be in line with all relevant Association and Group policies.
2. The RCH Group will seek to sponsor voluntary organisations such as clubs or community groups in the local communities where we have properties and where the wider community will benefit from sponsorship of the club or community group.
3. Sponsorship may be in the form of money, purchase of equipment or advertisement. The RCH Group will accept no liability for the upkeep, disposal or replacement of any equipment which has been grant funded.
4. The RCH Group will not normally consider requests for ongoing sponsorship or financial support. Grant and sponsorship requests therefore will normally be limited to a maximum of one per three-year period to individual organisations.
5. Applications will not be considered from voluntary organisations whose purpose is political, or where the request is to be applied for political purposes; where the grant would be applied for purposes which the RCH Group deems to be non-charitable in nature; or where the RCH Group considers the organisation not to be viable or unlikely to be operating in the short term future.
6. There are circumstances in which the RCH Group may wish to sponsor an event such as a conference, or seminar or other item such as a calendar, information leaflet, newsletter or similar publication. Such opportunities will be considered on a case by case basis, and in accordance with the delegated authority arrangements outlined above.
7. Similarly, the RCH Group will also consider sponsorship of individuals taking part in a fundraising event, where this is for a recognised charity, and donations to recognised charities, local groups or community groups. Again, such requests will be considered on a case by case basis, and in accordance with the delegated authority arrangements outlined above.
8. When considering grant and sponsorship requests, the voluntary organisation making the request, where deemed relevant by the Association, will be asked to provide any further supporting information. It may also be asked to attend a meeting. This will allow the RCH Group to satisfy itself where required of the details of the proposal. The RCH Group where possible will also be able to signpost or assist in providing further information on alternative funding sources. Any opportunities for good publicity for the RCH Group and/or the voluntary group will also be considered.

9. Records of grants and sponsorships approved will be included in the Sponsorship and Donations Register. Arrangements will be made for the Chair to review the register twice a year. An overview of grants and sponsorships made will be provided for the Board in the Annual Governance report.

## Appendix C – Declaration of Interest Procedure

Declarations of interest (DOI) can be raised by RCH employees, Board Members, prospective employees / Board Members or involved customers. The procedures below outline the different types of DOI and how they should be managed.

### **ANNUAL DECLARATION OF INTEREST PROCESS - STAFF**

1. As part of their annual appraisal, staff will be asked to complete a Declaration of Interest Form as found below. This will be an electronic form and there will also be a link to the current suppliers list, so that staff, when completing the form, can ensure that they declare their interest in any of our known suppliers.
2. Once staff have completed the form, it will be reviewed by their line manager, and if there are any pre-existing declarations of interest noted on the form (i.e. those which have already been authorised), the manager will note any steps which are being taken to ensure this interest is managed.
3. Completed forms will be forwarded to the Governance Team.
4. The Governance Team will then ensure that all declarations of interest are recorded on the Declaration of Interest Register.

### **ANNUAL DECLARATION OF INTEREST PROCESS – BOARD MEMBERS**

1. On an annual basis, usually at the time of the Annual General Meeting, the Governance Team will issue a request to all Board Members to complete a Declaration of Interest Form. At the same time as issuing the form, the Governance Team will include a link to the contractors and suppliers list, so that Board Members, when completing the form, can ensure that they declare their interest in any of our known suppliers.
2. Once Board Members have completed their section of the form, the forms will be handed back to Governance Team and collated.
3. The Chair of the Board will review all Board Member forms, and if there are any declarations of interest noted on the form, the Chair will note any steps which are being taken to ensure this interest is managed, will sign off and return to the Governance Team.
4. The Governance Team will then ensure that all declarations of interest are recorded on the Declaration of Interest Register



## DECLARATION OF INTEREST PROCEDURE – FROM JOB APPLICANTS

1. On the front of the application form, new job applicants are asked to declare any interest if they are in close relationship with a current member of staff, a Board Member, or they receive services from RCH.
2. The Human Resources Team should check applications to ensure that any DOIs are highlighted at the shortlisting stage, so that if there are any major concerns, these can be addressed alongside the interview process.
3. If the job applicant is interviewed and becomes the preferred candidate for the role, the Human Resources Team should follow the DOI Process. This will ensure that approval is given to their appointment and consideration is given to how we will manage any conflict of interest.
4. If the DOI is approved, the HR Team would update the DOI register and the conclusion of the recruitment can then take place. **PLEASE NOTE THAT POSTS WILL BE OFFERED SUBJECT TO THE DOI PROCEDURE BEING FOLLOWED AND ANY DECLARATION OF INTEREST BEING APPROVED**

## DECLARATION OF INTEREST PROCEDURE – FROM TENANCY APPLICANT

1. The tenancy application form contains a question regarding connections to people connected with RCH. The applicant cannot proceed any further with the application until a response has been given to this question.
2. Application forms are then shortlisted and if one of the shortlisted applicants has responded 'yes' to this question, we will confirm if they are interested in the property and, if so, advise that we require to follow an approval process prior to a formal offer being made.
3. A report is then presented to ELT prior to issue to the Board for approval of the tenancy allocation.
4. An offer will be made if approval from the Board is received.

Appendix D – Declaration of Interest Approval Process

**SECTION 1 – REQUESTING AUTHORISATION**

DATE OF REQUEST	
DEPARTMENT / AREA MAKING REQUEST	
NAME OF EMPLOYEE / BOARD MEMBER MAKING DECLARATION	
WHAT IS THE TYPE OF DECLARATION?	
WHEN DOES THIS NEED TO BE APPROVED BY?	

**SECTION 2 – APPROVING THE DECLARED INTEREST**

WHO SHOULD APPROVE THIS REQUEST?	
APPROVED / REJECTED	
DATE APPROVAL / REJECTION GRANTED	
REASON FOR REJECTION IF APPLICABLE	
HAS REQUESTEE BEEN NOTIFIED OF DECISION?	
GOVERNANCE SIGN OFF	

## Appendix E – Annual Declaration of Interest Form

This form should be completed annually. It allows a record to be kept of any actual or potential conflict of interest that may arise. Those completing this form should provide details of any interest in the box provided and on a separate sheet. Where a box does not apply, this should be noted on the form.

If you are in doubt as to whether an interest needs to be declared, please discuss as follows:

Board Members - speak to the Chief Executive  
Staff - speak to the line manager

The form and declaration must be signed and dated.

### **Declaration by Board Member / Staff / Involved Customer**

.....

I acknowledge that a Disclosure of Interests Register summarising any interests that I may have declared in terms of River Clyde Homes' Code of Conduct and associated policies will be publicly available. By signing below, I

- (a) consent to the use and disclosure of such information in this way and
- (b) acknowledge and agree that, with regard to any information I supply before making disclosure I have obtained (and in respect of future disclosures, I will obtain) all necessary consents from those others to the use and public disclosure of their information.

**Signed**

.....

**Date**

.....

Name	
Designation	
Have you read, and do you understand, the RCH Group policy on Payments, Entitlements and Benefits?	
Please provide details of any firm or business in which you or someone closely connected to you has a shareholding interest or are directly concerned in the management of the business or are a principal proprietor.	
Please provide details of involvement with any Third Sector Organisation.	
Please provide details of any land or buildings owned by you within any areas that could be affected by River Clyde Homes' development programme.	
Please provide details of any position of public responsibility, including as an elected Member on the local authority or a community council.	
Please provide details of membership/governing body Membership of another Registered Social Landlord.	
Are you or someone closely connected to you a tenant of, sharing owner of or factored by River Clyde Homes? Please provide details.	
Are you or someone closely connected to you employed by an organisation that is likely to be used by the RCH Group of companies? Please provide details.	
Are you related to, or in a relationship with, any Board Member of the RCH Group of companies or any employee of the RCH Group of companies? Please provide details.	

Do you carry out any voluntary or charity work for another organisation with a base in the Inverclyde Council area? Please provide details.	
Do you have any other interest(s) which could impact on your membership of the RCH Group Board(s) / employment with the RCH Group of companies / membership of the RCH Involved Customers group? Please provide details.	
Signed	
Date	
Line Manager / Chair	

## Appendix F – Nominations Approval Form

Name of person proposing the nomination:	
Name of nominee or group of nominees:	
Position of nominee(s) (i.e. staff member, Board member, customer etc.):	
Contract status of nominee(s) (i.e. permanent / temporary / agency etc.):	
Please describe the award that you are proposing the above person, or group of people, is nominated for:	
Please give details of the awarding body:	
Please provide information in support of your nomination:	
Please provide information in relation to the following: • Date of awards ceremony • Location of awards ceremony • Number of required attendees at the ceremony • Accommodation requirements • Total cost including accommodation and travel • Additional requirements	
Additional Information	
Signature	
Date	