

| REGULATORY STANDARD 1: | | The governing body leads and directs the RSL to achieve good outcomes for its tenants and other service users. | |
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| No. | Guidance | Met? | Compliance Evidence – and what contributes to compliance |
| 1.1 | The governing body sets the RSL’s strategic direction. It agrees and oversees the organisation’s business plan to achieve its purpose and intended outcomes for its tenants and other service users. | Yes | <p>Committee structure, responsibilities and delegated authorities (standing orders). Business Planning strategy sessions – committee and staff, with external facilitation “Live” business plan – kept updated. Business planning process and decision making and reporting calendar and timetable. Business plan - committee sets 1 and 3 year priorities with quarterly reporting. Business plan –committee sets annual Performance Indicators with quarterly reporting. Risk management matrix and quarterly reviews. Annual budget setting process and quarterly reporting through management accounts. Rent increase consultation and decision making process. Due diligence and business planning for any business strategic changes/decisions e.g. Transfer of Engagements from Kendoon. Internal audits programme determined by committee and review of findings. Financial audits. Committee reporting, minutes, audit trail. Comprehensive policy portfolio, kept updated. Minutes (Published on Website). Membership of representative and good practice sector bodies for awareness raising and networking (SFHA, GWSF, Share, TPAS, TIS, SHN, PAIH). Benchmarking – Drumcog, SHN, SHR. Tenant satisfaction surveys, review of results and action plans implemented if required. Customer consultation and engagement opportunities and encouragement. Forward financial planning - 5 and 30 year financial projections. Forward stock management planning with stock condition surveys and maintenance/replacement plans. Committee training programme and opportunities. Newsletters to keep tenants and service users updated. Active and supported Customer & Resident Forum for scrutiny, consultation and engagement.</p> |

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| 1.2 | The RSL's governance policies and arrangements set out the respective roles, responsibilities and accountabilities of governing body members and senior officers, and the governing body exercises overall responsibility and control of the strategic leadership of the RSL. | Yes | <p>Programme of review of all policies. Comprehensive policy portfolio, kept updated (review timetable). Rules kept updated – 2021 review and adoption of SFHA 2020 model 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. Code of Conduct for committee members. Annual review process for committee members. Committee performance review policy. Committee recruitment policy and process. Committee succession planning. Committee reporting with scrutiny & questioning of reports encouraged. Committee focus on strategy, performance monitoring and regulatory compliance. Conflict, eligibility and register of interest declarations standard CoM meeting agenda item. Annual declarations. Entitlements, Payment and Benefits Policy. Senior staff job descriptions and appraisals. Code of Conduct for staff members. 6 monthly appraisal system for senior staff. Senior Officer appraisal system in place and undertaken 6 monthly. Internal Audit processes and reports. Training programme and opportunities. Committee Reports format / content kept under review. Template for Reports EVH Contracts of Employment for staff Behaviours Framework Work with Allpark during 2021 on strategy, delegated authority and reporting.</p> |

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| 1.3 | The governing body ensures the RSL complies with its constitution and its legal obligations. Its constitution adheres to these Standards and the constitutional requirements set out below (Constitutional Standards are set out in Part 3 of the SHR's Regulatory Framework 2019). | | <p>Adoption of SFHA model charitable rules and kept updated with reviews.</p> <p>2021 review of Rules to 2020 SFHA model put to Sept 2021 SGM and approved.</p> <p>Standing orders – committee structure, responsibilities and delegated authorities.</p> <p>Comply with regulatory, constitutional and statutory reporting requirements – timetable in business plan.</p> <p>Conflict, eligibility and register of interest declarations standard CoM meeting agenda item.</p> <p>Banking covenant compliance and reporting.</p> <p>EVH membership for professional support and advice in meeting employment and health & safety duties.</p> <p>Membership of sector bodies for professional support and good practice advice.</p> <p>Policies in line with Rules and good practice.</p> <p>Reporting format and content.</p> <p>Reporting templates.</p> <p>Internal audit for external checks and assurance. External annual financial audit.</p> <p>Committee induction process.</p> <p>Committee ongoing training programme and opportunities.</p> <p>Business planning calendar.</p> <p>Promotion of whistleblowing.</p> <p>Seeks independent specialist advice as required for assurance – legal, financial, constitutional, governance etc (e.g. internal audit, pension advice, review of LTPs, consideration of business change proposals such as KHA transfer of engagements proposal).</p> <p>Employ specialist Data Protection Officer service to ensure compliance with GDPR, Data Protection and FOI.</p> <p>Drumcog training – specialist training, peer support & knowledge sharing.</p> <p>Attending conferences/networking and feedback.</p> <p>Looking at wider sector & learning from others</p> |
| 1.4 | All governing body members accept collective responsibility for their decisions. | Yes | <p>No incidents.</p> <p>Standing orders – committee structure, responsibilities and delegated authorities.</p> <p>Committee recruitment policy and process.</p> <p>Committee induction processes.</p> <p>Role description for governing body members and office bearers.</p> |

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| | | | <p>Governing body members guide. Code of Conduct for committee members. Behaviours Framework. Annual review process for committee members. Committee performance review policy and processes. Conflict, eligibility and register of interest declarations standard CoM meeting agenda item and any matters recorded in minute of meeting. Annual post AGM declaration agreement and signing. Internal audit. Ongoing training and review. Minute recording, approval and decision implementation tracker reporting. Members discuss any concerns before decisions made. Whistleblowing Policy.</p> |
| 1.5 | All governing body members and senior officers understand their respective roles, and working relationships are constructive, professional and effective. | Yes | <p>No incidents. Standing orders – committee structure, responsibilities and delegated authorities. Committee & staff induction processes. Role description for governing body members and office bearers. Governing body members guide. Conflict, eligibility and register of interest declarations standard CoM meeting agenda item and any matters recorded in minute of meeting Annual post AGM declaration agreement and signing. Code of Conduct for committee members. Annual review process for committee members. Committee performance review policy. Committee recruitment policy and process. Committee succession planning. Committee reporting with scrutiny & questioning of reports encouraged. Behaviours Framework. Senior officers job description and appraisal system. Code of Conduct for staff members. Internal audit.</p> |

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| | | | Ongoing training and review. |
| 1.6 | Each governing body member always acts in the best interests of the RSL and its tenants and service users, and does not place any personal or other interest ahead of their primary duty to the RSL. | Yes | <p>No incidents.</p> <p>Standing orders – committee structure, responsibilities and delegated authorities.</p> <p>Committee recruitment policy and process.</p> <p>Committee induction processes.</p> <p>Role description for governing body members and office bearers.</p> <p>Governing body members guide.</p> <p>Code of Conduct for committee members.</p> <p>Entitlements, Payment and Benefits Policy.</p> <p>Conflict, eligibility and register of interest declarations standard CoM meeting agenda item and any matters recorded in minute of meeting.</p> <p>Annual post AGM declaration agreement and signing.</p> <p>Staff and/or Committee members requested to leave meeting if matter of interest to be discussed.</p> <p>Internal audit.</p> <p>Annual review process for committee members.</p> <p>Ongoing training and review.</p> <p>Regular tendering of contracts.</p> <p>Committee member details published on website.</p> |
| 1.7 | The RSL maintains its independence by conducting its affairs without control, undue reference to or influence by any other body (unless it is constituted as the subsidiary of another body) | Yes | <p>Standing orders – committee structure, responsibilities and delegated authorities.</p> <p>Committee recruitment policy and process.</p> <p>Committee induction processes.</p> <p>Annual review process for committee members.</p> <p>Ongoing training and review.</p> <p>Whistleblowing Policy</p> <p>Code of Conduct for Committee</p> <p>Code of Conduct for Staff</p> <p>Entitlements, Payments and Benefits Policy.</p> <p>Declaration process and register.</p> |