

<b>KNOWES HOUSING ASSOCIATION LTD</b>	
<b>Procedure Name</b>	New Committee Member Induction
<b>Procedure Category</b>	Governance
<b>Procedure Number</b>	G29
<b>Date to Management Committee</b>	October 2019
<b>Last Review</b>	February 2017
<b>Next Review Date</b>	October 2022

### **Aims & Objectives**

Knowes HA recognises the need to ensure that all new committee members receive sufficient information, training and support to enable them to settle into and carry out their new role as effectively as possible. An induction procedure will help to ensure that this happens consistently.

A structured and informative induction process will help to ensure that new committee members are given a welcoming reception and feel valued as a member of the Knowes HA committee. An induction aims to give new committee members a clear understanding of their roles and responsibilities and of the culture of the Association.

Regular reviews throughout the induction process ensure that there is an opportunity to reflect on learning, development and progress in the first 6 months of joining the committee.

By investing time to share important information, listen to feedback and identify any training requirements, it is hoped that Knowes HA will have a well-informed committee which is capable of discharging its duties.

## 1.0 PRE-START INFORMATION

- 1.1 Following new members being elected at the AGM or joining the committee as a co-optee, the new committee member will be provided with the following information. The information is listed below.

<b>Initial Information Pack</b>
P1. Letter of appointment to Governing Body
P2. Code of conduct and model acceptance form
P3. Knowes Training Modules
P4. Committee Member Profile
P5. Annual Report and Newsletters
P6. Committee minutes and papers

## 2.0 TOPICS COVERED IN INDUCTION PROCESS

- 2.1 There are a number of areas that will be covered by the Senior Corporate Services Officer throughout the induction process, these are listed below.
- 2.2 These tasks will be spread out over a period of months to ensure that the necessary areas are covered and that the new committee member is given time to take in all of the information provided.

1. Background to KHA
2. Staff Structure / Departments
3. Committee and sub-committee structure
4. Core Values
5. Business Plan
6. Complaints Procedure
7. Association's Rules
8. Procedure for submitting apologies
9. Contact details for staff
10. Committee Appraisal Process
11. Governance Policies
12. Committee Training

### **3.0 Month One**

#### **3.1 Meeting with SCSO to cover:**

1. Background to KHA
2. Committee and Sub Committee Structure
3. Organisational structure and description of all departments
4. Core Values
5. Letter of appointment to governing body
6. Code of conduct
7. Committee member profile
8. Procedure for submitting apologies

### **3.2 Month Two**

#### **Meeting with SCSO to cover:**

1. Training Modules
2. Association's rules
3. Committee appraisal process

### **3.3 Month Three**

#### **Meeting with SCSO to cover:**

1. Business Plan
2. Training Modules
3. Complaints Procedure
4. Governance Policies

### **3.4 Month Four**

#### **Meeting with SCSO to cover:**

1. Training Modules
2. Any other information
3. Any further training requirements

4. Payment of expenses

**INDUCTION CHECKLIST**

<b>Area</b>	<b>Date Discussed</b>	<b>Any Comments</b>
<b>1. Background to KHA</b>		
<b>2. Staff structure / departments</b>		
<b>3. Committee and sub committee structure</b>		
<b>4. Core values</b>		
<b>5. Business plan</b>		
<b>6. Complaints procedure</b>		
<b>7. Association's rules</b>		
<b>8. Procedure for submitting apologies</b>		
<b>9. Contact details for staff</b>		
<b>10. Committee appraisal process</b>		
<b>11. Governance policies</b>		
<b>12. Committee training</b>		
<b>P1. Letter of appointment to Governing Body</b>		
<b>P2. Code of conduct and model acceptance form</b>		
<b>P3. Knowes Training Modules</b>		
<b>P4. Committee Member Profile</b>		
<b>P5. Annual Report and Newsletters</b>		
<b>P6. Committee minutes and papers</b>		

Signed Committee Member \_\_\_\_\_

Signed Director/ SCSO \_\_\_\_\_

Date \_\_\_\_\_

# Appendices

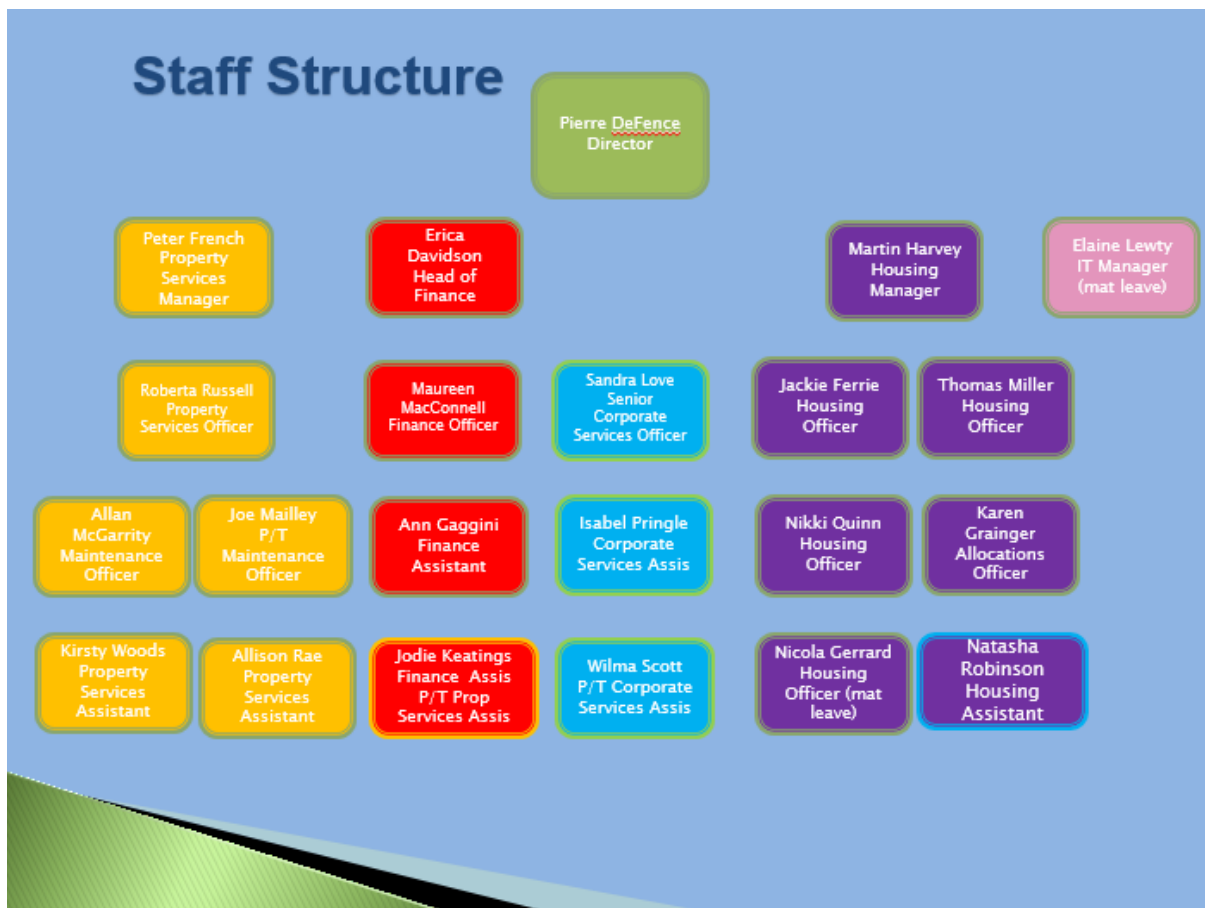
Appendix 1 – Staff Structure

Appendix 2 – Core Values

Appendix 3 – Model Complaints Procedure

Appendix 4 – Governance Policies

**APPENDIX 1**



## **Appendix Two**

### **Core Values**

#### **Respect and Equality of Opportunity**

*we treat everyone with respect and recognise and respond to their individual needs.*

#### **Customer Focussed**

*we ensure that our customers are at the core of everything we do.*

#### **Communication**

*we communicate effectively with our customers and colleagues.*

#### **Continuous improvement**

*we are committed to review, develop and improve all of our services and processes.*

#### **Honesty and Professionalism**

*we behave in a professional manner displaying honesty and integrity at all times.*



# **Complaints Procedure Employee Guide**

**Reviewed September 2019**

## **Employee's guide to the complaints handling procedure**

This guide provides a summary of the way we approach complaints and the basic steps in the complaints handling procedure. The full complaints handling procedure has more detail on what to do, and has examples of how to deal with different types of complaints. This guide provides a quick reference guide, while the full complaints handling procedure should be referred to when you are resolving a complaint.

### **Why do we have a complaints handling procedure?**

We are committed to providing high-quality services to our community. Occasionally things go wrong and when this happens it is important that we act quickly to resolve the situation. Complaints show us where we are not achieving what people expect of us, and where we are failing to meet our own standards. In other words, they give us a chance to improve our service. Listening to our customers helps us to:

- put things right
- learn from our mistakes, and
- improve our services.

Therefore, in line with other Scottish housing associations and cooperatives, we have introduced a standard complaints handling procedure. This leaflet gives you a guide to it.

### **What is a complaint?**

A complaint is an expression of dissatisfaction about Knowes' action or lack of action, or about the standard of service provided by us or on our behalf.



For example:

- delays in responding to enquiries and requests
- failure to provide a service
- service standards
- refusal to give advice or answer questions
- dissatisfaction with our policy
- treatment by, or attitude of, a member of staff, a committee member or a contractor
- our failure to follow the proper administrative process.

### **What is not a complaint?**

The above complaint definition is broad, but not every concern raised with Knowes is a complaint. For example, a complaint is not:

- a first request for a service
- a request for information or an explanation of policy or practice

**There are also some other matters we can't deal with under the complaints procedure. These include:**

- any policies and procedures that already have a separate route of appeal (e.g. housing application decisions)
- insurance claims
- a complaint we have already investigated and given a final decision on
- complaints that are in court or have already been heard by a court or a tribunal.

Further examples of what is and what is not a complaint are provided in appendices to the main CHP document.

## **Alternative ways of complaining**

If tenants are concerned about serious, persistent service failures, which impact several tenants across a number of properties, these should be dealt with through a separate internal process for **Significant Performance Failures**. If the customer is dissatisfied with our response they can then report these issues directly to the **Scottish Housing Regulator**.

For more information about these options please see the full complaints handling procedure.

## **Who can complain?**

Anyone can make a complaint, either in person at our office, by telephone, by e-mail or in writing.

## **What should you do when someone complains?**

You must try to resolve complaints on the spot to the satisfaction of the customer wherever this is possible.

Alternatively, if you need to take other action you should always try to resolve complaints as quickly as possible.

Our complaints procedure has two stages. We expect the majority of complaints will be resolved at Stage 1.

If the customer remains dissatisfied after Stage 1, they can request that we look at it again, at Stage 2. If the complaint is complex enough to require an investigation, we will put the complaint into Stage 2 straight away and skip Stage 1.

## **Stage 1 – Frontline resolution**

We aim to resolve complaints quickly and as close to the point of service delivery as possible. We aim to resolve complaints within five working days or less, unless there are exceptional circumstances. Generally these will be the more straightforward complaints that you can resolve on the spot with an apology and action to put the matter right, or take other action to resolve the complaint quickly.

You will be able to resolve many complaints orally, face to face or by telephone.

You should always record on our complaints database details of the complaint, the action taken and the final outcome. We can then use this information to improve services.

## **Stage 2 – Investigation**

Complaints that reach this stage have not been resolved at Stage 1 or are so complex that they require further investigation before we can provide a decision. The Senior Corporate Services Officer will coordinate this stage.

When dealing with complaints at this stage we should:

- record the complaint at Stage 2
- acknowledge receipt of the complaint within three working days
- discuss the complaint with the customer to understand the reasons for it and what outcome they want – sometimes this will involve managing the customer's expectations by explaining how we might be able to resolve the complaint.

- Provide a full response to the complaint as soon as possible but no later than 20 working days.

If our investigations will take longer than 20 working days to complete, you need to agree revised time limits with the customer and keep them updated on progress.

Be sure to record details of the action taken and the outcome, as this helps us improve our service standards.

### **What if the customer is still dissatisfied?**

If we have fully investigated the complaint and the customer is still dissatisfied with our response or the way we have dealt with the complaint they can ask the Scottish Public Services Ombudsman to consider it further. Or alternatively if the complainant is a Home Owner they can contact the Housing and Property Chamber. Please see the complaints handling procedure or the customer complaints leaflet for details of how to direct customers to the SPSO or The Housing and Property Chamber.

The SPSO cannot consider factoring complaints these can be directed to The Housing and Property Chamber.

### **Do's and Don'ts when customers make a complaint**

#### **Do:**

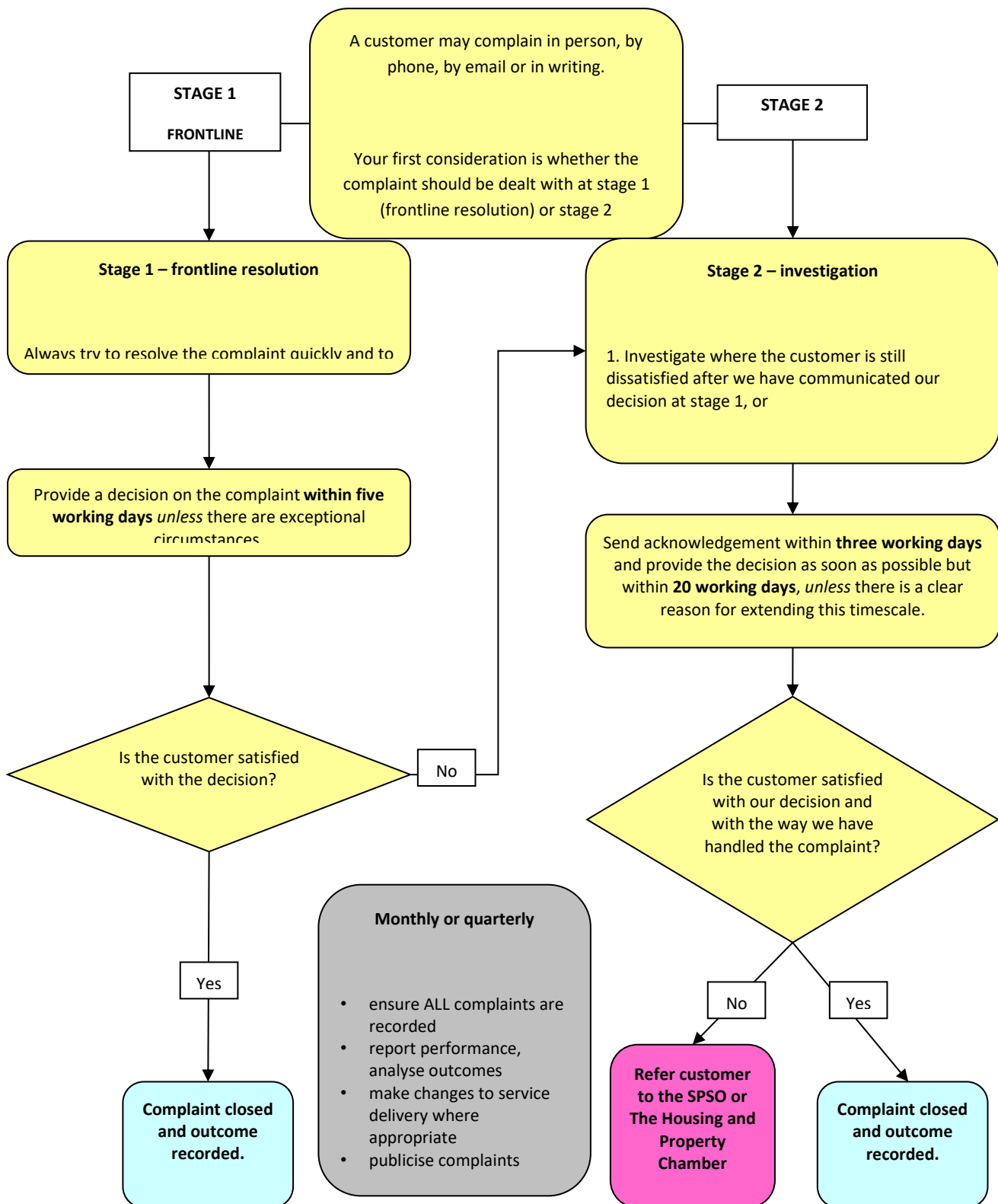
- be aware of your responsibility to try to resolve the complaint or seek help to resolve it
- be aware of service procedures as this may help you to clarify matters for the customer

- say who you are
- ask the customer's name, address and telephone number
- be sensitive – making a complaint can be stressful, so respond with courtesy, tact and empathy
- listen carefully to what the customer is saying without interrupting. This helps you to get the details right first time and shows you are taking the matter seriously. Take notes and read them back to check that you have understood the problem
- ask open-ended questions to get more detailed information. This sometimes helps you to find a solution that will satisfy the customer
- provide an apology and explanation if it is clear we have made a mistake
- make sure you agree a course of action that is satisfactory to the customer and to the service, if in doubt, discuss the matter with your line manager
- check that we did what we said we'd do, then follow up by contacting the customer to check that they agree it has been done.
- explain the next stage of the procedure if the problem hasn't been resolved to the customer's satisfaction: This will be
  - an explanation of the investigation stage, or
  - details of how the customer may ask the SPSO to consider their complaint
- record all the complaint details in line with the correct procedures
- treat all information in confidence.

## **Don't**

- refuse to accept there is a problem. If the customer thinks there is a problem, you must help
- be defensive or argue
- jump to conclusions. Wait until you have the whole story
- make promises you can't keep.

# The complaints handling procedure



## **Appendix Four**

<b><u>KNOWES HOUSING ASSOCIATION</u></b>	
Policy Name	<b>Declaration of Interest</b>
Policy Category	<b>Governance</b>
Policy Number	<b>G05</b>
Date to Committee	<b>October 2019</b>
Previous Review Date	<b>November 2018</b>
Next Review Date	<b>November 2020</b>
<b>Links to other Policies</b>	<b>G01 Code of Governance</b>
<b>Consultation</b>	<b>Committee</b>

### **1. POLICY AIMS AND OBJECTIVES**

The aims of this Policy are:

- It requires Committee Members and Staff to make a declaration about the Code of Governance (this is carried out when the declaration of interest form is signed on an annual basis).
- It requires Committee Members and Staff to register any external interests that they may have.
- It requires Committee Members to confirm that none of the criteria outlined at rule 43 of the Association's constitution (pertaining to eligibility for the Committee) applies.
- It requires Committee Members to confirm that they are aware of, and comply with, the key requirements of the Scottish Charity Regulator's guidance for trustees.
- It requires staff members to register any external interests that they may have.



## **2. EQUALITY STATEMENT**

Through this policy, nobody will be discriminated against on grounds of sex or marital status, on racial grounds, or on grounds of disability, age, sexual orientation, language or social origin, or of other personal attributes, including beliefs or opinions, such as religious beliefs or political opinions.

## **3. LEGAL FRAMEWORK**

This policy is designed to ensure compliance with Guidance for Charity Trustees published by the Charities Regulator OSCR.

## **4. RISK ASSESSMENT**

Compliance with this policy will ensure that all new Committee Members are eligible to serve as Committee Members, have read and understood the Association's Code of Governance and behave accordingly, declare any interests they may have to ensure transparency in decision making, and comply with the requirements of the Charities Regulator. By doing this the risks to the Association will be minimised.

## **5. POLICY**

All new Committee Members, either following nomination at the AGM, or being nominated to fill a casual vacancy will be required to complete the following pro formas.

All staff will be required to complete the staff declaration form each September, all new members of staff will be required to complete the staff declaration prior to commencement with the Association.

This policy will be reviewed annually in August to ensure that updates are incorporated prior to signing in September following the AGM.

All completed forms will be kept in the Declaration of Interest Register, the Register will also be signed off to confirm each Committee and staff member has completed the declaration each year.



**Knowes Housing Association Ltd.**

**Committee Member's Annual Declaration - Committee Year 2019/20**

**PURPOSE**

This Pro Forma serves the following purposes:

- A. It allows Committee Members to make a declaration about the Code of Governance.
- B. It allows Members to register any external interests that they may have;
- C. It allows Committee Members to confirm that none of the criteria outlined at rule 43 of the Association's Constitution (pertaining to eligibility for the Committee) applies; and
- D. It allows Committee Members to confirm that they are aware of, and comply with, the key requirements of the Scottish Charity Regulator's guidance for trustees.

All Members are required to complete all sections in order to join or remain on the Committee.

Please note that you are required to sign each section separately. Any additional information should be noted on a separate sheet and securely fixed to this document.

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**SECTION A – Personal Details**

Name: \_\_\_\_\_

Position on the Committee: \_\_\_\_\_

**SECTION B – Declaration Regarding Code of Governance**

Have you been provided with your own individual copy of the Association's Code of Governance for Committee Members?

Yes                      No

Have you read the code?

Yes                      No

Do you fully understand all sections contained in the code?

Yes                      No

Do you agree to abide by the code in its entirety?

Yes                      No

Please state any reason why you may not be able to adhere to the code:

Signed:

Date:



### SECTION C – Committee Member’s Interests

Association’s policy on declarations of interests requires all Committee Members to register any external interests they have which may come into conflict with the business of the Association or their position as the Committee Member.

Please complete the following questions as fully and as truthfully as possible. If you are in any doubt about one or more responses, please raise this with the Director who will offer you guidance.

1. Do you have any involvement with a business which trades for profit?  
*(Although Schedule 7 Housing (Scotland) Act 2001 has been repealed, Knowes Housing Association will continue to act within the spirit of Schedule 7, this is likely to mean that the Association will not be able to enter onto a contract with this business)*

Yes                      No
2. Do you have any involvement with any organisation which may seek services from the Association?

Yes                      No
3. Do you have any involvement with any organisation which may seek funding or other support from the Association (this would include grants to residents organisations)?

Yes  
No
4. Do you have any involvement with any organisations from which the company may secure a loan, for example banks and building societies? (Apart from where the involvement is as a customer, for example a Committee Member has a mortgage or account with the bank)

Yes                      No
5. Are you a member of any other Registered Social Landlord?                      Yes                      No

If you have answered “Yes” to any of the above questions, please provide full details below (Continue on a separate sheet if required)

I, \_\_\_\_\_, confirm that the above responses are full and honest. I further undertake to notify the Association’s Director immediately if there is any change to this.

Signed:

Date:



## SECTION D – Declaration Regarding Eligibility to Serve

The following excerpt is taken directly from the Association's rules. Please read it carefully and sign the declaration only if none of the criteria applies.

You cannot become or remain or be re-elected as a Committee member if one of the following happens to you:

- You are declared bankrupt under the bankruptcy (Scotland) Act 1993;
- You are involved in an arrangement with your creditors;
- In the opinion of a qualified medical doctor, you are unable to go to the Committee meetings for 12 months because of incapacity due to physical or mental illness;
- You are sent to prison for a month or more or have been convicted of a crime of dishonesty for which the rehabilitation is excluded in terms of the said act;
- You are involved in any legal proceedings in any Court of Law by or against us;
- You are or will be away for a period of 12 months and are thus unable to attend the Committee meetings;
- You have been removed by The Scottish Housing Regulator from the Committee from another housing Association;
- You have been removed from a charity under section 7 of the Law Reform (Miscellaneous Provisions) (Scotland) Act 1990 (in connection with the power of a court to remove or suspend any person who is concerned in the management or control of a charity); or
- A disqualified Order has been made against you under the Company Directors' Disqualification Act 1986 (Which relates to the power of a court to prevent someone from being a director, liquidator or administrator of a company or a receiver or manager of company property or being involved in the promotion, formation or management of a company).

I, \_\_\_\_\_, confirm that none of the above applies to me. I further undertake to notify the Association's Director immediately if there is any change to this.

Signed:

Date:



## **SECTION E – Declaration in Relation to Charitable Status**

In its “Guidance for Charity Trustees” document published in 2006, the Charities Regulator (OSCR) outlines its expectations of trustees of charitable organisations in Scotland.

The Guidance is based on the Charities and Trustees Investment (Scotland) Act 2005 (“the 2005 Act”) and is relevant to Committee Members as Knowes Housing Association became a charity in February 1998.

### General Duties

In line with section 66 of the 2005 Act, I agree to comply with the following at all times:

- Act in the interests of the Association;
- Seek, in good faith, to ensure that the Association operates in a manner that is consistent with its objects and purpose;
- Act with care and diligence that is reasonable to expect of a person who is managing affairs of another person; and
- Ensure that the Association complies with the provisions of the 2005 Act, and other relevant legislation.

### Disqualification

You cannot become or remain or be re-elected as a Committee Member of a charitable RSL if one or more of the following applies to you:

- You have an unspent conviction for dishonesty or an offence under the 2005 Act;
- You are an undischarged bankrupt
- You have been removed under either Scottish or English Law or the courts from being a charity trustee;
- You have been disqualified from being a Company Director.

I, \_\_\_\_\_, confirm that I understand and agree to abide by the criteria outlined under the section headed “General Duties”, above. I also confirm that none of the disqualification criteria applies to me. I further undertake to notify the Association’s Director immediately if there is a change to this.

Signed:

Date:



**SECTION F– Staff Member’s Interests**

Association’s policy on declarations of interest requires all staff members to register any external interests they have which may come into conflict with the business of the Association or their position as a staff member.

Please complete the following questions as fully and as truthfully as possible. If you are in any doubt about one or more responses, please raise this with the Director who will offer you guidance.

1. Do you have any involvement with a business which trades for profit? *(Although Schedule 7 Housing (Scotland) Act 2001 has been repealed, Knowes Housing Association will continue to act within the spirit of Schedule 7, this is likely to mean that the Association will not be able to enter onto a contract with this business)*  

Yes                      No
  
2. Do you have any involvement with any organisation which may seek services from the Association?  

Yes                      No
  
3. Do you have any involvement with any organisation which may seek funding or other support from the Association (this would include grants to residents organisation)?  

Yes  
No
  
4. Do you have any involvement with any organisations from which the company may secure a loan, for example banks and building societies? (Apart from where the involvement is as a customer, for example a Committee Member has a mortgage or account with the bank)  

Yes                      No
  
5. Are you a Member of any other Registered Social Landlord?                      Yes                      No

If you have answered “Yes” to any of the above questions, please provide full details below (Continue on a separate sheet if required)

I, \_\_\_\_\_, confirm that the above responses are full and honest. I further undertake to notify the Association’s Director immediately if there is any change to this.

Signed:  
Date: