



REPORT TO: East Lothian Integration Joint Board

MEETING DATE: 23 June 2022

BY: Chief Officer

SUBJECT: Changes to the Voting Membership of East Lothian
Integration Joint Board

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1 PURPOSE

- 1.1 This report asks the Integration Joint Board (IJB) to note the changes to East Lothian Council's voting members and two of NHS Lothian's voting members.

2 RECOMMENDATIONS

The IJB is asked to:

- 2.1 Note that the East Lothian Council voting members will be: Councillor Shamin Akhtar, Councillor Lachlan Bruce, Councillor Lyn Jardine and Councillor Carol McFarlane.
- 2.2 Note that Cllr Akhtar will continue in the role of Depute Chair of the IJB.
- 2.3 Note that the appointment by NHS Lothian of Ms Val de Souza and Ms Elizabeth Gordon as voting members of the IJB with effect from 1 August 2022. These members will replace Patricia Donald and Richard Williams who are both retiring from NHS Lothian.

3 BACKGROUND

- 3.1 Following the local government elections on 5 May 2022, East Lothian Council met on 24 May and approved its voting members for the East Lothian Integration Joint Board for the period 2022-2027: Shamin Akhtar, Lachlan Bruce, Lyn Jardine and Carol McFarlane.
- 3.2 As a result of the impending retirement of Patricia Donald and Richard Williams, the NHS Lothian Board met on 6 April to consider their replacements. The Board approved the nomination of Ms Val de Souza and Ms Elizabeth Gordon as voting members of the East Lothian IJB, for the period 1 August 2022 to 31 March 2025.

4 POLICY IMPLICATIONS

4.1 There are no policy implications of the paper.

5 INTEGRATED IMPACT ASSESSMENT

5.1 This report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy.

6 RESOURCE IMPLICATIONS

6.1 There are no resource implications of this paper.

7 BACKGROUND PAPERS

7.1 None.

AUTHOR'S NAME	Fiona Currie
DESIGNATION	Committees Officer
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DATE	26 May 2022



REPORT TO: East Lothian Integration Joint Board
MEETING DATE: 23 June 2022
BY: Chief Officer
SUBJECT: Membership of the IJB's Audit & Risk Committee

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1 PURPOSE

- 1.1 To ask the IJB to review the existing membership and consider nominations/appoint new voting members to the Audit & Risk Committee to fill current and pending vacancies.
- 1.2 To ask the IJB to consider nominations and to appoint a new Chair of the Audit & Risk Committee.

2 RECOMMENDATIONS

- 2.1 The IJB is asked to:
 - i. To formally extend the membership of Fiona Ireland and David Binnie on the Audit & Risk Committee for a further 3 years;
 - ii. to consider nominations and to appoint new voting members to the Audit & Risk Committee to fill current and pending vacancies; and
 - iii. to consider nominations and to appoint a new Chair of the Audit & Risk Committee.

3 BACKGROUND

- 3.1 The IJB Standing Orders allow the IJB to establish committees and working groups as necessary and to approve their membership, Chair and terms of reference. The membership of the Audit & Risk Committee requires an equal number of NHS and Council voting members (minimum 2 each) and at least one non-voting member. The Audit & Risk Committee's Scheme of Administration states that membership of the Committee will be for 3 years and may be extended by the IJB. Previously these extensions have been automatic, rather than via formal approval, but with more than half of the Committee membership changing, it is considered appropriate to formally extend the membership of those continuing in their current roles. Going forward, all membership of the Committee will be formally reviewed and, where appropriate, extended in line with the Committee's Scheme of Administration.

3.2 Patricia Donald is currently Chair of the Audit & Risk Committee; however, she will be retiring from NHS Lothian on 31 July 2022 and has indicated that she will not be present at the Committee's meeting on 29 June 2022. The role of Chair may be filled by any member of the Committee, either voting or non-voting, as long as that individual is not also the Chair or Depute Chair of the IJB.

3.3 Nominations for membership of the Committee (**2 x East Lothian Council voting members and 1 x NHS Lothian voting member**) and nominations for the role of Chair will be invited at the meeting. All nominations will require a proposer and seconder before being voted on.

4 ENGAGEMENT

4.1 Changes to the membership its Committees is a matter for the IJB.

5 POLICY IMPLICATIONS

5.1 The recommendations in this report implement national legislation and regulations on the establishment of IJBs.

6 INTEGRATED IMPACT ASSESSMENT

6.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy.

7 DIRECTIONS

7.1 The subject of this report does not affect the IJB's current Directions or require an additional Direction to be put in place.

8 RESOURCE IMPLICATIONS

8.1 Financial – None.

8.2 Personnel – None.

8.3 Other – None.

9 BACKGROUND PAPERS

9.1 The Standing Orders of the East Lothian Integration Joint Board.

AUTHOR'S NAME	Fiona Currie
DESIGNATION	Committees Officer
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DATE	26 May 2022



REPORT TO: East Lothian Integration Joint Board
MEETING DATE: 23 June 2022
BY: HR Business Partner, East Lothian Council
SUBJECT: Appointment of the New Chief Officer

4

1 PURPOSE

- 1.1 To consider and approve the appointment of the new Chief Officer of the East Lothian Integration Joint Board (IJB) on a permanent basis.

2 RECOMMENDATIONS

- 2.1 The IJB is asked to approve the recommendation made by the Appointment Committee as to the appointment of a Chief Officer.

3 BACKGROUND

- 3.1 As a result of the impending departure of Alison MacDonald in June of this year, a decision was taken by NHS Lothian and East Lothian Council to seek a replacement for the post of Chief Officer. In accordance with the policies and procedures of East Lothian Council and NHS Lothian, an appointment Committee was recently constituted to seek a permanent replacement. The Committee was facilitated by NHS Lothian and East Lothian Council officers.
- 3.2 The process is in line with section 7.1 of the IJB's Integration Scheme.
- 3.3 The Committee has recommended the appointment of Fiona Wilson as Chief Officer, on a permanent basis.

4 ENGAGEMENT

- 4.1 The post was advertised externally and within NHS Lothian and East Lothian Council, and all appropriate HR procedures were followed.

5 POLICY IMPLICATIONS

- 5.1 The appointment of the Chief Officer is in line with national recommendations and legislation governing IJBs.

6 INTEGRATED IMPACT ASSESSMENT

- 6.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy.

7 RESOURCE IMPLICATIONS

- 7.1 Financial – None.
- 7.2 Personnel – Discussed above.
- 7.3 Other – None.

8 BACKGROUND PAPERS

- 8.1 None.

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DATE	1 June 2022



REPORT TO: East Lothian Integration Joint Board

MEETING DATE: 23 June 2022

BY: Chief Finance Officer

SUBJECT: 2021/22 Budget Out-turn, 22/23 Budget Review and 23/24 Initial Financial Forecast

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1 PURPOSE

- 1.1 This report lays out the final out-turn position for the IJB for the financial year ending 31st March 2022 and considers the impact of the out-turn position on the IJB's reserves. The paper further considers the financial position in 2022/23 and takes an initial look at the 2023/24 position.

2 RECOMMENDATIONS

- 2.1 The IJB is asked to
- To note the final 21/22 out-turn position for the IJB
 - To note the impact of that position on the IJB's reserves
 - To note the review of the 22/23 financial position
 - To note the initial look at the 23/24 financial position

3 BACKGROUND

3.1 2021/22 Out-turn position

The IJB has now received the final out-turn position from its partners (East Lothian Council and NHS Lothian). This shows an underspend of £10.7m for the financial year 2021/22 as follows:

	NHSiL	ELC	Total
	£000's	£000's	£000's
Income	156,160	53,771	209,931
Expenditure	146,427	52,823	199,250
Surplus	9,733	948	10,681

Clearly this is an extraordinarily favourable position and this has been generated by three main drivers:

- a) Additional funds to support the costs of the Covid pandemic were received from the Scottish Government in March 2022. This was reported to the IJB at its March meeting. It was clear that there was an expectation that a considerable element of this allocation was to be carried forward by the IJB to support the costs of the Covid pandemic in 2022/23 given that no further funds were currently expected to be available in that year. The income and expenditure on Covid related costs for the IJB in 2021/22 was as follows:

	£000's
Covid Carry Forward	3,623
Covid Allocation 21/22	13,700
Total Available	17,323
21/22 Spend	
Health	5,208
Social Care	2,933
Total Spend	8,141
Carry Forward Balance	9,182

It can be seen from the above table that the increase in the Covid carry forward balance -the movement on the Covid reserve from £3,623,000 at the beginning of the financial year to £9,182,000 at the close- is c. £5.6m which is represents slightly more than half of the IJB's overall surplus.

Further, the health element of the IJB has been in receipt of a range of funds for various projects which it has not been able to spend in year. These funds will be carried forward into 22/23 as part of the IJB's earmarked reserves.

- b) Additional allocations were made to the IJB (through the Council and therefore in the social care elements of the budget) in November 2021 to support Winter Planning. This was reported to the IJB at its December 2021 meeting. In summary the following funds were received :-

	Received	Used in 21/22	To be carried forward
	£000's	£000's	£000's
Winter Funding 2021/22			
Care at Home	1,188	769	419
Interim Care	767	347	420
Provider's uplift (RLW)	740	740	0
	2,695	1,856	839

As can be seen, elements of these funds were used in 21/22 and the unused element will be carried forward into 22/23 through the IJB's earmarked reserves.

3.1.2 Underlying Financial Position

Having excluded the carry forwards from the 21/22 out-turn position, this leaves the following underlying position:

Underlying position	NHS	Council	IJB
	£000's	£000's	£000's
Out-turn as above	9,733	948	10,681
To earmarked reserves	8036	918	8,954
Net Position	1,697	30	1,727

NHS Lothian

NHSiL are reporting an underspend (having excluded all carry forwards, these have been accrued back into the expenditure position for the sake of this analysis) of c. £1.7m. This is broken down as follows:

	Budget	Actual	Variance
	£000's	£000's	£000's
Core	101,344	99,770	1,574
Hosted	17,493	17,195	298
Non Cash Limited	13,672	13,672	0
Acute	23,652	23,825	-173
Total	156,160	154,463	1,698

This is largely in line with the projected position reported to the IJB at its February meeting although the Core and Set Aside positions have improved. The main underspend in the Core services being unused uplift from 21/22 and slippage on the use of funds which were transferred from Midlothian Community Hospital to set up appropriate services in the HSCP. These funds will go to the IJB's general reserve and thus be carried forward into 22/23.

East Lothian Council

The forecast out-turn for 22/23 for the social care budget – that is excluding any additional funds which were received in November as discussed above – was an overspend. This being a result of inflationary pressures in both the external and internal provision of social care services. Clearly this position has been underpinned in year through the additional funds received from the Scottish Government in November (the Winter allocations discussed above). The projected position in social care in 22/23 – as was described in the March '22 budget paper – is supported by the use of the additional social care funds in the Scottish Government's 22/23 budget settlement.

3.1.3 Covid Costs in 2021/22

It is important to note that both the social care and the health position were underpinned by additional funds to support the financial pressures generated by the Covid pandemic. As was discussed above this is analysed further in Appendix 1.

3.1.4 Reserves

The table below shows how the IJB's reserves have moved between 31st March 2021 and 31st March 2022.

Movement in Reserves	Opening	Movement in Year	Closing
	£000's	£000's	£000's
Covid	3,623	5,559	9,182
Other Earmarked	2,903	3,395	6,298
General	3,082	1,727	4,809
	9,608	10,681	20,289

The largest element of these reserves is the element to support the additional costs to the IJB's delegated functions caused by the Covid pandemic. Current estimates suggest that this reserve will be adequate to cover the costs in 22/23, this is discussed further below. The IJB may wish to consider making a specific direction to its partners as to the use of these funds.

The next largest element represents the funds carried forward for specific projects from 21/22. These are detailed in Appendix 2 and the IJB should now direct the partners as to the use of these funds in 22/23.

The IJB adopted its reserves strategy in 2015. This established that a general reserve of 2% of the IJB's total turn-over (its annual budget) should be built up. Two percent of the 22/23 budget is c. £3.2m, the impact of the year-end underspend (excluding earmarked reserves) is to take the general reserves value to £4.8m which is clearly in excess of the policy position. These funds can be used in 22/23 either to underpin any financial pressures and/or the IJB has the opportunity to make non-recurrent investments in projects that can help the IJB to both develop and deliver its Strategic Plan.

3.2 Review of 22/23 Financial Position

The IJB set a balanced budget for 22/23 at its March 2022 meeting. Simply this means that the estimated income will cover the estimated expenditure in year. Since then further information has become available.

3.2.1 Health Budgets - NHS Lothian

NHS Lothian published their 22/23 initial budget forecast at their Board meeting of 6th April 2022. This forecast shows an unbalanced position with a current projected financial gap of c. £107 (across all of NHSiL) of which c. £79m related to the costs of supporting the Covid Pandemic leaving net gap of c. £28m. This gap is then analysed over the delegated and non-delegated functions and

shows a gap for East Lothian IJB of £205,000 which is in line with the forecast position in the March 2022 budget setting paper. That said, there is clearly a significant set of pressures within those functions that are not delegated to the IJB. The IJB will wish to consider, as part of the on-going development of its Strategic Plan, how the delegated functions can support pressures on the other non-delegated functions. It should be noted that the NHS Lothian budget remains indicative as further allocations for delegated functions will be received from the Scottish Government in year

3.2.2 Social Care Budgets - East Lothian Council

The East Lothian 22/23 budget is set and was agreed by the Council. Its clear from further information now available that pressures on the social care budgets – especially the uplifts now being requested by the providers – may be greater than was originally estimated as part of the budget setting process. This may impact on the ability of the IJB to further develop social care services as element of the additional resources from the 22/23 settlement are used to manage increased financial pressures. The HSCP is considering this position and this will be part of the financial reporting to the IJB in 22/23.

3.2.3 Earmarked Reserves

The two 'operational' budgets above do not currently include the considerable element of earmarked reserves (including the Covid reserve) which have been carried from 21/22 to 22/23 and the IJB will wish to consider how the earmarked reserves are used by the partners and may wish to amend its directions to take this into account.

3.3 Initial out-line of 23/24 Financial Projection

The key financial challenge in 23/24 is the non-availability of any additional funds to support the additional costs of the Covid pandemic. The Scottish Government's current indications are that no new funds will be available in 22/23 (or beyond) to support further costs generated by the Covid pandemic and the current forecast projects £7.1m of covid related costs in 23/23. Recognising this the Scottish Government is working with the partners to develop an exit strategy.

Further to this NHSIL's forecast shows a pressure of c. £2.4m in the health part of the IJB although this is an early indication and requires further analysis and development. This will be examined further in the IJB's multi-year financial plan.

Within the social care budget, inflation and demand increases (through population growth) will continue to create financial pressures. It should be noted that the impact of these pressures in 22/23 was resolved through the injection of c. £5.4m (net of the RLW payments for 20/21 and 22/23) of additional funds from the Scottish Government. The financial planning assumption for 23/24 will be that no additional funds are available.

4 ENGAGEMENT

4.1 The IJB makes its papers and reports available on the internet.

4.2 The issues in this report have been discussed with the IJB's partners but do not require wider engagement

5 POLICY IMPLICATIONS

5.1 There are no new policies arising from this paper.

5.2 The recommendations in this report implement national legislation and regulations on the establishment of IJBs.

6 INTEGRATED IMPACT ASSESSMENT

6.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy

6.2 The issues in this report do not require an integrated impact assessment.

7 DIRECTIONS

7.1 The IJB may wish to issue directions regarding the use of the reserves (especially these funds carry forward to support the Covid pandemic).

8 RESOURCE IMPLICATIONS

8.1 There are no immediate resource implications from this report. Any resource implications from the outcome of the process will be highlighted in a future report if required.

9 RISK

9.1 None

10 BACKGROUND PAPERS

10.1 IJB February 2022 and March 2022 Finance Papers

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DATE	May 2022

Appendix 1 – Use of funds to Support the increased costs of the Covid Pandemic in 21/22

Plan	Budget	Cost	Variance
	£000's	£000's	£000's
GP Winter Investment 2 M	249	249	0
21/22 Covid Prescribing Pressures	568	568	0
Additional AHP Staffing (Rotation)	43	0	43
Additional D2A Posts	121	121	0
Additional Hospital to Home Runs	658	608	50
Additional IHTT posts	98	98	0
Additional Rehab posts	126	126	0
CMHT & PTS Posts	156	104	52
Covid Flu 21/22 Pressure	365	197	168
Des Covid Vaccination	15	0	15
Expansion of Care Home Team	458	298	160
Upgraded post due to extra responsibility (OT/PT & Vaccinations)	27	18	9
Maternity payment for GMS	38	0	38
Opening Ward 5 ELCH	2,019	1,466	553
Opening Ward 6 ELCH	1,876	1,355	521
AHP (Care Package Review)	68	0	68
Social Care	2,933	2,933	0

Appendix 2 – List of Earmarked Reserves (Carry forward of funds into 22/23)

	2021/22
	£000's
COVID-19 Funding	9,182
Scottish Government Mental Health Strategy - Action 15	8
Scottish Government Primary Care Improvement Plan Fund	354
Midlothian and East Lothian Drug and Alcohol Partnership	1,038
Community Living Change Fund	346
Winter - Care at Home Capacity	419
Winter - Interim Care	420
Winter - Multi-Disciplinary teams	158
Carers	79
Locally Committed Programmes	3,476
	15,479



REPORT TO: East Lothian Integration Joint Board

MEETING DATE: 23 June 2022

BY: Chief Officer

SUBJECT: Code of Conduct for
Members of East Lothian Integration Joint Board

6

1 PURPOSE

- 1.1 To seek approval for adoption by East Lothian Integration Joint Board (IJB) of a new Code of Conduct (based on the Model Code for Members of Devolved Public Bodies, which came into effect on 7th December 2021) and which will apply to all East Lothian IJB members.

2 RECOMMENDATIONS

The IJB is asked to:

- 2.1 Note that all IJBs, as Devolved Public Bodies listed in schedule 3 of the [Ethical Standards in Public Life etc. \(Scotland\) Act 2000](#) must adopt a Code of Conduct (based on the Model Code of Conduct for Members of Devolved Public Bodies) in order to comply with the [Act](#).
- 2.2 Note that although the deadline date for approval of the Code of Conduct was 10th June 2022, in early May, East Lothian received an extension to the 30th June. This reflected the potential effects of the local election on IJB membership, the need for induction of any new members and the IJB's meeting schedule, meaning formal approval of a new Code of Conduct would not be possible until the 23rd June meeting.
- 2.3 Agree to adopt the Code of Conduct for East Lothian IJB (appendix 1)
- 2.4 Require all current IJB members to sign a copy of the Code of Conduct, and to similarly require all new members to sign the Code on appointment.

3 BACKGROUND

- 3.1 On 10th January 2021 the Scottish Government issued a letter from the Director for Local Government and Communities, regarding revisions to the Model Code of Conduct for Members of Devolved Public Bodies. The letter indicated that changes to the Model Code had come into effect on 7th December 2021 and that as each IJB was a Devolved Public Body listed in schedule 3 of the [Ethical Standards in Public Life etc. \(Scotland\) Act 2000](#), any and all existing IJB Codes of Conduct needed to be reviewed and updated in line with a supplied template Model Code.
- 3.2 The letter also provided a link to guidance and advice notes prepared by the Standards Commission to support the Model Code (see: www.standardscommissionscotland.org.uk/guidance/guidance-notes)
- 3.3 The letter further advised that the deadline for updating and approving the local IJB Code of Conduct, and providing it to Scottish Government was Friday 10th June 2022. As noted above, East Lothian IJB has received an extension of this deadline to 30th June to allow the proposed Code of Conduct to be approved at its 23rd June meeting.
- 3.4 The Model Code is a statutory document which must be followed by all Public Bodies covered by the Ethical Standards Framework and as such, is enforceable by the Standards Commission for Scotland.
- 3.5 IJBs are free to add requirements in addition to those set out by the Model Code, however these must be outlined in separate internal policy guidance and cannot be included in the Model Code. It is not proposed to add further requirements for East Lothian IJB members in a separate policy.
- 3.6 The Code was developed in line with the nine key principles of public life in Scotland (listed below). It states how the Code's requirements should be interpreted and applied in practice and the provisions within [Part 2 of the Act](#) for dealing with alleged breaches of the Code, including the sanctions that can be applied if the Standards Commission finds that there has been a breach of the Code.
- 3.7 The nine key principles of public life, as reproduced in the proposed East Lothian Code of Conduct are:

Duty

I have a duty to uphold the law and act in accordance with the law and the public trust placed in me. I have a duty to act in the interests of the East Lothian IJB of which I am a member and in accordance with the core functions and duties of the IJB.

Selflessness

I have a duty to take decisions solely in terms of public interest. I must not act in order to gain financial or other material benefit for myself, family or friends.

Integrity

I must not place myself under any financial, or other obligation to any individual or organisation that might reasonably be thought to influence me in the performance of my duties.

Objectivity

I must make decisions solely on merit and in a way that is consistent with the functions of the IJB when carrying out public business. including making appointments, awarding contracts or recommending individuals for rewards and benefits.

Accountability and Stewardship

I am accountable to the public for my decisions and actions. I have a duty to consider issues on their merits, taking account of the views of others and I must ensure that the IJB uses its resources prudently and in accordance with the law.

Openness

I have a duty to be as open as possible about my decisions and actions, giving reasons for my decisions and restricting information only when the wider public interest clearly demands.

Honesty

I have a duty to act honestly. I must declare any private interests relating to my public duties and take steps to resolve any conflicts arising in a way that protects the public interest.

Leadership

I have a duty to promote and support these principles by leadership and example, and to maintain and strengthen the public's trust and confidence in the integrity of the IJB and its members in conducting public business.

Respect

I must respect all other board members and all employees of the IJB and the role they play, treating them with courtesy at all times. Similarly, I must respect members of the public when performing my duties as a board member.

4 ENGAGEMENT

- 4.1 Engagement regarding the proposed Code of Conduct is limited to East Lothian IJB members only. As the Code of Conduct is based on the Model Code approved by the Scottish Parliament, there is no necessity for any wider engagement.

5 POLICY IMPLICATIONS

- 5.1 There are no policy implications beyond the adoption and application by East Lothian Integration Joint Board of the Code of Conduct once approved.

6 INTEGRATED IMPACT ASSESSMENT

- 6.1 The subject of this report does not affect the wellbeing of the community or have a significant impact on equality, the environment or economy.

7 DIRECTIONS

- 7.1 The subject of this report does not affect the IJB's current Directions or require an additional Direction to be put in place.

8 RESOURCE IMPLICATIONS

- 8.1 Financial - There are no financial implications.
- 8.2 Personnel - There are no implications for personnel.
- 8.3 Other - There are no other implications.

9 BACKGROUND PAPERS

- 9.1 Appendix 1 – Proposed Model Code of Conduct for Members of East Lothian Integration Joint Board

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DATE	9 th June 2022

East Lothian
Integration Joint Board



Code of Conduct for Members of East Lothian Integration Joint Board

DRAFT at June 2022

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SECTION 1: INTRODUCTION TO THE EAST LoTHIAN IJB CODE OF CONDUCT

1.1 This Code of Conduct (“Code”) for members of the East Lothian Integration Joint Board (“IJB”) is based on the Model Code issued by the Scottish Ministers, with the approval of the Scottish Parliament, as required by the [Ethical Standards in Public Life etc. \(Scotland\) Act 2000 \(the “Act”\)](#).

1.2 The purpose of the Code is to set out the conduct expected of those who serve on the boards of public bodies in Scotland, including IJBs.

1.3 The Code was developed in line with the nine key principles of public life in Scotland (listed in [Section 2](#)) and sets out how the provisions of the Code should be interpreted and applied in practice.

My Responsibilities as an IJB Member

1.4 I understand that the public has a high expectation of those who serve on the boards of public bodies and the way in which they should conduct themselves in undertaking their duties. I will always seek to meet those expectations by ensuring that I conduct myself in accordance with the Code.

1.5 I will comply with the substantive provisions of this Code, being sections 3 to 6 inclusive, in all situations and at all times where I am acting as a board member of the IJB, have referred to myself as a board member or could objectively be considered to be acting as a board member.

1.6 I will comply with the substantive provisions of this Code, being sections 3 to 6 inclusive, in all my dealings with the public, employees and fellow board members, whether formal or informal.

1.7 I understand that it is my personal responsibility to familiarise myself with the provisions of this Code and that I must also comply with the law and the IJB’s rules, standing orders and regulations. I will also ensure that I am familiar with any guidance or advice notes issued by the Standards Commission for Scotland (“Standards Commission”) and the IJB, and endeavour to take part in any training offered on the Code.

1.8 I will not, at any time, advocate or encourage any action contrary to this Code.

1.9 I understand that no written information, whether in the Code itself or the associated Guidance or Advice Notes issued by the Standards Commission, can provide for all circumstances. If I am uncertain about how the Code applies, I will seek advice from the Standards Officer of the IJB (Chief Officer), failing whom the IJB Chair. I note that I may also choose to seek external legal advice on how to interpret the provisions of the Code.

Enforcement

1.10 [Part 2 of the Act](#) sets out the provisions for dealing with alleged breaches of the Code, including the sanctions that can be applied if the Standards Commission finds that there has been a breach of the Code. More information on how complaints are dealt with and the sanctions available can be found at [Annex A](#).

SECTION 2: KEY PRINCIPLES OF THE MODEL CODE OF CONDUCT

2.1 The Code is based on the following key principles of public life (para 2.3). I will behave in accordance with these principles and understand that they should be used for guidance and for interpreting the provisions in the Code.

2.2 I note that a breach of one or more of the key principles does not in itself amount to a breach of the Code. I note that, for a breach of the Code to be found, there must also be a contravention of one or more of the provisions in sections 3 to 6 inclusive of the Code.

2.3 The key principles are:

Duty

I have a duty to uphold the law and act in accordance with the law and the public trust placed in me. I have a duty to act in the interests of the East Lothian IJB of which I am a member and in accordance with the core functions and duties of the IJB.

Selflessness

I have a duty to take decisions solely in terms of public interest. I must not act in order to gain financial or other material benefit for myself, family or friends.

Integrity

I must not place myself under any financial, or other obligation to any individual or organisation that might reasonably be thought to influence me in the performance of my duties.

Objectivity

I must make decisions solely on merit and in a way that is consistent with the functions of the IJB when carrying out public business, including making appointments, awarding contracts or recommending individuals for rewards and benefits.

Accountability and Stewardship

I am accountable to the public for my decisions and actions. I have a duty to consider issues on their merits, taking account of the views of others and I must ensure that the IJB uses its resources prudently and in accordance with the law.

Openness

I have a duty to be as open as possible about my decisions and actions, giving reasons for my decisions and restricting information only when the wider public interest clearly demands.

Honesty

I have a duty to act honestly. I must declare any private interests relating to my public duties and take steps to resolve any conflicts arising in a way that protects the public interest.

Leadership

I have a duty to promote and support these principles by leadership and example, and to maintain and strengthen the public's trust and confidence in the integrity of the IJB and its members in conducting public business.

Respect

I must respect all other board members and all employees of the IJB and the role they play, treating them with courtesy at all times. Similarly, I must respect members of the public when performing my duties as a board member.

Respect and Courtesy

3.1 I will treat everyone with courtesy and respect. This includes in person, in writing, at meetings, when I am online and when I am using social media.

3.2 I will not discriminate unlawfully on the basis of race, age, sex, sexual orientation, gender reassignment, disability, religion or belief, marital status or pregnancy/maternity. I will advance equality of opportunity and seek to foster good relations between different people.

3.3 I will not engage in any conduct that could amount to bullying or harassment(which includes sexual harassment). I accept that such conduct is completely unacceptable and will be considered to be a breach of this Code.

3.4 I accept that disrespect, bullying and harassment can be:

- a) A one-off incident,
- b) Part of a cumulative course of conduct; or
- c) A pattern of behaviour.

3.5 I understand that how, and in what context, I exhibit certain behaviours can be as important as what I communicate, given that disrespect, bullying and harassment can be physical, verbal and non-verbal conduct.

3.6 I accept that it is my responsibility to understand what constitutes bullying and harassment and I will utilise resources, including the Standards Commission's guidance and advice notes, and the IJB's policies and training material (where appropriate) to ensure that my knowledge and understanding is up to date.

3.7 Except where it is written into my role as IJB member, and/or at the invitation of the Chief Officer of East Lothian Health and Social Care Partnership (HSCP) I will not become involved in operational management. I acknowledge and understand that operational management is the responsibility of the Chief Officer and HSCP Management Team.

3.8 I will not undermine any individual employee or group of employees, or raise concerns about their performance, conduct or capability in public. I will raise any concerns I have on such matters in private with senior management as appropriate.

3.9 I will not take, or seek to take, unfair advantage of my position in my dealings with employees of the HSCP or bring any undue influence to bear on employees to take a certain action. I will not ask or direct employees to do something which I know, or should reasonably know, could compromise them or prevent them from undertaking their duties properly and appropriately.

3.10 I will respect and comply with rulings from the Chair during meetings of:

- a) The IJB, its committees; and
- b) Any outside organisations that I have been appointed or nominated to by the IJB or on which I represent the IJB.

3.11 I will respect the principle of collective decision-making and corporate responsibility. This means that once the IJB has made a decision, I will support that decision, even if I did not agree with it or vote for it.

Remuneration, Allowances and Expenses

3.12 I will comply with the rules, and the policies of the IJB, on the payment of remuneration, allowances and expenses.

Gifts and Hospitality

3.13 I understand that I may be offered gifts (including money raised via crowdfunding or sponsorship), hospitality, material benefits or services (“gift or hospitality”) that may be reasonably regarded by a member of the public with knowledge of the relevant facts as placing me under an improper obligation or being capable of influencing my judgement.

3.14 I will never **ask for** or **seek** any gift or hospitality.

3.15 I will refuse any gift or hospitality, unless it is:

- a) A minor item or token of modest intrinsic value offered on an infrequent basis;
- b) A gift being offered to the IJB;
- c) Hospitality which would reasonably be associated with my duties as a board member; or
- d) Hospitality which has been approved in advance by the IJB.

3.16 I will consider whether there could be a reasonable perception that any gift or hospitality received by a person or body connected to me could or would influence my judgement.

3.17 I will not allow the promise of money or other financial advantage to induce me to act improperly in my role as an IJB board member. I accept that the money or advantage (including any gift or hospitality) does not have to be given to me directly. The offer of monies or advantages to others, including community groups, may amount to bribery, if the intention is to induce me to improperly perform a function.

3.18 I will never accept any gift or hospitality from any individual or applicant who is awaiting a decision from, or seeking to do business with, the IJB.

3.19 If I consider that declining an offer of a gift would cause offence, I will accept it and hand it over to the IJB at the earliest possible opportunity and ask for it to be registered.

3.20 I will promptly advise the IJB’s Standards Officer (Chief Officer) if I am offered (but refuse) any gift or hospitality of any significant value and/or if I am offered any gift or hospitality from the same source on a repeated basis, so that the IJB can monitor this.

3.21 I will familiarise myself with the terms of the [Bribery Act 2010](#), which provides for offences of bribing another person and offences relating to being bribed.

Confidentiality

3.22 I will not disclose confidential information or information which should reasonably be regarded as being of a confidential or private nature, without the express consent of a person or body authorised to give such consent, or unless required to do so by law. I note that if I cannot obtain such express consent, I should assume it is not given.

3.23 I accept that confidential information can include discussions, documents, and information which is not yet public or never intended to be public, and information deemed confidential by statute.

3.24 I will only use confidential information to undertake my duties as an IJB member. I will not use it in any way for personal advantage or to discredit the IJB (even if my personal view is that the information should be publicly available).

3.25 I note that these confidentiality requirements do not apply to protected 'whistleblowing' disclosures made to the prescribed persons and bodies as identified in statute.

Use of Integration Joint Board Resources

3.26 I will only use the IJB' resources, including employee assistance, facilities, stationery and IT equipment, for carrying out duties on behalf of the IJB, in accordance with its relevant policies.

3.27 I will not use, or in any way enable others to use, the IJB's resources:

- a) Imprudently (without thinking about the implications or consequences);
- b) Unlawfully;
- c) For any political activities or matters relating to these; or
- d) Improperly.

Dealing with the Integration Joint Board and Preferential Treatment

3.28 I will not use, or attempt to use, my position or influence as a board member to:

- a) Improperly confer on or secure for myself, or others, an advantage;
- b) Avoid a disadvantage for myself, or create a disadvantage for others or
- c) Improperly seek preferential treatment or access for myself or others.

3.29 I will avoid any action which could lead members of the public to believe that preferential treatment or access is being sought.

3.30 I will advise employees of any connection, as defined at [Section 5](#), I may have to a matter, when seeking information or advice or responding to a request for information or advice from them.

Appointments to Outside Organisations

3.31 If I am appointed, or nominated by the IJB, as a member of another body or organisation, I will abide by the rules of conduct and will act in the best interests of that body or organisation while acting as a member of it. I will also continue to observe the rules of this Code when carrying out the duties of that body or organisation.

3.32 I accept that if I am a director or trustee (or equivalent) of a company or a charity, I will be responsible for identifying, and taking advice on, any conflicts of interest that may arise between the company or charity and the IJB.

SECTION 4: REGISTRATION OF INTERESTS

4.1 The following paragraphs set out what I have to register when I am appointed to the IJB and whenever my circumstances change. The register covers my current term of appointment.

4.2 I understand that regulations made by the Scottish Ministers describe the detail and timescale for registering interests; including a requirement that a board member must register their registrable interests within one month of becoming a board member, and register any changes to those interests within one month of those changes having occurred.

4.3 The interests which I am required to register are those set out in the following paragraphs. Other than as required by paragraph 4.23, I understand it is not necessary to register the interests of my spouse or cohabitee.

Category One: Remuneration

4.4 I will register any work for which I receive, or expect to receive, payment. I have a registrable interest where I receive remuneration by virtue of being:

- a) Employed;
- b) Self-employed;
- c) The holder of an office;
- d) A director of an undertaking;
- e) A partner in a firm;
- f) Appointed or nominated by the IJB to another body; or
- g) Engaged in a trade, profession or vocation or any other work.

4.5 I understand that in relation to 4.4 above, the amount of remuneration does not require to be registered. I understand that any remuneration received as a board member of IJB does not have to be registered.

4.6 I understand that if a position is not remunerated it does not need to be registered under this category. However, unremunerated directorships may need to be registered under Category Two, 'Other Roles'.

4.7 I must register any allowances I receive in relation to membership of any organisation under Category One.

4.8 When registering employment as an employee, I must give the full name of the employer, the nature of its business, and the nature of the post I hold in the organisation.

4.9 When registering remuneration from the categories listed in paragraph 4.4 (b) to (g) above, I must provide the full name and give details of the nature of the business, organisation, undertaking, partnership or other body, as appropriate. I recognise that some other employments may be incompatible with my role as board member of the IJB in terms of paragraph [6.7](#) of this Code.

4.10 Where I otherwise undertake a trade, profession or vocation, or any other work, the detail to be given is the nature of the work and how often it is undertaken.

4.11 When registering a directorship, it is necessary to provide the registered name and registered number of the undertaking in which the directorship is held and provide information about the nature of its business.

4.12 I understand that registration of a pension is not required as this falls outside the scope of the category.

Category Two: Other Roles

4.13 I will register any unremunerated directorships where the body in question is a subsidiary or parent company of an undertaking in which I hold a remunerated directorship.

4.14 I will register the registered name and registered number of the subsidiary or parent company or other undertaking and the nature of its business, and its relationship to the company or other undertaking in which I am a director and from which I receive remuneration.

Category Three: Contracts

4.15 I have a registerable interest where I (or a firm in which I am a partner, or an undertaking in which I am a director or in which I have shares of a value as described in paragraph 4.20 below) have made a contract with the IJB:

- a) Under which goods or services are to be provided, or works are to be executed; and
- b) Which has not been fully discharged.

4.16 I will register a description of the contract, including its duration, but excluding the value.

Category Four: Election Expenses

4.17 If I have been elected to the IJB, then I will register a description of, and statement of, any assistance towards election expenses relating to election to the IJB.

Category Five: Houses, Land and Buildings

4.18 I have a registrable interest where I own or have any other right or interest in houses, land and buildings, which may be significant to, of relevance to, or bear upon, the work and operation of The IJB.

4.19 I accept that, when deciding whether or not I need to register any interest I have in houses, land or buildings, the test to be applied is whether a member of the public, with knowledge of the relevant facts, would reasonably regard the interest as being so significant that it could potentially affect my responsibilities to my public body and to the public, or could influence my actions, speeches or decision-making.

Category Six: Interest in Shares and Securities

4.20 I have a registerable interest where:

- a) I own or have an interest in more than 1% of the issued share capital of the company or other body; or
- b) Where, at the relevant date, the market value of any shares and securities (in any one specific company or body) that I own or have an interest in is greater than £25,000.

Category Seven: Gifts and Hospitality

4.21 I understand the requirements of paragraphs 3.13 to 3.21 regarding gifts and hospitality. As I will not accept any gifts or hospitality, other than under the limited circumstances allowed, I understand there is no longer the need to register any.

Category Eight: Non-Financial Interests

4.22 I may also have other interests and I understand it is equally important that relevant interests such as membership or holding office in other public bodies, companies, clubs, societies and organisations such as trades unions and voluntary organisations, are registered and described. In this context, I understand non-financial interests are those which members of the public with knowledge of the relevant facts might reasonably think could influence my actions, speeches, votes or decision-making in the IJB (this includes its committees and memberships of other organisations to which I have been appointed or nominated by the IJB).

Category Nine: Close Family Members

4.23 I will register the interests of any close family member who has transactions with the IJB or is likely to have transactions or do business with it.

SECTION 5: DECLARATION OF INTERESTS

Stage 1: Connection

5.1 For each particular matter I am involved in as a board member, I will first consider whether I have a connection to that matter.

5.2 I understand that a connection is any link between the matter being considered and me, or a person or body I am associated with. This could be a family relationship or a social or professional contact.

5.3 A connection includes anything that I have registered as an interest.

5.4 A connection does not include being a member of a body to which I have been appointed or nominated by the IJB as its representative, unless:

- a) The matter being considered by the IJB is quasi-judicial or regulatory; or
- b) I have a personal conflict by reason of my actions, my connections or my legal obligations.

Stage 2: Interest

5.5 I understand my connection is an interest that requires to be declared where the objective test is met - that is where a member of the public with knowledge of the relevant facts would reasonably regard my connection to a particular matter as being so significant that it would be considered as being likely to influence the discussion or decision-making.

Stage 3: Participation

5.6 I will declare my interest as early as possible in meetings. I will not remain in the meeting nor participate in any way in those parts of meetings where I have declared an interest.

5.7 I will consider whether it is appropriate for transparency reasons to state publicly where I have a connection, which I do not consider amounts to an interest.

5.8 I note that I can apply to the Standards Commission and ask it to grant a dispensation to allow me to take part in the discussion and decision-making on a matter where I would otherwise have to declare an interest and withdraw (as a result of having a connection to the matter that would fall within the objective test). I note that such an application must be made in advance of any meetings where the dispensation is sought and that I cannot take part in any discussion or decision-making on the matter in question unless, and until, the application is granted.

5.9 I note that public confidence in a public body is damaged by the perception that decisions taken by that body are substantially influenced by factors other than the public interest. I will not accept a role or appointment if doing so means I will have to declare interests frequently at meetings in respect of my role as an IJB member. Similarly, if any appointment or nomination to another body would give rise to objective concern because of my existing personal involvement or affiliations, I will not accept the appointment or nomination.

SECTION 6: LOBBYING AND ACCESS

6.1 I understand that a wide range of people will seek access to me as an IJB member and will try to lobby me, including individuals, organisations and companies. I must distinguish between:

- a) Any role I have in dealing with enquiries from the public;
- b) Any community engagement where I am working with individuals and organisations to encourage their participation and involvement, and;
- c) Lobbying, which is where I am approached by any individual or organisation who is seeking to influence me for financial gain or advantage, particularly those who are seeking to do business with the IJB (for example in connection with contracts/procurement).

6.2 In deciding whether, and if so how, to respond to such lobbying, I will always have regard to the objective test, which is whether a member of the public, with knowledge of the relevant facts, would reasonably regard my conduct as being likely to influence my, or the IJB's, decision-making role.

6.3 I will not, in relation to contact with any person or organisation that lobbies, do anything which contravenes this Code or any other relevant rule of the IJB or any statutory provision.

6.4 I will not, in relation to contact with any person or organisation that lobbies, act in any way which could bring discredit upon the IJB.

6.5 If I have concerns about the approach or methods used by any person or organisation in their contacts with me, I will seek the guidance of the IJB Chair, Chief Officer of the HSCP or Standards Officer (Chief Officer) of the IJB.

6.6 The public must be assured that no person or organisation will gain better access to, or treatment by me as a result of employing a company or individual to lobby on a fee basis on their behalf. I will not, therefore, offer or accord any preferential access or treatment to those lobbying on a fee basis on behalf of clients compared with that which I accord any other person or organisation who lobbies or approaches me. I will ensure that those lobbying on a fee basis on behalf of clients are not given to understand that preferential access or treatment, compared to that accorded to any other person or organisation, might be forthcoming.

6.7 Before taking any action as a result of being lobbied, I will seek to satisfy myself about the identity of the person or organisation that is lobbying and the motive for lobbying. I understand I may choose to act in response to a person or organisation lobbying on a fee basis on behalf of clients but it is important that I understand the basis on which I am being lobbied in order to ensure that any action taken in connection with the lobbyist complies with the standards set out in this Code and the [Lobbying \(Scotland\) Act 2016](#).

6.8 I will not accept any paid work:

- a) Which would involve me lobbying on behalf of any person or organisation or any clients of a person or organisation.
- b) To provide services as a strategist, adviser or consultant, for example, advising on how to influence the IJB and its members. This does not prohibit me from being remunerated for activity which may arise because of, or relating to, membership of my public body, such as journalism or broadcasting, or involvement in representative or presentational work, such as participation in delegations, conferences or other events.

ANNEX A: BREACHES OF THE CODE

Introduction

1. [The Ethical Standards in Public Life etc. \(Scotland\) Act 2000](#) (“the Act”) provided for a framework to encourage and, where necessary, enforce high ethical standards in public life.
2. The Act provided for the introduction of new codes of conduct for local authority councillors and members of relevant public bodies, imposing on councils and relevant public bodies a duty to help their members comply with the relevant code.
3. The Act and the subsequent Scottish Parliamentary Commissions and Commissioners etc. Act 2010 established the [Standards Commission for Scotland](#) (“Standards Commission”) and the post of [Commissioner for Ethical Standards in Public Life in Scotland](#) (“ESC”).
4. The Standards Commission and ESC are separate and independent, each with distinct functions. Complaints of breaches of a public body’s Code of Conduct are investigated by the ESC and adjudicated upon by the Standards Commission.
5. The first Model Code of Conduct came into force in 2002. The Code was subsequently reviewed and re-issued in 2014. The 2021 Code was issued by the Scottish Ministers following consultation, and with the approval of the Scottish Parliament, as required by the Act.

Investigation of Complaints

6. The ESC is responsible for investigating complaints about members of devolved public bodies. It is not, however, mandatory to report a complaint about a potential breach of the Code to the ESC. It may be more appropriate in some circumstances for attempts to be made to resolve the matter informally at a local level.
7. On conclusion of the investigation, the ESC will send a report to the Standards Commission.

Hearings

8. On receipt of a report from the ESC, the Standards Commission can choose to:
 - Do nothing;
 - Direct the ESC to carry out further investigations; or
 - Hold a Hearing.
9. Hearings are held (usually in public) to determine whether the member concerned has breached their public body’s Code of Conduct. The Hearing Panel comprises of three members of the Standards Commission. The ESC will present evidence and/or make submissions at the Hearing about the investigation and any conclusions as to whether the member has contravened the Code. The member is entitled to attend or be represented at the Hearing and can also present evidence and make submissions.

Both parties can call witnesses. Once it has heard all the evidence and submissions, the Hearing Panel will make a determination about whether or not it is satisfied, on the balance of probabilities, that there has been a contravention of the Code by the member. If the Hearing Panel decides that a member has breached their public body's Code, it is obliged to impose a sanction.

Sanctions

10. The sanctions that can be imposed following a finding of a breach of the Code are as follows:

- **Censure:** A censure is a formal record of the Standards Commission's severe and public disapproval of the member concerned.
- **Suspension:** This can be a full or partial suspension (for up to one year). A full suspension means that the member is suspended from attending all meetings of the public body. Partial suspension means that the member is suspended from attending some of the meetings of the public body. The Commission can direct that any remuneration or allowance the member receives as a result of their membership of the public body be reduced or not paid during a period of suspension.
- **Disqualification:** Disqualification means that the member is removed from membership of the body and disqualified (for a period not exceeding five years), from membership of the body. Where a member is also a member of another devolved public body (as defined in the Act), the Commission may also remove or disqualify that person in respect of that membership. Full details of the sanctions are set out in section 19 of the Act.

Interim Suspensions

11. Section 21 of the Act provides the Standards Commission with the power to impose an interim suspension on a member on receipt of an interim report from the ESC about an ongoing investigation. In making a decision about whether or not to impose an interim suspension, a Panel comprising of three Members of the Standards Commission will review the interim report and any representations received from the member and will consider whether it is satisfied:

- That the further conduct of the ESC's investigation is likely to be prejudiced if such an action is not taken (for example if there are concerns that the member may try to interfere with evidence or witnesses); or
- That it is otherwise in the public interest to take such a measure. A policy outlining how the Standards Commission makes any decision under Section 21 and the procedures it will follow in doing so, should any such a report be received from the ESC can be found [here](#).

12. The decision to impose an interim suspension is not, and should not be seen as, a finding on the merits of any complaint or the validity of any allegations against a member of a devolved public body, nor should it be viewed as a disciplinary measure.

ANNEX B: DEFINITIONS

“Bullying” is inappropriate and unwelcome behaviour which is offensive and intimidating, and which makes an individual or group feel undermined, humiliated or insulted.

"Chair" includes Board Convener or any other individual discharging a similar function to that of a Chair or Convener under alternative decision-making structures.

“Code” is the code of conduct for members of East Lothian Integration Joint Board, which is based on the Model Code of Conduct for members of devolved public bodies in Scotland.

"Cohabitee" includes any person who is living with you in a relationship similar to that of a partner, civil partner, or spouse.

“Confidential Information” includes:

- Any information passed on to the public body by a Government department (even if it is not clearly marked as confidential) which does not allow the disclosure of that information to the public;
- Information of which the law prohibits disclosure (under statute or by the order of a Court);
- Any legal advice provided to the public body; or
- Any other information which would reasonably be considered a breach of confidence should it be made public.

"Election expenses" means expenses incurred, whether before, during or after the election, on account of, or in respect of, the conduct or management of the election.

“Employee” includes individuals employed:

- Directly by the public body;
- As contractors by the public body, or
- By a contractor to work on the public body’s premises.

“Gifts” a gift can include any item or service received free of charge, or which may be offered or promised at a discounted rate or on terms not available to the general public. Gifts include benefits such as relief from indebtedness, loan concessions, or provision of property, services or facilities at a cost below that generally charged to members of the public. It can also include gifts received directly or gifts received by any company in which the recipient holds a controlling interest in, or by a partnership of which the recipient is a partner.

“Harassment” is any unwelcome behaviour or conduct which makes someone feel offended, humiliated, intimidated, frightened and/or uncomfortable. Harassment can be experienced directly or indirectly and can occur as an isolated incident or as a course of persistent behaviour.

“Hospitality” includes the offer or promise of food, drink, accommodation, entertainment or the opportunity to attend any cultural or sporting event on terms not available to the general public.

“Relevant Date” where a board member had an interest in shares at the date on which the member was appointed as a member, the relevant date is – (a) that date; and (b) the 5th April immediately following that date and in each succeeding year, where the interest is retained on that 5th April.

“Public body” means a devolved public body listed in Schedule 3 of the Ethical Standards in Public Life etc. (Scotland) Act 2000, as amended.

“Remuneration” includes any salary, wage, share of profits, fee, other monetary benefit or benefit in kind.

“Securities” a security is a certificate or other financial instrument that has monetary value and can be traded. Securities includes equity and debt securities, such as stocks bonds and debentures.

“Undertaking” means:

- a) A body corporate or partnership; or
- b) An unincorporated association carrying on a trade or business, with or without a view to a profit.