



Self-Assessment against Adopted Code of Governance for the year 2022/23

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1. Mission and Values

Principle 1

The board sets and actively drives the organisation's social purpose, mission, values and ambitions, and through these embeds within the organisation resident focus, inclusion, integrity, openness and accountability.

Compliance

1.1 Mission: the board leads the organisation in pursuit of achieving its social purpose. The board sets the organisation's mission and values, and	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> • Board (and subsidiary) Terms of Reference (TE) • Annual Impact Report (W, TE, TH) 	Action needed: -
	Comments:		By whom: -

regularly reviews and reaffirms their relevance.	-Board mission and values are clearly defined and communicated throughout the business	<ul style="list-style-type: none"> •Business Plan (TH, TE, W) •Quarterly Board Meetings / Performance Review minutes (TE) •Rolling Board Agenda (TE) •Mission & Values - (W, TH, TE) •Governance Framework (TE, W) •Policies / Procedures - EDI / PIE / Coproduction / Compliments and Complaints (TE, TH, W) •BCHAngemakers company conference; focus on mission & company values •Staff performance reviews explicitly reflect business objectives 	By date: -
1.2 Resident Focus: the needs and safety of the organisation's current and future residents and other customers are placed at the heart of the board's decision-making.			
(1) There are policies, frameworks and opportunities which enable, encourage and support residents and other customers to engage with,	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> • Policies - including Customer Engagement (TH, TE, W) 	Action needed: <ul style="list-style-type: none"> - To continue collaboration with customer steering to deliver agreed outcomes

influence and contribute to strategic decision-making.	<p>Comments:</p> <p>BCHA has acknowledged how important this is and it is an area of on-going focus and investment</p> <p>At the Board Away Day in May 2023 “It was agreed that the ESG and customer insight was critical to the development of the next Business Plan. The power of individual voices, real feedback, dialogue and the ability to triangulate information was essential to the Board and Exec, who invited appropriate challenge.”</p> <p>BCHA is working towards customer contribution to strategic decision making</p>	<ul style="list-style-type: none"> • Customer Engagement Strategy and Action Plan (TH, W) • Customer Engagement ToR (TH) • Communication Strategy (TH) • Customer Service / Compliments & Complaints policy (W, TH, TE) • Resident Involvement Policy (TH, W) • EDI Policy (TH, TE, W) • Customer Reference Panel meets to inform the organisation • Co-production Training • Board Away Day customer involvement 25-05-23, • BCHA Angemakers customer participation • Quarterly reporting to the board of TSMs 	<p>By whom:</p> <p>-Customer Engagement and Insight Manager and Co-Production Lead</p> <hr/> <p>By date:</p> <p>- On-going</p>
(2) The board has access to insight into the views and needs of the organisation’s residents and other customers (including insight into their concerns and complaints) and uses this to	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>Not applicable <input type="checkbox"/></p>	<p>Evidence:</p> <ul style="list-style-type: none"> • Board Terms of Reference (TE) • Quarterly Board Report / Performance Pack (section 3 including i) report on 	<p>Action needed:</p> <p>-</p> <hr/> <p>By whom:</p> <p>-</p>
	<p>Comments:</p> <p>-</p>		

inform decisions where appropriate.		feedback and complaints, ii) Customer Engagement) (TE, TH), iii) TSMs report at all board meetings <ul style="list-style-type: none"> • Third Party Research and benchmarking report to board (TE,TH) 	By date: -
(3) There are policies in place which reflect that the safety of residents and other customers (as well as that of the workforce and the wider public) is an overriding priority, and the board	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> • Health and Safety Policy references Resident Focus (TH, TE, W) • Quarterly Board Pack (TH, TE) 	Action needed: -
	Comments: -		By whom: -

regularly seeks assurance on their operation.		<ul style="list-style-type: none"> • Internal Audit programme • Board Report minutes and agenda (TE) • Rolling Agenda (TE) • Internal Audit - minutes ART committee (TE) • Landlord Compliance Policies on website and TeamEngine (TE) including but not limited to: <ul style="list-style-type: none"> ○ Health & Safety (TE) ○ Safeguarding (Adults & Children) (TE, W) ○ Data Protection (TE, W) ○ Fire Safety (TE) ○ *Raising Serious Concerns (TE, W) • Mandatory Training for all staff (e.g. Safeguarding, PREVENT) (TH) • Mandatory Training for Board (EDI, GDPR, H & S, Safeguarding Adults and Children, Risk Management, duties and Responsibilities -TE) • Other training for board members (TE) 	By date: -
(4) The organisation regularly reports to its residents on how its	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence:	Action needed: -

commitments to resident focus have been delivered.	Comments: <ul style="list-style-type: none"> - This area is developing and is becoming embedded across the organisation 	<ul style="list-style-type: none"> • Tenant News includes information quarterly on Customer Engagement and feedback (TH, W plus printed copies to residents) • Complaints feedback and accessibility via TN • Customer Reference Panel meets regularly 	By whom: - By date: -
1.3 Equality, diversity and inclusion: The board demonstrates a clear and active commitment to achieve equality of opportunity, diversity and inclusion in all of the organisation's activities, as well as in its own composition. It has policies and statements which meaningfully demonstrate this commitment, and sets priorities and objectives for the organisation to achieve.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> • EDI Strategy and Action Plan (TH) • EDI statement re Board recruitment (TE) • Quarterly Board Report / Performance Pack (TE, TH) • EDI policy and training (TH, TE, W) • EDI Forum (TH) • Aids and Adaptations policy • Reasonable Adjustments (TH) • EDI assessments informed board recruitment in 2022/23 • Topic for board awayday September 2022 	Action needed: -
	Comments: -		By whom: -
			By date: -
(1) The board seeks regular assurance about how these commitments and objectives are being delivered in practice, and	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> • Quarterly Board Reports on progress on EDI strategy / Performance Pack (TH, TE) 	Action needed: -
	Comments:		By whom:

tracks progress against the priorities it has set.	-	<ul style="list-style-type: none">• Third Party Research to inform Board Performance Pack (TSMS) (TE, TH)• EDI report to May 2022 Board – key themes, updates and 2022 plan (TE)	-
(2) The organisation annually publishes information about its work to deliver these commitments and objectives, and the progress it has made.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Gender Pay Gap Report (TH, W)	By date: -
	Comments: -there is a commitment to ensure that BCHA achieves equality, diversity and inclusion goals		By whom: - Comms team
			By date: -2024
1.4 Culture: The board regularly considers and defines the culture and behaviours that will best enable the organisation to deliver its mission and values.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Vision, Mission, Values and Behaviours (TH, TE, W)• Business Plan (TH, TE, W)• Business KPIs - Customer Focus (TH, TE)• Quarterly Board Minutes (TE)• Quarterly Performance Pack business plan update (TH, TE)• Values and Behaviours key element of IPRD staff reviews (TH)• ART serious concerns report quarterly	Action needed: -
	Comments: -		By whom: -
			By date: -

(1) The board leads by example and promotes the culture of the organisation.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Quarterly Board Performance Pack including third party research (TH, TE) ART Committee Rolling Agenda (TE) Internal Audit Plan & Internal Audit Charter (TE) BCHAngemakers Awards (TH, W) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(2) The board seeks regular assurance that its desired culture and behaviours are being enacted in practice in alignment with its mission and values.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Quarterly Board Performance Pack including third party research (TH, TE) ART Committee Rolling Agenda (TE) Internal Audit Plan & Internal Audit Charter (TE) 	Action needed: -
	Comments: -		By whom: -
			By date: -
1.5 Integrity: the board, its members and the organisation maintain high standards of probity and conduct.			
(1) The board adopts a formal code of conduct to which all its members adhere.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Board Code of Conduct (TE) 	Action needed: -
	Comments: -		By whom: -

			By date: -
(2) The board has clear policies and procedures for its members to identify, declare, record and manage any actual, potential and perceived conflicts of interest.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> • Payments, Benefits, Interests Policy and Procedure (TH) • Declaration of Gifts Policy (TH) • Standing Item Board Agendas (TE) & subsequent minutes • Declaration of Interest record (on appointment and annually) (TH) 	Action needed: -
	Comments: -		By whom: -
(3) There is a publicly available register for board and committee member declarations of interest which is reported on annually to the board.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> • Website register ("About Us", "Board", "Board Documents") • Annual Report (TH, TE,W) 	Action needed: -
	Comments: -		By whom: -
(4) Where there is a material conflict of interest, any individual concerned withdraws from the board's discussions and decisions on relevant matters.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> • Governance Framework (TE, TH) 	Action needed: -
	Comments: -		By whom: -

		<ul style="list-style-type: none"> "Declaration of Interest and Probity Issues" on all Board minutes and agendas (TE 	By date: -
(5) In the case of a fundamental or ongoing material conflict, the board determines whether the person concerned should cease to be a board member.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> "Declaration of Interest and Probity Issues" on all Board minutes and agendas (TE s BCHA Governance Framework 7.3.1 (TE,TH) 	Action needed: -
	Comments: -		By whom: -
			By date: -
1.6: Accountability: The board operates openly and transparently, and demonstrates accountability to key stakeholders including residents, other customers, and partner statutory bodies.			
(1) The board publishes information annually about the organisation's activities, performance and plans for future improvements, which is accessible to its key stakeholders and covers the matters referred to in this code.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Annual Impact Report - website Annual Financial Statements - website Business Plan - website Mission Values Goals - website Values and Behaviours - website Annual Governance Statement - website Governance Framework document - website Self- Assessment CoG - website 	Action needed: -
	Comments: -		By whom: -
			By date: -

		<ul style="list-style-type: none">• Self-Assessment - complaints Handling Code - website• Value for Money Statement - website• Gender Pay Gap - website	
(2) The organisation systematically identifies and regularly communicates with its key stakeholders and receives feedback about their views. In doing so it has regard to the communication needs of the diverse groups and communities it serves.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Podcasts (W, TH)• Blogs (TH, W)• Customer Hub (W) including Customer engagement and "How to Get Involved"; New tenant Panels, Peer Mentoring, podcasts, and "Tenant News"• Business Plan Update Videos (TH)• Third Party Research (Acuity) TSM reports for customer feedback and benchmarking (TH, TE)• Exit Interviews (summary in Board Pack TH, TE)• Reference Panel for stakeholder feedback• House Meetings including customer feedback• Website includes translation function c100 languages• Website Accessibility statement (W)• Communication Plan (TH)	Action needed: -
	Comments: -		By whom: -
			By date: -

(3) Opportunities and information are provided for residents and other customers independently to scrutinise the work of the organisation and to hold it to account, and the board reviews these arrangements regularly to ensure that they remain fit for purpose.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Board Terms of Reference 1.2, 4.2 (TE) Website provides access to Reports, policies, statements and Board information as detailed earlier in this document (W) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(4) The organisation publishes clear and up-to-date information about its board members, committees and governance.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Board of Trustees page on website includes: Member biographies Declarations of Interest Statement of Board Appointment and Composition Shareholding Membership Policy Board Terms of Reference Governance Structure BCHA Rules (Constitution) published on Shareholding page of website 	Action needed: -
	Comments: -		By whom: -
			By date: -
(5) The organisation responds in a considered, open and transparent way to requests for information about its work, activities, and decisions made by the board; where it cannot	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Request for Information Policy 	Action needed: -
	Comments:		By whom: -

provide certain information, it gives clear reasons as to why this is the case.	- Organisation responds openly but process could be clearer to customers and others	<ul style="list-style-type: none"> Data Protection and Privacy Notices on Customer Hub (W) 	By date: -
(6) The role of shareholders in the governance of the organisation is documented and understood.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Shareholders area on website Shareholding Membership Policy (W) BCHA Rules (constitution) (W) Oversight in terms of Reference for Governing Body (W, TE) Governance Framework (TE) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(7) Organisations with open shareholding publish their policy for the admission of shareholders.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Shareholding Membership Policy (W) BCHA Rules Part C (W, TE) 	Action needed: -
	Comments: -		By whom: -
			By date: -
1.7 Reputation and Trust: The board takes into account in its actions and decisions the importance of maintaining trust in the organisation and upholding its reputation.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> BCHA Rules Part D 4.1, D7, D16, D17, D18, D19D21, D22 (W, TE) Audit Risk and Treasury Committee Quarterly Risk 	Action needed: -
	Comments: -		By whom: -

		<p>Review then report to Board Items</p> <ul style="list-style-type: none">- Quarterly Risk Review- Quarterly Report on Serious Concerns (TE)• Quarterly Board Report (TE)	<p>By date:</p> <p>-</p>
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2. Strategy and Delivery

Principle 2

The board sets ambitions, plans and strategies which enable the organisation to fulfil its social purpose and remain viable and sustainable, and exercises demonstrable and effective oversight of its delivery.

Compliance

2.1 Strategy, resources and plans: The board sets the organisation's overall direction and strategy in line with its charitable, community benefit or other constitutional purposes.

(1) The board sets financially sustainable plans to ensure that the organisation has the resources it needs to deliver its strategy.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Board Terms of Reference (W, TE, TH)• Financial Plan linked to BP (TE)• Golden Rules in Quarterly Performance Pack (TE, TH)• Quarterly Board minutes (TE,)• Quarterly Performance Report (TH, TE)• Business Plan (TE, TH, W)• Board Away Day minutes (TE)• Business Plan including links to Finance Plan (TE, TH)• Budget (TE)• KPIs (TH, TE)• Financial Regulations• Audit, Risk, Treasury committee Terms of reference and minutes (TE)	Action needed: -
	Comments: -		By whom: -
			By date: -

(2) The board gives specific consideration in setting such plans to value for money, financial sustainability, carbon neutrality and environmental sustainability, and social sustainability.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">Value for Money (VFM) Strategy (TH)Value for Money Statement / Report (W, TE, TH)Board agendas and minutes including VFM targets (Feb 2023, August 2023) (TE)Financial Regulations (TE, TH)Procurement Policy (TH)Sustainability Policy (TH)ART Terms of Reference (TH)ART minutes and report to board (TE)Business Plan Goals 5 and 6 (W, TH, TE)	Action needed: -Continue to develop priorities for investment to meet carbon neutral goals -Continue to develop ESG reporting framework
	Comments: -Environmental and Social Sustainability to be further developed taking note of governmental changes in priority as well as housing investment needs		By whom: - Board and executive team
			By date: - On-going
2.2 Structures: Organisational and governance structures support the delivery of the organisation’s social purpose and strategic objectives.			
(1) Structures are designed to support effective delivery and oversight of strategy, are clearly set out, and are regularly reviewed to ensure they remain fit for purpose.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">Board and Organisations structures (W, TH, TE)Board ToR (TE, TH, W)Board Committees ToR (TE)ToR support Business Objects and Business Plan (TE)Board agenda and minutes (TE)	Action needed: -
	Comments: -		By whom: -
			By date: -
(2) The board considers regularly whether the organisation’s purpose could be better achieved	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">Board agendas (TE)	Action needed: -

through changes to its group, governance or staffing structures.	Comments: -	<ul style="list-style-type: none"> Board Committee Agendas and minutes (TE) Governance committee report to board (TE) 	By whom: - By date: -
2.3 Working with others: Within the organisation's overall corporate strategy (or associated strategies and plans) there is consideration given to whether and how active cooperation, collaboration, joint working or formal partnership with other organisations could enable it to deliver its social purpose and strategies more effectively and economically.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Business Plan Goal 8 * 11 (TE, TH,W) Quarterly Board Pack report against Goals (TE, TH) Annual Impact Report (TH,W) Wayfarer Consortium Membership of HQN, NHF, Placeshapers, Homelesslink and Housemark 	Action needed: -
	Comments: -		By whom: -
			By date: -
2.4 The chief executive: The organisation has a chief executive, or equivalent, with the delegated authority to oversee and manage operational delivery of the strategies set by the board.			
(1) The responsibilities of, and delegations to, the chief executive are clearly set out.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> 2022 Governance Committee minutes to review CEO JD (updated 2022) CEO Annual Appraisal Process due for review December 2023 	Action needed: -
	Comments: -		By whom: -
			By date: -

(2) The chief executive has a formal contract of employment; this and the remuneration under it are reviewed regularly, with independent advice as required.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• CEO Contract and Job description with HR• Annual Appraisal (new CEO no appraisal yet completed)• Board review of remuneration (TE)	Action needed: -
	Comments: -		By whom: -
	By date: -		
(3) The chief executive's remuneration package is set at a level which is proportionate to the organisation's size, complexity, level of risk, and resources; it is also aligned with the organisation's social purpose and wider reputation.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Board determines remuneration in line with benchmarks and current salary grades	Action needed: -
	Comments: - Evidence to be apparent for CEO appointment		By whom: -
	By date: -		
(4) If the chief executive's contract is to be terminated, any extra-contractual severance payments or benefits are approved by the board with the reasons, costs and any reputational risks clearly minuted.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Payments, Benefits & Interests (PB&I) policy (TH, TE)	Action needed: -
	Comments: -		By whom: -
	By date: -		
(5) There is a formal process for the chief executive's annual	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Governance Framework (TE, TH)	Action needed: -

appraisal, overseen by the board or an appropriate committee.	Not applicable <input type="checkbox"/>	<ul style="list-style-type: none"> CEO Appraisal Process within BCHA policies Governance Committee ToR 5.3.7 (TE) Board and Governance Committee Minutes (March 2022) 	
	Comments: -		By whom: -
			By date: -
2.5 Workforce: The board ensures that its workforce policies and practices support the success of the organisation and reflect its values and its commitments to equality, diversity and inclusion.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Policies accessible such as EDI and others (TH, W, TE) Induction of staff on joining including Skillgate mandatory training Corporate Induction 	Action needed: -
	Comments: -		By whom: -
			By date: -
(1) The board has access to insight into the views of staff, such that their opinions and needs are understood, and influence the board's decisions as appropriate.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Board attendance at BCHAngemakers – BCHA's annual conference Investors in People report to November board meeting Recruitment and Retention Audit October 2022 Wellbeing Activities report to ART April 2022 including "Seeking Employee Engagement" and staff survey feedback 	Action needed: - Exit interviews to become embedded
	Comments: -		By whom: -HR
			By date: - 2023

(2) The board determines a strategy for remuneration of the workforce which is aligned to the organisation's size and complexity, and to its purpose and values.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: reported to Board in Quarterly Board Pack (TE, TH) <ul style="list-style-type: none"> Member of Living Wage Foundation Staff Reward Scheme for meeting performance metrics reviewed annually (August 22) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(3) The board has policies on the safety and wellbeing of its workforce and reviews their effectiveness.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> H & S Policy (TE, TH) Supervision Policy (TH, Cezanne) Stress and Wellbeing procedure (TH) H & S and staff issues reviewed in Quarterly Board Pack section 5 (TH, TE) 	Action needed: -
	Comments: -		By whom: -
			By date: -
2.6 Performance: The board has demonstrable oversight of the organisation's performance.			
(1) The board exercises active and regular oversight of delivery of strategies and plans. This includes scrutinising key operational and financial performance information, and information concerning resident insights and satisfaction.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Business Plan (TH, W, TE) Finance Plan (TE) Subsidiary Board ToR, Business Plans (TE) Business KPIs (TH, TE) Board and Committee Terms of Reference (TE) 	Action needed: -
	Comments: -		By whom: -
			By date: -

		<ul style="list-style-type: none"> Board and Committee Rolling Agendas and Minutes (TE) Reports to Board (TE) Quarterly Board Performance Pack - Reports against business Plan and key metrics including finance, customer focus and 3rd party customer research (Acuity) (TH,TE) 	
(2) The board has assurance that the reports it receives provide an accurate picture of performance.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Minutes of all Board Meetings including Action Logs (TE) Internal Audit Plan 2023/24 (Feb 2023 ART) & Internal Audit Charter 	Action needed: -
	Comments: -		By whom: -
			By date: -
2.7 Group Structures: Organisations with subsidiaries ensure that these entities support and enhance delivery of the group parent's mission.			
(1) Where the group parent is not a registered provider, formal arrangements are in place to ensure that any registered provider subsidiaries remain compliant with their own charitable or community benefit purposes, and with regulatory requirements.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input checked="" type="checkbox"/>	Evidence: <ul style="list-style-type: none"> NOT APPLICABLE 	Action needed: -
	Comments: -		By whom: -
			By date: -

(2) Where a subsidiary is to be or has been established, the benefits, risks, and relationship with the parent organisation are reviewed by the board of the parent beforehand and thereafter regularly.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Annual Review - agenda item on Board rolling agenda (TE) e.g. Feb Group Structure Review & including Board Reports from subsidiaries, Subsidiary Chairs' Reports to Board - standing item as necessary at quarterly Board meetings (TE) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(3) The board of a parent organisation in a group structure has the responsibility and the reserve powers to direct, and if necessary, intervene in the governance of its subsidiaries.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> BCHA Rules / constitution (W, TE) Governance Framework (TE) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(4) The constitutional relationship and arrangements between the parent and each subsidiary including how oversight and control will be exercised, are formally documented.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> BCHA Rules (W, TE) Governance Framework (TE, W) Subsidiary Articles and Terms of Reference (TE) Governance Reviews, Service Level Agreements (ReCoop) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(5) The board of the parent approves the group's plans and	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed: -

budgets, and holds the board of each subsidiary accountable for the delivery of its objectives.	Not applicable <input type="checkbox"/>	<ul style="list-style-type: none"> Formal agenda time for explicit review at budget time and for Plans (TE) Documented within formal budget process (TE) Reports to Board at Quarterly meetings - minutes (TE) 	
	Comments: -		By whom: -
			By date: -
(6) The board of the parent considers and determines whether and how this code should apply to each of its subsidiaries.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Reviewed annually by Governance Committee - rolling agenda and minutes (TE) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(7) Where, within a group, there are people who serve on more than one board, there is guidance and documentation to set out how board members must deal with their overlapping responsibilities and any resulting conflicts of interest.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> BCHA Rules D16 - D21 & D24 (TE, W) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(8) Where there is, within a group, a single or common board which governs more than one	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> BCHA Rules D16 - D21 & D24 (TE, W) 	Action needed: -

organisation, the organisation has documented how its meetings will be conducted, serviced and minuted.	Comments: -		By whom: -
2.8 Joint ventures and partnerships: Organisations that set up joint ventures or partnership vehicles with external counterparties ensure that these are in support of their mission and objectives.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input checked="" type="checkbox"/>	Evidence: • NOT APPLICABLE	Action needed: -
	Comments: -		By whom: -
	By date: -		
(1) There are formal documented arrangements concerning the accountability, performance, compliance, risk management and governance of such entities.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input checked="" type="checkbox"/>	Evidence: • N / A	Action needed: -
	Comments: -		By whom: -
	By date: -		
(2) The benefits and risks of such entities are reviewed annually.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input checked="" type="checkbox"/>	Evidence: • N / A	Action needed: -
	Comments: -		By whom: -



			By date: -
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3. Board Effectiveness

Principle 3

The organisation is led by a skilled and diverse board which regularly reviews and capably manages its own performance and effectiveness, and ensures that it complies with this code.

Compliance

3.1 Roles and responsibilities: The statutory and governance roles and responsibilities of the board, of its individual members, office holders and of others who work to the board are clearly set out.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> • BCHA Rules (TE, W) • Board (W, TE) and Governance Committee Terms of Reference (TE) • Skills Audit reviewed by Governance Committee Rolling Agenda & Committee minutes (TE) • Job Descriptions - Board Members and Company Secretary, (TE) • Job Descriptions CEO and Directors (HR) 	Action needed: -
	Comments: -		By whom: -
(1) The board elects or appoints a chair with appropriate skills to be responsible for leading the board and ensuring its effectiveness.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> • Process for appointing Chair in Governance framework (TE, W) 	Action needed: -
	Comments: -		By whom: -

		<ul style="list-style-type: none"> Appointment of chair and Vice Chair annually in August - rolling agenda and minutes (TE) Skills matrix (TE) 	By date: -
(2) The chair of the board does not chair and is not a member of the committee responsible for audit, nor does the chair of the board chair the committee responsible for remuneration.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> ART Terms Of Reference (TE) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(3) Where there are executive board members, the board formally records and publishes policies about the role they play on the board and committees, and makes clear those matters for which they must leave the meeting, or not participate in debate or decision making.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input checked="" type="checkbox"/>	Evidence: <ul style="list-style-type: none"> NOT APPLICABLE 	Action needed: -
	Comments: -		By whom: -
			By date: -
(4) The roles of chair of the board and standing committees (and those of vice-chair or senior independent director as applicable) are not held by an executive.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Roles held by non-executives 	Action needed: -
	Comments: -		By whom: -

			By date: -
(5) Executives are not members of the committees responsible for nominations, remuneration or audit.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Executives are not members of these committees	Action needed: -
	Comments: -		By whom: -
			By date: -
(6) There is a clear, documented framework setting out delegations to staff, committees and subsidiaries.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• BCHA Rules D29 - D33• Board terms of Reference 4.4 (TE)• Committee Terms of Reference (TE)• Subsidiary Board ToR (TE)• Financial Regulations (W, TE)• Governance Framework s BCHA and Subsidiaries (TE)PBI Policy (TH)• H&S Policy (TE, TH,• Governance Framework (TE, W)	Action needed: -
	Comments: -		By whom: -
			By date: -
3.2 Functions of the board: there is a record of the essential functions and other matters which are reserved for board decision and cannot be delegated. In addition to matters set out in law, statute, regulations and in the organisation's constitution these include as a minimum:			

(1) Setting and ensuring compliance with the values, vision, mission and strategic objectives of the organisation, ensuring its long-term success.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Board Terms of Reference (TE,W)• BCHA Rules (TE, W)	Action needed: -
	Comments: -		By whom: -
	By date: -		
(2) Establishing a culture that is positive, focused on the needs of current and future residents, other customers and other key stakeholders, and embeds equality, diversity and inclusion in the organisation.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Board Terms of Reference (TE,W)• BCHA Rules (TE, W)• Business Plan (W, TH, TE)• EDI Policy (TE, TH, W)• Annual Impact Report (TE, TH, W)• Quarterly Reports in Performance pack section 3 (TE, TH)	Action needed: -
	Comments: -		By whom: -
	By date: -		
(3) Ensuring the organisation operates effectively, efficiently and economically.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Board ToR (TE, W)• BCHA Rules (TE, W)• Board Reports including• Quarterly Board Pack - Golden Rules & Financial Health Dashboard, Customer, Property and Staff metrics (TE, TH)• Organisation KPIs (TE, TH)	Action needed: -
	Comments: -		By whom: -
	By date: -		

(4) Providing oversight, support, direction and constructive challenge to the organisation’s chief executive and other executives.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Board TOR (TH,TE)• Board Minutes (TE)• BCHA Rules D1 (TE, TH)• Board Member Job Description (TE)	Action needed: -
	Comments: -		By whom: -
			By date: -
(5) Appointing and, if necessary, dismissing the chief executive.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Board ToR (TE)• BCHA Rules E6 (TE)	Action needed: -
	Comments: -		By whom: -
			By date: -
(6) Satisfying itself as to the integrity of financial information, and setting and approving each year’s budget, business plan and annual accounts prior to publication.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Board ToR (TE, W)• BCHA Rules Part F (TE, W)• Rolling Agenda and minutes of Board, subsidiaries, ART (TE)• Board ToR (TE, W)• Finance Director's Reports to ART including KPI's (TE)	Action needed: -
	Comments: -		By whom: -
			By date: -
(7) Establishing, overseeing and regularly reviewing a framework	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Board ToR (TE, W)	Action needed: -

of delegations to committees and staff.	Not applicable <input type="checkbox"/>	<ul style="list-style-type: none"> BCHA Rules D29 - D33 (TE, W) 	
	Comments: -		By whom: -
			By date: -
(8) Establishing and overseeing control and risk management frameworks in order to safeguard the assets, compliance and reputation of the organisation.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Board ToR (TE, W) BCHA Rules (TE, W) ART Committee standing agenda item and minutes (TE) Quarterly Board meeting agenda and Minutes - Quarterly Risk Report (TE) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(9) Holding to account the organisation's subsidiary boards, committees and senior staff for the exercise of any powers delegated to them.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Board ToR (TE, W) BCHA Rules (TE, W) Quarterly Board meetings standing agenda item and minutes - subsidiaries and committees reports to the board (TE) 	Action needed: -
	Comments: -		By whom: -
			By date: -
3.3 Board composition: board members have the attributes and time needed to govern effectively, and each member exercises independent judgement in doing so.			

(1) The organisation determines, documents and regularly reviews the board composition best suited to its needs; in the case of a group subsidiary, this may be a matter for the group parent.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Governance Framework (TE) Governance framework review (including composition, skills, ToR and Code of Governance review - rolling agenda (TE) Skills Audit (TE) Job descriptions for Board (TE) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(2) The board has between five and 12 members, including any co-optees and executive members.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> BCHA Rules (TE, W) Governance Framework (TE) Board profiles (W) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(3) Executive board members, if appointed, are in a minority on the board and in the quorum for a board meeting.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input checked="" type="checkbox"/>	Evidence: <ul style="list-style-type: none"> NOT APPLICABLE 	Action needed: -
	Comments: -		By whom: -
			By date: -
(4) There is a dedicated senior board member (normally a vice-	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence:	Action needed: -

chair or senior independent director) with duties that include appraisal of the chair and assisting the chair to ensure the effectiveness of the board.	Not applicable <input type="checkbox"/>	<ul style="list-style-type: none"> Vice Chair (and Chair) job Description (TE) 	
	Comments: -		By whom: -
			By date: -
3.4 Board election, selection and appointment: the board has a diverse membership with the collective skills and attributes needed to govern effectively.			
(1) The board understands, states and regularly reviews the collective skills and attributes it requires to be effective.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Skills Matrix (TE) reviewed by Governance Committee - rolling agenda (TE) Governance Framework (TE) Governance Committee Dec 22– Board Training Plan & Review of Committee Composition Governance Committee chair / vice chair succession planning GC agenda July 2023 (TE) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(2) Prospective board and committee members undergo an open and merit based assessment process to establish their suitability. Where the organisation's constitution	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Governance Framework (TE) Annual Statement of Board Appointments and Composition (W) 	Action needed: -
	Comments: -		By whom: -

provides for one or more board members to be nominated by an external body, or directly elected, the organisation ensures that those coming forward have the necessary attributes and qualities, and that they are aware of the responsibilities of the role, including those of exercising independent judgement.			By date: -
(3) The membership of board and committees comprises people with diverse backgrounds and attributes, having regard to the diversity of the communities the organisation serves and in line with the organisation's stated commitments to equality, diversity and inclusion.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Skills Map includes diversity• Governance Committee review of diversity of Board• Skills Matrix (TE)• Annual Statement of Board Appointments and Composition (W)• EDI policy and Plan (TE, W, TH)	Action needed: -
	Comments: -		By whom: -
			By date: -
(4) People with direct lived experience of (or particular insight into) the communities served by the organisation are meaningfully engaged in governance structures.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Governance Framework (TE, W)• Recruitment Process• Board Diversity statement in Annual Board Appointment and Composition Statement (W)	Action needed: -
	Comments: -		By whom: -
			By date: -
(5) Shareholders who are not board members are supported	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Shareholder Membership Policy (W)	Action needed: -

and informed to play their proper constitutional role in the organisation's governance and in particular in the election of board members.	Not applicable <input type="checkbox"/>	<ul style="list-style-type: none"> Rules (Constitution) of BCHA (W) AGM resolutions for election Shareholding page on website (W) 	
	Comments: -		By whom: -
			By date: -
(6) The organisation annually publishes information about the appointment of new board members, and about the diversity, skills and attributes of all the board members.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Board area on website (W) Annual Board Appointment and Composition Statement (W) 	Action needed: -
	Comments: -		By whom: -
			By date: -
3.5 Committees: committees are established where the board determines that they will enable it to exercise more effective scrutiny, control or oversight of particular areas of the organisation's activity.			
(1) Each committee has formally recorded terms of reference approved by the board, and reports regularly to the board on its work and the exercise of any delegated authority.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> All ToR available (TE) Rolling Agendas and Minutes of Board meeting (TE) Report Template for all reports to ensure consistency 	Action needed: -
	Comments: -		By whom: -
			By date: -

(2) The membership of committees is determined on the basis of the skills, attributes and diverse characteristics which the board determines are appropriate.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Skills Matrix – including diversity map for all committees(TE) Annual Review of Committee Membership by Governance Committee (rolling agendas and minutes December Meeting) addresses skills and diversity (TE) Board recruitment 2022/23 informed by above 	Action needed: -
	Comments: -		By whom: -
3.6 Board Remuneration: organisations paying non-executive board members have an objective mechanism for setting payment levels. This will normally be the responsibility of a committee responsible for remuneration, using independent advice. Such payment is:			
(1) Permitted by law and by the organisation's own constitution.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input checked="" type="checkbox"/>	Evidence: <ul style="list-style-type: none"> NOT APPLICABLE 	Action needed: -
	Comments: -		By whom: -
			By date: -
(2) Agreed by the board as being in the best interests of the organisation.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input checked="" type="checkbox"/>	Evidence: <ul style="list-style-type: none"> NOT APPLICABLE 	Action needed: -
	Comments: -		By whom: -

			By date: -
(3) Aligned with the organisation's social purpose and wider reputation.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input checked="" type="checkbox"/>	Evidence: • NOT APPLICABLE	Action needed: -
	Comments: -		By whom: -
			By date: -
(4) Proportionate to the organisation's size, complexity, level of risk and resources.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: • NOT APPLICABLE	Action needed: -
	Comments: -		By whom: -
			By date: -
(5) Linked to the role's responsibilities, against which performance is reviewed.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input checked="" type="checkbox"/>	Evidence: • NOT APPLICABLE	Action needed: -
	Comments: -		By whom: -

			By date: -
(6) Regularly reviewed, drawing on external advice as necessary.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input checked="" type="checkbox"/>	Evidence: • NOT APPLICABLE	Action needed: -
	Comments: -		By whom: -
			By date: -
(7) Disclosed in the organisation's annual financial statements.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input checked="" type="checkbox"/>	Evidence: • NOT APPLICABLE	Action needed: -
	Comments: -		By whom: -
			By date: -
3.7 Tenure and renewal: tenure for nonexecutive board members (and independent committee members) complies with the organisation's constitution and is managed so as to enable the organisation to achieve an appropriately skilled, diverse and independent board membership.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: • BCHA Rules (TE, W) • Governance Framework (TE,W) • Service agreements	Action needed: -
	Comments: None		By whom: -
			By date:

			-
(1) The board has a strategy for its own renewal which is based on an agreed statement of the skills, qualifications, diversity and other attributes required.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> • BCHA Rules (W,TE) • Board ToR (W,TE) • Skills Matrix (TE) • Governance Committee rolling agenda and minutes - succession planning JDs, appointment agreement reflect attributes required (TE) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(2) Where a member is at the end of a term of office and is eligible for reappointment, this is subject to considering the member's performance and skills, and the needs of the board.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> • BCHA Rules (W,TE) • Board ToR (W,TE) • Skills Matrix (TE) • Governance Committee rolling agenda and minutes - succession planning JDs, appointment agreement reflect attributes required (TE) • Governance Committee recommendations to AGM (TE) • Annual Review of Committee Composition (TE, W) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(3) Maximum tenure will normally be up to six consecutive years (typically comprising two terms of office), but where a member has served six years, and the board	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> • Governance Framework (W, TE) • BCHA Rules currently reflect maximum 9 year terms as per NHF model (W, TE) 	Action needed: -
	Comments:		By whom:

agrees that it is in the organisation's best interests, their tenure may be extended up to a maximum of nine years.	-	<ul style="list-style-type: none"> Board member register records date of appointment and term served to date 	-
(4) A member who has left the board is not re-appointed for at least three years.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> BCHA Rules D12.2 (TE, W) Governance Framework (TE) 	Action needed: -
	Comments: -		By whom: -
	By date: -		
(5) These provisions concerning tenure apply to office held across all of the organisation's boards and committees, and those of predecessor organisations, including service as a co-optee.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> BCHA Rules currently reflect maximum 9 year terms as per NHF model Subsidiaries have also adopted 2020 Code of Governance Governance Framework (TE, W) 	Action needed: -
	Comments:		By whom: -
	By date: -		
3.8 Conduct of business: the board and its committees conduct their business efficiently, and on the basis of an appropriate level and quality of information.			
(1) The board has appointed (and is responsible for the removal of) a company secretary who is accessible to all board and committee members and	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Company Secretary JD and Delegated Authority BCHA Rules E7 (W, TE) 	Action needed: -
	Comments:		By whom:

accountable to the board for advising on governance matters.	-	<ul style="list-style-type: none"> Governance Framework (TE, W) Board TOR (TE) 	-
			By date: -
(2) Board and committee meetings are quorate.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Board Terms of Reference (W,TE) BCHA Rules (W, TE) Minutes of all meetings (TE) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(3) Scheduled board and committee meetings are based on agendas and documents circulated well in advance. Decisions and the main reasons for them are recorded in the minutes.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Governance Framework (TE, W) Agendas and minutes (TE) Rolling Agendas 	Action needed: -
	Comments: -		By whom: -
			By date: -
(4) Urgent decisions between board meetings are taken in accordance with predetermined and formally recorded arrangements.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Governance Framework (TE, W) Board Terms of Reference (TE, W) BCHA Rules D27, D28 (W, TE) 	Action needed: -
	Comments: -		By whom: -

			By date: -
(5) Meetings are fully inclusive and accessible, with adjustments made as necessary so that all members are able to attend and participate.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Governance Framework (TE, W)• BCHA Rules D28 (W, TE)• Minutes of Zoom meetings (TE)•	Action needed: -
	Comments: -		By whom: -
			By date: -
(6) Where meetings are conducted remotely, arrangements are made and support provided so that all members can fully participate and contribute.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Protocol for Online meetings	Action needed: -
	Comments: -		By whom: -
			By date: -
(7) There is a policy and procedure setting out how disputes and grievances involving members of the board can be raised, and how they are responded to.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Governance Framework Board Disputes and Grievance 7.3.3 (TE, W)	Action needed: -
	Comments: -		By whom: -
			By date: -

3.9 Board performance, review and learning: the board reviews and seeks to improve its performance.			
<p>(1) All boards and committees consider their effectiveness annually and assess how they conduct their business, including:</p> <p>(a) Composition, skills, experience and diversity.</p> <p>(b) Effectiveness in role-modelling the desired culture, values and behaviours of the organisation.</p> <p>(c) Governing instruments, delegations, regulations, standing orders, structures, systems and other formal documentation as referred to in this code.</p> <p>(d) Timing and frequency of meetings.</p> <p>(e) Format of agendas, quality and scope of papers, minutes and communications.</p> <p>(f) Effectiveness of decision-making, including how the views and needs of key stakeholders, including residents and other customers, have informed decisions.</p> <p>(g) Compliance with this code and legal duties.</p>	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>Not applicable <input type="checkbox"/></p>	<p>Evidence:</p> <ul style="list-style-type: none">• Annual review calendar (TE)• Rolling agendas (TE)• Minutes from meetings (TE) <p>a) Composition</p> <ul style="list-style-type: none">• Skills Matrix (TE)• Board member self assessment (BCHA files)• Annual Statement of Board Appointment and Composition(W, TE)• Board member profiles(W)• Governance Committee annual review of committee composition (TE Dec meeting <p>b) Effectiveness</p> <ul style="list-style-type: none">• Board Member Skills Matrix Self-Assessment• Board Member Appraisal <p>c) Governing Instruments</p> <ul style="list-style-type: none">• Annual Review of committee ToR, <p>d) Timing</p> <ul style="list-style-type: none">• Minutes of Meetings <p>e) Format</p> <ul style="list-style-type: none">• All agendas, minutes, papers and reports on TeamEngine• Standard Report template <p>f) Effectiveness</p> <ul style="list-style-type: none">• Annual Impact Report (TE, W, TH)	<p>Action needed:</p> <p>-</p>
	<p>Comments:</p> <p>-</p>	<p>By whom:</p> <p>-</p>	
		<p>By date:</p> <p>-</p>	

		g) Compliance <ul style="list-style-type: none"> Governance committee assessment of: Compliance checklist self-assessment (TE) Financial Regulations Probity Review, Financial Viability Standard Review 	
(2) These matters are regularly and formally reviewed.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Annual cycle of reviews by Governance committee and reports to Board Agendas and minutes (TE) Rolling agendas 	Action needed: -
	Comments: -		By whom: -
			By date: -
(3) All new board and committee members receive a full induction.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Governance Framework Formal Induction with checklist including (but not limited to) *Key documentation *DoI, SLA, skills matrix *mandatory and recommended training *Meetings with key Board Members (remotely if required) *Access to TeamEngine - Code of Conduct, meetings' schedule, JD and all board papers and documentation 	Action needed: -
	Comments: -		By whom: -
			By date: -

(4) All members have an agreed programme of ongoing learning and development opportunities. This includes addressing any needs identified through the appraisal process.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">Board Annual Training Plan (including away days)Scheme visitsAppraisal system captures actions for development and training	Action needed: -
	Comments: -		By whom: -
			By date: -
3.10 Member appraisal: a full, rigorous and documented appraisal process for the individual members of the board and its committees, including the chairs, is carried out at least every two years.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">Governance Committee ToR 5.3.2 (TE)Governance Framework (TE, W)Appraisals reorded and saved in secure area of BCHAChair of committees role description (TE)	Action needed: -
	Comments: None		By whom: -
			By date: -
(1) The appraisal of the board's chair is led by a senior board member, informed by the views of all board members.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">Governance Framework (TE, W)Appraisal Process documented in Board agenda and minutes (TE)Records held confidentially by BCHA	Action needed: -
	Comments: -		By whom: -
			By date: -
(2) There is an appropriate process for responding to under-performance by individual board	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">Governance Framework 7.2, 7.6.2 (TE)	Action needed: -

members, and to any conduct which may breach policies or codes.	Comments: -		By whom: -
3.11 Compliance with this code: a compliance statement is published with the annual report, with an explanation given for any non-compliance.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Annual Report Financial Statements (W, TH, TE) IDA 2021 	Action needed: -
	Comments: -		By whom: -
			By date: -
(1) Where the formal constitution of an organisation conflicts with the code, the constitution takes precedence.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Governance Framework (TE,W) 	Action needed: -
	Comments: -		By whom: -
			By date: -
(2) Where a statement of non-compliance is needed it sets out: (a) The reasons for non-compliance, and an explanation	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input checked="" type="checkbox"/>	Evidence: <ul style="list-style-type: none"> As applicable 	Action needed: -
	Comments: -		By whom: -

of how the relevant principle in this code is being upheld. (b) Summary plans for the achievement of compliance, if applicable.			By date: -
(3) Where an organisation has subsidiaries which have not adopted this code, the reasons for this are given.	Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable <input checked="" type="checkbox"/>	Evidence: <ul style="list-style-type: none"> As applicable - New Leaf exempted because the company is now dormant 	Action needed: -
	Comments: -		By whom: -
			By date: -
(4) All policies, documents and statements referred to in this code are formally recorded as appropriate and are regularly reviewed.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> All documents have effective from date and next review date (TE) Schedule of Code of Governance documentation monitored and updated as necessary 	Action needed: -
	Comments: -		By whom: -
			By date: -

4. Control and assurance

Principal 4

The board actively manages the risks faced by the organisation, and obtains robust assurance that controls are effective, that plans and compliance obligations are being delivered, and that the organisation is financially viable.

Compliance

4.1 Audit: the board has formal and transparent arrangements ensuring that the organisation is financially viable and maintains both a sound system of internal audit and controls and an appropriate relationship with its external auditors.

(1) The board can have confidence in the information it receives and there are robust internal controls and systems for business and control assurance in place which are reviewed annually.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> • In-Depth Review • SWAP Internal Audit Plan 2022/23 (& previously) and Internal Audit Charter (TE) • ART Committee ToR (TE) • ART Annual Internal Controls Assurance Report (TE) • ART Internal audit reports(TE) • ART Self assessment against sector risk profile (TE) 	Action needed: -
	Comments: -		By whom: -
(2) There is a committee primarily responsible for audit, and there are arrangements for effective internal control assurance and audit functions.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> • ART ToR (TE) • Governance Framework (TE, W) • Financial Regulations 	Action needed: -
	Comments: -		By whom: -

			By date: -
(3) The organisation's external auditors are independent and effective, and their appointment is reviewed at least every six years.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">Financial RegulationsART ToR 5.1, 5.3 External Auditors including appointment process- review every 5 years (TE)	Action needed: -
	Comments: -		By whom: -
			By date: -
4.2 Audit committee: a committee exercises independent scrutiny and challenge to provide the board with assurance.			
(1) The committee responsible for audit meets regularly and its minutes are available to the board.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">Agendas and Minutes are published in TeamEngineCommittee ToR (TE)	Action needed: -
	Comments: -		By whom: -
			By date: -
(2) The committee exercises oversight of the internal and external audit functions.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">ART ToR (TE)	Action needed: -
	Comments: -		By whom: -

			By date: -
(3) The committee annually meets with the external auditors with only non-executives present.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• ART ToR (TE)• Minutes of committee meeting (TE)	Action needed: -
	Comments: -		By whom: -
			By date: -
(4) The chair of the committee is a member of the board and regularly reports to it.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• ART ToR (TE)• Quarterly Reports to Board standing agenda item (TE)	Action needed: -
	Comments: -		By whom: -
			By date: -
(5) The membership of the committee includes at least one person with recent and relevant financial experience, proportionate to the size and complexity of the organisation.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">• Skills Map for Committee• Committee Membership log	Action needed: -
	Comments: -		By whom: -
			By date: -

4.3 Risk: the board retains ultimate responsibility for risk management and ensures that appropriate risk management arrangements are in place.			
(1) The board may delegate the detailed scrutiny and evaluation of risk to a committee.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> ART ToR (TE) 	Action needed: -
	Comments: -		By whom: -
(2) The board has a suitable risk management framework in place; it understands the organisation's risk profile and the effectiveness of key controls.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Risk Management Policy (TH) BCHA Risk Appetite Assessment (TE) Sector Risk Profile (TE) 	Action needed: -
	Comments: -		By whom: -
(3) The board establishes and documents its appetite for the risks the organisation faces in pursuit of its strategy.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Risk Management Policy (TH) BCHA Risk Appetite Assessment (TE) Sector Risk Profile (TE) Risk Appetite Matrix linked to Business Plan 	Action needed: -
	Comments: -		By whom: -
(4) The board ensures that the organisation is resilient to the risks it may face, with appropriate mitigations and a suitably comprehensive, tested and up-to-date business continuity plan.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Business Continuity Plan is available - including business continuity insurance 	Action needed: -
	Comments: -		By whom: -

(5) The board includes members with skills and experience appropriate to the level and type of risks faced by the organisation.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">Governance Framework (TE, W)Skills Audit	Action needed: -
	Comments: -		By whom: -
(6) The board regularly reviews the risks the organisation faces and how they are being managed; this includes the risks associated with activities carried out by subsidiaries or partnership vehicles.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">Quarterly Board meeting Risk Report (TE)Quarterly Reports to the board from subsidiaries (TE) using report templateART Quarterly Strategic risk Report (including Risk Register) and subsequent Quarterly report to Board (TE)	Action needed: -
	Comments: -		By whom: -
(7) The board regularly participates in stress-testing its plans, to identify the risks (or combination of risks) that may pose a material threat to the viability of the business and ensure that appropriate mitigations are in place.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">Quarterly Board Risk Report (TE)Financial Plan including stress testing (TE)	Action needed: -
	Comments: -		By whom: -
(8) The organisation's annual report includes a statement about the risk management work of the board, including its understanding of principal and emerging risks and how these are being managed or mitigated.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">Director's Report - Financial Statements (W)	Action needed: -
	Comments: -		By whom: -

4.4 Compliance: in line with its mission and values, the board retains ultimate responsibility for the organisation's compliance with all legal, statutory, regulatory and constitutional requirements.

(1) The board has a robust internal control framework and has regular assurance about the effectiveness of key controls including controls to ensure compliance.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> In-Depth Review SWAP Internal Audit Plan 2022/23 (and previously) and Internal Audit Charter (TE) 	Action needed: -
	Comments: -		By whom: -
(2) The board has regular assurance about compliance, including those requirements relating to the health and safety of residents, other customers and employees, and to safeguarding.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Internal Audit Reports Quarterly Board Performance Pack Sections 3 and 5 H&S monitoring and reporting via Incident Management System Safeguarding Report to Quarterly Board Meeting (TE, TH) 	Action needed: -
	Comments: -		By whom: -
(3) The board publishes an annual statement setting out its approach to compliance and internal control.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none"> Financial Statements (W, TH) 	Action needed: -
	Comments: -		By whom: -

4.5 Whistleblowing and confidential concerns: there are clear and well-publicised arrangements for members of staff and others associated with the organisation to raise confidential concerns with a designated nonexecutive member of the board (other than the chair), where these are serious concerns and cannot appropriately be raised through the usual channels, and for these to be dealt with through proportionate and independent investigation as necessary.

(1) The board ensures that appropriate whistleblowing policies and procedures are in place.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">Raising Serious Concerns Policy (W, TH, TE)	Action needed: -
	Comments: -		By whom: -
(2) The board (or an appropriate committee) regularly receives an account of matters raised under these policies, and actions taken in response.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">ART Committee ToR 5.4.7	Action needed: -
	Comments: -		By whom: -
(3) If a board member has concerns about the board or the organisation that cannot be resolved, these concerns are shared with the board and formally recorded.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Not applicable <input type="checkbox"/>	Evidence: <ul style="list-style-type: none">Governance Framework (TE, W)Service Agreements	Action needed: -
	Comments: -		By whom: -

'Adopted Code of Governance' refers to the
National Housing Federation Code of Governance for Housing Association 2020
For details visit: https://www.housing.org.uk/nhf_catalog/publications/code-of-governance-2020/

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