

Board Members Code Of Conduct



Code of Conduct for Board Members of Loch Lomond and The Trossachs National Park Authority

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Section 1: Introduction To The Code Of Conduct

- 1.1 The Scottish 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. You must meet those expectations by ensuring that your conduct is above reproach.
- 1.2 The Ethical Standards in Public Life etc. (Scotland) Act 2000, (“the Act”), provides for Codes of Conduct for members of relevant public bodies; imposes on relevant public bodies a duty to help their members to comply with the relevant code; and establishes a Standards Commission for Scotland, “The Standards Commission” to oversee the new framework and deal with alleged breaches of the codes.
- 1.3 The Act requires the Scottish Ministers to lay before Parliament a Model Code for Members of Devolved Public Bodies. The Model Code for members was first introduced in 2002 and revised in December 2013 following consultation and the approval of the Scottish Parliament. The revisions make it consistent with the relevant parts of the Code of Conduct for Councillors, which was revised in 2010 following the approval of the Scottish Parliament.
- 1.4 As a board member of the Loch Lomond and The Trossachs National Park Authority (“the Authority”), it is your responsibility to make sure that you are familiar with, and that your actions comply with, the provisions of this Code of Conduct which has now been approved by the Authority.

Appointments to the Boards of Public Bodies

- 1.5 Public bodies in Scotland are required to deliver effective services to meet the needs of an increasingly diverse population. In addition, the Scottish Government’s equality outcome on public appointments is to ensure that Ministerial appointments are more diverse than at present. In order to meet both of these aims, a Board should ideally be drawn from varied backgrounds with a wide spectrum of characteristics, knowledge and experience. It is crucial to the success of public bodies that they attract the best people for the job and therefore it is essential that a Board’s appointments process should encourage as many suitable people to apply for positions and be free from unnecessary barriers. You should therefore be aware of the varied roles and functions of the public body on which you serve and of wider diversity and equality issues. You should also take steps to familiarise yourself with the appointment process that your public body will have agreed with the Scottish Government’s Public Appointment Centre of Expertise.
- 1.6 You should also familiarise yourself with how the Authority’s policy operates in relation to succession planning, which should ensure the Authority has a strategy to make sure they have the staff in place with the skills, knowledge and experience necessary to fulfil their role economically, efficiently and effectively.

Guidance on the Code of Conduct

- 1.7 You must observe the rules of conduct contained in this Code. It is your personal responsibility to comply with these and review regularly, and at least annually, your personal circumstances with this in mind, particularly when your circumstances change. You must not at any time advocate or encourage any action contrary to the Code of Conduct.

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- 1.8 The Code has been developed in line with the key principles listed in Section 2 and provides additional information on how the principles should be interpreted and applied in practice. The Standards Commission may also issue guidance. No Code can provide for all circumstances and if you are uncertain about how the rules apply, you should seek advice from the public body. You may also choose to consult your own legal advisers and, on detailed financial and commercial matters, seek advice from other relevant professionals.
- 1.9 You should familiarise yourself with the Scottish Government publication “On Board – a guide for board members of public bodies in Scotland”. This publication will provide you with information to help you in your role as a member of the Authority and can be viewed on the Board microsite and Scottish Government website.

Enforcement

- 1.10 Part 2 of the Ethical Standards in Public Life etc. (Scotland) Act 2000 sets out the provisions for dealing with alleged breaches of this Code of Conduct and, where appropriate, the sanctions that will be applied if the Standards Commission finds that there has been a breach of the Code. Those sanctions are outlined in **Annex A**.

Section 2: Key Principles Of The Code Of Conduct

- 2.1 The general principles upon which this Code is based should be used for guidance and interpretation only. These general principles are:

Duty

You have a duty to uphold the law and act in accordance with the law and the public trust placed in you. You have a duty to act in the interests of the Authority and in accordance with the core functions and duties of the Authority.

Selflessness

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

Integrity

You must not place yourself under any financial, or other, obligation to any individual or organisation that might reasonably be thought to influence you in the performance of your duties.

Objectivity

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

Accountability and Stewardship

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

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Openness

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

Honesty

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

Leadership

You 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 Authority and its members in conducting public business.

Respect

You must respect Authority employees and fellow board members and the role they play, treating them with courtesy at all times. Similarly you must respect members of the public when performing duties as a board member of the Authority.

- 2.2 You should apply the principles of this Code to your dealings with fellow board members, the Authority's employees and other stakeholders. Similarly you should also observe the principles of this Code in dealings with the public when performing duties as a board member of the Authority.

Section 3: General Conduct

- 3.1 The rules of good conduct in this section must be observed in all situations where you act as a board member of the Authority.

Conduct at Meetings

- 3.2 You must respect the chair, your colleagues and employees of the Authority in meetings. You must comply with rulings from the chair in the conduct of the business of these meetings.

Protocol For Relations Between Members And Staff (including those employed by contractors providing services)

- 3.3 You will treat your fellow board members and any staff employed by the Authority with courtesy and respect. It is expected that fellow board members and employees will show you the same consideration in return. It is good practice for employers to provide examples of what is unacceptable behaviour in their organisation. The Authority promotes a safe, healthy and fair working environment for all. As a board member you should be familiar with the policies of the Authority in relation to [Dignity at Work](#) and also lead by exemplar behaviour.

Remuneration, Allowances and Expenses

- 3.4 You must comply with any rules of the Authority regarding remuneration, allowances and expenses.

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Gifts and Hospitality

- 3.5 You must not accept any offer by way of gift or hospitality which could give rise to real or substantive personal gain or a reasonable suspicion of influence on your part to show favour, or disadvantage, to any individual or organisation. You should also consider whether there may be any reasonable perception that any gift received by your spouse or cohabitee or by any company in which you have a controlling interest, or by a partnership of which you are a partner, can or would influence your judgement. The term “gift” includes benefits such as relief from indebtedness, loan concessions or provision of services at a cost below that generally charged to members of the public.
- 3.6 You must never ask for gifts or hospitality.
- 3.7 You are personally responsible for all decisions connected with the offer or acceptance of gifts or hospitality offered to you and for avoiding the risk of damage to public confidence in the Authority. As a general guide, it is usually appropriate to refuse offers except:
- (a) isolated gifts of a trivial character, the value of which must not exceed £50;
 - (b) normal hospitality associated with your duties and which would reasonably be regarded as appropriate; or
 - (c) gifts received on behalf of the Authority.
- 3.8 You must not accept any offer of a gift or hospitality from any individual or organisation which stands to gain or benefit from a decision your body may be involved in determining, or who is seeking to do business with your organisation, and which a person might reasonably consider could have a bearing on your judgement. If you are making a visit in your capacity as a member of Authority then, as a general rule, you should ensure that your body pays for the cost of the visit.
- 3.9 You must not accept repeated hospitality or repeated gifts from the same source.
- 3.10 Board members of the Authority should familiarise themselves with the terms of the Bribery Act 2010 which provides for offences of bribing another person and offences relating to being bribed.

Confidentiality Requirements

- 3.11 There may be times when you will be required to treat discussions, documents or other information relating to the work of the Authority in a confidential manner. You will often receive information of a private nature which is not yet public, or which perhaps would not be intended to be public. You must always respect the confidential nature of such information and comply with the requirement to keep such information private.
- 3.12 It is unacceptable to disclose any information to which you have privileged access, for example derived from a confidential document, either orally or in writing. In the case of other documents and information, you are requested to exercise your judgement as to what should or should not be made available to outside bodies or individuals. In any event, such information should never be used for the purposes of personal or financial gain, for political purposes, or used in such a way as to bring the Authority into disrepute.

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Use of Public Body Facilities

3.13 Board members of the Authority must not misuse facilities, equipment, stationery, telephony, computer, information technology equipment and services, or use them for party political or campaigning activities. Use of such equipment and services etc. must be in accordance with the Authority's [policy](#) and rules on their usage. Care must also be exercised when using social media networks not to compromise your position as a member of the Authority.

Appointment to Partner Organisations

3.14 You may be appointed, or nominated by the Authority, as a member of another body or organisation. If so, you are bound by the rules of conduct of these organisations and should observe the rules of this Code in carrying out the duties of that body.

3.15 Members who become directors of companies as nominees of the Authority will assume personal responsibilities under the Companies Acts. It is possible that conflicts of interest can arise for such members between the company and the public body. It is your responsibility to take advice on your responsibilities to the Authority and to the company. This will include questions of declarations of interest.

Section 4: Registration of Interests

4.1 The following paragraphs set out the kinds of interests, financial and otherwise which [you have to register](#). These are called "Registrable Interests". You must, at all times, ensure that these interests are registered, when you are appointed and whenever your circumstances change in such a way as to require change or an addition to your entry in the Authority's Register. It is your duty to ensure any changes in circumstances are reported within one month of them changing.

4.2 The Regulations¹ as amended describe the detail and timescale for registering interests. It is your personal responsibility to comply with these regulations and you should review regularly and at least once a year your personal circumstances. **Annex B** contains key definitions and explanatory notes to help you decide what is required when registering your interests under any particular category. The interests which require to be registered are those set out in the following paragraphs and which relate to you. (Please note – while it is not **necessary** to register the interests of your spouse or cohabitee, you may separately have to declare such interests if it becomes apparent that there could be a perceived conflict during consideration of an item of Authority business – see sections 5.10-5.12 below for more information).

Category One: Remuneration

4.3 You have a Registrable Interest where you receive remuneration by virtue of being:

- employed;
- self-employed;
- the holder of an office;
- a director of an undertaking;
- a partner in a firm; or

¹ SSI - The Ethical Standards in Public Life etc. (Scotland) Act 2000 (Register of Interests) Regulations 2003 Number 135, as amended.

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- undertaking a trade, profession or vocation or any other work.
- 4.4 In relation to 4.3 above, the amount of remuneration does not require to be registered and remuneration received as a board member does not have to be registered.
- 4.5 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, "Related Undertakings".
- 4.6 If you receive any allowances in relation to membership of any organisation, the fact that you receive such an allowance must be registered.
- 4.7 When registering employment, you must give the name of the employer, the nature of its business, and the nature of the post held in the organisation.
- 4.8 When registering self-employment, you must provide the name and give details of the nature of the business. When registering an interest in a partnership, you must give the name of the partnership and the nature of its business.
- 4.9 Where you undertake a trade, profession or vocation, or any other work, the detail to be given is the nature of the work and its regularity. For example, if you write for a newspaper, you must give the name of the publication, and the frequency of articles for which you are paid.
- 4.10 When registering a directorship, it is necessary to provide the registered name of the undertaking in which the directorship is held and the nature of its business.
- 4.11 Registration of a pension is not required as this falls outside the scope of the category.

Category Two: Related Undertakings

- 4.12 You must register any directorships held which are themselves not remunerated but where the company (or other undertaking) in question is a subsidiary of, or a parent of, a company (or other undertaking) in which you hold a remunerated directorship.
- 4.13 You must register the name 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 you are a director and from which you receive remuneration.
- 4.14 The situations to which the above paragraphs apply are as follows:
- you are a director of a board of an undertaking and receive remuneration declared under category one – and
 - you are a director of a parent or subsidiary undertaking but do not receive remuneration in that capacity.

Category Three: Contracts

- 4.15 You have a registrable interest where you (or a firm in which you are a partner, or an undertaking in which you are a director or in which you have shares of a value as described in paragraph 4.19 below) have made a contract with the Authority:

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- (i) under which goods or services are to be provided, or works are to be executed; and
- (ii) which has not been fully discharged.

4.16 You must register a description of the contract, including its duration, but excluding the consideration.

Category Four: Houses, Land and Buildings

4.17 You have a registrable interest where you 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 Authority.

4.18 The test to be applied when considering appropriateness of registration is to ask whether a member of the public acting reasonably might consider any interests in houses, land and buildings could potentially affect your responsibilities to the Authority and to the public, or could influence your actions, speeches or decision making.

Category Five: Interest in Shares and Securities

4.19 You have a registrable interest where you have an interest in shares comprised in the share capital of a company or other body which may be significant to, of relevance to, or bear upon, the work and operation of (a) the Authority and (b) the **nominal value** of the shares is:

- (i) greater than 1% of the issued share capital of the company or other body; or
- (ii) greater than £25,000.

Where you are required to register the interest, you should provide the registered name of the company in which you hold shares; the amount or value of the shares does not have to be registered.

Category Six: Gifts and Hospitality

4.20 You must register the details of any gifts or hospitality received within your current term of office. This record will be available for public inspection. It is not however necessary to record any gifts or hospitality as described in paragraph 3.7 (a) to (c) of this Code.

Category Seven: Non-Financial Interests

4.21 You may also have a registrable interest if you have non-financial interests which may be significant to, of relevance to, or bear upon, the work and operation of the Authority. It is important that relevant interests such as membership or holding office in other public bodies, clubs, societies and organisations such as trades unions and voluntary organisations, are registered and described.

4.22 In the context of non-financial interests, the test to be applied when considering appropriateness of registration is to ask whether a member of the public might reasonably think that any non-financial interest could potentially affect your responsibilities to the Authority and to the public, or could influence your actions, speeches or decision-making.

Section 5: Declaration Of Interests

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General

- 5.1 The key principles of the Code, especially those in relation to integrity, honesty and openness, are given further practical effect by the requirement for you to declare certain interests in proceedings of the Authority. Together with the rules on registration of interests, this ensures transparency of your interests which might influence, or be thought to influence, your actions.
- 5.2 The Authority inevitably has dealings with a wide variety of organisations and individuals and this Code indicates the circumstances in which a business or personal interest must be declared. Public confidence in the Authority and its board members depends on it being clearly understood that decisions are taken in the public interest and not for any other reason.
- 5.3 In considering whether to make a declaration in any proceedings, you must consider not only whether you will be influenced but whether anybody else would think that you might be influenced by the interest. You must, however, always comply with the **objective test** (“the objective test”) which is whether a member of the public, with knowledge of the relevant facts, would reasonably regard the interest as so significant that it is likely to prejudice your discussion or decision making in your role as a board member of the Authority.
- 5.4 If you feel that, in the context of the matter being considered, your involvement is neither capable of being viewed as more significant than that of an ordinary member of the public, nor likely to be perceived by the public as wrong, you may continue to attend the meeting and participate in both discussion and voting. The relevant interest must however be declared. It is your responsibility to judge whether an interest is sufficiently relevant to particular proceedings to require a declaration and you are advised to err on the side of caution. If a board member is unsure as to whether a conflict of interest exists, they should seek advice from the Authority’s chair.
- 5.5 As a board member of the Authority you might serve on other bodies. In relation to service on the boards and management committees of limited liability companies, public bodies, societies and other organisations, you must decide, in the particular circumstances surrounding any matter, whether to declare an interest. Only if you believe that, in the particular circumstances, the nature of the interest is so remote or without significance, should it not be declared. You must always remember the public interest points towards transparency and, in particular, a possible divergence of interest between the Authority and another body. Keep particularly in mind the advice in paragraph 3.15 of this Code about your legal responsibilities to any limited company of which you are a director.

Interests which Require Declaration

- 5.6 Interests which require to be declared if known to you may be financial or non-financial. They may or may not cover interests which are registrable under the terms of this Code. Most of the interests to be declared will be your personal interests but, on occasion, you will have to consider whether the interests of other persons require you to make a declaration. The paragraphs which follow deal with (a) your financial interests (b) your non-financial interests and (c) the interests, financial and non-financial, of other persons.

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5.7 You will also have other private and personal interests and may serve, or be associated with, bodies, societies and organisations as a result of your private and personal interests and not because of your role as a board member of the Authority. In the context of any particular matter you will need to decide whether to declare an interest. You should declare an interest unless you believe that, in the particular circumstances, the interest is too remote or without significance. In reaching a view on whether the objective test applies to the interest, you should consider whether your interest (whether taking the form of association or the holding of office) would be seen by a member of the public acting reasonably in a different light because it is the interest of a person who is a board member of the Authority as opposed to the interest of an ordinary member of the public.

Your Financial Interests

5.8 You must declare, if it is known to you, any financial interest (including any financial interest which is registrable under any of the categories prescribed in Section 4 of this Code).

There is no need to declare an interest which is so remote or insignificant that it could not reasonably be taken to fall within the objective test.

You must withdraw from the meeting room until discussion of the relevant item where you have a declarable interest is concluded. There is no need to withdraw in the case of an interest which is so remote or insignificant that it could not reasonably be taken to fall within the objective test.

Your Non-Financial Interests

5.9 You must declare, if it is known to you, any non-financial interest if:-

- (i) that interest has been registered under category seven (Non-Financial Interests) of Section 4 of the Code; or
- (ii) that interest would fall within the terms of the objective test.

There is no need to declare an interest which is so remote or insignificant that it could not reasonably be taken to fall within the objective test.

You must withdraw from the meeting room until discussion of the relevant item where you have a declarable interest is concluded. There is no need to withdraw in the case of an interest which is so remote or insignificant that it could not reasonably be taken to fall within the objective test.

The Financial Interests of Other Persons

5.10 The Code requires only your financial interests to be registered. You also, however, have to consider whether you should declare any financial interest of certain other persons.

You must declare if it is known to you any financial interest of:-

- (i) a spouse, a civil partner or a cohabitee;
- (ii) a close relative, close friend or close associate;
- (iii) an employer or a partner in a firm;

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- (iv) a body (or subsidiary or parent of a body) of which you are a remunerated member or director;
- (v) a person from whom you have received a registrable gift or registrable hospitality;
- (vi) a person from whom you have received registrable expenses.

There is no need to declare an interest which is so remote or insignificant that it could not reasonably be taken to fall within the objective test.

You must withdraw from the meeting room until discussion of and voting on the relevant item where you have a declarable interest is concluded. There is no need to withdraw in the case of an interest which is so remote or insignificant that it could not reasonably be taken to fall within the objective test.

5.11 This Code does not attempt the task of defining “relative” or “friend” or “associate”. Not only is such a task fraught with difficulty but is also unlikely that such definitions would reflect the intention of this part of the Code. The key principle is the need for transparency in regard to any interest which might (regardless of the precise description of relationship) be objectively regarded by a member of the public, acting reasonably, as potentially affecting your responsibilities as a member of the Authority and, as such, would be covered by the objective test.

The Non-Financial Interests of Other Persons

5.12 You must declare if it is known to you any non-financial interest of:-

- (i) a spouse, a civil partner or a cohabitee;
- (ii) a close relative, close friend or close associate;
- (iii) an employer or a partner in a firm;
- (iv) a body (or subsidiary or parent of a body) of which you are a remunerated member or director;
- (v) a person from whom you have received a registrable gift or registrable hospitality;
- (vi) a person from whom you have received registrable expenses.

There is only a need to withdraw from the meeting if the interest is clear and substantial.

There is no need to declare the interest if it is so remote or insignificant that it could not reasonably be taken to fall within the objective test.

Making a Declaration

5.13 You must consider at the earliest stage possible whether you have an interest to declare in relation to any matter which is to be considered. You should consider whether agendas for meetings raise any issue of declaration of interest. Your declaration of interest must be made as soon as practicable at a meeting where that interest arises. If you do identify the need for a declaration of interest only when a particular matter is being discussed you must declare the interest as soon as you realise it is necessary.

5.14 The oral statement of declaration of interest should identify the item or items of business to which it relates. The statement should begin with the words “I declare an interest”. The

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statement must be sufficiently informative to enable those at the meeting to understand the nature of your interest but need not give a detailed description of the interest.

Frequent Declarations of Interest

5.15 Public confidence in a public body is damaged by perception that decisions taken by that body are substantially influenced by factors other than the public interest. If you would have to declare interests frequently at meetings in respect of your role as a board member you should not accept a role or appointment with that attendant consequence. If members are frequently declaring interests at meetings then they should consider whether they can carry out their role effectively and discuss with the Convener. Similarly, if any appointment or nomination to another body would give rise to objective concern because of your existing personal involvement or affiliations, you should not accept the appointment or nomination.

Dispensations

5.16 In some very limited circumstances dispensations can be granted by the Standards Commission in relation to the existence of financial and non-financial interests which would otherwise prohibit you from taking part and voting on matters coming before the Authority and its committees.

5.17 Applications for dispensations will be considered by the Standards Commission and should be made as soon as possible in order to allow proper consideration of the application in advance of meetings where dispensation is sought. You should not take part in the consideration of the matter in question until the application has been granted.

Definition of Exclusions

5.18 The following paragraphs refer to General Exclusions and Specific Exclusions

(1) The General Exclusions

There are a number of general exclusions in the Code of Conduct; however the majority are not relevant for board members of the Authority.

Exclusions which are pertinent to board members include the following:-

- (i) where a board member is a resident in the Park and receives the Authority's public services;
- (ii) in relation to matters affecting board members' remuneration, allowances, expenses, support services and pension; or

In relation to (i), a board member does not have an interest which has to be declared in respect of any issue relating to the terms of services which are offered to the public generally, as a recipient or non-recipient of those services.

In relation to (ii), a board member does not have an interest which has to be declared in connection with any matter relating to board members' remuneration, allowances, expenses or support services or in relation to board members' pension arrangements, including the investment of superannuation funds.

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(2) The Specific Exclusion

There is one specific exclusion referred to in this section of the model Code of Conduct, which is of relevance to the Authority. The exclusion applies to any board member who has been nominated or appointed or whose appointment has been approved by the Authority and who has registered an interest under Section 4 of the Code as a member or director of:-

- (a) a devolved public body as defined in Schedule 3 to the Act;
- (b) a public body established by enactment or in pursuance of statutory powers or by the authority of statute or a statutory scheme;
- (c) a body with whom there is in force an agreement which has been made in pursuance of Section 19 of the Enterprise and New Towns (Scotland) Act 1990 by Scottish Enterprise or Highlands and Islands Enterprise for the discharge by that body of any of the functions of Scottish Enterprise or, as the case may be, Highlands and Islands Enterprise;
- (d) a body being a company:-
 - (i) established wholly or mainly for the purpose of providing services to the Authority; and
 - (ii) which has entered into a contractual arrangement with the Authority for the supply of goods and/or services to the Authority.

So as to enable the board member to take part in the consideration and discussion of, and to vote upon, any matter relating to the body in question the board member is required to declare his or her interest at all meetings where matters relating to the body in question are to be discussed. This is always provided the exclusion does not apply in respect of any matter of a quasi-judicial or regulatory nature where the body in question is applying to the Authority for a licence, a consent or an approval, is making an objection or representation or has a material interest concerning such a licence, consent or approval or is the subject of a statutory order of a regulatory nature, made, or proposed to be made, by the Authority.

Section 6: Lobbying And Access To Members Of Public Bodies

Introduction

- 6.1 In order for the Authority to fulfil its commitment to being open and accessible, it needs to encourage participation by organisations and individuals in the decision-making process. Clearly however, the desire to involve the public and other interest groups in the decision-making process must take account of the need to ensure transparency and probity in the way in which the Authority conducts its business.
- 6.2 You will need to be able to consider evidence and arguments advanced by a wide range of organisations and individuals in order to perform your duties effectively. Some of these organisations and individuals will make their views known directly to individual board members. The rules in this Code set out how you should conduct yourself in your contacts with those who would seek to influence you. They are designed to encourage proper interaction between board members of public bodies, those they represent and interest groups.

Rules and Guidance

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- 6.3 You must 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 Authority or any statutory provision.
- 6.4 You must not, in relation to contact with any person or organisation who lobbies, act in any way which could bring discredit upon the Authority.
- 6.5 The public must be assured that no person or organisation will gain better access to or treatment by, you as a result of employing a company or individual to lobby on a fee basis on their behalf. You must 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 you accord any other person or organisation who lobbies or approaches you. Nor should those lobbying on a fee basis on behalf of clients be given to understand that preferential access or treatment, compared to that accorded to any other person or organisation, might be forthcoming from another board member of the Authority.
- 6.6 Before taking any action as a result of being lobbied, you should seek to satisfy yourself about the identity of the person or organisation that is lobbying and the motive for lobbying. You 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 you know the basis on which you are being lobbied in order to ensure that any action taken in connection with the lobbyist complies with the standards set out in this Code.
- 6.7 You should not accept any paid work:-
- (a) which would involve you lobbying on behalf of any person or organisation or any clients of a person or organisation; or
 - (b) to provide services as a strategist, adviser or consultant, for example, advising on how to influence the Authority and its board members. This does not prohibit you from being remunerated for activity which may arise because of, or relating to, membership of the Authority, such as journalism or broadcasting, or involvement in representative or presentational work, such as participation in delegations, conferences or other events.
- 6.8 If you have concerns about the approach or methods used by any person or organisation in their contacts with you, you must seek the guidance of the Authority.

Section 7: Taking Decisions On Quasi-Judicial Or Regulatory Applications

Introduction

- 7.1 The Code's provisions relate to the need to ensure a proper and fair hearing and to avoid any impression of bias in relation to the statutory decision-making processes. These provisions apply not only to those made under planning legislation but to a number of others of a quasi-judicial or regulatory nature which the Authority may also have to consider. This also includes where the Authority is acting in an enforcement or disciplinary role.

Fairness and Impartiality

- 7.2 On questions relating to such matters on which board members have to make individual decisions, you may have to take account of different points of view or make decisions based on specified statutory criteria.

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- 7.3 In such cases, it is your duty to ensure that decisions are properly taken and that parties involved in the process are dealt with fairly. Where you have a responsibility for making a formal decision, you must not only act fairly but also be seen as acting fairly. Furthermore, you must not prejudice, or demonstrate bias in respect of, or be seen to be prejudging or demonstrating bias in respect of, any such decision before the appropriate Authority meeting that is making the decision. In making any decision, you should only take into account relevant and material considerations and you should discount any irrelevant or immaterial considerations.
- 7.4 To reduce the risk of your, or your Authority's, decisions being legally challenged, you must not only avoid impropriety, but must at all times avoid any occasion for suspicion and any appearance of improper conduct.
- 7.5 Board members who have been appointed to outside bodies may - in certain circumstances - be entitled to participate in discussion and voting on matters relating to these bodies through the benefit of the specific exclusion relating to certain outside bodies as provided for in paragraph 5.18 (2) of Section 5 of this Code. It should be emphasised, however, that the exclusion does not apply in respect of any matter of a regulatory nature where the outside body is applying to the Authority for a consent or an approval, is making an objection or representation or has a material interest concerning such a consent or approval or is subject of a statutory order of regulatory nature, made, or proposed to be made, by the Authority.

Decisions on Planning Matters

Policy and Strategic Issues

- 7.6 The requirements of this part of the Code should not limit you from discussing or debating matters of policy or strategy, even though these may provide the framework within which individual applications will in due course be decided.
- 7.7 Therefore in your key role in establishing planning policies for the area, you are fully entitled to express your views or advocate proposals for the making, approval or amendment of the development plan, including supplementary planning guidance published by the Authority both relating to general policies for the Authority's area and to briefs and masterplans prepared for specific sites in anticipation of planning applications.
- 7.8 You may also be asked to comment on requests to the Authority for a provisional view as to whether - in respect of a proposal for a major development the Authority might be minded, in principle, to consider granting planning permission. This may occur in cases where developers are seeking the planning authority's view in advance of committing to expensive and lengthy technical appraisals. As a part of any such request and only as part of the planning authority considering and forming such a provisional view you are entitled to express an opinion in advance of the statutory application for planning permission being submitted to the planning authority formally for determination. Members should be mindful of advice provided by officers,

General

- 7.9 As a board member you may have to deal with planning decisions in a number of ways. You may:-

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- (a) become involved in local cases as a ward representative; or
- (b) you may be more actively involved in decision making:-
 - (i) as a member of a committee dealing generally with decisions on planning applications;
 - (ii) in certain cases, you may be a member of the committee where applications are subject to a pre-determination hearing;
 - (iii) as a member dealing with applications referred to the full Board for determination; and
 - (iv) as a member of the Authority's Local Review Body dealing with reviews where officers acting under delegated authority have refused planning permission or granted it subject to conditions which the applicant does not agree with or of non-determination of the application by the officer; or have not dealt with the application within the prescribed timescale.

7.10 You must never seek to pressure planning officers to provide a particular recommendation on any planning decision and you should not seek privately to lobby other board members who have a responsibility for dealing with the application in question.

7.11 If you intend to take part in the decision making process you must not give grounds to doubt your impartiality. You must not make public statements about a pending decision, to ensure that you are not seen to be prejudging a decision which will be made at the meeting where it can be anticipated that the information required to take a decision will be available. You must not indicate or imply your support or opposition to a proposal, or declare your voting intention, before the meeting. Anyone who may be seeking to influence you must be advised that you will not formulate an opinion on a particular matter until all available information is to hand and has been duly considered at the relevant meeting.

7.12 If you have an interest, whether financial or non financial, in the outcome of a decision on a planning application, or a planning agreement, or on taking enforcement action, or in a Local Review Body, you must declare that interest and refrain from taking part in making the decision.

Representations

7.13 Where you will be participating in making the appropriate decision, you should not organise support for, or opposition to, or lobby other board members or act as an advocate to promote a particular recommendation on a planning application, on a planning agreement, on taking enforcement action, or on a review by the Local Review Body.

7.14 You are not precluded from raising issues or concerns on any of the matters associated with the application with the planning officers concerned. Indeed, a board member may well have an important contribution to make in respect of an individual planning application or on what the Authority should include in a planning agreement. It is entirely appropriate for board members, including those who will have a decision-making responsibility, to make known to planning officers what representations from constituents and prospective developers they have received on a planning application, to attend public meetings/events (including those relating to statutory pre-application consultation) and to assist constituents in making their views known to the relevant planning officer. This applies to those board members with a decision-making responsibility, provided that at no time does the board member express a

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"for" or "against" view by advocating a position in advance of the decision making meeting (other than in respect of the circumstances set out in paragraphs 7.8 and 7.18).

- 7.15 If as part of the decision-making process you wish to make representations on behalf of constituents or other parties you may do so providing:-
- (a) you do so in terms of procedures agreed by the Authority which afford equal opportunity to any parties wishing to make representations to do so;
 - (b) you declare your interest in the matter; and
 - (c) after making those representations you then retire from the meeting room.

Full Board Decisions

- 7.16 There are certain planning applications where the final decision has to be made by the full Board. These applications will be those where there has been the opportunity for a pre-determination hearing. These procedures apply to major developments which are significantly contrary to the development plan and for national developments. It will be apparent before the application is formally submitted to the Authority which developments are national or major. Where the application is for a national development you will be involved in the decision-making process as a member of the full Board.
- 7.17 Where the application is for a major development, it may not be clear at the outset whether the development is significantly contrary to the development plan and therefore one where the full Board will be making the final decision. It will be for the planning authority to come to such a view as part of considering the application.
- 7.18 You are entitled to take part in the decisions to be made by the full Board even though you may have expressed an opinion on the application at a pre-determination hearing or at the planning committee.
- 7.19 The Authority has a system in which most applications are dealt with by the Planning and Access Committee. The Authority's Planning and Access Committee can refer decisions to the full Board for final determination.
- 7.20 Individual members may make their provisional views known as part of the discussions at earlier meetings. Board members who have responsibility for the decision should only make a final judgement when all the relevant material considerations are before the meeting that will, in fact, determine the application. These considerations can quite appropriately include the provisional views expressed during the Planning and Access Committee or a pre-determination hearing in advance of the full Board.

Other Interests

- 7.21 If you have substantial property or other interests which would prevent you from voting on a regular basis you should not sit on the Planning and Access Committee.
- 7.22 You must not act on behalf of, or as an agent for, an applicant for planning permission with the Authority other than in the course of your professional role which you have registered.

Site visits

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7.23 As a board member, you may be asked to attend site visits in connection with a pending planning application or review. If you do so, you should follow the procedures for such visits set out by the Authority - for local reviews there are details about site visits in the relevant regulations. These procedures should be consistent with the provisions of this Code.

Unauthorised developments

7.24 As a board member you may also be the person who is first made aware of an unauthorised development and you might - quite properly - wish to refer the matter to the Authority for possible enforcement action. Once the initial referral has been made to the appropriate department for investigation and any formal action, you should advise all subsequent inquirers to deal directly with the relevant officer, as you should not lobby for a particular outcome. This does not prevent you from seeking factual information about the progress of the case.

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Annex A

Sanctions Available To The Standards Commission For Breach Of The Code

- (a) Censure – the Commission may reprimand the board member but otherwise take no action against them;
- (b) Suspension – of the board member for a maximum period of one year from attending one or more, but not all, of the following:
 - (i) all meetings of the Authority;
 - (ii) all meetings of one or more committees of the Authority;
 - (iii) all meetings of any other public body on which that member is a representative or nominee of the Authority.
- (c) Suspension – for a period not exceeding one year, of the board member’s entitlement to attend all of the meetings referred to in (b) above;
- (d) Disqualification – removing the board member from membership of the Authority for a period of no more than five years.

Where a board member has been suspended, the Standards Commission may direct that any remuneration or allowance received from membership of the Authority be reduced, or not paid.

Where the Standards Commission disqualifies a board member of the Authority, it may go on to impose the following further sanctions:

- (a) Where the board member of the Authority is also a councillor, the Standards Commission may disqualify that board member (for a period of no more than five years) from being nominated for election as, or from being elected, a councillor.

Disqualification of a councillor has the effect of disqualifying that board member from the Authority and terminating membership of any committee or any other body on which that member sits as a representative of the Authority;
- (b) Direct that the board member be removed from membership, and disqualified in respect of membership, of any other devolved public body (provided the members’ code applicable to that body is then in force) and may disqualify that person from office as the Water Industry Commissioner.

In some cases the Standards Commission do not have the legislative powers to deal with sanctions, for example if the respondent is an executive member of the Authority or appointed by the Queen. Sections 23 and 24 of the Ethical Standards in Public Life etc. (Scotland) Act 2000 refer.

Full details of the sanctions are set out in Section 19 of the Act.

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Annex B

Definitions

“**Authority**” means the Loch Lomond and The Trossachs National Park Authority

“**Chair**” includes Board Convener or any person discharging similar functions under alternative decision making structures.

“**Code**” code of conduct for members of devolved public bodies

“**Cohabitee**” includes a person, whether of the opposite sex or not, who is living with you in a relationship similar to that of husband and wife.

“**Group of companies**” has the same meaning as “group” in section 262(1) of the Companies Act 1985. A “group”, within s262 (1) of the Companies Act 1985, means a parent undertaking and its subsidiary undertakings.

“**Parent Undertaking**” is an undertaking in relation to another undertaking, a subsidiary undertaking, if a) it holds a majority of the rights in the undertaking; or b) it is a member of the undertaking and has the right to appoint or remove a majority of its board of directors; or c) it has the right to exercise a dominant influence over the undertaking (i) by virtue of provisions contained in the undertaking’s memorandum or articles or (ii) by virtue of a control contract; or d) it is a councillor of the undertaking and controls alone, pursuant to an agreement with other shareholders or councillors, a majority of the rights in the undertaking.

“**A person**” means a single individual or legal person and includes a group of companies.

“**Any person**” includes individuals, incorporated and unincorporated bodies, trade unions, charities and voluntary organisations.

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

“**Related Undertaking**” is a parent or subsidiary company of a principal undertaking of which you are also a director. You will receive remuneration for the principal undertaking though you will not receive remuneration as director of the related undertaking.

“**Remuneration**” includes any salary, wage, share of profits, fee, expenses, other monetary benefit or benefit in kind. This would include, for example, the provision of a company car or travelling expenses by an employer.

“**Spouse**” does not include a former spouse or a spouse who is living separately and apart from you.

“**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.

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Annex C

Protocol For Relations Between Members And Staff

Principles

1. This protocol sets out the way in which board members and staff of the Authority should behave towards one another. It does not cover all the variety of circumstances which can arise, but the approach which it adopts will serve as a guide to dealing with other issues as they come up.
2. Board members and staff should work in an atmosphere of mutual trust and respect, with neither party seeking to take unfair advantage of their position.

Scope

3. The most common contacts are between board members and senior staff at Chief Executive, Director or Head of Service level, and this protocol is largely about those contacts. There are also many contacts between board members and other staff in their daily business, and the principles of this protocol also apply to them.

Members' and staff roles

4. Legally, staff are employed by the Authority and are accountable to it. The Chief Executive and staff have ultimate responsibility to ensure that the Authority's responsibilities are implemented.

Office bearers

5. It is clearly important that there should be a close professional working relationship between the Chair of a committee and the director and other senior staff who reports to that committee. However, such relationships should never be allowed to become so close, or appear to be so close, as to bring into question the member of staff's ability to deal impartially with others, and the ability of Chairs to deal impartially with staff.
6. The Chair of a committee/group will often be consulted on the preparation of agendas and reports. Staff will always be fully responsible for the contents of any report submitted in their name and have the right to submit reports to board members on their areas of professional competence. While staff will wish to listen to the views of Chairs, they must retain final responsibility for the content of reports.
7. Committee/Group Chairs are recognised as the legitimate elected spokesperson on their committees' areas of responsibility. Where authority is delegated to staff they will often wish to consult Chairs of committees about the action which they propose to take but the responsibility for the final decision remains with the staff who are accountable for it. Chairs should bear this in mind when discussing proposed action with staff.
8. Committee/Group Chairs will have many dealings with staff. Those staff should always seek to assist a committee Chair but it must be remembered that they are ultimately responsible to the Chief Executive.

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Social relationships

9. The relationship between board members and staff depends upon trust and this will be enhanced by the development of positive, friendly relationships. Board members and staff will often be thrown together in social situations within the community and they have a responsibility to project a positive image of the Authority. Nonetheless, close personal familiarity between individual members of staff and board members can damage the relationship of mutual respect and the belief that staff give objective and professional advice and commitment to the Authority. Board members and staff should, therefore, be cautious in developing close personal friendships while they have an official relationship.

Public comment

10. Board members should not raise matters relating to the conduct or capability of staff in public. Staff must accord to board members the respect and courtesy due to them in their various roles. There are provisions in the Code of Conduct for Employees about speaking in public and employees should observe them.