

## Standing orders of the Human Tissue Authority with respect to meetings of the Authority and its Committees

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## Table of Contents

Table of Contents.....	2
Introduction .....	3
Interpretation.....	3
Rulings under standing orders .....	4
Admission of public and press to designated public meetings.....	5
Orders in respect of meetings of the Authority.....	5
Calling meetings .....	5
Notice of meetings .....	6
Chairing meetings .....	6
Quorum for meetings .....	6
Closed meetings .....	7
Record of attendance.....	7
Notices of motion .....	7
Voting.....	8
Appointment of Members and Chairs .....	9
Senior Independent Director .....	9
Resignations .....	9
Review and revocation of Authority or Committee Membership .....	10
Arrangements for compiling the agenda of meetings .....	11
Agenda, minutes and papers .....	11
Officers in attendance .....	12
Attendance of observers .....	12
Co-optees .....	12
Declaration of interests .....	12
Orders in respect of delegation and reporting.....	14
Matters of an urgent nature.....	15
Audit matters.....	15
Corporate seal .....	16
Licensing decisions.....	16
Appointment of Committees.....	16
Appointment of Members to Committees.....	17
Terms of appointment .....	17
Appointment of sub-Committees.....	17
Appointment of expert, external practitioners to Committees .....	17
Orders in respect of Committees .....	18
Variation or suspension of standing orders.....	18
ANNEX 1: Schedule of delegation of powers to the Chief Executive, Officers and Committees	19
ANNEX 2: Code of Conduct for Members of the Human Tissue Authority .....	23

## Introduction

1. These standing orders are made pursuant to Schedule 2 of the Human Tissue Act 2004 (“the HT Act”). Subject to the provisions of the HT Act and Regulations made under it, these standing orders will regulate the procedure of the Authority and of its Committees as appropriate.

## Interpretation

2. Any expression to which a meaning is given in the HT Act or in Regulations made under it shall have the same meaning in these standing orders, unless the context otherwise requires. In addition:
  - “the Authority” means the Human Tissue Authority established under section 13 of the HT Act;
  - “the Chair” means the Chair of the Authority appointed in accordance with Schedule 2 of the HT Act;
  - “Member” means a Member of the Authority (including the Chair) appointed in accordance with Schedule 2 of the HT Act;
  - “the Chief Executive” means the Chief Executive Officer of the Authority;
  - “the Department” means the Department of Health;
  - “Accounting Officer” means the officer responsible and accountable for the resources entrusted to the Authority and who shall be responsible for the stewardship of any and all public funds or assets in the Authority’s possession. For the Human Tissue Authority, the Accounting Officer is the Chief Executive;
  - “Committee” means a Committee established by the Authority;
  - “Committee Chair” means the Chair of a Committee, as the context requires, whether or not he/she is also a Member of the Authority;
  - “Lay Member” means a Member of the Authority who does not have and has not had a professional interest in any of the kinds of activity within the remit of the Authority;

- “Non–lay Member” means a Member of the Authority who has or has had a professional interest in any of the kinds of activity within the remit of the Authority;
  - “Officer” means an employee of the Authority. In certain circumstances, “officer” may include a person who is employed by a third party contracted to the Authority who carries out functions on behalf of the Authority; and
  - “Senior Management Team” means the Executive of the Human Tissue Authority.
3. In these standing orders, unless the contrary intention appears, words in the singular include the plural and words in the plural include the singular.

### **Rulings under standing orders**

4. The Chair shall, subject to paragraph five below, decide on the application of these standing orders to any proceedings of the Authority.
5. The decision of the Chair under this standing order, or under any other power contained in these standing orders when notified to the Authority shall take effect immediately, unless two Members of the Authority disagree, in which case the Chair’s decision shall be treated as a proposal to be effective only if confirmed by the Authority on a vote. One Member shall be entitled to explain the cause of the disagreement following which the ruling will be put to the vote without further discussion: any alternative decision of the Chair necessary for the proper conduct of business shall be treated in the same way.
6. Where the Chair of the Authority has died, has ceased to hold office or where he/she has been unable to perform his/her duties as Chair owing to illness, absence from the United Kingdom or any other cause, another lay Member nominated by a majority of the Members shall act as Chair until a new Chair is appointed or the existing Chair resumes duties. Reference to Chair in these standing orders shall, so long as there is no Chair to perform his or her duties, be taken to include references to the stand-in Chair.
7. The validity of any proceedings of the Authority shall not be affected by any vacancy in the office of: the Chair; the Members appointed by relevant Ministers in Wales and Northern Ireland; any defect in a person’s appointment as Chair or other Member or; the composition for the time being of the Membership of the Authority.

## **Admission of public and press to designated public meetings**

8. Members of the public and representatives of the press may attend designated public meetings of the Authority, as the Authority deems necessary; at least one such meeting will be held in each calendar year. However, they may be excluded from the part of the meeting that deals with business of a confidential nature, or about which publicity would be prejudicial to the public interest.
9. The Chair will give such directions as he/she thinks fit in regard to the arrangements for meetings and accommodation of the public and representatives of the press, such as to ensure that the business of the Authority may be conducted without interruption and disruption. However, the Authority may resolve that the public and press are required to withdraw to suppress or prevent disorderly conduct or other misbehaviour at a meeting.
10. Members of the public, or representatives of the press, shall not record proceedings in any manner whatsoever, other than in writing, or make any oral report of the proceedings as they take place, without the prior agreement of the Authority.
11. Members of the public and representatives of the press are not admitted to meetings of Committees, except by specific invitation.
12. The Authority may set aside time at the end of its agenda for members of the public to ask questions.

## **Orders in respect of meetings of the Authority**

### Calling meetings

13. Ordinary meetings of the Authority will be held at such times and places as the Authority may decide.
14. The Chair may call a meeting of the Authority at any time, provided 10 clear calendar days' notice is given. If a request for a meeting, signed by at least five Members is presented to the Chair, then the Chair must call a meeting within 21 calendar days of receiving such a request. If the Chair refuses to call a meeting or without so refusing, does not within 21 calendar days after the requisition has been presented to him/her call a meeting, those Members that requested it may call a meeting.
15. Extraordinary meetings of the Authority may be called at any time by the Chair.

16. Extraordinary meetings of the Authority may also be called at the request of a Member, if supported by at least one third of the Members of the Authority.

#### Notice of meetings

17. The dates of Authority meetings and any Committee meetings of the Authority will be notified to all Members for the forthcoming calendar year.
18. Before each meeting of the Authority, a notice of the meeting which specifies the principal business proposed to be transacted at it and is agreed by the Chair, or by an officer of the Authority authorised by the Chair to agree it on his/her behalf, shall be delivered to each Member via e-mail or post to his/her last known address, at least seven calendar days before the day of the meeting. Supporting papers, whenever possible, will accompany the agenda.
19. The business of the meeting shall not be invalidated where any Member fails to receive notification.
20. At least seven days before each meeting of the Authority, a public notice of the time and place of the meeting, and the public part of the agenda, will be displayed on the HTA website.

#### Chairing meetings

21. At any meeting of the Authority or its Committees, the Chair, if present, shall preside. If the Chair is absent, the Chair shall nominate a Member to preside in his/her place.
22. If the Chair is absent temporarily on the grounds of a declared conflict of interest, the Chair will nominate a Member to preside in his/her place.

#### Quorum for meetings

23. No business shall be transacted at a meeting of the Authority unless there is a quorum of at least one third of the Members plus the Chair or the person chairing the meeting. Where the quorum is only one third of the Members, at least two Members, excluding the Chair or person chairing the meeting, will be lay.
24. A quorum of Members must be present throughout the Authority meeting. Should the Chair of the meeting declare there is not a quorum, the meeting shall be adjourned and the remaining business postponed to the next ordinary meeting, unless the Chair of the

meeting indicates an earlier date or is able to conduct the business under the urgent action provision (see paragraphs 81–84).

25. If a Member has been disqualified from participating in the debate on any matter and/or from voting on any question by reason of the declaration of interest, he/she shall no longer count towards the quorum. If a quorum is then not available for the discussion and/or decision on any matter, that matter may not be discussed further or voted upon at the meeting. Such a position shall be recorded in the minutes of the meeting.
26. Where the Authority is considering the appointment of a Chief Executive, the Authority is not quorate unless the Chair is present.
27. A meeting of the Authority, as required by Regulation 14(1) of The HT Act (Persons who Lack Capacity to Consent and Transplants) Regulations 2006, will be quorate if three Members are in attendance.

#### Closed meetings

28. The Authority may convene closed meetings as required. If the Chair is absent, the remaining Members shall choose one of their number to preside. No officers will attend unless requested to do so.

#### Record of attendance

29. Attendance will be recorded in the minutes of any meetings.

#### Notices of motion

30. Any motion proposed must be seconded before it is considered.
31. A Member who wishes to move a motion will send a written notification of this to the Chair at least seven clear calendar days before the meeting. The Chair will insert this notice in the agenda, subject to the notice being permissible under any appropriate Regulations. This does not, however, prevent any motion or amendment being moved during the meeting, without notice, on any business mentioned on the agenda.

32. When a motion is under discussion, or immediately before discussion, it will be open to a Member to move:
  - a. an amendment to the motion;
  - b. the adjournment of the discussion or the meeting item;
  - c. that the meeting proceed to the next business;
  - d. the appointment of an ad hoc Committee to deal with a specific item of business;
  - e. that the motion be now put; and
  - f. a motion that certain members of the public and representatives of the press be excluded from the meeting.
33. No amendment to the motion will be allowed if, in the opinion of the Chair, the amendment negates the substance of the motion.
34. A motion or amendment, once moved and seconded, may be withdrawn by the proposer with the agreement of the seconder and the consent of the Chair.

#### Voting

35. The normal practice of the Authority will be to achieve consensus on all issues.
36. When necessary, a question at a meeting will be decided by a majority of the votes of the Chair and Members present and voting on the question. In the case of the number of votes for and against the question being equal, the Chair will have a second or casting vote.
37. All questions put to the vote will, at the discretion of the Chair of the meeting, be determined by oral expression or by a show of hands. A paper ballot may also be used if a majority of the Members present so request.
38. At the request of at least one third of the Members present, the voting (other than by paper ballot) on any question may be recorded in the minutes to show how each Member present voted or abstained.
39. In no circumstances may an absent Member vote by proxy. Absence is defined by being absent at the time of the vote.

## **Appointment of Members and Chairs**

40. Appointment of the Chair and Members of the Authority, as laid out in Schedule 2 of the HT Act, are made by the Secretary of State, or the Minister in the devolved governments of Wales or Northern Ireland, for periods of up to three years. Members may be reappointed, and may serve a maximum of two terms.
41. The Chair of the Authority is an ex-officio Member of all Authority Committees and should be regarded as additional to any specified maximum Membership.

## **Senior Independent Director**

42. The Chair will nominate a Member of the Authority to act as a Senior Independent Director (SID), with this appointment to be ratified by the Authority. The Authority will be responsible for appointing the SID. The SID shall be available for Members to raise concerns with, if those concerns have not been resolved through other channels (such as the Chair or Chief Executive) or where it would be inappropriate to use these established channels. In addition, the SID shall provide a sounding board for the Chair and serve as an intermediary for other Members as necessary.
43. In line with recommendations from the Department regarding Board governance, any concerns regarding the Chair should be raised with the SID. The SID should take responsibility for informing the Director General of Public Health at the Department about any concerns which they believe to have foundation. They should liaise with the Department throughout any investigation and follow-up actions.
44. The Chair of the HTA's Staff Forum, who shall also hold the position of Freedom to Speak Up Champion, shall have a direct reporting line to the SID, through which any concerns from members of staff can be raised where it would be inappropriate to use established channels.

## **Resignations**

45. If any Member wishes to resign from the Authority, he/she must give notice in writing to the Secretary of State and, if applicable, the Minister in the devolved government from which they are appointed.
46. A Chair of the Authority may resign at any time during his/her term of office by giving notice in writing to the Secretary of State. Resignation as Chair constitutes resignation from the Authority.

47. In accordance with paragraph 6 of Schedule 2 of the HT Act, previous service as a Chair or other Member of the Authority does not affect a person's eligibility for appointment to either office.

### **Review and revocation of Authority or Committee Membership**

48. The Authority may revoke the appointment of any Authority or Committee Member to a Committee or the office of Chair of a Committee.
49. Authority Members will be expected to attend every Authority meeting and every meeting of any Committee of which they are a member. If a Member is not able to attend a meeting, he/she must provide apologies to the Chair and to the Authority Secretary in advance of the meeting if possible.
50. If a Member does not attend more than two consecutive meetings, the Authority or Committee Chair, as applicable, will arrange a meeting with the Member to discuss his/her attendance and whether he/she wishes to continue their membership of the Authority or Committee.
51. If a Member's attendance is approaching the trigger point of three missed Authority meetings, the Chair will schedule a meeting to discuss his/her attendance and whether he/she wishes to continue his/her membership of the Authority and/or Committee. The Chair will then write to the Member to outline his/her future position on the HTA's Authority.
52. Where required in circumstances other than non-attendance at meetings, the Chair will organise a meeting between the Chair and a Member in order to agree to terminate a Member's role on the HTA Authority by way of mutual agreement.
53. In accordance with paragraph 9 of Schedule 2 of the HT Act, a Chair or other Member of the Authority may be removed from office by the Secretary of State if that person is satisfied that he/she:
- a. has been absent from meetings of the Authority for six consecutive months, or longer, without the permission of the Authority; or
  - b. is unable or unfit to carry out his functions as Chair or other Member.

## **Arrangements for compiling the agenda of meetings**

54. Authority or Committee Members wishing to put forward agenda items should notify the Authority Secretary (in the case of the Authority) or the designated lead officer (in the case of a Committee) at least 14 calendar days before the date of the meeting.
55. The Chair, in consultation with the Chief Executive or the Committee Chair, in consultation with the Authority Secretary (in case of the Authority) or the designated officer (for Committees), shall decide whether and when any particular item shall be included in the final published agenda.
56. In the event that the Chair of the Authority or the Chair of a Committee is not willing to include an item on the final published agenda, any Member shall be entitled to have a notice of motion included on the agenda, provided this is submitted in writing to the Authority Secretary or the designated lead officer (for Committees) at least five calendar days before the meeting.
57. It is in the discretion of the Chair of a meeting to allow urgent items not on the published agenda to be discussed at the relevant meeting. The reasons for allowing such action should be indicated by the relevant Chair.

## **Agenda, minutes and papers**

58. The minutes of every Authority or Committee meeting will be submitted to the following meeting and, once confirmed as a correct record, agreed by the Chair of the meeting. Copies are retained for reference and may be available for public inspection. Minutes of confidential discussions will be considered and approved in private session. Any amendment to the minutes shall be agreed and recorded at the following meeting.
59. Copies of the agenda, minutes and papers will be made available to the public for ordinary and open meetings of the Authority, excluding confidential elements, at the time they are circulated to Members.
60. Members will receive the minutes of its Committees on request. The circulation of any confidential minutes of the Committees will be at the discretion of the Committee Chair and will not be unreasonably withheld. Any Authority Member who is not on a Committee will have a right to consult any confidential minutes of that Committee on approval of the Chair.

## **Officers in attendance**

61. The Chief Executive and Directors will be in attendance at meetings along with any other officers the Chief Executive deems appropriate.

## **Attendance of observers**

62. Up to two observers from the Department will normally be invited to attend all meetings of the Authority.
63. The Chair may invite observers from other Government Departments and agencies to attend Authority meetings as necessary.

## **Co-optees**

64. The Authority may co-opt participants to provide specialist skills, knowledge and experience, subject to the agreement of at least one-third of the Members. Co-optees will not be entitled to vote.

## **Declaration of interests**

65. Each Member is responsible for ensuring that when they attend an Authority or Committee meeting at which a matter in which they have either a personal or material interest is to be discussed or voted upon, the existence and nature of their interest is disclosed at the beginning of that meeting, or when the interest becomes apparent.
66. Members may consider themselves as having a material interest in a matter if they have a pecuniary interest, direct or indirect, in any contract, proposed contract or other matter being considered by the Authority. In the case of couples living together, the interest of one partner shall, if known to the other, be deemed also to be an interest of the other.
67. A Member **has an indirect pecuniary interest** in a contract, proposed contract or other matter if:
  - a. they, or a nominee of theirs, is a director of a company or other body, not being a public body, with which the contract was made or is proposed to be made or which has a direct pecuniary interest in the other matter under consideration; or

- b. they are a business partner of, or are in the employment of, a person with whom the contract was made or who has a direct pecuniary interest in the other matter under consideration.
68. However, a Member will **not be considered as having a pecuniary interest** in any contract, proposed contract or other matter if:
- a. they are a Member of a company or other body, but have no beneficial interest in any securities of that company or other body; or
  - b. they have an interest in any company, body or person with which they are connected as mentioned above (in paragraphs 66-67) which is so remote or insignificant that it cannot reasonably be regarded as likely to influence him/her in consideration or discussion of, or in voting on, any question with respect to that contract, proposed contract or other matter.
69. If any Member is in doubt as to whether to declare a material interest, he/she should discuss this with the Chair, Committee Chair or the Chief Executive before the meeting. The final decision as to whether a Member has a conflict of interest lies with the Chair of the Authority or Committee.
70. A Member should consider that they have **a personal interest** in a contract, proposed contract or other matter if the decision being taken is one which a Member of the public with knowledge of the relevant facts would reasonably regard as so significant that it is likely to prejudice the Member's judgement of the public interest.
71. If a Member has a clear and substantial personal or material interest in a specific matter, they should not participate in its discussion or determination and withdraw from the meeting whilst it is being considered.
72. Every Member shall make a written declaration in the register of Members' interests of relevant pecuniary interests, including:
- a. main employment or business and any subsidiary employment or business directly or indirectly related to the HTA's work;
  - b. any directorship, consultancy or shareholding in any organisation or partnership concerned with the employment or provision of any procedures, education services, research or any other matters within the remit of the Authority; and
  - c. any contracts with the Authority.

73. Members must make the declaration within one month from the date of their appointment and shall report any material changes to the declaration within one month of such changes.
74. In addition, Members are required to make an annual written declaration of their interests for annual accounting purposes, when requested by the Authority Secretary, or the designated lead officer (for Committees).
75. The Chief Executive shall maintain a register of interests to be kept available at all reasonable hours for public inspection. The register shall be updated at least annually.

### **Orders in respect of delegation and reporting**

76. The Chief Executive is accountable through the Chair to the Members of the Authority and also, as Accounting Officer, through the Permanent Secretary at the Department, to Parliament.
77. The relationship between the Department and the HTA is laid down in the [Framework Agreement](#).
78. The day-to-day management of the HTA is delegated to the Chief Executive by the Authority within the framework for delegation and reporting set out in **Annex 1**.
79. The Authority may delegate authority to Committees to make decisions and/or take action on its behalf. The Authority may also delegate specific action to the Chair or to the Chief Executive at any time. The Chair of the relevant Committee or the Chief Executive will report to the Authority on the use of any specific delegated authority in a timely manner. A schedule of delegation of powers is set out in **Annex 1**.
80. The HTA's Code of Conduct for Members of the Human Tissue Authority (**Annex 2**) sets out:
  - a. the seven principles of public life – Appendix 1;
  - b. evidence to select or scrutiny committees – Appendix 2;
  - c. the HTA's governance structure – Appendix 3;
  - d. the Terms of Reference for the Audit and Risk Assurance Committee – Appendix 4;
  - e. the Terms of Reference for the Remuneration Committee – Appendix 5; and
  - f. the Addison rules – Appendix 6.

## **Matters of an urgent nature**

81. The Chair of the Authority, the Chair of a Committee and the Chief Executive are authorised to take urgent action in respect of matters which would normally be determined by the Authority or one of its Committees which arise between meetings. Such urgent action will be reported to the next meeting of Authority or Committee together with an explanation for the grounds of urgency.
82. In all cases where the Chief Executive decides to take such urgent action, the Chair of the Authority and/or the Committee Chair will be given the opportunity and the responsibility for deciding whether to call a special meeting to determine the matters at issue.
83. The Authority may appoint two or more Members authorised to act on its behalf on grounds of urgency and whose decision will be reported to the Authority as soon as possible thereafter. Likewise, a Committee may appoint two or more Committee Members authorised to act on its behalf on grounds of urgency and whose decisions will be reported to that Committee as soon as possible thereafter.
84. Consultations with the Chair of the Authority and relevant Committee Chairs will be dealt with by the Authority Secretary in writing, explaining the reason for the urgent action and the necessary background information.

## **Audit matters**

85. The audit service (whether this be internal or external audit) via an audit manager shall report directly to the Chair of the Audit and Risk Assurance Committee between meetings, in the following circumstances:
  - a. where matters of propriety need to be reported, and to do so through line management would be inappropriate in the opinion of the audit manager; and
  - b. where circumstances prevent or jeopardise the ability to meet the terms of reference of the audit.

## **Corporate seal**

86. The seal of the Authority shall be kept by the Chief Executive in a secure place.
87. The seal of the Authority shall not be fixed to any documents unless the sealing has been authorised by a resolution of the Authority or of a Committee thereof or where the Authority has delegated its powers.
88. The affixing of the HTA's corporate seal to a formal contract or other document must be accompanied by the signature of the Chair or another nominated Member of the Authority and the counter-signature of the Chief Executive or his/her nominee.

## **Licensing decisions**

89. The Authority hereby delegates authority to appropriately qualified members of staff (normally from the Regulation Directorate) to grant, revoke, vary and suspend licences issued under the Authority's remit.
90. This power of delegation will also extend to the hearing of representations from applicants against a decision made by a member of staff.

## **Appointment of Committees**

91. The Authority may establish or dissolve any Committee for such purpose as it considers appropriate. It will determine the powers of any such Committee.
92. Chairs of Committees will be appointed by the Authority for a set term which does not exceed the Member's remaining tenure. This appointment will be reaffirmed at Authority annual meeting. The appointment of Committee Chairs will take place as the need arises. Committees shall determine the Membership of any working parties they may establish.
93. In the event of there being a vacancy in a Committee Chair, the Chair of the Authority will propose and the Authority will appoint a new Chair at the next meeting of Authority. The Chair of the Authority is authorised to appoint an interim Chair in cases of urgency.
94. The frequency of Committee meetings will be defined in the Terms of Reference, which must be agreed by the Authority.

95. The Authority will keep under review the structure and remit of its Committees. The current Committee structure and the Terms of Reference for each Committee are set out at **Annex 2, Appendices 4 and 5.**

## **Appointment of Members to Committees**

### Terms of appointment

96. Recruitment of Members to Committees will be through expressions of interest.. Expressions of interest will be reviewed by the Authority Chair, Chief Executive and Committee Chair, who will jointly decide on appointments.
97. Should an insufficient number of expressions of interest be received to fill an available role, the Authority Chair will appoint the Member who has the most appropriate skills and experience to fulfil the requirements of the role.
98. Authority Members who become members of Committees will be appointed for a set term of three years, which will not exceed their tenure as Authority Members. Authority Members may be reappointed to Committees in accordance with the HTA's business needs.
99. The Authority may at any time alter a Committee's Membership
100. The Chair and the Chief Executive have final approval of all Committee appointments.

### Appointment of sub-Committees

101. The Authority may delegate authority to a Committee to establish and appoint Members to a sub-Committee. Any such sub-Committee must be chaired by a Member of the Committee and a majority of sub-Committee Members must be Members of the Committee. In establishing a sub-Committee, the Terms of Reference and delegated powers will be determined by the relevant Committee.

## **Appointment of expert, external practitioners to Committees**

102. Committees may co-opt for up to a maximum of one third of the total number of Members of the Committee or invite other participants to contribute to their meetings and consideration of issues. An example of such occasions would be meetings of a Committee to consider a particular issue relating to the Committee's remit and where expert contributions would enhance the quality of any such considerations.

## **Orders in respect of Committees**

103. Those standing orders contained in the section of the management scheme headed “Orders in respect of meetings of the Authority” also apply to Committees, except where the Committee may agree to vary those orders. Any such variation must be agreed by the Authority.
104. Members of the Authority shall be entitled to attend meetings of Committees of which they are not Members. Members attending meetings of which they are not Members shall be entitled to speak with the permission of the Chair of the meeting but in no case shall they be entitled to vote.

## **Variation or suspension of standing orders**

105. These standing orders may not be amended or replaced otherwise than by a motion passed at a meeting at which at least two-thirds of the Members are present.
106. Notice of a motion to vary these standing orders must be given to all Members of the Authority five calendar days before the meeting.
107. Provided that at least two thirds of Members are present at a meeting including the Chair, any one or more of these standing orders, except the standing orders on declaration of interests in paragraphs 65-75, may be varied or suspended for the duration of that meeting, unless that would contravene any rule of law, legislative provision or direction made by the Secretary of State.
108. With the exception of any standing order which reflects the provisions of the HT Act, the quorum of meetings or the declaration of interests, all or any of these standing orders may be suspended at any meeting provided that at least two-thirds of the Members are in favour. Any Member can move to suspend standing orders.
109. A decision to suspend standing orders shall be recorded in the minutes of the meeting.

## **ANNEX 1: Schedule of delegation of powers to the Chief Executive, Officers and Committees**

### **Framework of delegation to the Chief Executive and Officers reporting to the Authority on that delegation**

1. The Chief Executive will prepare each year a three-year strategic plan and annual business plan for approval by the Authority and agreement between the Authority and the Department. Alongside these plans, the Chief Executive will prepare a budget for the financial year showing proposed expenditure under main headings and against main activities.
2. Once approved by the Authority, the Chief Executive will be responsible for putting these plans into effect and has authority to take such decisions as are necessary relating to the employment of staff and the engagement of financial or other services.
3. The Authority may agree policies in relation to its statutory functions and the Chief Executive will be responsible for ensuring that those policies are followed. The Chief Executive may propose to the Authority policies in relation to any of its functions and once approved by the Authority, shall act in accordance with those policies.
4. The Chief Executive must act within any overall limits and conditions set in relation to the Authority's expenditure as informed to the Authority by the Department and may:
  - a. approve and certify expenditure;
  - b. authorise payments and accept receipts;
  - c. negotiate, organise and review banking arrangements;
  - d. vire money between budgets;
  - e. make any arrangements necessary relating to the employment of staff, their terms, conditions and pay; and
  - f. sub-delegate his/her powers to Members of the Authority's staff.
5. These delegated authorities shall be subject to the limits set by the Department of Health effective from 1 April 2009.
6. The Chief Executive will report to the Authority and advise the Authority in a timely manner of all material matters currently or prospectively affecting the HTA and its performance.

7. In particular, the Chief Executive will report each quarter to the Authority on the achievement of key targets set out in the business plan and on the Authority's expenditure and income against its budget.
8. The Chief Executive will report to the Authority any significant proposal to vary the staffing structure of the HTA.
9. The Chief Executive or other officer authorised by him/her is authorised to apply and authenticate by his or her signature the seal of the Authority.
10. The Authority delegates the power to grant, revoke, vary and suspend licences issued under the Authority's remit to the Chief Executive who may then delegate decisions to members of staff (usually from the Regulation Directorate).
11. This delegation extends to the hearing of representations from applicants against decisions made by members of staff.
12. The Authority delegates to the Chief Executive the power to assess and make decisions on applications for living organ donation, except those which are retained by the Authority as a result of Regulations and those which it has decided to retain as a matter of policy.
13. The Chief Executive may make any decision delegated by the Authority. Delegation by the Chief Executive to the Senior Management Team is set out in the Onward Delegation Scheme.

#### **Framework of delegation to Committees reporting to the Authority on that delegation**

14. A Committee can take decisions on matters contained within its Terms of Reference unless the matter is reserved for decision by the full Authority on the recommendation of that Committee.

## Onward Delegation Scheme

<b>Decision class</b>	<b>Decision description</b>	<b>Delegation level</b>
Decisions relating to the licensing of establishments	Grant of a licence	Regulation Manager
	Varying a licence	Regulation Manager or Officer
	Extending a licence	Regulation Manager
	Issuing general directions	Director of any function or Head of Regulation
Post-inspection decision-making	Major and minor shortfalls	Regulation Manager with a Head of Regulation
Enforcement decisions (significant regulatory activity)	Critical shortfalls or collection of major shortfalls	Regulatory Decision Meeting (Director of any function or Head of Regulation)
	Some or all of the licensable activity at the establishment ceasing with immediate effect until a corrective action plan is developed, agreed by the HTA and implemented	Regulatory Decision Meeting (Director of any function or Head of Regulation)
	Directions being issued requiring specific action to be taken straight away	Regulatory Decision Meeting (Director of any function or Head of Regulation)
	Additional conditions being proposed	Regulatory Decision Meeting (Director of any function or Head of Regulation)
	A notice of suspension of licensable activities	Regulatory Decision Meeting (Director of any function or Head of Regulation)
	A notice of a proposal to refuse, revoke, vary or impose conditions on a licence	Regulatory Decision Meeting (Director of any function or Head of Regulation)

<b>Decision class</b>	<b>Decision description</b>	<b>Delegation level</b>
Living donation decisions	Decisions made following a notice proposing a decision to refuse, revoke, vary or impose conditions on a licence.	Decision proposer (Director of any function or Head of Regulation)
	Decisions on appeals made following a decision to refuse, revoke, vary or impose conditions on a licence	Panel of five Authority Members
	Approval of non-panel cases	Officers
	Refusal of cases	Panel of three Authority Members via a Regulatory Decision Meeting
	Panel cases	Panel of three Authority Members
	Reconsiderations	Panel of three Authority Members not associated with the original decision
Decisions on action following receipt of information from outside the HTA	Post-inspection decisions (where an inspection has been undertaken as a result of the information received)	Regulation Manager with a Head of Regulation
	Enforcement decisions	Regulatory Decision Meeting (Director of any function or Head of Regulation)
Decisions on referral to the police	Police referral	Senior Management Team
Decisions on the interpretation of our legal remit (policy decisions)	Policies for external audiences	Senior Management Team
	Internal policies	Appropriate Director
Other decisions of strategic significance		Senior Management Team

**ANNEX 2: Code of Conduct for Members of  
the Human Tissue Authority**



**Code of Conduct for Members of the Human Tissue Authority**

**Date last reviewed:** 4 May 2017

**Next review due:** 4 May 2019

## Table of Contents

Introduction .....	25
Public service values .....	25
Relationship with the sponsor department .....	26
The role of the Chair .....	26
Corporate responsibilities of Members .....	27
Delegation .....	28
Responsibilities of individual Members .....	28
Handling conflicts of interests .....	29
Personal liability of Members .....	31
Openness and accountability .....	31
Accountability for public funds .....	32
Annual report and accounts .....	32
The role of the Chief Executive .....	33
Audit Committee .....	34
The Authority as employer .....	34
Appendix 1: The seven principles of public life .....	36
Appendix 2: Evidence to select or scrutiny committees .....	37
Appendix 3: HTA Governance Structure .....	38
Appendix 4: Terms of Reference for the Audit and Risk Assurance Committee .....	39
Appendix 5: Terms of Reference for the Remuneration Committee .....	45
Appendix 6: Addison rules .....	49

## Introduction

1. This Code of Conduct should be read with the [Code of Conduct for Board Members of Public Bodies](#), which is also referenced in the Terms and Conditions of appointment. All in this Code of Conduct that applies to Members applies to the Chair as well.
2. The HTA is an executive Non-Departmental Public Body (NDPB) of the Department of Health (the Department) and covers England, Wales and Northern Ireland.
3. The Authority will oversee the implementation of the Human Tissue Act, 2004 (HT Act) and will work towards achieving a balance between the rights and expectations of individuals from all stakeholder communities, including: individuals, families, medical practitioners and those involved in research, education, training, pathology and public health surveillance to the population as a whole. The HTA is designated the Competent Authority for European Union Directives for tissues and cells and organ donation.
4. Members of the Authority in carrying out their responsibilities shall have due regard to Equal Opportunities generally, the general duty of the [Race Relations \(Amendment\) Act 2000](#) and the requirements of any other diversity legislation.

## Public service values

5. The Authority will, at all times:
  - a. observe the highest standards of propriety involving impartiality, integrity and objectivity in relation to the stewardship of public funds and the management of the bodies concerned;
  - b. maximise value for money through ensuring that services are delivered in the most economical, efficient and effective way, within available resources, and with independent validation of performance achieved wherever practicable. Value for

money is not the lowest price: it is the optimum combination of whole life costs and quality to meet the user's requirement;

- c. be accountable to Parliament, users of services, individual citizens and staff for the activities of the bodies concerned, their stewardship of public funds and the extent to which key performance targets and objectives have been met; and
- d. in accordance with Government policy on openness and accountability, comply fully with the Freedom of Information Act 2000.

## **Relationship with the sponsor department**

6. The Secretary of State for Health or the relevant Minister is answerable to Parliament for the policies and performance of all public bodies sponsored by the Department, including their use of resources and the policy framework within which they operate. The respective roles of the HTA and the Department (its sponsor department) are set out in the Management Statement and Financial Memorandum, which specifies the terms on which the HTA receives and spends its funds and conducts its relations with the Department.

## **The role of the Chair**

7. The Chair has particular responsibility for providing effective strategic leadership on matters such as:
  - a. formulating the Authority's strategy for discharging its statutory duties;
  - b. encouraging high standards of propriety and promoting the efficient and effective use of staff and other resources throughout the organisation;
  - c. ensuring that the Authority, in reaching decisions, takes proper account of guidance provided by the responsible Minister or sponsor department;
  - d. representing the views of the Authority to the general public; and
  - e. providing performance assessments for individual Members when necessary and in line with any Directions issued by the Secretary of State for Health; and
  - f. dealing with the appraisal of Members' performance and objective setting.
8. The Chair should ensure that the Authority meets at regular intervals throughout the year and that the minutes of meetings accurately record the decisions taken and, where appropriate, the views of individual Members.
9. Communications between the Authority and the Minister of the sponsor department will normally be through the Chair except where the Authority has agreed that an individual Member should act on its behalf. Nevertheless, an individual Member has the right of access to Ministers on any matter which he or she believes raises important issues

relating to his/her duties as a Member of the Authority. In such cases, the agreement of the rest of the Authority should normally be sought. The main point of contact between the HTA and the sponsor department on day-to-day matters will normally be the Chief Executive or another Member of staff who is authorised by the Chief Executive to act on behalf of the Authority.

10. The Chair should ensure that all Members of the Authority, when taking up office, are fully briefed on the terms of their appointment and on their duties, rights and responsibilities. The Chair and other Members of the Authority should each have a copy of the Code of Conduct for Members of the Authority; Management Statement and Financial Memorandum and other relevant background material such as the Chair sees fit. The Chair should encourage new Members to attend an induction course on the duties of Members of public bodies or some other suitable form of induction programme.

### **Corporate responsibilities of Members**

11. Members have corporate responsibility for ensuring that the HTA complies with any statutory or administrative requirements for the use of public funds. Other important responsibilities of Members include:
  - a. ensuring that high standards of corporate governance are observed at all times;
  - b. establishing the overall strategic direction of the organisation within the policy and resources framework agreed with the responsible Minister;
  - c. ensuring that the Authority operates within the limits of its statutory authority and any delegated authority agreed with its sponsor department and in accordance with any other conditions relating to the use of public funds;
  - d. ensuring that, in reaching decisions, the Authority has taken into account any guidance issued by the sponsor department;
  - e. formulating a strategy for implementing the Freedom of Information Act 2000, including prompt responses to public requests for information, and meeting other requirements set out in [Public Bodies: A Guide for Departments, Chapter 8: Policy – Openness and Accountability](#).
  - f. ensuring that the Authority has specific responsibility for sustainable development and operates within the framework of the Sustainable Development Strategy, following the priorities set by the sponsoring department; and
  - g. ensuring that the Authority manages its estate in line with advice provided by Government Estates Management.
12. The Authority is responsible for the production of a three-year strategic plan. The process of preparing such a document provides an opportunity for agreeing, with the responsible

Minister, or officials on his or her behalf, the policy and resources framework within which the Authority will discharge its duties and for determining its key strategic objectives and targets.

## **Delegation**

13. To the extent permitted by the originating legislation or other provisions under which the HTA was established, responsibility for day-to-day management matters should be delegated to staff so far as is practicable, within a clearly understood framework of strategic control. The Authority will put in place internal guidance covering those matters delegated to staff and those reserved for decision by the Authority.
14. The Authority may decide to delegate responsibility for specified matters, where it has power to do so, to individual Members or Committees of the Authority. Decisions taken by individual Members or Committees of the Authority under delegated powers should be recorded in written minutes available to the Authority as a whole.

## **Responsibilities of individual Members**

15. Individual Members should be aware of their wider responsibilities as Members of the Authority. Like others who serve the public, they should follow the Seven Principles of Public Life set out by the Committee on Standards in Public Life. The principles are printed at Appendix 1. The Members must:
  - a. undertake, on appointment, to comply at all times with the Code of Conduct that is adopted by the HTA and with rules relating to the use of public funds;
  - b. act in good faith and in the best interests of the Authority;
  - c. not misuse information gained in the course of their public service for personal gain or for political purpose, nor seek to use the opportunity of public service to promote their private interests or those of connected persons, firms, businesses or other organisations; and to declare publicly any private interests which may be perceived to conflict with their public duties; and
  - d. ensure that they comply with the Authority's rules on the acceptance of gifts and hospitality.
16. Members are expected not to occupy paid party political posts or hold particularly sensitive or high-profile unpaid roles in a political party. Subject to that, part-time Members are free to engage in political activities, provided that they are conscious of their general public responsibilities and exercise a proper discretion, particularly in regard to the work of

the HTA. On matters directly affecting the work of the HTA, Members should not make political speeches or engage in other political activities.

17. The restrictions in paragraph 16 do not apply to Members who are Members of Parliament (MPs) (in those cases where MPs are eligible to be appointed), to local councillors or to Peers in relation to their conduct in the House of Lords. The position of Peers in this regard is covered by a statement made by Lord Addison in 1951 in relation to Peers who are Members of public bodies. See Appendix 6.
18. Failure to meet the requirements of holding public office as set out in the Cabinet Office Code may be grounds for removing a Chair or Member from office if the legal criteria for removal of the person from office are met.

### **Handling conflicts of interests**

19. The Chair and other Members must declare any personal or business interests which may conflict with their responsibilities as Authority Members. The Authority, in consultation with the sponsor department, will draw up rules of conduct for Members which ensure that such conflicts are identified at an early stage and that appropriate action can be taken to resolve them.
20. The rules will include the keeping of a register of interests appropriate to HTA activities. The register will, as a minimum, list direct or indirect pecuniary interests which Members of the public might reasonably think could influence Members' judgement. Members are strongly encouraged to register non-pecuniary interests which relate closely to HTA activities and interests of close family Members and persons living in the same household as the Authority Member.
21. The register of interests will be open to the public and updated regularly. The Authority will ensure that details of how access can be obtained are available widely and include such details in annual reports.
22. In the absence of specific statutory provisions, the common law requires:
  - a. that Members of public bodies should not participate in the discussion or determination of matters in which they have a direct pecuniary interest and;
  - b. that when an interest is not of a direct pecuniary kind, Members should consider whether participation in the discussion or determination of a matter would suggest a real danger of bias. This should be interpreted in the sense that Members might either unwittingly or otherwise unfairly regard with favour or disfavour, the case of a

party to the matter under consideration. In considering whether a real danger of bias exists in relation to a particular decision, Members should assess whether they, a close family member, a person living in the same household as the Authority Member, or a firm, business or organisation with which the Authority Member is connected are likely to be affected more than the generality of those affected by the decision in question. This would cover, for example, a decision to invite tenders for a contract where a firm with which a Member was connected was significantly better placed than others to win it. This paragraph does not preclude the HTA deciding to issue an indemnity in the terms of paragraph 30 below.

23. Indirect pecuniary interests arise from connections with bodies which have a direct pecuniary interest or from being a business partner of, or being employed by, a person with such an interest. Non-pecuniary interests include those arising from Membership of clubs and other organisations. Close family Members include personal partners, parents, children (adult and minor), brothers, sisters and the personal partners of any of these.
24. Where, in accordance with the above, Members do not participate in the discussion or determination of a matter, they should normally withdraw from the meeting, even if it is held in public. This is because the continued presence of someone who had declared an interest might be thought likely to influence the judgement of the other Members present.
25. In cases where Members are authorised by law to represent a group likely to be affected by HTA decisions, the relevant statutory framework may permit Members to be involved, notwithstanding any direct pecuniary interest that they may have in the decision. However, the possibility that specific statutory provisions may impose restrictions that are stricter than those described in paragraph 22-24 for interests that are not of a direct pecuniary kind should not be overlooked and the Authority should obtain legal advice to ensure clarity in their considerations.
26. Whether or not Members are able, in the light of the considerations above, to participate in the discussion or determination of a matter, they must declare as soon as practicable after a meeting begins if they have an interest, pecuniary or other, in a matter being considered. They must also disclose any interests in it of which they are aware on the part of close family members and persons living in the same household as the Authority Member. In addition, Members should consider whether they need to disclose relevant interests of other persons or organisations which members of the public might reasonably think could influence the Member's judgement.
27. Unless it is an exceptional circumstance, the HTA like all executive NDPBs, is required to follow generally accepted accounting practice. Members must facilitate compliance with

the need for material transactions with related parties to be disclosed in financial statements. "Related parties" include (in addition to business contacts) close members of the family of an individual, who are defined for the purposes of the standard as those family members, or members of the same household, who may be expected to influence, or be influenced by, that person in their dealings with the reporting entity.

28. The HTA should adopt safeguards to prevent conflicts of interests arising from the acceptance of outside appointments during or after tenure as an Authority Member. Advice can be sought from the sponsoring department's team.

### **Personal liability of Members**

29. Although any legal proceedings initiated by a third party are likely to be brought against the Authority, in exceptional cases proceedings (civil or, in certain cases, criminal) may be brought against the Chair or other individual Members. For example, an Authority Member may be personally liable if he/she makes a fraudulent or negligent statement which results in loss to a third party. Members who misuse information gained by virtue of their position may be liable for breach of confidence under common law or may commit a criminal offence under insider-dealing legislation.
30. However, the Government has indicated that individual Members who have acted honestly and in good faith will not have to meet out of their own personal resources any personal civil liability, which is incurred in execution, or purported execution, of their Authority functions, save where the person has acted recklessly. Subject to its own specific statutory powers, the HTA will therefore issue to its Members suitable indemnities consistent with this paragraph.
31. Members who need further advice should consult the HTA's Chief Executive.

### **Openness and accountability**

32. Members and their staff should conduct all their dealings with the public in an open and responsible way and ensure full compliance with the Freedom of Information Act 2000. They must make publicly available annual reports, and, where practical and appropriate, will hold open meetings, release minutes of meetings, and invite evidence from Members of the public on matters of public concern. The HTA will seek to follow best practice in making available information to the public and co-operate with other bodies to place relevant information in the public domain. The HTA should consult on a wide range of issues by means of questionnaires, public meetings, or other forms of consultation,

whenever possible and in the most appropriate manner. The HTA will make all efforts to adhere to the nine principles of public service delivery.

33. The Authority must ensure it can demonstrate that it is using resources to good effect, with propriety, and without grounds for criticism that public funds are being used for private, partisan or party political purposes. It will act consistently with the nature of the Authority's business and any need for confidentiality on commercial or other grounds, always subject to the rights of Parliament and the Comptroller and Auditor General to obtain information. The Authority will also put in place a well-publicised and easy-to-use complaints procedure which covers both maladministration and failure to provide access to information.

### **Accountability for public funds**

34. Members have a duty to ensure the safeguarding of public funds – which for this purpose should be taken to include all forms of receipts from fees, charges and other sources – and the proper custody of assets which have been publicly funded. They must take appropriate measures to ensure that the HTA at all times conducts its operations as economically, efficiently and effectively as possible, with full regard to the relevant statutory provisions and to relevant guidance in Government Accounting.
35. Members of the Authority are responsible for ensuring that it does not exceed its powers or functions, whether defined in statute or otherwise, or through any limitations on its authority to incur expenditure. Advice on such matters should be provided by the Authority's Chief Executive and legal advisers.

### **Annual report and accounts**

36. As part of its responsibilities for the stewardship of public funds, the Authority must ensure that it includes a full statement of the use of such resources in its Annual Report and Accounts. Such accounts should be prepared in accordance with the Accounts Direction issued by the responsible Minister and such other guidance as may be issued, from time to time, by the sponsor department and the HM Treasury, including [the Financial Reporting Manual](#).
37. Subject to any existing statutory requirements, the HTA should aim to produce an Annual Report and Accounts as a single document and should give it appropriate publicity. If the Annual Report is published separately, it should normally contain at least a summary of the Annual Accounts and, in any case, give details of how to obtain the full accounts. A statement by the auditors should be included in the summary to confirm that it is

consistent with the Annual Accounts. It should also state whether the report on the Annual Accounts was qualified and provide details if this was the case.

38. The Annual Report and Accounts should provide a full description of the Authority's activities; state the extent to which key strategic objectives and agreed financial and other performance targets have been met; list the names of the current Members of the Authority and senior staff; and provide details of remuneration of Members and senior staff in accordance with Treasury guidance. The Annual Report should contain information on access to registers of interests in accordance with paragraph 21 above.

### **The role of the Chief Executive**

39. The Chief Executive has responsibility, under the Authority, for the overall organisation, management, and staffing of the HTA and for its procedures in financial and other matters, including conduct and discipline. This involves the promotion by leadership and example of the values embodied in the Seven Principles of Public Life. Members should support the Chief Executive in undertaking this responsibility.
40. The Chief Executive will be designated as the Accounting Officer for the HTA. NDPB Accounting Officers are responsible to Parliament and the Accounting Officer of the responsible department for the resources under their control. The essence of the role is a personal responsibility for the propriety and regularity of the public finances for which they are answerable; for the keeping of proper accounts; for prudent and economical administration; for the avoidance of waste and extravagance; and for the efficient and effective use of all the resources in their charge. The Accounting Officer has a responsibility to see that appropriate advice is tendered to the Authority. Satisfactory performance of these responsibilities is fundamental to the role of the Chief Executive.
41. More detailed guidance on the role of an Accounting Officer is set out in [Public Bodies: A Guide for Departments, chapter 6: Financial Management - Accountability](#), which covers appearances before the Committee of Public Accounts of the House of Commons. All Members should ensure that they have a copy of this document. The contents of the memorandum apply to the senior full-time official of an NDPB in cases where there is no formally designated Accounting Officer. The Treasury's handbook, Regularity and Propriety, describes what these concepts mean in a financial context. Although the

handbook is intended primarily for Accounting Officers, Members should also familiarise themselves with it.

## **Audit Committee**

42. Unless agreed otherwise with the sponsor department, the Authority will establish an Audit Committee as a Committee of the Authority. The Committee should consist of Members and should be chaired by a lay Authority Member, other than the Authority Chair, and who preferably has experience of financial matters. The Chief Executive, the Director of Resources, and any other officer at the discretion of the Chair, will normally attend all meetings of the Audit Committee, unless, exceptionally, their own performance is being discussed.

## **The Authority as employer**

43. The Authority should ensure:
  - a. that it complies with all relevant legislation and that it employs suitably qualified staff who will discharge their responsibilities in accordance with the high standards expected of staff employed by such bodies. All staff should be familiar with the HTA's main aims and objectives;
  - b. that the organisation adopts management practices which use resources in the most economical, efficient and effective manner;
  - c. that the HTA's rules for the recruitment and management of staff provide for appointment and advancement on merit on the basis of equal opportunity for all applicants and staff. In filling senior staff appointments, the Authority should satisfy itself that an adequate field of qualified candidates is considered, and should always consider the merits of full and open competition; and
  - d. that its staff, and the Authority's own Members, have appropriate access to expert advice and training opportunities in order to enable them to exercise their responsibilities effectively (in line with wider Government commitments on training strategies).
44. The Authority should adopt a code of conduct for its staff using the model issued for executive NDPBs by Cabinet Office in August 1996, subject to any modifications that may be necessary – and that are agreed with the sponsor department – to take account of their own particular characteristics and circumstances. The model code covers arrangements enabling Members of staff to raise concerns about propriety with a nominated official or Authority Member of the HTA in the first instance and subsequently, if necessary, with a

nominated official in the sponsor department. There should be safeguards to prevent conflicts of interests when staff leave.

45. The Authority has a responsibility to monitor the performance of the Chief Executive and other senior staff. Where the terms and conditions of employment of the Chief Executive and other senior staff include an entitlement to be considered for performance related pay, and where such payments are assessed by an Authority Committee (specifically the Remuneration Committee) comprising of Members, the Committee should ensure that they have access to the information and advice required to make the necessary judgements.

## **Appendix 1: The seven principles of public life**

### **Selflessness**

Holders of public office should take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.

### **Integrity**

Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might influence them in the performance of their official duties.

### **Objectivity**

In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merits.

### **Accountability**

Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

### **Openness**

Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

### **Honesty**

Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interests.

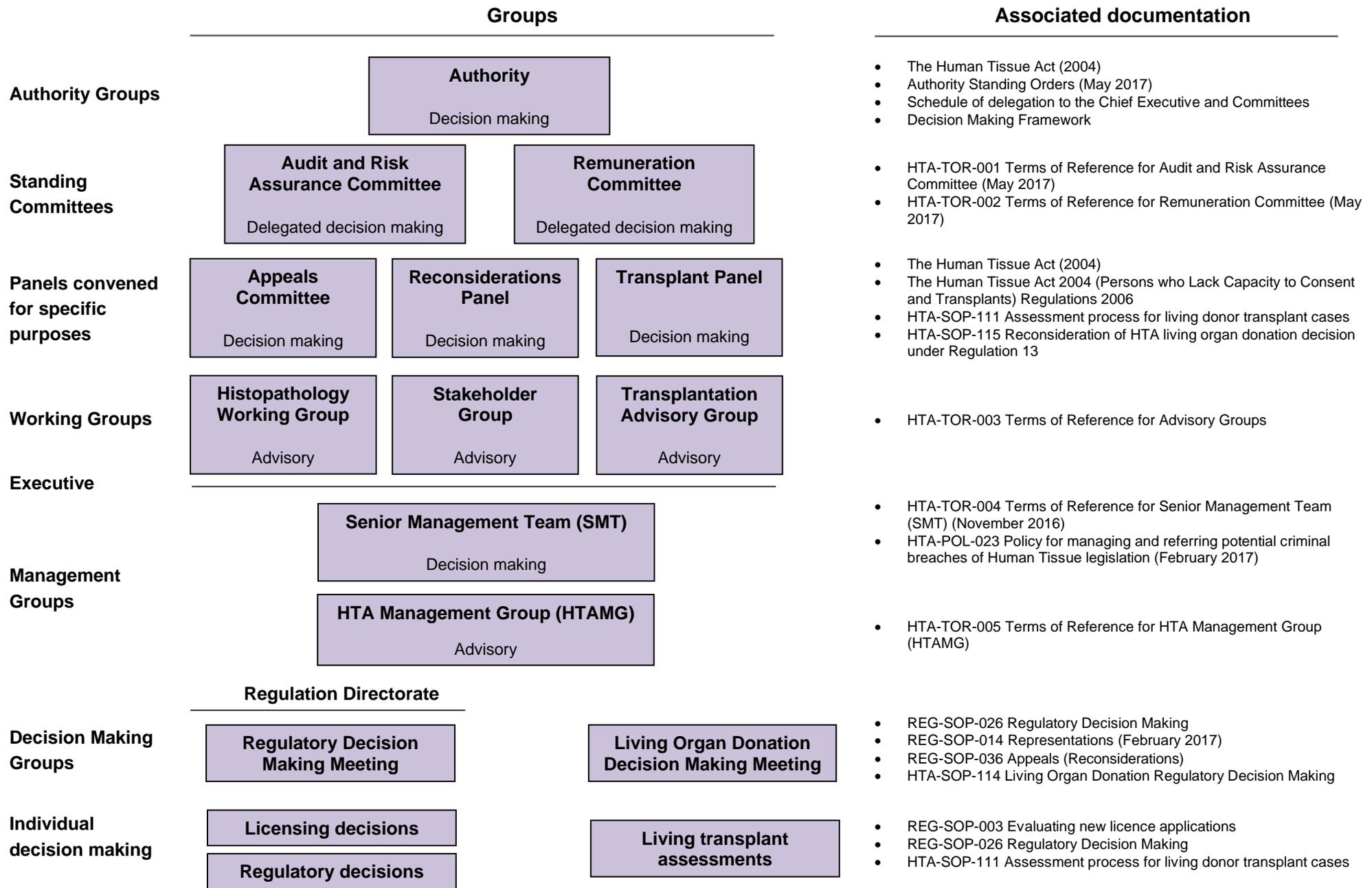
### **Leadership**

Holders of public office should promote and support these principles by leadership and example.

## **Appendix 2: Evidence to select or scrutiny committees**

1. Departmental Select or Scrutiny Committees have an important role in examining the expenditure, administration and policies of the Authority. The Government fully supports this role. Lords Committees and other Committees may also seek evidence from NDPBs from time to time.
2. Authority Members may, on occasion, be invited to give evidence to Select or Scrutiny Committees. When they do so, they should be as helpful as possible in providing accurate, truthful and full information, refusing to provide information only when disclosure would not be in the public interest. This should be decided in accordance with the relevant statutes and Freedom of Information Act 2000. Members should bear in mind in this context the need to respect legitimate Authority confidences.
3. Before giving evidence, Members may find it helpful to see Departmental Evidence and Response to Select Committees (also known as the Osmotherly Rules). This gives general advice on dealing with Select Committees including their powers to summon witnesses and papers and responses to Select Committee reports.
4. Similarly, the Chief Executive of the Authority may be called, as an Accounting Officer, to give evidence to the Public Accounts Committee (PAC). Guidance on giving evidence to the PAC is set out in the Accounting Officer Memorandum which can be obtained from the Treasury Officer of Accounts.
5. Members wishing to give evidence should, as a matter of courtesy, advise their Chair and colleagues and the HTA and its sponsoring department of their intention. They should discuss with them the handling of any oral or written evidence they want to submit and whether they expect to be giving evidence on behalf of the HTA or in a personal capacity. The Select Committee should be advised of the status of the witness.
6. Subject only to a Committee's power to decide to require the attendance of a witness, the decision on whether to give evidence is solely for the individual concerned. There must be no pressure placed on individuals to deter them, or action taken against them as a consequence of giving evidence to a Select Committee. Any such actions might be regarded as contempt of the House, with potentially serious consequences for those involved.

## Appendix 3: HTA Governance Structure



**Version number:** 16.0  
**Date last approved:** 4 May 2017  
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**Reference number:** HTA-GD-010  
**Reviewed by:** Nicholas Baré  
**Approved by:** Authority

## Appendix 4: Terms of Reference for the Audit and Risk Assurance Committee

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<b>Reference number</b>	HTA-TOR-001	<b>Version</b>	16.0
<b>Owner</b>	Resources Directorate	<b>Date approved</b>	4 May 2017
<b>Author(s)</b>	Sue Gallone	<b>Next review date</b>	4 May 2018
<b>Reviewed by</b>	Richard Sydee	<b>Distribution</b>	Internal and external
<b>Approved by</b>	HTA Authority		

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### Constitution

1. The Authority has established an Audit and Risk Assurance Committee (known to Human Tissue Authority (HTA) staff as ARAC) to support it in its responsibilities for risk management and governance. The ARAC will achieve this by advising the Authority and the Accounting Officer on the exercise of their responsibilities, ensuring the comprehensiveness of assurances that these responsibilities are being met and reviewing the reliability and integrity of these assurances.
2. The ARAC will make recommendations to the Authority regarding the adoption of the Annual Report and Accounts.

### Duties and functions

3. The ARAC will advise the Accounting Officer and Authority on:
  - a. the strategic processes for risk, control and governance and the Annual Governance Statement;
  - b. the accounting policies, the accounts, and the annual reports of the HTA. This includes the process for review of the accounts prior to submission for audit, levels of error identified, and management's letter of representation to External Audit;
  - c. the planned activity and results of both Internal and External Audit;
  - d. adequacy of management response to issues identified by audit activity, including External Audit's audit completion report;
  - e. assurance relating to corporate governance requirements for the HTA;
  - f. ensure that the remuneration report for staff and Members in the annual report and accounts reflects the strategy (permanently delegated to ARAC by the Remuneration Committee);

- g. (where appropriate) proposals for tendering for either Internal or External Audit services or for purchase of non-audit services from contractors who provide audit services; and
- h. where necessary, anti-fraud policies, whistle-blowing processes, organisational culture and arrangements for special investigations.

## **Rights**

- 4. The ARAC has the following rights:
  - a. it may co-opt additional participants, for a period not exceeding a year, to provide specialist skills, knowledge and experience (these additional participants must be recruited in line with paragraph 15 of this document);
  - b. it may procure independent specialist ad-hoc advice, at the expense of the HTA, subject to budgets agreed by the Authority; and
  - c. it may seek any information it requires from HTA staff, who are expected to assist the Committee in the conduct of any enquiries.

## **Access**

- 5. Internal and External Audit will have free and confidential access to the Chair of the ARAC. In addition, a confidential session with Internal and External Auditors for ARAC members will be scheduled each year.

## **Information requirements**

- 6. As appropriate to the meeting the ARAC will be provided with:
  - a. a report summarising any significant changes to the organisation's Risk Register;
  - b. a progress report from Internal Audit summarising: work performed (and a comparison with work planned); key issues emerging from Internal Audit work;
  - c. management response to audit recommendations;
  - d. changes to the Internal Audit Plan;
  - e. details of any resourcing issues affecting the delivery of Internal Audit objectives. Requests for work and reports received will be channelled through the Accounting Officer, to whom Internal Audit reports;
  - f. a progress report from the External Audit representative summarising work done and emerging findings; and
  - g. progress reports from the Executive, including periodic in-depth reports on areas of potential uncontrolled risk as identified by the ARAC.

7. As and when appropriate the ARAC will also be provided with:
- a. the Internal Audit Strategy;
  - b. Internal Audit's annual opinion and report;
  - c. External Audit's annual report and opinion
  - d. the draft accounts of the organisation;
  - e. the draft Annual Governance Statement;
  - f. a report on any changes to accounting policies;
  - g. a report on any proposals to tender for audit functions;
  - h. a report on co-operation between Internal and External Audit; and
  - i. a report on any fraud or financial misdemeanour and any whistleblowing.

### **Reporting to the Authority**

8. The Authority will receive the minutes of meetings of the ARAC for information. The circulation of any confidential minutes will be at the discretion of the Committee Chair.
9. The ARAC will formally report back (either verbally or in writing) to the Authority after each of its meetings.
10. The ARAC will provide the Authority with an Annual Report, timed to support the finalisation of the accounts and the Annual Governance Statement. The report will summarise the conclusions from the work it has undertaken during the year.

### **Reviewing effectiveness**

11. The ARAC will use the National Audit Office's [self-assessment checklist for Audit Committees](#) in order to undertake annual reviews of its own effectiveness and agree actions for improvement. The ARAC will report the results of the review to the Authority.

### **Recruitment and membership**

12. The ARAC will be chaired by a lay Authority Member, who is not the Authority Chair, and who preferably has relevant experience and expertise.
13. All other members of the Committee should be Authority Members, but not Authority Chair. Including the ARAC Chair, there will be a minimum of three Authority Members and a maximum of five Authority Members on the Committee at any time.

14. At least one Authority Member, who is not the ARAC Chair, must be a member of both the ARAC and the Remuneration Committee, to provide assurance over remuneration matters.
15. Recruitment of Authority Members to the ARAC will be through 'expressions of interest' with personal statements in application. The applications will be reviewed by the Authority Chair and the Chief Executive, who will decide on the appointments. Should an insufficient number of expressions of interest be received to fill an available role, the Authority Chair will appoint the Member who has the most appropriate skills and experience to the role.
16. The ARAC Chair and the other ARAC members will be appointed for a set term of three years, which will not exceed their tenure as Authority Members. It should be noted that Authority Members may be reappointed to the ARAC in accordance with the HTA's business needs.
17. Members of the ARAC must disclose the existence and nature of any personal or material interest before the discussion of that interest at any meeting. They must be free of any relationship that may compromise their independence or interfere with the exercise of their judgement.

## **Attendance**

18. A minimum of two members of the ARAC (excluding the ARAC Chair) will be present for the meeting to be deemed quorate.
19. Committee members will be expected to attend every meeting. If a member is not able to attend a meeting they must provide apologies to the Secretary in advance of the meeting if possible. If a member does not attend more than two consecutive meetings the Committee Chair will arrange a meeting with the member to discuss their attendance and whether they wish to continue their membership of the Committee.
20. Authority Members who are not members of the ARAC have the right of attendance at Committee meetings. Authority Members attending meetings shall be entitled to speak with the permission of the Chair of the meeting, but in no case shall they be entitled to vote.
21. If the ARAC Chair is not present at a meeting, an alternative Authority member will be co-opted to chair that meeting.
22. The Chair of the Authority may attend Committee meetings, say once per year and not so frequently as to compromise the independence of the Committee. An Authority Member

who is not a member of the ARAC may be co-opted as a member of the ARAC for a specific meeting if necessary to ensure a meeting is quorate.

23. The Chief Executive in his or her role as Accounting Officer (as defined in the Framework Agreement), the Director of Resources, and any other officer (at the discretion of the Chair) and Internal and External Audit (or equivalents) will also attend meetings of the Committee.
24. Up to two observers from the Department of Health will normally be invited to attend meetings of the Committee.
25. The ARAC may ask any other officials of the Authority to attend to assist it with its discussions on any particular matter.
26. The ARAC may ask any or all of those who normally attend but who are not members to withdraw to facilitate open and frank discussion of particular matters by the Committee.

### **Frequency of meetings**

27. The ARAC will meet three times per calendar year, with meetings timed to ensure effective and timely conduct of business and reporting to the Authority.
28. The Chair of the ARAC may convene additional meetings as they deem necessary.
29. External Audit may request a meeting of the Committee if they consider one necessary.
30. The Accounting Officer or the Authority may ask the ARAC to convene further meetings to discuss particular issues on which the Committee's advice is sought.

### **Secretariat responsibilities**

31. The Director of Resources will nominate a designated lead officer (the Secretary) who will manage the secretariat responsibilities of the Committee.
32. The Secretary must ensure Committee meeting dates are scheduled, meeting venues are booked and that Committee members are invited to attend all meetings.
33. The Secretary will liaise with the Committee Chair to create the agenda and will be responsible for collating and distributing the papers relating to the meeting. The agenda, minutes from the last meeting and the meeting papers for consideration will be distributed to the Committee one week before each meeting.

34. The Secretary will be responsible for taking minutes of meetings and recording action points. The draft minutes and action points from each meeting will be circulated as soon as possible, within one month of the meeting. Committee members will be asked to provide any comments on accuracy of the minutes by email within a time frame set by the ARAC Chair. This will ensure the key areas of discussion and action points are captured accurately.
35. The minutes will be approved by the ARAC Chair prior to being published on the HTA website. The Secretary will be responsible for ensuring that minutes are published on the website no later than two months after each meeting.
36. The Secretary will write a short summary of the issues discussed at each meeting for publication in the next staff newsletter and e-newsletter. This note will be drafted within one week of each meeting and approved by the Committee's Chair prior to being sent to the Head of Communications for publication.

### Version history

37. These Terms of Reference will be reviewed annually by the ARAC and will be approved by the Authority following that review.

Latest version	Date	Comments	Reviewed by	Approved by
15.0	24 February 2015	Updated to ensure factual accuracy, update membership information and add version control.	Sue Gallone / Amy Gelsthorpe-Hill	Authority Members
16.0	4 May 2017	Scheduled review and update to Secretary details.	Richard Sydee	Authority Members

## Appendix 5: Terms of Reference for the Remuneration Committee

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<b>Reference number</b>	HTA-TOR-002	<b>Version</b>	16.0
<b>Owner</b>	Resources Directorate	<b>Date approved</b>	4 May 2017
<b>Author(s)</b>	Sue Gallone	<b>Next review date</b>	4 May 2018
<b>Reviewed by</b>	Diane Galbraith	<b>Distribution</b>	Internal and external
<b>Approved by</b>	HTA Authority		

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### Constitution

1. The Authority has established a Remuneration Committee (known to Human Tissue Authority (HTA) staff as RemCo) to agree the remuneration strategy on behalf of the Authority. The Remuneration Committee will achieve this by ensuring that it is compliant with government policy on remuneration in Arm's Length Bodies (ALBs), and that the needs of the organisation in relation to recruitment and retention are fully considered.

### Duties and functions

2. The duties of the Remuneration Committee are to:
  - a. determine and agree the HTA's remuneration strategy, taking into account affordability, recruitment and retention, comparability with other ALBs' remuneration and Government policy on remuneration;
  - b. approve the annual pay bill for the HTA;
  - c. approve recommendations for early retirement and any other extraordinary remuneration, including termination arrangements or compensation for all staff;
  - d. ensure that the remuneration report for staff and Members in the annual report and accounts reflects the strategy (delegated to ARAC);
  - e. determine the remuneration of the Chief Executive within the Government's policy for remuneration of very senior staff;
  - f. have regard to the annual civil service pay guidance, the civil service reward principles and all other relevant codes, laws and regulations.

## **Rights**

3. The Remuneration Committee has the following rights:
  - a. it may commission independent specialist advice at the expense of the HTA, subject to budgets agreed by the Authority;
  - b. it will be consulted in advance on the procurement of any external advice being sought on its behalf;
  - c. it may secure the attendance of outsiders with relevant experience and expertise in order to discharge its responsibilities.

## **Information requirements**

4. The Remuneration Committee will be provided with information about pay award proposals and any other papers deemed necessary for each meeting.

## **Reporting to the Authority**

5. The Remuneration Committee will formally report back (either verbally or in writing) to the Authority after each meeting.

## **Reviewing effectiveness**

6. The Remuneration Committee will draw on the National Audit Office's [self-assessment checklist for Audit Committees](#) as appropriate in order to undertake annual reviews of its own effectiveness and agree actions for improvement. The Remuneration Committee will report the results of the review to the Authority.

## **Recruitment and membership**

7. The Remuneration Committee will be chaired by the Authority Chair.
8. The Remuneration Committee will be made up of no fewer than three, and no more than five, other Authority Members.
9. At least one Authority Member, who is not the Chair, must be a member of both the Remuneration Committee and the Audit and Risk Assurance Committee.
10. Recruitment of Authority Members to the Remuneration Committee will be through 'expressions of interest' with personal statements in application. The applications will be

reviewed by the Chair and the Chief Executive, who will decide on the appointments. Should an insufficient number of expressions of interest be received to fill an available role, the Authority Chair will appoint the Member who has the most appropriate skills and experience to the role.

11. Remuneration Committee members will be appointed for a set term of three years, which will not exceed their tenure as Authority Members. This term may be extended in accordance with business need.
12. Members of the Remuneration Committee must disclose the existence and nature of any personal or material interest before the discussion of that interest at any meeting. They must be free of any relationship that may compromise their independence or interfere with the exercise of their judgement.

### **Attendance**

13. A minimum of two members of the Remuneration Committee (excluding the Chair) will be present for the meeting to be deemed quorate.
14. Committee members will be expected to attend every meeting. If a member is not able to attend a meeting they must provide apologies to the Secretary in advance of the meeting. If a member does not attend more than two consecutive meetings the Chair will arrange a meeting with the member to discuss their attendance and whether they wish to continue their membership of the Committee.
15. Authority Members who are not members of the Remuneration Committee have the right of attendance. Authority Members attending meetings will be entitled to speak with the permission of the Chair of the meeting, but in no case will they be entitled to vote.
16. The Chief Executive, the Director of Resources and the Head of HR will attend meetings of the Remuneration Committee, except when matters relating to their own remuneration are under consideration.
17. The Remuneration Committee may ask any or all of those who normally attend but who are not members to withdraw to facilitate open and frank discussion of particular matters.

## Frequency of meetings

18. The Remuneration Committee will meet at least once per calendar year. These meetings will be scheduled to ensure that deadlines relating to remuneration are met and to facilitate timely reporting to the Authority.
19. The Chair of the Remuneration Committee may convene additional meetings as they deem necessary.
20. The Accounting Officer or the Authority may ask the Remuneration Committee to convene further meetings to discuss particular issues on which the Committee's advice is sought.

## Secretariat responsibilities

21. The Head of HR will have secretariat responsibility for the Committee.
22. The agenda, minutes from the previous meeting and any meeting papers for consideration will be distributed to the group one week before each meeting.
23. Minutes and action points from each meeting will be circulated as soon as possible, within one month of the meeting. Members will be required to provide any comments on accuracy of the minutes by email. This will ensure the key areas of discussion and action points are captured accurately.
24. Minutes of the Remuneration Committee are confidential and will not be published on the HTA website.

## Version history

25. These Terms of Reference will be reviewed annually by the Remuneration Committee and will be approved by the Authority following that review.

Latest version	Date	Comments	Reviewed by	Approved by
15.0	24 February 2015	Updated to ensure factual accuracy, update membership information and add version control.	Amy Gelsthorpe-Hill	Authority Members
16.0	4 May 2017	Scheduled review	Diane Galbraith	Authority Members

## Appendix 6: Addison rules

1. A peer who is a member of a public Authority, whether commercial or non-commercial in character, is not by reason of such Membership debarred from exercising his or her right to speak in the House of Lords, even on matters affecting the Authority of which he or she is a member; and it is recognised that, in the last resort, only the Peer concerned can decide whether he or she can properly speak on a particular occasion.
2. The following guidance (based upon that given by the then Leader of the House Viscount Addison, after consultation and agreement between the parties) may be helpful to Peers, who are considering whether or not to take part in a particular debate.
3. When questions affecting a particular Authority or public Authority in general arise in Parliament the present Minister and the Government of the day generally are alone responsible to Parliament. The duty of reply rests with Ministers only, and cannot devolve upon Members of public Authorities who may also be Members of the House of Lords. There can be no question of Members replacing, or usurping the functions of, Ministers and dealing with matters of Ministerial responsibility. In the Commons, of course, the possibility could not arise, because a Member of the House must resign his/her seat on accepting an appointment of this nature.
4. It is important that, as contemplated in the Statutes and, in the case of the BBC, by the Charter, the Authorities shall be free to conduct their day to day administration without the intervention of Parliament or Ministers, except where otherwise provided. If Members who happen also to be peers were to give the House information about the day to day operations of the Authority or to answer criticisms respecting it, the House would in fact be exercising a measure of Parliamentary supervision over matters of management. It would also be difficult for the responsible Minister not to give similar information to the House of Commons.
5. There is no duty upon the Authority Member to answer questions put to him in debate, and that no criticism should attach to any Authority Member who refrains from speaking in a debate. Nor should the fact that a Member spoke in a particular debate be regarded in any way as precedent for him or any other Member speaking in any other debate.
6. The above applies only to debates relating to public Authorities. Experience acquired as a Member of a public Authority will often be relevant to general debates in which the same contributions do not arise, and the contributions of Members who are peers may be all the more valuable because of that experience.

7. The statement below, taken from the memoranda, best sums up the intentions behind Lord Addison's Rules.
  
8. "The House of Lords is a sensible body; and the latitude to speak or refrain from speaking, inherent in a peer, is not likely to cause embarrassment. Indeed, any attempt to lay down a hard and fast rule would be more likely to cause embarrassment".