

Swindon Borough Council

Standards Committee

Monday, 20 October 2014

Committee Room 6, Civic Offices

At 5.00 p.m.

Councillors

Mick Bray
Kevin Parry
Eric Shaw
Vera Tomlinson
Maureen Penny (Deputy)
(Conservative)
Fay Howard
Carol Shelley
Kevin Small
Joe Tray
(Labour)

Dave Wood (Chair)
(Liberal Democrat)

Independent Persons for Information:

Paul Morris
Keith Strickland

Committee Officer: Steve Jones (Telephone 01793 463602)
email: stevejones@swindon.gov.uk

Swindon Borough Council can be contacted at the Civic Offices, Euclid Street, Swindon, SN1 2JH (Telephone 01793 445500)

Co-opted Representatives

Mr Trevor Davies
Mr David Dawson
(Lay Members)

Mike Compton
Richard Hailstone
(Parish Representatives)

AGENDA

PART 1 (PUBLIC ITEMS)

1. Apologies for Absence

2. Declarations of Interest

Members are requested at the start of the meeting to declare any known interests in any matter to be considered, and are reminded that any such interest should also be declared at the start of an item or during any discussion of the matter

concerned.

3. Minutes (Pages 1 - 4)

To receive the minutes of the meeting held on 21st July 2014.

4. Public Question Time

(See explanatory note below. Please phone the Committee Clerk whose name and number appears at the top of this agenda if you need further guidance.)

5. Exempt Items - Exclusion of Press and Public

Certain items are expected to include the consideration of exempt information and the Standards Committee is, therefore, recommended to resolve "That, in accordance with Section 100A(4) of the Local Government Act 1972, the public be excluded during the discussion of the matters referred to in the items listed below, on the grounds that they involve the likely disclosure of exempt information, as defined in the respective paragraph of Part 1 of Schedule 12A of the Act, and the public interest in maintaining the exemption outweighs the public interest in disclosing the information".

<u>Item No.</u>	<u>Paragraph No.</u>
7	1 and 2

6. Ethical Framework Update DLDS (Pages 5 - 56)

PART 2 (TO BE CONSIDERED WITHOUT THE PRESS AND PUBLIC PRESENT)

7. Ethical Compliance Update DLDS (Pages 57 - 60)

10 October 2014 (being date of agenda despatch)

Key:

DLDS - Director of Law and Democratic Services

Public Question Time - Swindon Borough Council is committed to increasing its accountability to the public and to promoting active citizenship. Up to 15 minutes will be allowed at the start of all Council meetings for questions to the Chair from members of the public about the work of the Committee (except for confidential matters and specific planning applications). Questions must be relevant, clear and concise. Because of time constraints Public Question Time is not an opportunity to make speeches or statements. Prior notice of a question to the Director of Law and Democratic Services is desirable - particularly if detailed background information is needed.

Access Arrangements - The venue is wheelchair accessible and an infrared receiver hearing system is provided. If you would wish to attend the meeting but have any special requirement to enable you to do so please contact the Committee Officer, whose name appears at the top of this agenda, as soon as possible prior to the date of the meeting.

If you would like to receive any of the pages contained in this agenda in a larger print size please contact the Committee Officer whose name appears on the first page of this agenda.

Standards Committee - Terms of Reference

The Standards Committee has the following roles and functions in accordance with Article 9 of the Council's Constitution:

- (a) promoting and maintaining high standards of conduct by councillors and co-opted members including church and parent governor representatives;
- (b) assisting the councillors, co-opted members and church and parent governor representatives to observe the Members' Code of Conduct;
- (c) advising the Council on the adoption or revision of the Members' Code of Conduct;
- (d) monitoring the operation of the Members' Code of Conduct;
- (e) recommending training on any aspect of conduct and behaviour for Councillors, and officers, where it considers it would be of benefit;
- (f) approving other codes of conduct and behaviour which apply to Councillors, employees, contractors and any other parties or organisations associated with Council activity (for employees approval will be subject to agreement through recognised negotiating machinery where appropriate);
- (g) receiving from the Council's Monitoring Officer details of all allegations of any breach of the Code of Conduct;
- (h) determining any matters which may be referred to it by the Monitoring Officer or which may arise under consideration of complaints as to breaches of the Members Code of Conduct or the Protocol for Member / Officer Relations or any Code or Protocol applying to Members and Co-opted Members;
- (i) supporting the Council's Monitoring Officer in discharging his/her role;
- (j) granting dispensations to councillors and co-opted members, including church and parent governor representatives, arising from requests relating to interests set out in the Members Code of Conduct and/or under section 33 of the Localism Act 2011;
- (k) exercising (a) to (i) above in relation to the parish councils wholly or mainly in its area and the members of those parish councils;
- (l) ensuring the Council's Customer Feedback Policy operates effectively in relation to standards of conduct and behaviour of staff and in particular the Standards Committee may
 - receive an annual report on its operation
 - receive monitoring reports on complaints in relation to standards of conduct and behaviour that have resulted in a final warning to a

- member of staff
 - adjudicate upon all complaints which remain unresolved
 - require Service Managers to report upon any areas of activity which may have been the subject of criticism in respect of standards of conduct and behaviour;
- (m) reporting to the Council when it considers:-
- standards of conduct and behaviour in a particular area need reviewing, and
 - the level of commitment necessary to resolve these difficulties should be greater;
- (n) approving the Council's anti-fraud strategy and whistle-blowing procedures and ensure they operate effectively;
- (o) recommending to the Council the payment of compensation or the taking of any other action relating to standards of conduct and behaviour where this is considered appropriate;
- (p) reporting to the Council, should it deem it necessary, on the result of any investigation into the standards of conduct and behaviour of a Member; and
- (q) approving procedures associated with the appointment of an independent remuneration panel for Councillors' Allowances.

STANDARDS COMMITTEE

MONDAY, 21 JULY 2014

PRESENT:- Councillor Michael Bray (Vice-Chair), Councillor Fay Howard, Councillor Eric Shaw, Councillor Kevin Small, Councillor Vera Tomlinson, Councillor Joe Tray, Councillor Maureen Penny (Deputy), Keith Strickland, Mr Paul Morris, Mr Trevor Davies, Mr David Dawson, Mr Richard Hailstone and Mike Compton.

Apologies for absence were received from Councillor David Wood, Councillor Kevin Parry and Councillor Carol Shelley.

1. **Declarations of Interest**

The Chair reminded members of the need to declare known interests in any matters to be considered at the meeting. No declarations were made.

2. **Minutes**

Resolved – That the minutes of the meeting held on 24th March 2014 be confirmed and signed as a correct record.

3. **Public Question Time**

Carole Bent, a local resident, commented that the public engagement in the review of the Council's Standards arrangements had, in her opinion, been very successful and asked whether member's had found that engagement to be constructive and helpful. The Chair and Councillor Fay Howard responded on behalf of the Committee, advising that the input to the review received from members of the public had been both informative and very helpful.

4. **Exempt Items - Exclusion of Press and Public**

Resolved - That, in accordance with Section 100A(4) of the Local Government Act 1972, the public be excluded during the discussion of the matters referred to in the item listed below on the grounds that it involved the likely disclosure of exempt information as defined in the respective paragraphs of Part 1 of Schedule 12A of the Act.

<u>Item No.</u>	<u>Paragraph Nos.</u>	<u>Minute No.</u>
10	1 and 2	9

5. **Standards Committee Annual Report 2013/14**

The Committee was asked to consider its Draft Annual Report 2013/14, which document provided a record of the work of the Standards Committee for the period June 2013 to May 2014. In particular, the Committee's view was sought on a suggestion put forward as part of the review of the Council's standards

arrangements that a summary of Code of Conduct complaints received during the Municipal Year be made to each future meeting of the Standards Committee as part of the ethical framework update.

Resolved – (1) That the Draft Standards Committee Annual Report 2013/14 be agreed and that the Director of Law and Democratic Services be authorised to finalise the document for publication.

(2) That a summary of Code of Conduct complaints received during the Municipal Year be made to each future meeting of the Standards Committee as part of the ethical framework update.

6. Annual Work Programme

The Committee considered a report of the Director of Law and Democratic Services inviting the Committee to agree its Work Programme for 2014/2015.

Resolved – That the Committee's draft Work Programme for 2014/2015, as appended to the report, be agreed.

7. Review of the Council's Standards Arrangements

The Committee received a report of the Director of Law and Democratic Services on the review of the Council's current "Arrangements for dealing with member Code of Conduct Complaints" and inviting the Committee to review the Council's current arrangements, taking into account the discussions at previous meetings and subsequent round tables with a small group of interested residents, and to make any changes it felt would enable complaints to be dealt with more expeditiously in terms of process.

Resolved – (1) That the members of the public and representatives of stakeholder groups who had attended previous meetings of the Standards Committee, and the subsequent round tables, be thanked for their interest and for their constructive and helpful comments on the Council's existing standards arrangements.

(2) That it be noted that the reference in the covering report to "local residents" consulted as part of the review process, included two individuals who attended as representatives of Chiseldon Parish Council.

(3) That, with reference to the summary of the main issues identified at the two round tables (appended to the report), the following be agreed:

- The initial assessment of complaints continue to be determined by a Panel of councillors with an Independent Person and Lay/Parish Representatives in attendance to give their views where appropriate.
- Assessment Panel meetings continue to be convened on an ad hoc basis
- Proceedings at the initial stage of the complaint continue to remain private and confidential and that this issue be further considered as part of the Standards Committee's annual review of the process in March 2015.
- Assessment Panel meetings continue to be held in the absence of the complainant and the respondent but both to be advised at the earliest practicable opportunity of the date when the Assessment Panel will meet to consider the complaint.
- A summary of Code of Conduct complaints received during the Municipal Year be made to each future meeting of the Standards Committee as part of the ethical framework update.
- That the current practice of no appeal from Assessment Panel decisions

other than by way of judicial review be continued and that this issue be further considered as part of the scheduled review of the process in March 2015.

- Members be encouraged to continue to make themselves available to attend Assessment Panel meetings so as to enable so far as practicable the completion of the initial assessment of a complaint within a period of one calendar month from receipt of the complaint.

(4) That, with regard to the suggestion that the membership of the Standards Committee should be increased to facilitate a greater pool of members that can be drawn upon for Assessment Panel meetings, to assist in avoiding any untoward delay in this initial phase of the process, it be noted that the membership of the Standards Committee was increased at the Annual Council Meeting in June 2014 from 6 to 9 councillors.

(5) That the Council document “Arrangements for dealing with Member Code of Conduct complaints”, be amended to incorporate the textual changes agreed by the Committee (as set out in the tracked change document at Appendix 1 to these minutes).

8. Ethical Framework Update

The Committee received a report from the Director of Law and Democratic Services providing an update on matters relating to the Ethical Framework, including:

- Dispensations
- The membership of the Standards Committee
- The Annual Governance Statement (and the specific reference therein to the Council's arrangements for promoting and upholding high standards of conduct and behaviour)
- Training issues
- The completion by newly elected or re-elected members to the Council of Register of Interests declarations
- The regional workshop on the role of the Independent Persons.

Resolved – (1) That the Ethical Framework update be noted.

(2) That it be noted that no dispensations had been granted by the Monitoring Officer since the last meeting.

(3) That the two Independent Persons, together with the Director of Law and Democratic Services, attend Hoey Ainscough's workshop on the role of the Independent Person, to be held at the Civic Offices on Thursday 23rd October 2014 and that the Chair and/or Vice-Chair be invited to attend the workshop in the event that either of the Independent Persons is unable to attend the workshop.

9. Ethical Compliance Report

The Committee considered a report of the Director of Law and Democratic Services regarding the outcome of various ethical framework compliance matters, including the details of Whistleblowing cases and Code of Conduct Complaints received since the last Committee and the outcome of any completed investigations in relation to these.

Resolved – That the Ethical Framework Compliance report be noted.

This page is intentionally left blank

Ethical Framework Update

Standards Committee

Date: 20th October 2014

Author:	Director of Law and Democratic Services
Wards:	All
Locality Affected:	All
Parishes Affected:	All

1. Purpose and Reasons

- 1.1 To provide an update on various matters related to the Ethical Framework, to keep the Committee informed of issues of probity in the Council.

2. Recommendations

The Committee is recommended to:

- 2.1 Note the Ethical Framework update.
- 2.2 Endorse the Ethical Audit Desktop Analysis attached at Appendix 3, subject to any comments from members.

3. Detail

Dispensations

- 3.1 Section 33 of the Localism Act 2011 enables members who consider that they may have a disclosable pecuniary interest (DPI) to apply for a dispensation to allow them to speak and vote.
- 3.2 At its meeting on 12 December 2012, the Standards Committee authorised the Director of Law and Democratic Services to grant any applications for a dispensation in relation to any meeting at which any matter which has a bearing on the setting of the discounts and exemptions for Council Tax is being or is due to be considered for a four year period. Dispensations are granted in conjunction with the Chair or the Standards Committee and are reported back to the next available meeting.
- 3.3 New members have joined the Council since the election of May 2014. With the round of meetings due to begin shortly at which the budget is discussed, it was thought timely to invite these members to apply for a dispensation.
- 3.4 A list of members who have applied for a dispensation is attached at Appendix 1. The dispensation sought relates to any meeting at which any matter which has a bearing on the setting of the Council Tax is being or is due to be considered, and covers both of the restrictions in Section 31(4) of the Localism Act 2011 so as to allow them to participate in any discussion and participate in any vote without risk of challenge.

Further information on the subject of this report can be obtained from Stephen Taylor, 01793 463012, staylor@swindon.gov.uk.

Ethical Framework Update

Standards Committee

Date: 20th October 2014

- 3.5 The Director of Law and Democratic Services granted these dispensations (Appendix 1) since failure to grant a dispensation would impede the transaction of the business because of the number of members having the same disclosable pecuniary interest. These dispensations have been granted until 14 October 2016 in line with the other dispensations already granted on this matter to existing members. The Committee is asked to note the list of members.

Summary of Code of Conduct Complaints

- 3.6 At its meeting on 21 July 2014, the Committee agreed that, in response to a suggestion put forward by a member of the public during the consultation on the Council's Standards arrangements, a summary of Code of Conduct complaints, including details of complaints received during the year and comparative data for preceding years, be made to each meeting of the Committee. This information is set out below.

Year	Complaints	No Further Action	Referred for Monitoring Officer or other Action	Referred for Investigation	Breach following hearing	No action following referral	Local Resolution
2008/09	14	13	0	1	1	0	N/A
2009/10	7	4	1	2	1	1	N/A
2010/11	12	4	4	4	0	4	N/A
2011/12	10	6	2	2	0	2	N/A
2012/13	5	5	0	0	0	0	N/A
2013/14	14	10	1	3	0	1	2
2014/15 (to date)	0	-	-	-	-	-	-

Consideration of any recommended updates to Codes and Protocols

- 3.1 In the annual work programme approved at the beginning of the year, it was agreed that the Standards Committee would consider any recommended updates to Codes and Protocols to ensure that these remain appropriate and up to date:

- Members' Code of Conduct

Further information on the subject of this report can be obtained from Stephen Taylor, 01793 463012, staylor@swindon.gov.uk.

Ethical Framework Update

Standards Committee

Date: 20th October 2014

- Officers' Code of Conduct
- Monitoring Officer Protocol
- Councillor Role Definitions
- Media Guidelines for Councillors
- Protocol for Member/Officer Relationships
- Local Code of Governance
- Members Planning Code of Good Practice
- Independent Persons' Protocol

- 3.2 There are no recommended updates at this time. However, in accordance with the Committee's previously utilised review process, in the period to the next meeting of the Committee in January 2015, the Monitoring Officer will consult on each of the above Codes and Protocols with relevant officers, the political groups on the Council, and also with Parish Councils, and recommend any valid changes to the Standards Committee at its meeting in January 2015.
- 3.3 In the meantime, as part of the review process, Members' views are invited regarding the effectiveness of the codes and protocols (Appendix 2) and whether changes are required to ensure these remain fit for purpose.

Update to the Council's Ethical Audit Self-Assessment

- 3.4 The Committee last reviewed the Desktop Ethical Audit at its meeting in October 2013. It had previously been agreed that this should be updated on a regular basis.
- 3.5 The latest Desktop Ethical Audit is attached at Appendix 3 for the Committee to review.

Training

- 3.6 Attached at Appendix 4 are the details of proposed training events to be held over the 2014-15 Municipal Year. A log of member attendance at these events will be kept and reported to this Committee at a future meeting.
- 3.7 Members have previously been advised that discussions have taken place on the potential for additional training for Councillors. Work is progressing on enhancing the support and training offered to members such as mentoring opportunities and hosting regular briefings on Committee-specific issues.
- 3.8 The Committee is reminded that, at present, a number of sessions are held by the Monitoring Officer each year around the parishes to train parish councillors on the ethical framework and chairing skills. Borough Councillors who are also parish councillors attend. As usual, attendance at these events will be logged and reported to this Committee at a future meeting.

Further information on the subject of this report can be obtained from Stephen Taylor, 01793 463012, staylor@swindon.gov.uk.

Ethical Framework Update

Standards Committee

Date: 20th October 2014

Committee on Standards in Public Life – Annual Report 2013-14

- 3.9 The Committee is invited to consider the Annual Report 2013-14 of the Committee on Standards in Public Life (attached at Appendix 5) and members are in particular referred to the section on Local Government Standards (pages 15 and 16 refer).

4. Alternative Options

- 4.1 Any alternative options are set out in the body of the report.

5. Implications, Diversity Impact Assessment and Risk Management

Financial and Procurement Implications

- 5.1 Any financial or procurement implications will be contained within the existing budget.

Legal and Human Rights Implications

- 5.2 The legal and human rights implications, where applicable, are set out in the body of the report.

All Other Implications (including Staff, Sustainability, Health, Rural, Crime and Disorder)

- 5.3 There are no other implications that have been identified as important for this report.

Links to One Swindon, Plans and Policies

- 5.4 Monitoring of issues of probity in the Council underpins the Council's plans and policies and the delivery of One Swindon objectives.

Diversity Impact Assessment

- 5.5 A Diversity Impact Assessment has not been completed for this report, as it does not recommend a change in Council policy or service.

Risk Management

- 5.6 A risk assessment has not been completed in relation this report, as it does as it does not recommend a change in Council policy or service. Arrangements for meeting the requirements of the Localism Act and monitoring probity of the Council, ensures that good governance is maintained and protects the reputation of the organisation.

Further information on the subject of this report can be obtained from Stephen Taylor, 01793 463012, staylor@swindon.gov.uk.

Ethical Framework Update

Standards Committee

Date: 20th October 2014

6. Consultees

- 6.1 The Board Director Resources (Section 151 Officer) and Director of Law and Democratic Services (Monitoring Officer) are consulted in respect of all reports.

7. Background Papers

- 7.1 None

8. Appendices

- 8.1 Appendix 1 – Dispensations
- 8.2 Appendix 2 – Codes and Protocols (*circulated to members under separate cover. Copies can be obtained via Committee and Member Services and/or inspected on the website.*)
- 8.3 Appendix 3 - Desktop Ethical Audit
- 8.4 Appendix 4 – Member Training Events
- 8.5 Appendix 5 - Annual Report 2013-14 of the Committee on Standards in Public Life

This page is intentionally left blank

Appendix 1

Applications for a Dispensation - Section 33 of the Localism Act 2011

In relation to 'any meeting at which any matter which has a bearing on the setting of the discounts and exemptions for Council Tax is being or is due to be considered'.

With effect from the date stated below until 14 October 2016.

Name of Member	Applied for Dispensation	Dispensation granted by Monitoring Officer
Oliver Donachie	27 August 2014	25 September 2014
Mary Martin	1 September 2014	25 September 2014
Gemma McCracken	27 August 2014	25 September 2014
Kevin Parry	28 August 2014	25 September 2014
Eric Shaw	28 August 2014	25 September 2014
Carol Shelley	22 September 2014	29 September 2014
Tim Swinyard	22 September 2014	25 September 2014

This page is intentionally left blank

Ethical Audit Desktop Analysis
Matrix of Key Information held by Swindon Borough Council
October 2014

	Key Information	Held	Current position, including action taken since the last review in October 2013.	Area of Review or Action to be identified by the Standards Committee.
1	Constitutions/ Current Decision Making Framework (ie the committees and sub-committees)	Yes	<p>The Constitution is reviewed and updated at least annually and was last adopted in June 2014.</p> <p>The Constitution's operation is monitored by the Monitoring Officer and also by the Corporate Governance Working Party whose recommendations feed into the review process.</p> <p>The Council's Audit Committee was first established in May 2006 and continues to operate effectively. It receives assurances from the Standards Committee in relation to matters of internal control such as the operation of the Whistleblowing Policy.</p> <p>The Annual Audit letter for 2013/14 confirmed that the 'Governance arrangements' of the Council were sound and operating effectively..</p> <p>The Council is increasingly working with external partners and stakeholders. Many of the Council's partnership relationships are now managed through the One Swindon Leadership Board, with appropriate governance arrangements in place.</p>	
2	Procedural Standing Orders	Yes	Updated in Constitution – June 2014	
3	Contracts Standing Orders	Yes	Updated in Constitution – June 2014	
4	Employees' Code Of Conduct	Yes	Following consultation with Council employees and	

			<p>unions, the Employee Code of Conduct was approved by the Standards Committee in July 2006. The Code of Conduct is issued to all Council employees, who are required to sign to confirm that they have read and will act in accordance with the Code.</p> <p>A statutory Code was consulted on in October 2008 by the Department of Communities and Local Government, but no further action has been taken on this matter.</p>	
5	Members' Code Of Conduct plus Local Guidance	Yes	<p>The new Members Code of Conduct was adopted in June 2012, taking effect on 1 July 2012, under the Localism Act 2011. The Code is reviewed annually. It was last reviewed in January 2014 and subsequently adopted at the Annual Council meeting in June 2014.</p> <p>Procedures for determining complaints against councillors were the subject of review during the 2013/14 Municipal Year. A number of changes to the "Arrangements for dealing with member Code of Conduct complaints" were agreed by Standards Committee at its meeting on 21 July 2014 and these have now been incorporated into the process.</p> <p>The Monitoring Officer has provided guidance and training on the Members Code of Conduct to Officers and Members, together with Parish Clerks and Parish Councillors. Refresher training is also regularly provided.</p>	
6	Confidential Reporting Procedure	Yes	<p>The Whistleblowing Policy was first approved in November 2001 and is kept under regular review.</p> <p>Complaints received are investigated and the outcome reported to the Standards Committee. Employees are reminded about the procedure via staff communications, including Team Briefings.</p> <p>In September 2005, the Committee approved the</p>	

			<p>Council's subscription to the Public Concern at Work Helpline to provide a formal method of confidential reporting for staff who do not feel able to raise issues directly with the Council. The Council has maintained this provision, but also makes available the following support via a contract with Care First, the Council's employee assistance programme:</p> <ul style="list-style-type: none"> • An advice and information service • A counselling service • On-line information • A manager support service 	
7	Terms Of Reference of the Standards Committee	Yes	<p>The new Standards Committee was put in place in July 2012, under the terms of the Localism Act 2011, giving Councils the option of whether to retain a Standards Committee or nominate another Committee to oversee the determination of Code of Conduct complaints. The Borough Council's Standards Committee retained much of its extended terms of reference, beyond the determination of complaints, in particular in relation to its monitoring of Anti-Fraud and Corruption Strategy and Whistleblowing Complaints.</p>	
8	Scheme Of Delegation	Yes	<p>This was updated by June 1 20143 to take account of the revised management structures and subsequently approved as part of the 2014/15 Constitution at the meeting of Annual Council meeting in June 2014.</p>	
9	Members' Register Of Interests	Yes	<p>Held on file and on the Council's website. Regular reminders are issued.</p> <p>In accordance with the requirements of the Localism Act the Council also now publishes Register of Interest forms for all Parish Councillors in the Borough Area.</p>	

10	Recorded Declaration Of Interests	Yes	Interests are recorded at meetings and are recorded on the website.	
----	-----------------------------------	-----	---	--

11	Members' Induction Process	Yes	<p>All new Councillors are provided with a comprehensive induction programme.</p> <p>New Councillors elected in by elections attend Induction training following their election.</p>	
12	Officers' Induction Process	Yes	<p>A Corporate induction process is in place and departmental induction processes are also in place.</p> <p>Reference is included in the Officers' Induction Process to the ethical framework. During staff induction it is checked that staff have received a copy of the code of conduct (which they usually have with their contracts) and they are reminded that it is their responsibility to read it and speak with their manager if they have any concerns. Staff are also advised of the disclosure of gifts etc information, and are also advised to contact their managers with any concerns regarding this, or any special arrangements made (for example, working in a care home at Christmas where people may buy them lots of gifts/goodies).</p> <p>It is the responsibility of managers to enforce the code of conduct and ethics and probity issues with staff.</p> <p>The Monitoring Officer liaises with the Head of People and Development on evaluating the implementation across departments of training on the ethical framework within the Officers' Induction Programme and on the monitoring of the officer induction process.</p>	
13 / 14	Members' Continuing Development and Training	Yes	<p>A range of development / training opportunities are offered and a record of attendance kept.</p> <p>Training for Councillors is facilitated by Committee and Member Services, in consultation with a cross-party Member Development Advisory. This agrees the programme for training at the beginning of each year,</p>	

			and monitors the success of each course and the uptake from Councillors.	
15	Officers' Continuing Development	Yes	The Council's behaviour framework sets out the values and behaviours expected from officers and members. This currently forms part of the annual appraisal in place across the Council, and identifies development needs and provides structured options to accessing appropriate training.	
16	Officers' Training	Yes	A Learning & Development online resource has been launched, which provides practical learning and development materials. There is also a Learning Zone with links to coaching and networking e-learning modules developed by Good Practice. Other courses are available direct.	
17	Other Council Specific Additional Codes And Protocols		<p><u>Monitoring Officer Protocol</u> - Adopted in December 2003 and last reviewed in January 2014</p> <p><u>Guidance to Councillors on Dealing with the Media</u> – first adopted February 2002, and last reviewed and updated by the Committee in January 2014</p> <p><u>Protocol on Member / Officer Relations</u> - Introduced September 2002 and regularly reviewed and updated. This was last updated in January 2014. The Association of Secretaries and Solicitors (ACSeS) produced a model code, some of which is based on this Council's protocol.</p> <p><u>Members' Planning Code of Good Practice</u> - adopted February 2004, and regularly reviewed and updated. This was last amended in January 2012 to reflect the new rules in relation to Pre-Determination of Decisions under the Localism Act 2011.</p>	

		<p><u>Anti-Fraud and Bribery Strategy</u> – adopted November 2001 and regularly reviewed and updated. The strategy is reviewed annually to ensure that it sets out best practice and complies with relevant legislation. A Fraud Response plan was developed by Internal Audit at the same time to assist managers in knowing how to deal with allegations of wrongdoing.</p> <p>The outcome of investigations are reported to the Standards Committee.</p> <p>A Swindon Internal Audit Services Bulletin is issued to Members and Officers approximately twice a year to promote fraud awareness by communicating information on frauds elsewhere to officers and Members, and enable similar frauds to be prevented.</p>	
--	--	--	--

This page is intentionally left blank

Appendix 4

Training and Development Programme for Councillors 2014/2015		
Dates	Subject	Facilitator
15 October 2014 6pm Function Room	Dementia Friends Awareness for Members	Penny Marno / Sue Giles
5 November 2014 5.30pm Function Room	Safeguarding Adults	Doug Bale
10 November 2014 6pm Function Room	Dementia Friends Awareness for Members	Penny Marno / Sue Giles
13 November 2014 6pm Ctte Room 2	Planning Committee - Policy Update	Phil Smith
20 November 2014 4pm Ctte Room 5	Media Training	Gail Downey, Whirlwind Productions
24 November 2014 6pm Function Room	Swindon Art and History Collections and plans for the new Museum and Art Gallery	Helen Miah
28 January 2015 5.30pm Ctte Room 3	New Members Induction – six month	Stephen Taylor
29 January 2015	Swindon's Energy Future	Steve Cains
12 February 2015	CIL/S.106 Update	Sarah Screen
12 February 2015	Planning Committee – subject tbc	Andy Brown
tbc	Planning Committee – Policy Update	Philip Smith
tbc	Transport Appeals	Rebecca Mathis
tbc	Chairing Skills	Stephen Taylor
tbc	Introduction to Localities	Patrick Weir
tbc	Introduction to Revenues and Benefits / One Stop Shop	Andy Stevens / Karen McMahon
tbc	Corporate Parenting	Valerie Williams
Suggested Future Training Sessions Provided by External Facilitators (LGIU)		
	Social Networking	
	Councillors Casework	
	Community Engagement / Community Leadership	Details put in Members Bulletin 5 September 2014

This page is intentionally left blank

UNCLASSIFIED

Annual Report 2013-14

Committee on Standards
In Public Life

September 2014

UNCLASSIFIED

THE SEVEN PRINCIPLES OF PUBLIC LIFE

The Seven Principles of Public Life apply to anyone who works as a public office-holder. This includes all those who are elected or appointed to public office, nationally and locally, and all people appointed to work in the civil service, local government, the police, courts and probation services, NDPBs, and in the health, education, social and care services. All public office-holders are both servants of the public and stewards of public resources. The Principles also have application to all those in other sectors delivering public services.

SELFLESSNESS

Holders of public office should act solely in terms of the public interest.

INTEGRITY

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

OBJECTIVITY

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

ACCOUNTABILITY

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

OPENNESS

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

HONESTY

Holders of public office should be truthful.

LEADERSHIP

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

The Seven Principles were established in the Committee's First Report in 1995; the accompanying descriptors were revised following a review in the Fourteenth Report, published in January 2013.

CONTENTS

THE SEVEN PRINCIPLES OF PUBLIC LIFE	1
Contents.....	2
Foreword.....	3
Introduction	5
Overview of Activities	6
Strengthening Transparency around Lobbying	6
Public Perceptions Survey	9
Ethical Standards for providers of public services	12
Ethics in Practice.....	13
Standards check.....	14
Behaviour and conduct of the police.....	14
Local government standards.....	15
Electoral system.....	17
REPRESENTATIONS AND SPEECHES	18
Appendix 1: About the Committee	21
Terms of reference	21
Status	21
Funding and administration	22
Policy on openness	22
Appendix 2: Members of the Committee	23
Members active in 2013-2014 who are currently members	23
Members active in 2013 – 2014 who have subsequently stood down.....	26
Research Advisory Board	26
Members' attendance (1 April 2013 – 31 March 2014).....	27
Remuneration.....	27
Appendix 3: Financial Information	29
Appendix 4: Reports and Publications	30

FOREWORD

Since Lord Nolan set down the seven principles of public life - honesty, integrity, objectivity, accountability, openness, honesty and leadership - almost twenty years ago what we mean by public life in this country has changed significantly.

As we finalise this report, the full implication of the 'no' vote in the Scottish referendum is beginning to dawn on the United Kingdom. A momentous shift in democratic accountability is irrefutable; with new local structures, further devolution and a reallocation of power across our country widely expected.

In recent years the country has also adapted to widespread changes in the delivery of public services – including new third party providers of front line services, Clinical Commissioning Groups, Academies and Free Schools and Elected Mayors and Police and Crime Commissioners.

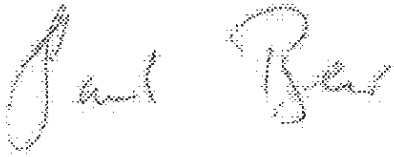
In the face of these changes, our research shows that public support for the seven principles endures. These principles are not merely theoretical concepts, they have practical consequences for ordinary people in receipt of public services. The public must feel reassured that for example safeguarding or educating children, caring for the elderly, or security arrangements at our prisons, are carried out in line with these expected behaviours.

The Committee for Standards in Public Life is at the centre of the storm over values which currently convulses British public life. Today, issues around the accountability of policing and local government are centre stage. Yesterday, it was the ethical standards of Members of Parliament: of particular relevance was the issue of lobbying. Before that, it was the scandals which surfaced concerning the performance of private companies who are in receipt of vast sums of public money. The Committee is determined to promote high standards in British public life. This requires facing up to the implications of such troubling controversies. I believe that the work we have carried out this year, detailed in this report, is an important contribution to the debate.

The Nolan principles were revolutionary at the time because they focused on behaviour and culture, rather than processes. High ethical standards need to be embedded and internalised in the culture of organisations. This applies equally to all providers of services to the public - whether they are in the private, public or voluntary sector. It is therefore important that all those involved in public service from MPs to front line local services remain alert to the fundamental role that high ethical standards play in the healthy functioning of society. Nearly twenty years on from the introduction of the seven principles of public life, they remain as relevant as ever in building public trust in our changing democracy.

UNCLASSIFIED

Finally, over the course of this year, the term of membership of two long-standing members of the Committee, Dame Denise Platt and Sir Derek Morris ended. Their departure will be a great loss for the Committee and I thank them for the enormous contribution they have made and the dedication with which which they carried out their role.

A handwritten signature in cursive script, appearing to read 'Paul Bew'.

Paul Bew
Chair

UNCLASSIFIED

INTRODUCTION

1. The Committee on Standards in Public Life has wide terms of reference.

“To examine current concerns about standards of conduct of all holders of public office, including arrangements relating to financial and commercial activities, and make recommendations as to any changes in present arrangements which might be required to ensure the highest standards of propriety in public life and to review issues in relation to the funding of political parties, and to make recommendations as to any changes in present arrangements.”¹

2. The Committee fulfils this role partly through its formal inquiries and reviews. In addition, we routinely monitor and consider issues and concerns relating to standards in public life, track public perception of standards of conduct by public office holders and seek to promote the Seven Principles of Public Life. We contribute to public policy development through meetings, seminars, speaking engagements, and by responding to consultation papers on relevant issues.
3. This report provides an overview of the Committee’s activities over the course of the past financial year and beyond until July 2014. We also published Annual Plans for the years April 2013 -14 and April 2014 -15. Next year we will combine the Annual Report and Annual Plan into one document which will be published in July 2015.
4. In line with our post-Triennial Review ways of working we have carried out this year some shorter pieces of work. The first part of the year was spent conducting a review of transparency around lobbying. In the second half of the year we completed two short projects. The first considered ethical standards for providers of public services and the second ethics in induction and training. It is important that as part of its work the Committee researches public perception on standards issues and in September 2013 the Committee published its fifth general survey of public attitudes to standards in public life. We followed this up with research to compare UK public perceptions with those recorded in a number of other European countries which formed the basis of a public seminar in March 2014.
5. The appendices to the report provide detail about the structure and finances of the Committee.

¹ Hansard (HC) 25 October 1994, col. 758 and Hansard (HC) 12 November 1997, col. 899

OVERVIEW OF ACTIVITIES

Strengthening Transparency around Lobbying

6. The Committee published its Lobbying report in November 2013. We applied the Nolan principles to lobbying and considered how best the lobbied and lobbyists could live out those principles. In doing so we recognised that lobbying is a legitimate and potentially beneficial activity and necessary for effective policy formulation, and that free and open access to government is essential. But, lobbying must be carried out transparently and ethically.
7. We concluded that a package of measures was urgently required to deliver a greater culture of openness and transparency around lobbying; provide greater clarity for public office holders on the standards expected of them; and to reassure the public that a more ethical approach to lobbying is actively being applied by all those individuals and organisations involved in lobbying.
8. Recommendations included:
 - more timely and detailed disclosure about all significant meetings and hospitality involving external attempts to influence a public policy decision;
 - disclosure arrangements widened to cover special advisers and senior civil servants as well as Ministers, Permanent Secretaries and Departmental Boards;
 - public office holders who are outside the scope of the Freedom of Information Act (including Members of Parliament, Peers and Councillors) should be encouraged to disclose the same information and consideration should be given to including this in relevant Codes of Conduct;
 - extending the lobbying rules to former Members of the House for two years in respect of approaches to Ministers, other Members or public officials; and require former Members to register for two years any occupation or employment which involves them or their employer in contact with Ministers, other Members or public officials;
 - consideration to be given to Chairs of Select Committee having additional restrictions in relation to conflicts of interests and explicit provision that Members should not accept any but the most insignificant or incidental gift, benefit or hospitality or payments from professional lobbyists.
9. We welcome the steps taken by the House of Lords to address the recommendations in our report. The House of Lords Privileges and Conduct Committee proposed amendments to the Code of Conduct

and the Guide to the Code in March 2014² and May 2014³ which were subsequently approved by the House of Lords. These amendments included incorporating the revised descriptors of the Seven Principles of Public Life into the House of Lords Code of Conduct, introducing a statement of principle on how to deal with lobbyists, lowering the threshold for registering gifts, benefits and hospitality to Members from third parties from £500 to £140 and introducing a new Code of Conduct for Members' Staff with requirements to register interests in parliamentary lobbying and abstain from lobbying or using access to Parliament to further outside interests in return for a payment or other reward.

10. The House of Commons Committee on Standards consulted in January 2014⁴ on interests of committee chairs, in response in part to one of our recommendations that invited consideration of whether chairmanship of a Select Committee brings with a particular influence on matters of public policy that justifies the imposition of additional restrictions in relation to conflicts of interest. Both the Speaker of the House of Commons⁵ and the Parliamentary Commissioner of Standards⁶ have raised similar questions. Despite the consultation concluding in March, no report from the Committee has been forthcoming. This is disappointing particularly given that the House of Commons has not yet found time to debate proposals put forward by the previous Parliamentary Commissioner for Standards and the Committee on Standards for changes to the current rules, which this Committee supported and which addressed some of the recommendations of the Group of States against Corruption (GRECO), in relation to lobbying.
11. Many of the recommendations in our report were for Government and related to transparency of information about lobbying activities and arrangements for the movement of office holders between the public and private sectors which raises the risk of potential conflicts of interest. During our review the Government introduced the Transparency of Lobbying, Non-Party Campaigning and Trade Union Administration Bill which proposed a register of consultant lobbyists. We considered that the narrow definition of "consultant lobbyists" would significantly limit the Bill's potential to enhance transparency around lobbying. We note that the Members of Parliament of all parties, like the respondents to our review, were severely critical of the Bill's detail. The Political and Constitutional Reform Committee pre-legislative scrutiny report of the Government's proposals for a statutory

² Committee for Privileges and Conduct Thirteenth Report Amendments to the Code of Conduct and Guide to the Code of Conduct HL 182

³ Committee for Privileges and Conduct Fifteenth Report Further Amendments to the Code of Conduct and Guide to the Code of Conduct HL 181

⁴ <http://www.publications.parliament.uk/pa/cm201314/cmselect/cmstandards/997/99702.htm>

⁵ Letter from Mr Speaker to the Chair of the Committee on Standards on select committee Chairs and commercial interests dated 12 June 2013, www.parliament.uk

⁶ Committee on Standards, Fifth Report of Session 2013-14, Mr Tim Yeo, HC 849, Appendix 1, para 58

register of lobbyists considered that regardless of any such register, changes could be made to improve transparency about who is lobbying whom, through enhanced disclosure of Ministerial meeting.

12. In the course of the parliamentary debate, in response to such criticism, Lord Wallace of Tankerness made a government commitment to make further improvements to the accessibility of government transparency information. This included ensuring:

"greater co-ordination of the publication of data sets so that all returns within a quarter can be found on one page.....we ought to get better at the speediness with which we make this information available....."

*We will also ensure greater consistency in the content of departmental reporting, particularly on including the subject of meetings. Finally, we will ensure that the gov.uk transparency pages contain a link to the statutory register of lobbyists so that the data can be easily cross-referenced. The practical implications of those improvements are that: rather than having to visit a number of different sites or pages, all information will be accessed via one easily located page of gov.uk; the consistency of those data will be improved so that the transparency reports can be more easily located via search functions; and the subject of the meetings will be set out more helpfully."*⁷

13. This commitment addresses some of the criticisms by this Committee in our report around accessibility of transparency information but does not go as far as our recommendation 5⁸ which we considered would provide sufficient transparency and accountability to enable effective public scrutiny of lobbying. We also note that the Government is committed to publishing transparency data quarterly, or at any time in the following quarter. Notwithstanding this all of the data published in 2013 was published late. The Government therefore has some way to go to meet its commitment to Parliament.

14. The Government has also recently revised the Business Appointment Rules⁹ which apply to Former Ministers and Crown servants namely civil servants (including special advisers) and members of the Diplomatic Service, Intelligence Agencies and Armed Forces before they accept any new appointment or employment after leaving their role. We welcome the greater clarity in the rules around the definition of lobbying and the practical application of a lobbying ban but note that the rules have

⁷ <http://www.publications.parliament.uk/pa/ld201314/ldhansrd/text/140113-0001.htm>

⁸ *Strengthening Transparency Around Lobbying* November 2013 p29

⁹ Business Appointment Rules: Government Response to the Committee's Third Report of Session 2012-13 HC 563 17 July 2014

UNCLASSIFIED

reverted to the pre-2010 position whereby only applications from the most senior special advisors are referred to the Advisory Committee on Business Appointments ("ACOPA"). Whilst this Committee has argued for a risk based approach to application of the rules, we do not think seniority is necessarily the only risk factor and the nature of the role of special advisor as a conduit of access to the Minister, in our view necessitates the referral of all applications to ACOBA.

15. The Committee also notes that the revised rules will require Departments to publish information in broad terms about the advice they give to applicants in the senior civil servants whose applications are not dealt with by ACOBA. This Committee called for the publication of consistent summary information by Departments on all cases they consider. It is the Cabinet Office's responsibility to provide assurance of Department's compliance with the Rules and we will maintain an interest in Departmental performance and transparency in this respect.
16. We are disappointed that given the increased use of interchange through secondments, loans and career breaks to move in and out of the public sector organisations, the Government has not accepted our recommendation for Departments and their Agencies, for transparency and public confidence reasons, to publish on an annual basis the number of secondments and interchanges in and out of their organisation.¹⁰

Public Perceptions Survey

17. In September 2013 the Committee published the fifth and latest survey of public attitudes towards conduct in public life,¹¹ a series which started in 2004. It is a unique long term, independent study and source of information about what the public think about standards in public life in the UK. The research focussed on three main issues:
 - To establish what the public sees as acceptable and unacceptable behaviour on the part of holders of public office;
 - To assess how far the public believes that the behaviour of holders of public office is, for the most part, acceptable or unacceptable;
 - To assess how far the public believes that holders of public office are effectively held responsible and accountable for their conduct.

18. Over the lifetime of the survey, there has been a continuous and substantial decline in the percentage

¹⁰ *Strengthening Transparency Around Lobbying* November 2013 recommendation 11 p 36

¹¹ <https://www.gov.uk/government/publications/public-attitudes-survey-2012>

UNCLASSIFIED

of respondents rating standards as “quite high” or “very high”, while the percentage of respondents rating standards as “quite poor” or “very poor” has steadily increased, showing a clear trend across this data. But this trend masks a deeper pattern that shows that in fact, prior to 2010 confidence was rising, and that it suffered a major decline in 2010 after the MPs’ expenses scandal, from which there is only marginal recovery in 2012.

19. In relation to Westminster MPs, the public share broadly a set of expectations that are in line with the seven principles of public life. However they have consistently low levels of confidence that MPs actually meet these standards. In the latest survey, pessimism was less marked than in 2010, but levels of confidence have not returned to their 2008 levels. Although absolute levels of confidence are low in particular types of national public office holders or professions such as Ministers, MPs and tabloid journalists, this should be contrasted with higher and rising confidence in institutions and in processes and in those administering the process – so for example, as in most countries that have low and falling levels of confidence in politicians, there is, paradoxically, a higher confidence in national institutions such as Parliament and much higher confidence in the legal system.
20. In addition, responses to new questions in the 2012 survey indicate people’s widespread belief that they will receive fair treatment from a range of front line public services. A large majority of respondents thought they would be treated fairly by doctors, police officers, judges, and local planning bodies. Responses suggested that members of the public have more confidence in the probity of relatively junior front line staff - in terms of putting the public interest first, owning up to making mistakes, and being held accountable for mistakes - than in that of more senior managers. They also expressed more confidence in the probity of public sector employees than in those in the semi-public or private sectors.
21. Our most recent survey explored, amongst other things, which measures for ensuring good standards of conduct in public life elicit the most public support. The questions were informed by a common distinction drawn between ‘compliance-based’ and ‘integrity-based’ behaviour: that is, between good behaviour resulting from a well-designed and systematically enforced external set of rules, and good behaviour that is internally driven and the result of strong ethical character. Respondents were asked to choose up to three policies they thought important in ensuring probity in large public and private organisations.
22. Findings suggest that members of the public favour adopting elements from both the compliance and integrity models in ensuring public probity. They do not endorse internal self-regulation or a culture of financial incentives for those doing a job (26% for large public sector organisations and 22% for private sector). They do favour senior managers setting a good example, (38% for large public sector

organisations and 51% for private sector) and training people in a code of conduct (63% for large public sector organisations and 60% for private sector), but they also want protection for 'whistleblowing' and external regulators for organisations (whether public or private sector). Encouraging a culture where people are not afraid to report wrongdoing (66% for large public sector organisations and 53% for private sector) was seen as particularly important for promoting probity.

23. The responses of different groups of respondents - as distinguished by trust in public office holders, perceptions of standards, party-political preferences, social grade, ethnicity, age and gender - were compared to see if there were any clear differences found in how various segments of the public think that probity should be promoted. In fact, none of these comparisons yielded significant differences.
24. There is therefore very wide agreement in all segments of the British general public about the ways in which probity in both the public and the private sector can be promoted. In that shared view, the ways seen as most important are the promotion of a culture in which people are not afraid to report wrongdoing, the use of codes of proper conduct in which office holders and staff are trained, and the setting of a good example by senior managers or office holders.
25. The evidence from this long term study suggests that public attitudes are broadly stable, that they respond to events and their reporting, and that they can become more negative or more positive. This suggests that the public's perceptions of standards in public life can be repaired as well as damaged. The data also gave us a picture of groups who are most likely to feel most sceptical. This was particularly the case for those from lower social grades, from white-British or white-Irish background, middle aged or older and who have little engagement with the political system. The growth in the size of this group presents a challenge to all those involved in public life.
26. The Committee recognises it is important to place these findings in a wider context and so commissioned some further research on assessing the results from our British survey compared with other European countries, to see if results are potentially motivated by domestic factors or reflect citizen's attitudes across western democracies. This research was published in March 2014¹² and it shows that the UK publics decline in perceptions of standards in public life is part of a broader trend across Western democracies. The research also finds that British citizens' assessments of standards in public life are not unusual and they are rarely the most cynical. In fact British citizens' perceptions and experiences of corruption are lower than those in most other European countries.
27. Both sets of research however illustrate as a reminder to public authorities and office holders that public perceptions of standards in public life have political consequences. Events and the response to

¹²<https://www.gov.uk/government/publications/public-perceptions-of-standards-in-public-life-in-the-uk-and-europe>

them they play a part in informing citizens' views of standards, probity and trust.

28. Whilst this research was the final biennial survey of its type, the Committee continues to believe it is important to test public perceptions of standards issues and will continue to undertake such research, as appropriate, in its ongoing work.

Ethical Standards for providers of public services

29. The Committee's terms of reference were clarified last year so that its remit to examine standards of conduct of all holders of public office encompassed all those involved in the delivery of public services. As public services are increasingly being delivered by those outside the public sector, the Committee decided to test the expectation and assurance of ethical standards in the public service market. The Committee commissioned new independent research with members of the public, commissioners and providers of public services. We also spoke to individuals and organisations with current experience of commissioning and providing public services to understand their expectations of the ethical principles and standards expected of public services. The Committee's report *Ethical standards for providers of public services* and accompanying research was published in June 2014.

30. On the basis of our research, we can be confident that:

- the public want common ethical standards across all provider types regardless of sector, supported by a code of conduct;
- "how" the service is delivered is as important to the public as "what" is delivered;
- public and stakeholder views of what should constitute ethical standards are broadly in line with the Seven Principles of Public Life;
- commissioners expect providers to conform to ethical standards but rarely explicitly articulate this;
- commissioners want guidance on how to embed ethical standards in the commissioning and procurement process.

31. For the Committee this is an issue of accountability. The public needs to be reassured that the standards it expects are being delivered by providers, Government must be capable of assuring the public that ethical standards are part of service delivery standards and business (as the CBI has recently acknowledged) needs to recognise that a cultural shift is required in its approach to the public service market, in order to meet the public's legitimate expectations and to build public trust.

32. It was evident from our research that there are currently no consistent structures or arrangements in place to promote actively an ethical culture and behaviours in the public service market. The

UNCLASSIFIED

Committee therefore recommended that ethical standards need to be proportionately addressed within existing contractual and monitoring arrangements, as part of the process for securing the regularity and propriety of public services.

33. The Government believes that the Seven Principles of Public Life, the basis of the ethical standards framework for those operating in the public sector, has application to all those delivering public services whether they are public sector providers or third-party providers from the private or voluntary sector. As a consequence, using the evidence base from the review and building on existing mechanisms, we set out in the report a high level framework required to support these ethical standards and provide the necessary assurance.
34. We have received considerable interest in our report and its recommendations from business organisations, commissioners and providers and we intend to follow this up with further discussions with a view to developing practical measures to help ensure high ethical standards are met.

Ethics in Practice

35. In July 2014, the Committee published *Ethics in Practice: Promoting Ethical Conduct in Public Life*, a short report which looked at the role of induction processes in embedding ethical standards in public life. The project looked at works in terms of building an ethical culture through induction, education and training, captured examples of best practice, and identified areas where more needs to be done or where previous progress may be at risk.
36. After looking across a range of public, private and voluntary sector organisations, we concluded that induction is key to ensuring that all public office holders are aware of the standards expected of them. Ethical standards need to be included in the induction arrangements for all those public life. For many of those in public life, this message has already been heard and understood. For some, however, more clearly needs to be done to embed ethical standards. The Committee was particularly concerned at the low level of engagement with ethical standards evidenced by those in Parliament.
37. Our report called for more of an obvious demonstration of leadership in relationship to ethical standards from those in the Westminster Parliament, both elected and appointed. We called for MPs, parties and the House Authorities to develop a meaningful and credible induction and professional development programme that builds an awareness and understanding of ethical standards – both principles and rules - that meets the needs of MPs and Lords and the expectations of the public.

UNCLASSIFIED

STANDARDS CHECK

Behaviour and conduct of the police

38. The police standards have been the focus of much public concern over the last year. Both new and ongoing revelations about the conduct of individual officers and the culture and behaviours in police forces and the Police Federation have damaged public confidence and trust in the police. The role of Police and Crime Commissioners in holding police to account locally is relatively new and the College of Policing is still establishing itself as the professional standards body. We welcome the College's focus on promoting ethics, values and standards of integrity.
39. Over the last 12 months his Committee has been monitoring the ethical risks in policing and has:
- Met with the Association of Police and Crime Commissioners to discuss how best to pre-empt any ethical risks in their role
 - Responded to the Home Affairs Select Committee call for evidence on Police and Crime Commissioners
 - Responded to the Public Administration Select Committee inquiry on the validity of crime statistics
 - Responded to the College of Policing consultation on their draft code of ethics and meeting with the College to discuss the draft code, its implementation and the embedding of high ethical standards
 - Attended and spoken at conferences on policing ethics.
40. The Committee made clear its intention to monitor the extent to which Police and Crime Commissioners are genuinely open and accountable and how successful any ethical risks arising from their role are addressed in its response to the Home Affairs Committee call for evidence. This report concluded that it was too early to determine whether the introduction of Police and Crime Commissioners had been a success.
41. The Public Administration Select Committee concluded in its report on police recorded crime statistics that *"the quality of leadership within the police, and its compliance with the core values of policing, including accountability, honesty and integrity, will determine whether the quality of police recorded crime data can be restored."* PASC recommended that this Committee *"conducts a wide ranging*

inquiry into the police's compliance with the new Code of Ethics; in particular the role of leadership in promoting and sustaining these values in the face of all the other pressures on the force."

42. The Committee have considered seriously this recommendation. The Committee are likely to focus over the coming year on the accountability mechanisms for holding the police to account generally and specifically the role of Police and Crime Commissioners in representing the public in holding Chief Constables to account, and on the issues where we have heard the most concern namely the extent of their public remit and their role as ethical leaders. This will compliment and not duplicate the considerable work already underway by Her Majesty's Inspectorate of Constabulary to review anti-corruption capability in police forces and the inspection of police integrity and the College of Policing Review of police leadership.

Local government standards

43. The Committee has continued this year to maintain a watching brief of the standards regimes in local government and the changes resulting from The Localism Act 2011 implemented in 2012. Having emphasised at the time the need for a mandatory code of conduct, strong local leadership, and effective independent persons and expressed concern at the lack of sanctions, the Committee also recognised the need to allow new arrangements to bed down.
44. The survey carried out by Local Government Lawyer on the implementation of the Localism Act 2011,¹³ suggests indications are that the role of the independent person has been generally well received and there is some evidence that the number of vexatious complaints is falling. However, the effectiveness of the sanctions regime for non-adherence to Local Authority codes of conduct, which apart from criminal prosecution, provides only for censure or suspension from a particular committee or committees, remains an issue of concern. We are aware that there have been recent individual cases that illustrate this, in particular the lack of a sanction to suspend councillors who have seriously breached the code of conduct.
45. In contrast to the recent public debate on parliamentary standards calling for greater sanctions, tightening of codes of conduct, and a greater independent element, local government is now largely self regulated with no systematic approach to conduct issues and limited sanctions. There remains in our view a significant risk under these arrangements that inappropriate conduct by Local Authority

¹³ <http://www.localgovernmentlawyer.co.uk/images/stories/Localism%20Act%20Special%20Report.pdf>

members will not be dealt with effectively, eroding public confidence and trust in local government. We call upon the Local Government Association to support strong long leadership and continue to use its peer challenge process to offer sector led improvement in this area¹⁴ as we believe the LGA has a major responsibility to provide the leadership and peer support across the sector to ensure that all councils and councillors live up to the public's expectations of high standards of ethical behaviour in those whom they elect.

46. As part of the research for the Committee's *Ethics in Practice* report, we conducted a snapshot survey of Local Authorities' approach to induction and training. The Committee sent an electronic questionnaire to Local Authority Monitoring Officers in England, asking them to circulate it further to elected members. We received over 130 responses from Monitoring Officers and elected members.
47. The Committee was extremely pleased to learn that 90% of those who responded to the survey stated that their Local Authority provided an induction programme for newly elected councillors. Coverage and awareness of the Seven Principles of Public Life in local government was also pleasingly high, with 68% of respondents saying their induction covered the Seven Principles of Public Life, 88% saying it covered their Code of Conduct and 83% of respondents saying that councillors at their Local Authority were familiar or fairly familiar with the Seven Principles of Public Life.
48. Despite these positive results, however, the Committee remains alert to the challenges to ethical standards arising from financial constraints and changes to the Local Authority standards regime. The Committee will therefore continue to monitor provision of Local Authority induction programmes and the profile of standards, conduct and ethical behaviour within those programmes by repeating this survey in 2015.
49. More generally, we have provided evidence to the Communities and Local Government Select Committee inquiry on local government procurement, highlighting our belief that public sector procurement processes should take account of ethical issues as part of delivering value for money in the broadest sense. Our report *Ethical standards of third party providers of public services* considered the ethical principles and standards that the public and commissioners of services have of those delivering public services and the necessary safeguards to ensure those principles and standards are met, is directly relevant to local government who spends over a quarter of its annual expenditure on procuring goods and services from third party providers.

¹⁴ See Thanet District Council Corporate Peer Challenge 28 April 2014 at thanet.gov.uk

Electoral system

50. In light of the forthcoming elections this year and next, the introduction of the individual electoral registration and recent changes arising from the Transparency of Lobbying, Non-Party Campaigning and Trade Union Administration Act 2014, and other developments in the electoral sphere, the Committee met with Chair of the Electoral Commission this year to discuss the level of ethical risk to the electoral system.
51. The forthcoming election brings into focus two particular matters on which the Committee has made recommendations in the past. Firstly, electoral registration. The Committee key made recommendations about electoral registration in its Eleventh report – *Review of the Electoral Commission* (2007) - including the introduction of arrangements for individual registration to modernise the system and to help tackle electoral fraud. The Committee therefore welcomes the introduction this year of individual electoral registration (IER). The Committee also notes the Electoral Commission recent report on *Electoral Fraud in the UK* which recommended that more could be done to tackle electoral fraud and that “polling station voting in Great Britain remains vulnerable to impersonation fraud because there are currently few checks available to prevent someone claiming to be an elector and voting in their name.’ Given recent allegations of electoral irregularities in local elections, the Committee will keep a watching brief on electoral fraud and the implementation of IER.
52. Secondly, reform of party funding. The Committee published its report on Party Funding in 2011. It made 24 recommendations to be accepted as a complete package. Key recommendations included:
- a donation cap of £10,000 for all donations from any individual or organisation to any political party in any year;
 - the cap to apply to all individuals and organisations, including trade unions;
 - limits on campaign funding in the period before an election to be cut by 15%;
 - an increase in existing state funding to parties calculated on the basis of the number of votes received in the previous election or elections at £3 per vote received in a Westminster election and £1.50 in an election to a devolved legislature;
 - the additional state funding we recommended after 2015 would amount to approximately £23m per year. Broken down that is 50p per voter.
53. Following the breakdown of cross-party talks on reforming party finance, the Government confirmed in October 2013 it would not be taking forward any of the Committee’s recommendations this

Parliament.

54. It is clear to the Committee that party funding is still an issue of concern for the public. They want to be sure that people and organisations are not buying influence through the funding of political parties. Dependency on a big donor culture creates a suspicion that donations can be used to exert influence on the parties. That suspicion is, in turn, corroding to trust in politics generally.
55. The Committee's package of recommendations was designed to restore integrity and provide meaningful accountability, providing a radical change to create a sustainable party funding system. The Committee made clear that any move to implement some parts, whilst rejecting others would upset the overall balance the recommendations were trying to achieve. Real progress will require all main parties to look beyond their own political advantage to arrive at a solution that has cross-party agreement and will restore public confidence in the integrity of the funding system.

REPRESENTATIONS AND SPEECHES

56. Over the course of the year, the Chair has spoken at a number of events on standards issues, promoting the work of the Committee and the importance of the Seven Principles of Public Life and providing other examples of best practice, including:
- In November 2013 Lord Bew gave the opening address at the Annual Governance Conference of Lawyers in Local Government; a presentation about the work of the Committee to the Public Service Commissioners of various Commonwealth countries; and a speech at the OECD 'Restoring Trust in Government' policy forum in Paris
 - In January 2014 Lord Bew gave a speech entitled 'Effective Parliamentary Standards' at the Annual Conference of the Study of Parliament Group, at Worcester College, Oxford
 - In May 2014 Lord Bew gave evidence to the Northern Ireland Assembly's Committee on Standards and Privileges in relation to their review of the Assembly's Code of Conduct and Guide to the Rules Relating to the Conduct of Members
 - In June 2014 Lord Bew gave a speech at the launch of the Hansard Society's Audit of Political Engagement and also gave evidence to the House of Commons Committee on Standards Sub-Committee in relation to their inquiry on the standards system in the House of Commons.
57. In March 2014 the Committee held a seminar on issues around trust in public life. The event was open

UNCLASSIFIED

to the public and the video of the event can be found on our website (<https://www.gov.uk/government/organisations/the-committee-on-standards-in-public-life>)

58. Other Committee and Secretariat Members also spoke about the work of the Committee and standards issues in a number of contexts, including:

- a presentation, in September 2013 to a group of students on MA Corruption and Governance course at University of Sussex
- a presentation, in November 2013, to a group of visiting Canadian politics students
- attending the 40th Forum of Asia Pacific Privacy Authorities in New South Wales in December 2013 to discuss ethical issues for privacy authorities
- a speech at The Policing of Ethics: Towards an Ethical Police Service conference in July 2014

59. The Committee has also been proactive in promoting the Seven Principles of Public Life through responses to a number of consultations including:

- the draft cross party Bill on democratic political activity (funding and expenditure) in April 2013
- the Whistleblowing Commission consultation on strengthening policy and law on whistleblowing in the workplace in July 2013
- the Public Administration Select Committee's consultation on the integrity of crime statistics in November 2013
- the College of Policing's draft Code of Ethics in December 2013
- the Home Affairs Select Committee's consultation on Police and Crime Commissioners in December 2013
- the Civil Service Commission's consultation on changes to their Recruitment Principles in February 2014
- the Committee on Standards' consultation on the Interests of Committee Chairs in March 2014
- Sir Richard Lambert's Banking Standards Review in March 2014
- the Public Administration Select Committee's inquiry into Civil Service impartiality and referendums in April 2014
- the Northern Ireland Assembly's Committee on Standards and Privileges' review of their

UNCLASSIFIED

UNCLASSIFIED

Members' Code of Conduct in May 2014.

60. The secretariat received and responds regularly to public enquires and correspondence on standards issues. The Secretariat has had the means of monitoring the number and sources of visitors to its former corporate website (www.public-standards.gov.uk) since October 2013. Between 1 October 2013 and 26 August 2014 we received 22,745 unique visits to our corporate website, from 140 countries. Efforts to redesign our corporate website between November and early August 2014 resulted in user engagement (in the form of visitors returning to the site) more than doubling over this period. As of August 2014 the Committee's website has been moved to Gov.uk (<https://www.gov.uk/government/organisations/the-committee-on-standards-in-public-life>)

UNCLASSIFIED

APPENDIX 1: ABOUT THE COMMITTEE

Terms of reference

61. The Committee on Standards in Public Life was established under the chairmanship of the Rt. Hon. Lord Nolan by the then Prime Minister, the Rt. Hon. John Major MP, in October 1994, with the following terms of reference:

*"To examine current concerns about standards of conduct of all holders of public office, including arrangements relating to financial and commercial activities, and make recommendations as to any changes in present arrangements which might be required to ensure the highest standards of propriety in public life."*¹⁵

62. On 12 November 1997, the then Prime Minister, the Rt. Hon. Tony Blair MP, announced additional terms of reference:

*"To review issues in relation to the funding of political parties and to make recommendations as to any changes in present arrangements."*¹⁶

63. On 5 February 2013, the terms of reference of the Committee were clarified in two respects:

"in future the Committee should not inquire into matters relating to the devolved legislatures and Governments except with the agreement of those bodies"

and

*"The Committee's remit to examine 'standards of conduct of all holders of public office' [should be understood] as encompassing all those involved in the delivery of public services, not solely those appointed or elected to public of."*¹⁷

64. The Committee's remit does not allow us to investigate individual allegations of misconduct.

Status

65. The Committee is an independent advisory non-departmental public body (NDPB). Its members are appointed by the Prime Minister. Six of its members, including the chair, are chosen through open

¹⁵ Hansard (HC) 25 October 1994, col. 758

¹⁶ Hansard (HC) 12 November 1997, col. 899

¹⁷ Hansard (HC) 5 February 2013, col. 7WS

competition under the rules of the Office of the Commissioner for Public Appointments (OCPA). The remaining three members are nominated by the three main political parties. The Committee is not founded in statute and has no legal powers to compel witnesses to provide evidence or to enforce its recommendations. Nor does it have any powers to investigate individual allegations of misconduct. It presents its recommendations to the Prime Minister and publishes them simultaneously.

Funding and administration

66. The Committee receives its budget from the Cabinet Office. Day-to-day responsibility for financial controls and budgetary mechanisms are delegated to the secretary of the Committee. The Secretary and the rest of the secretariat are permanent civil servants employed by the Cabinet Office or on secondment from other departments or elsewhere. The current Secretary is seconded from the Ministry of Justice.

Policy on openness

67. In its first report the Committee defined the Seven Principles of Public Life. The Committee has always sought to implement these principles in its own work, including the principle of openness.
68. The Secretary of the Committee has responsibility for the operation and maintenance of the Committee's publication scheme under the Freedom of Information Act 2000. Most of the information held by the Committee is readily available, and does not require a Freedom of Information Act request before it can be accessed. The Committee can be contacted in writing, by email, by telephone or by fax. The public can also access information via the Committee's website. Requests for information under the Freedom of Information Act should be made to the Secretary to the Committee at the following address:

- **Committee on Standards in Public Life**
Room GC05
1 Horse Guards Road
London SW1A 2HQ
- Phone: 020 7271 2948
- Email: public@standards.gsi.gov.uk
- Website: <https://www.gov.uk/government/organisations/the-committee-on-standards-in-public-life>

APPENDIX 2: MEMBERS OF THE COMMITTEE

69. Until the latest appointments, Committee members were appointed for a three year term, with the possibility of reappointment. The latest three members were recruited for a five year non-renewable term. The Chair is appointed for a single non-renewable five year term.

Chair: Lord Paul Bew

Appointed: 1 September 2013 **Term ends:** 31 August 2018

Lord Bew teaches Irish History and Politics at the School of Politics, International Studies and Philosophy at Queen's University.

Lord Bew has previously:

- served on the Joint Committee on Parliamentary Privilege
- chaired the independent review of Key Stage 2 (SATs) provision in England
- served on the Joint Committee on the Defamation Bill, which addressed key issues of academic freedom
- served on the Local London Authority Bill Select Committee
- acted as historical adviser to the Bloody Sunday Inquiry

He was appointed as a non-party-political peer by the independent House of Lords Appointments Commission in February 2007, following his contributions to the Good Friday Agreement.

Members active in 2013-2014 who are currently members

Lord Alderdice

Appointed: 1 September 2010 **Reappointed:** 1 September 2013 **Term ends:** 31 August 2016

John Alderdice is a fellow of the Royal College of Psychiatrists. He led the Alliance Party and has held a variety of positions in the Federation of European Liberal, Democrat and Reform Parties and Liberal International. He was one of the negotiators of the Good Friday Agreement. Raised to the peerage on October 1996, he took his seat on the Liberal Democrat benches in the House of Lords on 5 November that year. In 1998 Lord Alderdice was elected member for Belfast East and appointed Speaker of the Northern Ireland Assembly. In 2004 he was appointed as a Commissioner for the newly established Independent Monitoring Commission. He is also the Chairman and a Director of the Centre for Democracy and Peace Building (based in Belfast) and President of ARTIS (Europe) Ltd, a research institution designed to improve the understanding of cognitive and behavioral science related to politically motivated violence through science-based field research.

Rt Hon Margaret Beckett MP

Appointed: 1 November 2010 **Reappointed:** 1 September 2013 **Term ends:** 31 August 2016

Margaret Beckett has been Labour MP for Derby South since 1983. She was Secretary of State for Trade and Industry 1997-1998, President of the Council and Leader of the House of Commons 1998-2001, Secretary of State for Environment, Food and Rural Affairs 2001-2006, for Foreign Affairs 2006-2007, Minister for Housing and Planning (attending Cabinet), Department for Communities and Local Government 2008-2009. She has also been Chair of the Intelligence and Security Committee. Margaret is a member of the Labour National Executive Committee and Chair of the Joint Committee on National Security Strategy.

David Prince CBE

Appointed: 1 June 2009 **Re-appointed:** 1 June 2012 **Term ends:** 31 May 2015

David Prince is the former Chief Executive of the Standards Board for England. He held senior positions at the Audit Commission, as Managing Director, Strategy and Resources and District Audit. Previously his career was in local government, where posts included Chief Executive of Leicestershire County Council and Director of Finance and Administration of Cambridgeshire County Council. He has held non-executive independent appointments as lay member of the General Social Care Council, Leicestershire Police Authority and the Performance and Best Value Committee of the Bar Standards Board. David is currently Chair of the Audit Committee of Parkinson's UK and, an independent member of the Audit and Corporate Governance Committee of the Care Quality Commission and a lay member of the General Pharmaceutical Council.

Patricia Moberly

Appointed: 17 May 2012 **Term ends:** 16 May 2017

Patricia Moberly was Chair of Guy's and St Thomas' NHS Foundation Trust from 1999 to 2011. During her previous career as a schoolteacher, she worked in secondary schools in London and Zambia, and was Head of the Sixth Form at Pimlico School from 1985 to 1998. She served on the National Executive of the Anti-Apartheid Movement, was a member of Area and District Health Authorities and of the General Medical Council, a local councillor and a magistrate. Currently she is a prison visitor and a member of the Ethics Committee of the Royal College of Obstetricians and Gynaecologists, and serves on an advisory committee to the Secretary of State for Transport. She is a panellist for the Judicial Appointments Commission.

Sheila Drew Smith OBE**Appointed:** 17 May 2012**Term ends:** 16 May 2017

Sheila Drew Smith OBE is an economist by background. She has been an independent assessor for public appointments (OCPA) since 1997 and undertakes selection work in the private sector. She is the Chair of the National Approved Letting Scheme and a committee member for Safe Agents. She is also currently a member of the appointments panel of the Bar Standards Board, the Member Selection Panel of Network Rail and an independent panel member for RICS. She was was a board member of the Housing Corporation between 2002 and 2008, the Audit Commission between 2004 and 2010, and the Infrastructure Planning Commission and the Office of the Regulator of Social Housing until March 2012. She was also an independent assessor for public appointments until May 2012. Prior to this she was a partner in the predecessor firms of PricewaterhouseCoopers working in the UK and internationally. Her earlier career was in the civil service.

Dame Angela Watkinson MP**Appointed:** 30 November 2012**Term ends:** 30 November 2017

After an early career in banking and a family career break, Dame Angela Watkinson worked for several local authorities in special education and central services. She has served as a councillor for both the London Borough of Havering and an Essex County Council. Angela was elected as Conservative MP for Upminster in 2001 and continues to serve her enlarged constituency of Hornchurch and Upminster. She has spent most of her Parliamentary Career as a Whip, and Lord Commissioner to the Treasury. Angela is also a member of Parliamentary Assembly of the Council of Europe.

Richard Thomas CBE**Appointed:** 17 May 2012**Term ends:** 16 May 2017

Richard Thomas CBE LLD was the Information Commissioner from November from 2002 to 2009 and the Chairman of the Administrative Justice and Tribunals Council (AJTC) from 2009 to 2013. He is currently a Strategy Adviser to the Centre for Information Policy Leadership and has served as Deputy Chairman of the Consumers Association, as Trustee of the Whitehall and Industry Group, and as Board Member of the International Association of Privacy Professionals (IAPP). During his earlier career his roles included Director of Consumer Affairs at the Office of Fair Trading from 1986 to 1992 and Director of Public Policy at Clifford Chance, the international law firm, from 1992 to 2002.

Members active in 2013 – 2014 who have subsequently stood down

Sir Derek James Morris MA DPhil

Appointed: 1 March 2008

Re-appointed: 1 March 2011

Term ended: 28 February 2014

Sir Derek Morris has been Provost of Oriel College, Oxford since 2004. Previously he was Chairman of the Competition Commission (formerly the Monopolies and Mergers Commission). From 1970 to 1997 he was an Economics Fellow at Oriel College and from 2004 to 2005 he chaired the Morris Review of the Actuarial Profession. He is chairman of trustees of Oxford University Press Pension Fund, non-executive chairman of Lucida plc and a senior consultant to Frontier Economics.

Dame Denise Platt DBE

Appointed: 1 July 2008

Re-appointed: 1 July 2011

Term ended: 30 June 2014

Denise Platt was an Audit Commissioner and chair of the independent advisory panel for the Local Innovation Awards until October 2010. From 2004 until 2009 she was chair of the Commission for Social Care Inspection (now part of the Care Quality Commission). She has held a variety of posts both nationally and locally in local government and social care and has been an independent panel member to appoint the Electoral Commissioner. She holds posts with a number of voluntary organisations and is the chair of the National AIDS Trust (NAT). She is governor of the University of Bedfordshire and a member of the independent Review Board of the Cheshire Fire and Rescue Service and the Independent Commission on Assisted Dying.

Research Advisory Board

The Committee's work is supported by a Research Advisory Board. The current Board members are:

- **Dr Mark Philp** (Chairman), Professor, Director of the European History Research Centre, Dissertation Coordinator, Department of History, University of Warwick
- **Dr Jean Martin**, Senior Research Fellow, Social Inequality and Survey Methods, Department of Sociology, University of Oxford
- **Professor Cees van der Eijk**, Professor of Social Science Research Methods, Director of Social Sciences Methods and Data Institute, University of Nottingham
- **Dr Wendy Sykes**, Director of Independent Social Research Ltd (ISR) and Member of the SRA

implementation group on commissioning social research.

Members' attendance (1 April 2013 – 31 March 2014)

70. The table below shows the total number of meetings that each member of the Committee could have attended and the number they actually attended.

Name	Possible meetings	Actual meetings
Lord Bew	7	7
Lord Alderdice	11	7
Rt Hon Margaret Beckett MP	11	8
Patricia Moberly	11	10
Richard Thomas	11	10
Sir Derek Morris	8	7
Dame Denise Platt	11	8
David Prince	11	11
Sheila Drew Smith	11	10
Angela Watkinson MP	11	8

71. In addition to the monthly Committee meetings, all members attend a variety of other meetings and briefings in relation to the business of the Committee.

Remuneration

72. Committee members who do not already receive a salary from public funds for the days in question may claim £240 for each day they work on committee business. The Chair is paid on the basis of a non-pensionable salary of £500 per day, with the expectation that he should commit an average of 2-3 days a month, although this can increase significantly during Committee inquiries. All members are reimbursed for expenses necessarily incurred.

UNCLASSIFIED

73. For the period April 2013 to March 2014 committee members other than the Chair claimed a total of £21,765.74 in fees and expenses.
74. In total, the Chairs (David Prince being interim Chair from 1 April to 31 July 2013) claimed £20,159.84 in fees and expenses.
75. In accordance with the best practice recommended in its first report, members of the Committee formally adopted a code of practice in March 1999. The code is available on the website and has been reviewed periodically by the Committee, most recently in July 2011. Members provide details of any interests that might impinge on the work of the Committee through the Committee's register of interests, also available on the website at:
- <https://www.gov.uk/government/publications/register-of-interests>

UNCLASSIFIED

APPENDIX 3: FINANCIAL INFORMATION

Expenditure	2012-13 (£)	2013-14 (£)
Staff costs and fees	355,737	214,791
Other running costs	161,425	116,084
Total net expenditure	517,162	330,875

76. As an advisory Non-Departmental Public Body (NDPB), the Committee receives its delegated budget from the Cabinet Office. The Cabinet Office Accounting Officer has personal responsibility for the regularity and propriety of the Cabinet Office vote. Responsibility for certain levels of authorisation, methods of control and day to day mechanisms have been delegated to the Secretary to the Committee but creation of all new posts and the use of external resources are subject to the approval of the Cabinet Office Approvals Board. Whilst the core secretariat has been reduced to three, the Secretary can and has used the budget to buy-in additional time limited resource to service specific inquiries and reviews. This level of resource necessarily constrains the choices the Committee makes in relation to its work programme and, taken together with the time taken to secure approvals, affects its ability to respond quickly and comprehensively to standards issues as they emerge.
77. The Secretary to the Committee is responsible for setting out the outputs and outcomes which the Committee plans to deliver with the resources for which they have delegated authority, and for reporting regularly on resource usage and success in delivering those plans. She is also responsible for maintaining a sound system of internal control over the resources for which she has delegated authority, and for providing the accounting officer with assurances that those controls are effective.
78. For the year 2013-14 the Committee's budget allocation was £400,000. There was an under spend of £69,125. The main causes of this under spend were savings generated by a) a decision not to commission a planned survey into the impact of the Committee's report *"Standards Matter: A review of best practice in promoting good behaviour in public life"* and b) a planned re-design of the Committee's website during November 2013 being cancelled because a decision was made to migrate the contents of its website to gov.uk in 2014. Both of the projects on the two most recent reports also ran into the current financial year.

APPENDIX 4: REPORTS AND PUBLICATIONS

The Committee has published the following reports:

- ✧ Ethics in Practice: Promoting Ethical Standards in Public Life (July 2014)
- ✧ Ethical standards for providers of public services (June 2014)
- ✧ Strengthening transparency around lobbying (November 2013)
- ✧ Standards matter: A review of best practice in promoting good behaviour in public life (Fourteenth Report (Cm 8519)) (January 2013)
- ✧ Political Party Finance - Ending the big donor culture (Thirteenth Report (Cm 8208)) (November 2011)
- ✧ MPs' Expenses and Allowances: Supporting Parliament, Safeguarding the Taxpayer (Twelfth Report (Cm7724)) (November 2009)
- ✧ Review of the Electoral Commission (Eleventh Report (Cm7006)) (January 2007)
- ✧ Getting the Balance Right: Implementing Standards of Conduct in Public Life (Tenth Report (Cm6407)) (January 2005)
- ✧ Defining the Boundaries within the Executive: Ministers, Special Advisers and the permanent Civil Service (Ninth Report (Cm 5775)) (April 2003)
- ✧ Standards of Conduct in the House of Commons (Eighth Report (Cm 5663)) (November 2002)
- ✧ The First Seven Reports - A Review of Progress - a stock-take of the action taken on each of the 308 recommendations made in the Committee's seven reports since 1994 (September 2001)
- ✧ Standards of Conduct in the House of Lords (Seventh Report (Cm 4903)) (November 2000)
- ✧ Reinforcing Standards (Sixth Report (Cm 4557)) (January 2000)
- ✧ The Funding of Political Parties in the United Kingdom (Fifth Report (Cm 4057)) (October 1998)
- ✧ Review of Standards of Conduct in Executive Non-Departmental Public Bodies (NDPBs), NHS Trusts and Local Public Spending Bodies (Fourth Report) (November 1997)¹⁸
- ✧ Standards of Conduct in Local Government in England, Scotland and Wales (Third Report (Cm

¹⁸ This report was not published as a Command Paper.

UNCLASSIFIED

3702)) (July 1997)

- Local Public Spending Bodies (Second Report (Cm 3270)) (June 1996)
- Standards in Public Life (First Report (Cm 2850)) (May 1995)

Since 2004, the Committee has also undertaken four biennial surveys of public attitudes towards conduct in public life. Findings were published in 2004, 2006, 2008, 2011 and 2013.

UNCLASSIFIED

UNCLASSIFIED

Annual Report 2013-14 were published in 2004, 2006, 2008 and 2011

Published electronically by the Committee on Standards in Public Life

The Committee on Standards in Public Life

Room GC05

1 Horse Guards Road

London SW1A 2HQ

Tel: 020 7271 2948

Internet: www.public-standards.gov.uk

Email: public@standards.gsi.gov.uk

September 2014

UNCLASSIFIED

Agenda Item 7

By virtue of paragraph(s) 1, 2 of Part 1 of Schedule 12A
of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank