

Swindon Borough Council

Standards Committee

Monday, 2 July 2018

Committee Room 6, Civic Offices

At 5.00 p.m.

Councillors

Kevin Parry
Maureen Penny
Vera Tomlinson
Steve Weisinger
Caryl Sydney-Smith (Deputy)
(Conservative)

Teresa Page (Chair)
(Independent)

Steph Exell
Janine Howarth
Jane Milner-Barry
(Labour)

Stan Pajak
(Liberal Democrat)

Co-opted Representatives

Mr Trevor Davies
Mr David Dawson
(Lay Representatives)

Mr Mike Compton
Mr Richard Hailstone
(Parish Representatives)

Independent Persons for Information:

Mr Paul Morris
Mr Keith Strickland

Committee Officer: Vicki Yull (Tel: 01793 463603) email: VYull@swindon.gov.uk

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

AGENDA

PART 1 (PUBLIC ITEMS)

1. Apologies for Absence

2. Appointment of Vice-Chair

Members will be invited to nominate representatives for the position of Vice-Chair of the Committee.

3. 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.

4. Minutes (Pages 5 - 8)

To receive the minutes of the meeting held on 27th March 2018.

5. Public Question Time

Please refer to the explanatory notes below.

6. 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>
10	1 and 2

7. Standards Committee Annual Report (Pages 9 - 22)

8. Annual Work Programme (Pages 23 - 26)

9. Ethical Framework Update (Pages 27 - 72)

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

10. Ethical Compliance Report (Pages 73 - 76)

Date of despatch: 22nd June 2018

Public Question Time - Swindon Borough Council remains committed to increasing its accountability to the public and to promoting active citizenship. 15 minutes will be allowed at the start of all Council meetings for questions to the Chair from the public about the work of the Committee (except for confidential matters, and matters relating to planning and licensing applications). We will give priority to those who submit questions in writing at least two days before the meeting. Questions must be relevant, clear, and concise. You may not use Public Question Time as an opportunity to make speeches or statements.

Questions in writing should be sent to the Committee Officer whose contact details appear on the agenda above or to the Director of Law and Democratic Services. We will publish it, along with the answer, alongside the Minutes. The process associated with asking a public question is set out in the "Public Question Time at Council Meetings Protocol and Guidance" available from the Committee Officer named above or on the Council's Website at:

(<http://ww5.swindon.gov.uk/moderngov/ecCatDisplay.aspx?sch=doc&cat=13338&path=0>).

Access Arrangements - The venue is wheelchair accessible and an infrared receiver hearing system is provided. If you have any special requirements to enable you to attend the meeting, or would like to receive any of the pages contained in this agenda in a larger print size, please contact the Committee Officer as soon as possible prior to the date of the meeting.

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

TUESDAY, 27 MARCH 2018

PRESENT: Councillors Dave Wood (Chair), Steve Weisinger (Vice-Chair), Kevin Parry, Eric Shaw, Tim Swinyard and Vera Tomlinson, Messrs Mick Compton, Trevor Davies, Richards Hailstone and Keith Strickland.

Apologies for absence were received from Councillors Jane Milner-Barry, Teresa Page and Joe Tray, Messrs David Dawson and Paul Morris.

24. Declarations of Interest

The Chair reminded members of the need to declare known interests in any matters to be considered at the meeting.

25. Minutes

Resolved – That the minutes of the meeting held on 15th January 2018 be confirmed and signed as a correct record.

26. Public Question Time

There were no public questions.

27. 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 items listed below on the grounds that it involves 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>
7	1 and 2	29

28. Ethical Framework Update

The Committee considered a report from the Deputy Monitoring Officer which provided an update on the following matters relating to the Ethical Framework and issues of probity in the Council.

Dispensations

The Committee noted that no dispensations had been requested by Councillors since the last meeting.

Summary of Code of Conduct Complaints

The Committee noted the summary of Code of Conduct complaints, set out in

paragraph 3.5 of the report, and received a brief update on the increased number of complaints received during the current Municipal Year.

It was also noted that an Assessment Panel had been held on 22nd March 2018 to consider eight complaints but that, as the outcomes had not yet been communicated to the respective complainants and respondents, the details of those complaints would be reported to the next meeting of this Committee.

Member Training

The Committee noted the details of the training and development events that had taken place during the current Municipal Year, including details of both Borough and Parish Councillor attendance at those events, attached at Appendix 1 and Appendix 2 to the report. It was also noted that work is progressing on the Induction Programme and Member Training and Development Programme for the 2018/2019 Municipal Year, as agreed by the Member Development Advisory Group at its meeting on 6th March 2018, the details of which will be reported to this Committee at future meetings.

The Committee noted that the Monitoring Officer had conducted training sessions throughout the previous year for Parish Councillors on the Code of Conduct, Chairing Skills, and decision-making, the details of which were set out in Appendix 3. The details of other training arranged by Parish Clerks for their respective councils during the year was also noted.

Membership of the Independent Remuneration Panel

The Committee noted that the four year period of Mr John Dernie's appointment to the Panel as the Business Sector Representative ends in April 2018. It was also noted that, since there is no restriction on the re-appointment of members, Mr Dernie had been approached with a view to him continuing to serve on the Panel, and that he had advised that he was willing to do so.

Membership of the Standards Committee – Independent Persons

The Committee noted that the period of office of the Council's two Independent Persons would expire in May 2018 and that, in response to the advertising of the vacancies, fourteen applications had been received. In accordance with the Council's process, these had been circulated to the Group Leaders for their comments in order to begin the shortlisting process.

The Committee noted that interviews for the positions will take place in the week commencing 2nd April 2018, with the Chief Executive and Monitoring Officer forming the interview panel, and that the Monitoring Officer will recommend the appointment of the Independent Persons to the Annual Meeting of the Council on 18th May 2018.

Local government ethical standards: stakeholder consultation

The Committee was advised that, on 29th January 2018, the Committee on Standards in Public Life had published a consultation paper to inform its review of local government ethical standards.

The Committee noted the following terms of reference for the review:

- To examine the structures, processes and practices in local government in England for:
 - maintaining codes of conduct for local councillors.
 - investigating alleged breaches fairly and with due process.
 - enforcing codes and imposing sanctions for misconduct.
 - declaring interests and managing conflicts of interest.
 - Whistleblowing.
- To assess whether the existing structures, processes and practices are conducive to high standards of conduct in local government.
- To make any recommendations for how they can be improved.
- To note any evidence of intimidation of councillors, and make recommendations for any measures that could be put in place to prevent and address such intimidation.

In considering this item, the Committee worked through the questions set out in Appendix 4 to the report. The Committee agreed that a draft response to the consultation on behalf of the Committee be created and circulated electronically to members for approval prior to final submission by the 18th May 2018.

Resolved – (1) That the Ethical Framework Update, including dispensations granted to members of the Borough Council, the Summary of Code of Conduct complaints, the latest position regarding member training and development within the Borough, and the latest position regarding the recruitment of the Independent Persons be noted.

(2) That, in view of his experience and commitment, the continued appointment of Mr John Dernie to the Independent Remuneration Panel, as the Business Sector representative, be approved.

(3) That the Monitoring Officer, in consultation with the Chair of the Committee, be authorised to submit a response to the local government ethical standards stakeholder consultation on behalf of the Committee, the draft of which to be circulated electronically to members for approval prior to final submission by the 18th May 2018.

29. Ethical Compliance Report

The Committee considered a report regarding the outcome of various ethical compliance matters, including the details of any Whistleblowing cases, Code of Conduct Complaints, and breaches of the Member / Officer Protocol received since the last Committee, and the outcome of any completed investigations in relation to these. The Committee noted that anonymous allegations are given as much equal weighting as to others received, though outcomes may be affected if further information is required which cannot be provided.

Resolved – That the Ethical Compliance Report be noted.

This page is intentionally left blank

Standards Committee Annual Report

Standards Committee

Date: 2nd July 2018

Author: Director of Law and Democratic Services

Wards: All

Parishes Affected: All

1. Purpose and Reasons

- 1.1 To ask the Committee to agree its Annual Report for 2017/18.

2. Recommendations

The Committee is recommended to:

- 2.1 Consider and, subject to any amendments that might be agreed by the Committee, to accept its Annual Report for the period June 2017 – May 2018.

3. Detail

- 3.1 The Standards Committee has each year considered an Annual Report summarising its work for the previous year.
- 3.2 The draft of the Annual Report for 2017/18 is attached at Appendix 1. The Committee is asked to consider this draft and, subject to any amendments members might agree, to accept it as an accurate reflection of the work carried out by the Standards Committee during the year.

4. Alternative Options

- 4.1 It is good practice to make an Annual report on the work of the Committee, but this is a matter for the Committee to determine.

5. Implications, Diversity Impact Assessment and Risk Management

Financial and Procurement Implications

- 5.1 There are no financial or procurement implications of this report.

Legal and Human Rights Implications

- 5.2 There are no specific legal or human rights implications of this 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.

Further information on the subject of this report can be obtained from either Stephen Taylor on 01793 463012 or staylor@swindon.gov.uk, or Vicki Yull on 01793 463603 or vyull@swindon.gov.uk.

Standards Committee Annual Report

Standards Committee

Date: 2nd July 2018

Diversity Impact Assessment

- 5.4 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

- 5.5 A risk assessment has not been completed for this report as it does not recommend a change in Council policy or service.

6. Consultees

- 6.1 The Director of Finance (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 – Draft Standards Annual Report for the period June 2017 to May 2018.

Further information on the subject of this report can be obtained from either Stephen Taylor on 01793 463012 or staylor@swindon.gov.uk, or Vicki Yull on 01793 463603 or vyull@swindon.gov.uk.

Swindon Borough Council

Standards Committee

Annual Report

1st June 2017 – 31st May 2018



Introduction

The Council adopted a new Members Code of Conduct with effect from 1 July 2012 and, at that time, appointed a non-statutory Standards Committee to be responsible for maintaining the Council's profile of probity and conduct through the promotion and maintenance of high standards of conduct by councillors, and to assist them in observing their Code of Conduct.

The specific roles and functions of the Standards Committee are set out in Article 9 of the Council's Constitution (attached to this report at Appendix A).

This Annual Report is a record of the work of the Standards Committee in the period 1st June 2017 to 31st May 2018.

Membership of the Committee for 2017/2018:

Councillors	Parish Representatives	Co-opted Lay Representatives	Independent Persons
Jane Milner-Barry	Mr Mike Compton	Mr Trevor Davies	Mr Paul Morris
Teresa Page	Mr Richard Hailstone	Mr David Dawson	Mr Keith Strickland
Kevin Parry			
Eric Shaw			
Tim Swinyard			
Vera Tomlinson			
Joe Tray			
Steve Weisinger (Vice Chair)			
Dave Wood (Chair)			
Colin Lovell (Deputy)			
Caryl Sydney- Smith (Deputy)			

Independent Persons and the Independent Persons Protocol

Under the Localism Act 2011, the Council has appointed two Independent Persons, Messrs Paul Morris and Keith Strickland, to carry out the functions set out in the Act in respect of providing their views to complainants, councillors and the Assessment Panel on complaints and the complaints process. The period of these appointments expired on the date of the Annual Council meeting in 2018. At that meeting, following the advertising of the two vacancies and the subsequent recruitment process, both Mr Morris and Mr Strickland were re-appointed for a further 4 years.

A Protocol for the Independent Persons, setting out the parameters of their work with, and on behalf of, the Council and its Standards Committee was approved and adopted on 7 October 2013.

Annual Report and Work Programme

At its first meeting in the 2017/18 Municipal year, the Committee received, and approved, its Annual Report for the preceding year and also agreed a work programme

for the year ahead. As in the previous year, the Standards Committee, via its Standards Assessment Panel, continued to be the arbiter of Complaints under the Council's Members' Code of Conduct and was also responsible for the review of the Council's other Codes and Protocols and the monitoring of Whistleblowing Complaints. The Standards Committee met on four occasions in the 2017/18 Municipal Year.

Summary of Members Code of Conduct Complaints

The Standards Assessment Panel is charged with making an initial assessment decision in relation to all Member Code of Conduct complaints. In 2017/18, the Panel met on six occasions, to determine 36 complaints. The following table provides comparative data for the last 10 years.

Year	Complaints	No Further Action	Referred for Investigation	Referred for Monitoring Officer or other Action	Breach following hearing	No action following referral	Local Resolution
2008/09	14	13	1	0	1	0	N/A
2009/10	7	5	2	1	1	1	N/A
2010/11	12	8	4	4	0	4	N/A
2011/12	10	8	2	2	0	2	N/A
2012/13	5	5	0	0	0	0	N/A
2013/14	14	11	3	1	0	1	2
2014/15	5	5	0	1	0	0	0
2015/16	4	4	0	2	0	0	0
2016/17	1	1	0	1	0	0	0
2017/18	36	27	8	4	TBC	TBC	1

Type of Complaints

There were 4 Code of Conduct complaints received during 2017/18 made against Borough Councillors, 3 of which were made by members of the public and one by a Borough Councillor.

The remaining 32 complaints were complaints against 13 Parish Councillors, 29 of which related to 11 Parish Councillors from one Parish Council. All were made by members of the public apart from one, which was submitted by the Parish Clerk.

Processing of Complaints

The Standards Assessment Panel carried out the first stage assessment of the 36 complaints received in accordance with the Standard Committee's agreed process for the initial assessment of complaints. In eight cases, the Panel was of the view that they should be referred for investigation, and this has been done. In one case, the Panel was of the view that a local resolution should be offered. In the remaining 27 cases, there did not appear to be a potential breach of the Code of Conduct and the Panel therefore determined that no further action be taken, but did ask the Monitoring Officer to offer training or other informal resolutions to those involved in four of these complaints which has also been done.

Monitoring of Complaints

The Standards Committee received a summary of the progress of Code of Conduct complaints at each meeting during the year, as part of the ethical compliance update report.

Breaches of the Member / Officer Protocol

At each meeting of the Committee, the Monitoring Officer reported as to whether or not any complaints had been received under the Member / Officer protocol. No complaints were received under the Protocol of Member / Officer relations during 2017/18.

The Monitoring Officer has continued to work behind the scenes in discussion with senior officers and political groups, in relation to any incident, which he has been made aware of informally.

Monitoring of Whistleblowing Complaints

Throughout the year, the Standards Committee has continued to monitor complaints received under the Council's Whistleblowing policy. The Committee were notified of new complaints and the progress and outcomes of subsequent investigations, including any learning points which arose.

During 2017/18, the Standards Committee was advised of the receipt by the Council of thirteen new whistleblowing cases. These were all the subject of investigation by Internal Audit, or, where appropriate, were referred for investigation by the appropriate Head of Service or Human Resources.

Of the thirteen cases reported to the Standards Committee:

- Four were substantiated with recommendations that existing working arrangements be amended.
- Five were unsubstantiated
- A further four were unsubstantiated but a number of improvements were made to processes as a result of the Internal Audit investigations.

Annual Governance Statement

At its first meeting in the year, the Standards Committee was invited to review the Council's Annual Governance Statement (AGS) and to identify any additional significant control issues that it would like to be included. The AGS is a formal statement that recognises, records and publishes an authority's governance arrangements and is designed not only to give an opportunity for authorities to consider the robustness of their governance arrangements, but also provide an accurate representation of arrangements in place during the year and to identify areas where improvement is required.

The guidance for the AGS requires the Council to set out its governance arrangements and key elements of internal control and the sources of assurance; a review of the effectiveness of those governance and internal controls and a requirement to identify significant governance issues.

The Committee noted that the AGS had been revised following discussion at Corporate

Management Team, and that the following areas still required progress before they could be taken off the statement for 2017/18:

- Information Governance and Security
- GCSE attainment

The following additional areas were recommended for inclusion in the statement for 2017/18:

- Financial Stability and the Swindon Programme
- Children Services
- Premises Management

The Committee reviewed the draft Annual Governance Statement, and agreed that it be approved to be signed off by the Leader and Chief Executive in June 2018, following its formal approval by the Council's Audit Committee.

Independent Remuneration Panel on Councillors' Allowances: Membership and Allowances

Under Article 9 of the Council's Constitution, the Standards Committee is responsible for approving procedures associated with the appointment of the Independent Remuneration Panel on Councillors' Allowances, established under the provisions of the Local Authorities (Members Allowances) (England) Regulations 2003.

At its meeting on 6th November 2017, the Committee's approval was sought for the re-appointment of Mr. Ram Thiagarajah as a Lay representative to serve on the Independent Remuneration Panel, following the cessation of his current appointment in October 2017, and it endorsed his re-appointment for a further period of three years.

Also at its meeting on 6th November 2017, the Panel was invited to review the Panel Member Role Definition and the amount of annual allowance paid to members of the Panel for their service. The Panel endorsed the current role profile as being fit for purpose and agreed that the annual allowance be increased to £225, with future increases being index linked to the % increase awarded to officers in the national pay round until 2020, at which time the allowance will be further reviewed.

At its meeting on 15th January 2018, the Committee's approval was sought for the re-appointment of Mrs. Wendy Hall as the Voluntary / Community Sector representative to serve on the Independent Remuneration Panel, following the cessation of her current appointment in February 2018. The Panel noted that Mrs. Hall had declared her intention to step down from the Panel, and it endorsed her re-appointment for an unspecified period of time until the position had been filled.

At its meeting on 27th March 2018, the Committee's approval was sought for the re-appointment of Mr. John Dernie as the Business Sector representative to serve on the Independent Remuneration Panel, following the cessation of his current appointment in April 2018, and it endorsed his re-appointment for a further period of four years.

Desktop Ethical Audit

The Standards Committee had previously agreed to undertake an annual Desktop

Ethical Audit, based on the matrix designed by the Institute for Democracy and Electoral Assistance (IDEA), to assess that it has all governance requirements in place.

The annual self-assessment and update was considered and approved by the Committee in November 2017 who were satisfied that all governance requirements are in place.

Leader and Chief Executive ‘Question and Answer’ Session

The Leader of the Council and the Chief Executive are invited annually to meet with the Standards Committee to report on matters relating to the Council’s ethical governance framework and issues of probity, and to discuss with members the key priorities for ensuring that high ethical standards continue to be promoted and maintained within the Council. This year, the Leader and the Chief Executive attended the meeting of the Committee on 15th January 2018.

Following the opening remarks from the Leader and Chief Executive, members were given the opportunity to put forward questions to them. In response to questions, members were advised that, with regard to members’ previously expressed comments, the Monitoring Officer and Section 151 Officer continued to attend Corporate Management Team (CMT) meetings and that it was also likely that the Council’s Communications Manager might also be invited to attend CMT meetings to better position that group to address issues arising from the recent peer review around communications. The Chief Executive reported that, following organisational changes made to the Council’s senior management, the newly-appointed Director for Communities and Housing would be joining the Council in February 2018.

The Chief Executive also referred to the outcome of the Community Governance Review and the establishment of several new Parish Councils and confirmed that, as with the existing parishes, the Monitoring Officer had provided guidance and training for new Parish Councillors matters of conduct.

Review of the Council’s Codes and Protocols

The Standards Committee regularly reviews the Council’s Codes and Protocols to ensure that these remain appropriate and up to date.

At its meeting on 15th January 2018, the Committee received the results of the Annual Review of the following Council Codes and Protocols, undertaken by the Monitoring Officer in accordance with the Committee’s established review process and involving consultation with relevant officers, each of the political groups on the Council, and also with Parish Councils.

- Members’ Code of Conduct.
- Officers’ Code of Conduct.
- Monitoring Officer Protocol.
- Councillor Role Definitions.
- Media Guidelines for Councillors.
- Protocol for Member/Officer Relationships.
- Members Code of Good Planning Practice.
- Local Code of Corporate Governance.
- Recording, Photography and use of social media protocol and guidance.

- Public Question Time at Council Meetings Protocol and Guidance.
- The Whistleblowing Policy.

Members' views were sought on the various submissions made in response to the Monitoring Officer's review and whether changes were required to ensure these remain fit for purpose. The Committee resolved that the outcome of the consultation on the Council's Codes and Protocols be noted and that these be approved, without amendment, for inclusion in the Council's Constitution for 2018/19.

Consultation on updating the disqualification criteria for local authority members

At its meeting on 6th November 2017 the Committee considered a consultation paper, published by the Department for Communities and Local Government on 18th September 2017, setting out the government's proposals for updating the criteria disqualifying individuals from being elected, or holding office, as a local authority member or directly elected mayor. The proposal was to update the disqualification criteria to include an individual being added to the sex offenders register, being given an Anti-social Behaviour Injunction, and being given a Criminal Behaviour Order.

In considering this item, the Committee noted that Civil Injunctions (proposed by the paper as one of the disqualification criteria) are a particular type of injunction which have proven controversial and may require further thought before being used as a criteria because, as they currently stand, they have too broad a definition and are open to being used maliciously.

The Committee agreed that individual member responses would be submitted to the Monitoring Officer by 20th November 2017 in order that a draft response to the consultation on behalf of the Committee be created and circulated electronically to members for approval prior to final submission by the 8th December 2017.

At its meeting on 15th January 2018, the Committee noted the content of the Swindon Borough Council submission which had been submitted by the deadline of 8th December 2017.

Local Government Ethical Standards: Stakeholder Consultation

At its meeting on 27th March 2018 the Committee considered a consultation paper, published by the Committee on Standards in Public Life on 29th January 2018, to inform its review of local government standards.

The Committee noted the following terms of reference for the review:

- To examine the structures, processes and practices in local government in England for:
 - maintaining codes of conduct for local councillors.
 - investigating alleged breaches fairly and with due process.
 - enforcing codes and imposing sanctions for misconduct.
 - declaring interests and managing conflicts of interest.
 - Whistleblowing.

- To assess whether the existing structures, processes and practices are conducive to high standards of conduct in local government.
- To make any recommendations for how they can be improved.
- To note any evidence of intimidation of councillors, and make recommendations for any measures that could be put in place to prevent and address such intimidation.

In considering this item, the Committee worked through the questions set out in the consultation paper. The Committee agreed that a draft response to the consultation on behalf of the Committee would be created and circulated electronically to members for approval prior to final submission by the 18th May 2018.

Training

The Committee has continued to assure itself, by receiving regular updates, that appropriate ethical training of Borough Councillors and Parish Councillors is taking place. Reports were made to each of the Committee's meetings in the 2017/18 Municipal Year, providing a record of all the member training events that had taken place, including details of councillor attendance at those events and their feedback from those events.

Following the Council elections in May 2018, an induction session was held on 8th May 2018 to welcome six Councillors who had not been members of the Council before, as well as one former-Councillor. In addition to affording six members the opportunity to meet the Chief Executive and other senior officers, they received an introduction from the Monitoring Officer to the Ethical Framework, covering Ethics and Probity, Code of Conduct and Register of Interests matters.

On 9th May 2018, the six members heard hints and tips from serving councillors, and received an introduction to Customer Services and the Members Hotline. The Monitoring Officer also provided further training on Corporate Governance and the Constitution, and the rules, protocols and conduct of Full Council meetings.

An individual session was held subsequently with the Monitoring Officer for the only newly elected councillor who had been unable to make the group sessions.

Parish Councils

The Standards Committee has continued to monitor training for Parish Councillors and offered assistance where required. The Committee has received an update at each of its meetings on training issues relating to local Parish Councils, including the details of training events held. All but two of Swindon's Parish Councils (Bishopstone & Hinton Parva, and Blunsdon) have adopted the Council's own Members' Code of Conduct. Where a Parish Council has opted to utilise an alternative code, training has been provided via the Wiltshire Association of Local Councils. The Monitoring Officer has carried out a number of training sessions for Parish Councils during the year. Two sessions were held on Chairing Skills with 8 councillors attending. One session has been held on Code of Conduct matters which 9 councillors attended, and a session has been held on decision-making and governance which 5 councillors attended.

The Monitoring Officer has continued to chair quarterly meetings of Parish Clerks in the Borough throughout the year. The Ethical Framework is a standing item on the agenda,

with any issues arising reported back to the Standards Committee. In addition, quarterly liaison meetings chaired by the Monitoring Officer continue to be held between Parish Councillors and representatives of the Borough Council. Promoting and maintaining the Borough / Parish Charter, which is an important part of decision-making and proper consultation between the Borough and the Parishes, is a standing item on the agenda.

Complaints on Ethical Standards

The Council monitors complaints received from members of the public in relation to its operation and decision-making. No complaints were received during the 2017/18 Municipal Year that related to the ethical standards of the authority.

Dispensations

Under the arrangements for implementing the Localism Act 2011, the Council has previously agreed that the role of granting dispensations should be delegated to the Standards Committee. At its meeting on 7th November 2016, the 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 until 6th November 2020. Dispensations are granted in consultation with the Chair of the Standards Committee.

Following the Local Government election in May 2018, the seven newly-elected members applied for dispensation and these were subsequently granted by the Director of Law and Democratic Services in consultation with the Chair of the Standards Committee. The dispensations will be valid until 6th November 2020, in line with the period of dispensation already made to existing members of the Council.

The Committee also noted that the Director of Law and Democratic Services, in consultation with the Chair of the Standards Committee, would continue to be authorised to grant applications for urgent dispensations on any subject matter in between meetings of the Committee, with any such dispensations granted being reported to the next scheduled meeting. The Committee also asked the Director of Law and Democratic Services to advise the Town and Parish Clerks of the need to arrange similar applications and determination of dispensations in respect of Town and Parish Councillors setting Parish budgets and precepts.

Summary

The Standards Committee has continued to use its best endeavours to promote and monitor ethical standards in the authority and within local Parish Councils. It has actively supported a comprehensive review of codes of conduct and behavior and through the promotion of ethical training for Borough and Parish Councillors has undoubtedly enhanced the public perception of the Council's openness, accountability and probity, in its own work and in its joint working with partners and stakeholders.

The Committee has continued to monitor and review the Council's ethical framework, in conjunction with stakeholder and local community groups, to ensure that good governance is maintained and to protect the reputation of the authority.

Article 9 – The Standards Committee

9.01 Composition

- (a) **Membership.** The Standards Committee will be composed of
- at least six Councillors (who may not be the Mayor, the Leader of the Council or the Leader of any other political group on the Council or a Cabinet Member);
 - up to two co-opted members who are not councillors or officers of the Council, and have not been so during the previous 5 years, and are not a close relative or friend of a councillor or officer of the Council (lay members).
 - up to two people who are members of any parish council wholly or mainly in the Council's area (to be nominated by the parish councils within the Borough) who are not also members of the Borough Council (parish members).
- (b) **Lay and Parish Members.** - Lay and parish members will not be entitled to vote at meetings;
- (c) **Quorum.** A quorum shall be three members including at least two councillors

9.02 Role and Function

The Standards Committee will have the following roles and functions:

- (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.

9.03 **Advice and Procedure**

The Council's Monitoring Officer or his/her nominee will act as Clerk to the Committee.

The Committee will adopt such procedures as it considers necessary to discharge its role and appoint such sub-committees or Panels as it thinks fit, including an Assessment or Hearings Panel as required.

DRAFT

Annual Work Programme

Standards Committee

Date: 2nd July 2018

Author: Director of Law and Democratic Services

Wards: All

Parishes Affected: All

1. Purpose and Reasons

- 1.1 To ask the Committee to agree its Work Programme for 2018/19.

2. Recommendations

The Committee is recommended to:

- 2.1 Consider and agree its Work Programme for 2018/19.

3. Detail

- 3.1 A draft work programme for the Committee for 2018/19 is attached at Appendix 1 for the Committee to discuss and agree its priorities for the year. This is based upon the anticipated work for the Committee during the year, but can be adapted in response to any other matters which arise.

4. Alternative Options

- 4.1 There are no alternative options for this report. It is good practice to agree a work programme for the ensuing year, but this is a matter for the Committee to determine.

5. Implications, Diversity Impact Assessment and Risk Management

Financial and Procurement Implications

- 5.1 There are no financial or procurement implications of this report.

Legal and Human Rights Implications

- 5.2 There are no specific legal or human rights implications of this 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.

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

Annual Work Programme

Standards Committee

Date: 2nd July 2018

Diversity Impact Assessment

- 5.4 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

- 5.5 A risk assessment has not been completed for this report as it does not recommend a change in Council policy or service.

6. Consultees

- 6.1 The Director of Finance (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 – Draft Work Programme for 2018/19

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

Standards Committee
Work Programme for 2018 / 2019

The following work programme is proposed:

Meeting	<u>Agenda Item</u>
2 nd July 2018	<ul style="list-style-type: none"> • Appointment of the Vice-Chair. • Standards Committee Annual Report. • Work Programme. • Annual Governance Statement and consideration of the Annual Governance Statement process.
5 th November 2018	<ul style="list-style-type: none"> • Commence review of Codes and Protocols. • Update to the Council's Ethical Audit Self-Assessment.
21 st January 2019	<ul style="list-style-type: none"> • Review of Codes and Protocols in the context of consultation submissions from stakeholders. • Question and Answer Session with Leader and Chief Executive on Ethical Governance Arrangements.
25 th March 2019	<ul style="list-style-type: none"> • Summary of ethical training undertaken by parish Councillors.
Regular Items:	<ul style="list-style-type: none"> • Ethical Framework Update. • Ethical Compliance Report. <ul style="list-style-type: none"> ➤ Monitor complaints under the Council's Anti-Fraud and Corruption Strategy and Whistleblowing Policy. ➤ Receive updates on complaints against Councillors. • Updates on training for Officers, Councillors and Parish Councillors in respect of ethical framework issues. • Updates on requests for dispensations.
Other reports and Meetings as required:	<ul style="list-style-type: none"> • Assessment Panels to be convened as necessary to consider Code of Conduct complaints against members. • Urgent ethical and probity issues as they arise. • Responding to Government Guidance, Regulations and Consultations as issued.

This page is intentionally left blank

Ethical Framework Update

Standards Committee

Date: 2nd July 2018

Author: Director of Law and Democratic Services

Wards: All

Parishes Affected: All

1. Purpose and Reasons

- 1.1 To provide an update on various matters related to the Ethical Framework and 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, including: dispensations granted to members of the Borough Council; the co-option of Parish Representatives on to this Committee; the appointment of Independent Persons; the Summary of Code of Conduct complaints; the latest position regarding councillor induction, training and development within the Borough; the latest position regarding the Register of Interests for all Borough Councillors; and the two reports from the Committee on Standards in Public Life regarding Ethical Standards for Providers of Public Services and Intimidation in Public Life.
- 2.2 Review the draft Annual Governance Statement and identify any additional significant control issues that it would like to be considered for inclusion in the Statement, prior to sign off by the Leader and Chief Executive in September 2018.
- 2.3 Endorse the appointment of Ms Michelle Howard as a representative of the Voluntary and Community Sector on the Independent Remuneration Panel on Councillors' Allowances for a period of four years, ending in July 2022.

3. Detail

Dispensations

- 3.1 Section 33 of the Localism Act 2011 enables members who consider that they may have a disclosable pecuniary interest to apply for a dispensation to allow them to speak and vote. Any dispensation granted under section 33 of the Localism Act 2011 must specify the period for which it has effect, and the period specified may not exceed four years.
- 3.2 At its meeting on 7th November 2016, the Standards Committee authorised the Director of Law and Democratic Services to grant any applications for a dispensation on the subject matter of Council Tax for a four year period. Dispensations are granted in consultation with the Chair of the Standards Committee and are reported back to the next available 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: 2nd July 2018

-
- 3.3 Also at its meeting on 7th November 2016, the Standards Committee authorised the Director of Law and Democratic Services, in consultation with the Chair of the Standards Committee, to grant applications for urgent dispensations on any subject matter in between meetings of this Committee. Any such dispensations to be reported to the next scheduled meeting of this Committee.
- 3.4 Several new members have joined the Council since the election in May 2018. A list of members who have applied for a dispensation is attached at Appendix 1.

Membership of the Standards Committee – Parish Representatives

- 3.5 The Wiltshire Association of Local Councils Swindon Area Committee has advised that the existing Parish Council representatives on the Standards Committee, Messrs Mike Compton (Blunsdon) and Richard Hailstone (Haydon Wick), were again nominated for membership of the Committee and they were duly appointed to serve on the Committee for the Municipal Year 2018/19 by Council at its Annual Meeting on 18th May 2018.

Independent Persons

- 3.6 Following interviews for the two positions, which took place on 3rd April, 18th April and 23rd April 2018, the interview panel put forward Messrs Paul Morris and Keith Strickland who were duly appointed to the position of Independent Persons at the Annual Meeting of the Council on 18th May 2018 for a period of four years ending in May 2022.

Draft Annual Governance Statement

- 3.7 The Annual Governance Statement (AGS) is the formal statement that recognises, records and publishes an authority's governance arrangements. It is designed not only to give an opportunity for authorities to consider the robustness of the Council's governance arrangements, but also provide an accurate representation of arrangements in place during the year and to identify areas where improvement is required.
- 3.8 The Council has approved and adopted a local code of corporate governance, which is consistent with the principles of the CIPFA/SOLACE Framework for Delivering Good Governance in Local Government. The AGS explains how the Council has complied with the local code and also meets the requirements of the Accounts and Audit Regulations 2015 in relation to the publication of an annual governance statement.
- 3.9 The guidance for the AGS requires the Council to set out its governance arrangements and key elements of internal control and the sources of assurance; a review of the effectiveness of those governance and internal controls and a requirement to identify significant governance issues. The Council must ensure

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: 2nd July 2018

that it can provide evidence for any of the systems of internal control included in the AGS.

- 3.10 CIPFA/SOLACE has issued guidance '*Delivering good governance in Local Government*' which came in to effect from 1st April 2016 and will impact on the AGS for 2017/18. The revised guidance requires more focus in the Statement to be on outcomes and value for money.
- 3.11 The draft Annual Governance Statement is set out in Appendix 2 to this report.
- 3.12 As part of the document the Council must identify any areas of significant governance or internal control issues that have occurred during 2017/18. Potential areas for inclusion were discussed at Corporate Management Team and with the Council's Monitoring officer and Chief Finance Officer. This included a review of last year's statement and agreeing whether any issues raised for 2016/17 could be taken off and whether any new issues needed to be included.
- 3.13 Audit Committee agreed at its meeting on 5th June that the following issues could be removed from the statement:
 - 3.13.1 Transfer of staff from SEQOL
 - 3.13.2 Parishes
 - 3.13.3 Housing maintenance contract management
- 3.14 Audit Committee agreed that further progress was still required in the following areas before they can be taken off the statement:
 - 3.14.1 Information Governance and Security
 - 3.14.2 GCSE attainment
- 3.15 Audit Committee also agreed three new areas for inclusion in the statement for 2017/18:
 - 3.15.1 Financial stability and the Swindon Programme
 - 3.15.2 Children services
 - 3.15.3 Premises management
- 3.16 The Council also recognises that there has been significant changes to its senior management including at Corporate Management Team including new a Corporate Director: Resources and Growth; Corporate Director: Children and a new Corporate Director: Communities and Housing as well as the retirement of the Chief Executive, in addition to a number of Heads of Service leaving the Council.
- 3.17 Following approval by the Audit Committee at its meeting on 5th June 2018, and, subject to any recommendations this Committee might wish to make on the inclusion of additional significant control issues, the Annual Governance

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: 2nd July 2018

Statement will be signed off by the Leader of the Council and the Chief Executive.

Independent Remuneration Panel - Membership

- 3.18 The Standards Committee is responsible under Article 9 of the Council's Constitution for overseeing and approving the composition and appointments procedures associated with the establishment and maintenance of the Independent Remuneration Panel (IRP) on Councillors' Allowances.
- 3.19 The IRP is made up of six members who are independent of the Council – one each is appointed from the Education, Business and Voluntary / Community Sectors, and there are three Lay Representatives appointed following public advertisement. The three members of the IRP appointed from the Education, Business and Voluntary / Community Sectors serve for a term of office of four years. The three Lay Representatives are appointed for a period of three years. There is no restriction on the re-appointment of members.
- 3.20 The current membership of the Panel is:

Member	Capacity	Term of Office	Expiry date
Mr Keith Strickland (Chair)	Lay Member	3 years	March 2020
Mr Ram Thiagarajah	Lay Member	3 years	November 2020
Mr David Body	Lay Member	3 years	October 2019
Mr John Dernie	Business Sector Representative	4 years	April 2022
Mr Gus Strang	Education Sector Representative	4 years	October 2019
(NB Mrs Wendy Hall remains in post until a replacement has been appointed)	Voluntary / Community Sector Representative	4 years	July 2022

- 3.21 Following the recruitment process undertaken during March and April 2018, the interview panel have put forward Ms Michelle Howard to be appointed as the Voluntary and Community Sector representative.
- 3.22 The Committee is asked to appoint Ms Howard to the Panel for a period of four years, ending in July 2022.

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: 2nd July 2018

Summary of Code of Conduct Complaints

- 3.23 At its meeting on 21st 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 Investigation	Referred for Monitoring Officer or other Action	Breach following hearing	No action following referral	Local Resolution
2008/09	14	13	1	0	1	0	N/A
2009/10	7	5	2	1	1	1	N/A
2010/11	12	8	4	4	0	4	N/A
2011/12	10	8	2	2	0	2	N/A
2012/13	5	5	0	0	0	0	N/A
2013/14	14	11	3	1	0	1	2
2014/15	5	5	0	1	0	0	0
2015/16	4	4	0	2	0	0	0
2016/17	1	1	0	1	0	0	0
2017/18	36	27	8	4	TBC	TBC	1

Induction Training

- 3.24 Six councillors newly-elected in May 2018 had not previously been members of Swindon Borough Council (Cllrs Claire Crilly, Janine Howarth, Imtiyaz Shaikh, Roger Smith, Andrew Spry and Rahul Tarar). One councillor was elected who had previously been a member of the Borough Council (Cllr Brian Mattock).
- 3.25 An induction session was held on 8th May 2018 to welcome them to the Council. They met the Chief Executive and other senior officers, and received an introduction from the Monitoring Officer to the Ethical Framework, covering Ethics and Probity, Code of Conduct and Register of Interests matters.
- 3.26 A second induction session was held on 9th May 2018 at which they heard hints and tips from serving councillors, and received an introduction to Customer Services and the Members Hotline. The Monitoring Officer also provided further

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: 2nd July 2018

training on Corporate Governance and the Constitution, and the rules, protocols and conduct of Full Council meetings.

- 3.27 An individual session was held with the Monitoring Officer for the only newly elected councillors who had been unable to make the group sessions.
- 3.28 Further induction sessions relating to the regulatory Committees have also taken place (Licensing on 21st May 2018, Planning on 22nd May 2018 and Education Transport Appeals on 23rd May 2018).

Member Training – General

- 3.29 Attached at Appendix 3 are the details of the training and development events planned for the 2017-18 Municipal Year. A log of member attendance at these events will be kept and reported to this Committee at a future meeting.
- 3.30 A report was considered by the Member Development Advisory Group at its meeting on 6th March 2018 on member learning and development, and they considered the feedback that had been received on the member training sessions held during the previous Municipal Year. This Committee has indicated that it would also wish to receive this feedback, and the collated information can be found in Appendix 4. Feedback from events held in the current Municipal Year will be available following the next meeting of the Member Development Advisory Group on 3rd October 2018.
- 3.31 The Advisory Group will also be working on enhancing the overview and scrutiny training on offer at the Council.
- 3.32 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, decision-making and chairing skills. Borough Councillors who are also parish councillors attend. The next session planned for Code of Conduct training is taking place on 2nd July 2018.
- 3.33 In addition, parish councillors are also able to attend training sessions as advertised in the Members Bulletin. The details of parish councillor attendance will be kept and reported to this Committee at a future meeting.
- 3.34 At the last meeting of this Committee, members expressed concern at the low attendance figures of councillors at training session. Members are invited to discuss ways of improving attendance which will be submitted to the Member Development Advisory Group for consideration.

Register of Interests

- 3.35 At the May 2018 election, 19 councillors were either newly elected or re-elected to the Council. All 19 are expected to complete a new Register of Interests form for publishing to the Council's website, and for public viewing upon request.

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: 2nd July 2018

- 3.36 At the time of writing this report, 5 of the 19 councillors had yet to complete a new form and return it to the Monitoring Officer. Reminders have been sent and responses are expected shortly.
- 3.37 The annual check to all councillors asking them to review the current copy of their form in the Register has also just been undertaken. Any responses received are logged, and the Register updated accordingly.

Committee on Standards in Public Life

- 3.38 After the government decided in 2013 to expand the remit of the Committee to include public service providers, the Committee on Standards in Public Life produced its first report on the issue of Ethical Standards for Providers of Public Services in 2014. That report made a series of recommendations on how the Cabinet Office and all government departments could reinforce the Seven Principles of Public Life with service providers.
- 3.39 On 10th May 2018 the Committee published a report charting progress against its 2014 recommendations in the new environment in which public service delivery is evolving, including changes to the market and changes to the civil service arising from the planned withdrawal from the European Union. In the report, the Committee finds that the government has made some improvements in how it manages the ethical conduct of contractors as part of a broader maturing of outsourcing practices. But in most other areas there has been little progress in adopting the Committee's recommendations.
- 3.40 The Committee makes a further set of recommendations to the Minister for the Constitution, the Cabinet Office, HM Treasury and Civil Service Learning and all government departments, their permanent secretaries and boards as well as to those in professions who scrutinise government spending and accounts.
- 3.41 This Committee is asked to note the report attached at Appendix 5.
- 3.42 In recent years, the intimidation experienced by Parliamentary candidates, and others in public life, has become a threat to the diversity, integrity, and vibrancy of representative democracy in the UK. On 13th December 2017 the Committee on Standards in Public Life reported its review of intimidation in public life, making a package of recommendations for action to government, social media companies, political parties, the police, broadcast and print media, and MPs and Parliamentary candidates themselves.
- 3.43 This Committee is asked to note the report attached at Appendix 6, and the Government's response to the review in March 2018 attached at Appendix 7.

4. Alternative Options

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

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: 2nd July 2018

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.

Diversity Impact Assessment

- 5.4 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

- 5.5 A risk assessment has not been completed for this report 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.

6. Consultees

- 6.1 The Director of Finance (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 – List of Councillors applying for a Dispensation May 2018.
- 8.2 Appendix 2 – Draft Annual Governance Statement 2017-2018.
- 8.3 Appendix 3 – Member Training Programme 2017-2018.
- 8.4 Appendix 4 – Member Training Sessions Feedback Evaluation 2017-2018.

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: 2nd July 2018

-
- 8.1 Appendix 5 – The Continuing Importance of Ethical Standards for Public Service Providers (*circulated to Committee members under separate cover and available on the Council's website at:*
<http://sbcvpwmmgv02:9070/ieListDocuments.aspx?CId=282&MId=9436&Ver=4>).
- 8.2 Appendix 6 – Intimidation in Public Life: A Review by the Committee on Standards in Public Life (*circulated to Committee members under separate cover and available on the Council's website at:*
<http://sbcvpwmmgv02:9070/ieListDocuments.aspx?CId=282&MId=9436&Ver=4>).
- 8.3 Appendix 7 – The Government's response to the Committee on Standards in Public Life Review of Intimidation in Public Life (*circulated to Committee members under separate cover and available on the Council's website at:*
<http://sbcvpwmmgv02:9070/ieListDocuments.aspx?CId=282&MId=9436&Ver=4>).

This page is intentionally left blank

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

Meeting and item of business for which the dispensation is being sought:

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

The dispensation that is being sought:

Dispensation from both of the restrictions in section 31(4) of the Localism Act 2011 so as to allow me to participate in any discussion and participate in any vote.

Reason for dispensation:

To ensure that the number of members prohibited from participating in discussions and voting on these matters is not so great that it would impede the transaction of the business of the Council.

Length of Dispensation:

For a period of four years with effect from 3 May 2018.

Name of Member	Applied for Dispensation	Dispensation granted by Monitoring Officer
Claire Crilly	10 th May 2018	16 th May 2018
Janine Howarth	7 th May 2018	10 th May 2018
Brian Mattock	7 th May 2018	10 th May 2018
Imtiyaz Shaikh	3 rd May 2018	10 th May 2018
Roger Smith	6 th May 2018	10 th May 2018
Andrew Spry	16 th May 2018	18 th May 2018
Rahul Tarar	8 th May 2018	10 th May 2018

This page is intentionally left blank



**ANNUAL
GOVERNANCE
STATEMENT
2017/18**

Introduction

Swindon Borough Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The Council also has a duty to make arrangements to secure continuous improvement in the way in which its functions are exercised, having a regard to a combination of economy, efficiency and effectiveness

The Council is required to produce an Annual Governance Statement each year which describes its governance arrangements. The Council reviews its governance framework through the Audit Committee. This review identifies where the framework is working and whether there are any significant governance issues that need to be addressed.

The Annual Governance Statement is signed off by both the Leader of the Council and the Chief Executive after being reviewed by the Audit Committee.

Corporate Governance

The purpose of a governance framework

The Council is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, which includes arrangements for the management of risk.

The Council has approved and adopted a local code of corporate governance, which is consistent with the principles of the CIPFA/SOLACE *Framework for Delivering Good Governance in Local Government* (2016).

This statement explains how the Council has complied with the code and also meets the requirements of the Accounts and Audit Regulations 2015 in relation to the publication of a statement on internal control.

The governance framework comprises the systems, processes, culture and values, by which the authority is directed and controlled and its activities through which it accounts to, engages with, and leads the community. It enables the authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost effective services.

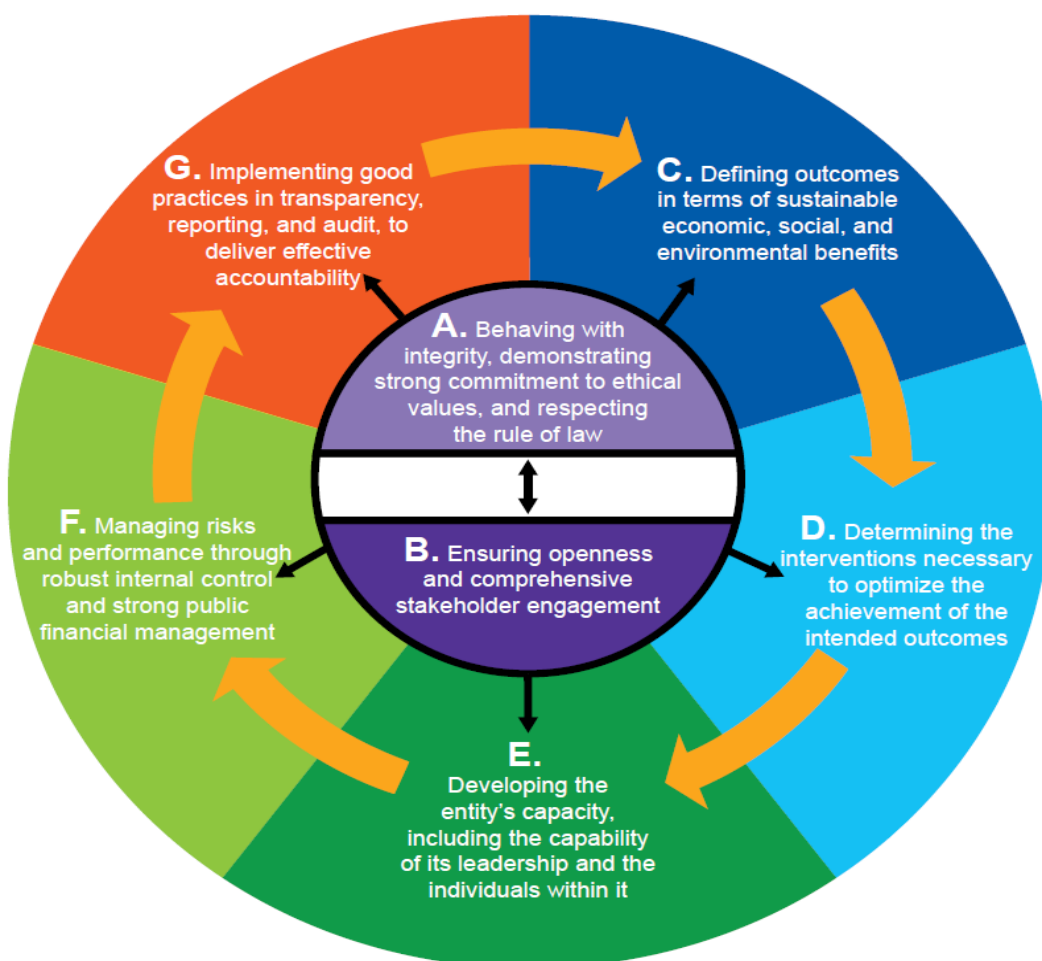
The system of internal control is a significant part of the framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not an absolute assurance of effectiveness. The system of internal control is based on an on-going process designed to identify and prioritise the risks to the achievement of the Council's policies, aims and objectives, to evaluate the likelihood of those risks being realised and to manage them efficiently, effectively and economically.

The Council's framework for ensuring compliance with the core principles of effective governance:

Good corporate governance requires local authorities to carry out their functions in a way that demonstrates accountability, transparency, effectiveness, integrity and inclusion. The Council's Local Code of Corporate Governance sets out the framework by which the Council will meet that commitment. The Code is based upon the following seven core principles:

CIPFA International framework: Good Governance in the Public Sector

Achieving the Intended Outcomes While Acting in the Public Interest at all Times



The Local Code of Corporate Governance forms part of the Council's Constitution and the full version can be found at:

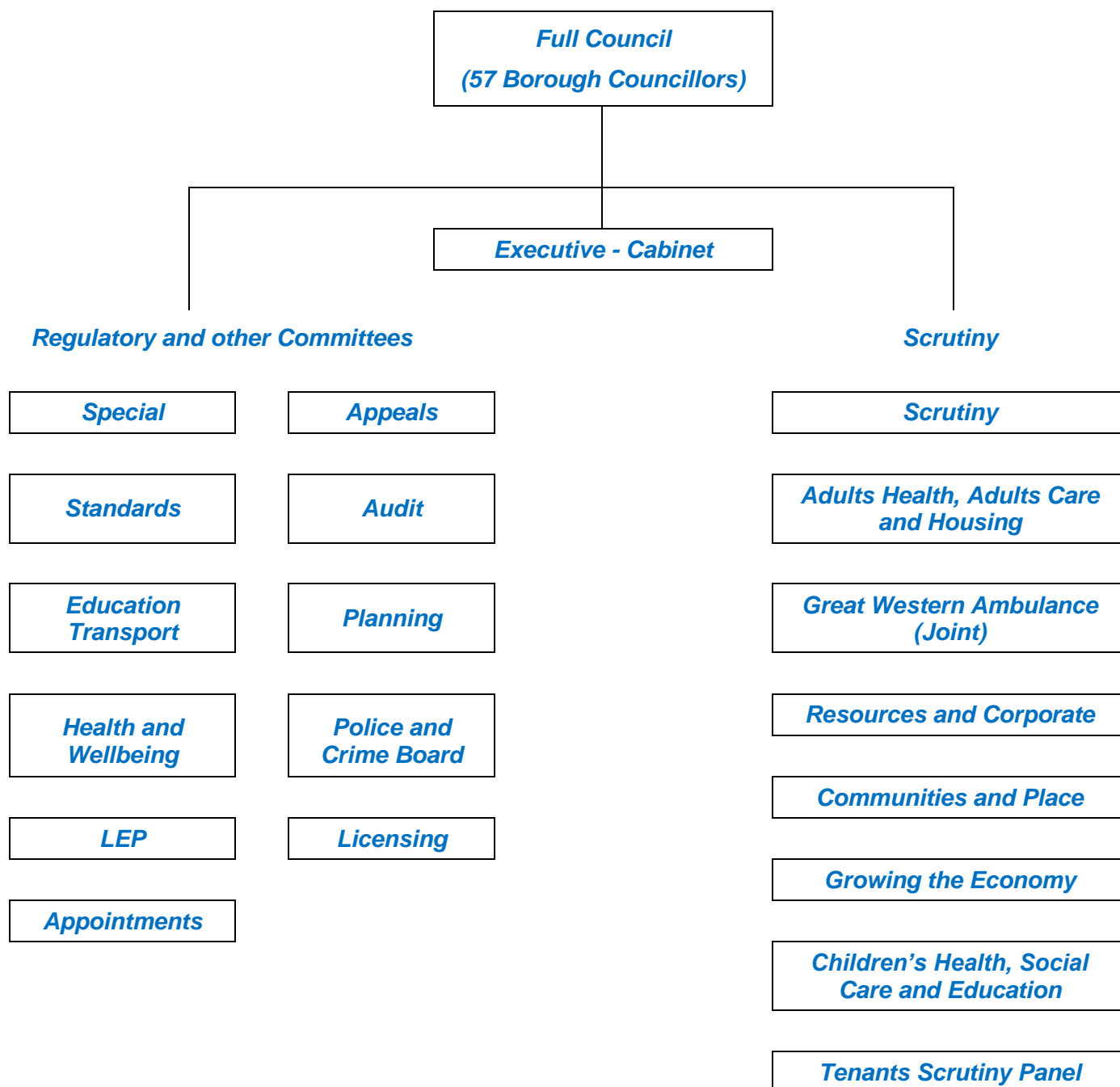
<http://ww5.swindon.gov.uk/moderngov/ecSDDisplay.aspx?NAME=SD6032&ID=6032&RPID=5603053>

The Council has 57 Councillors and operates a Leader and Executive model of decision making. All Councillors meet at Full Council to agree the budget and the policy framework etc. Ten Councillors, including the Leader, form the Executive (Cabinet). The Executive decide on how to deliver the budget and the policy framework.

The remaining 47 Councillors form scrutiny committees. These committees review the policies, process and implications of Cabinet, Cabinet Member and Officer decision- making and the way in which Cabinet and Cabinet Member decisions are made.

There are also a number of regulatory committees such as Audit, Standards, Planning and Licensing.

The Council's current Committee structure is set out below:



Outcomes

The Council's vision, priorities and pledges:

By 2030, Swindon will have all of the positive characteristics of a British city with one of the UK's most successful economies; a low-carbon environment with compelling cultural, retail and leisure opportunities and excellent infrastructure. It will be a model of well managed housing growth which supports and improves new and existing communities.

Swindon will be physically transformed with existing heritage and landmarks complemented by new ones that people who live, work and visit here will recognise and admire. It will remain, at heart, a place

of fairness and opportunity where people can aspire to and achieve prosperity, supported by strong civic and community leadership.

The Corporate Plan sets out a clear set of priorities and pledges, which will enable Councillors and officers to prioritise their work and ensure that the Council is using its increasingly limited resources to best effect in pursuit of delivering the vision for Swindon. You can find out how the Council is performing against each of its priorities and pledges by selecting the priority or pledge links below:

[Priority one: Improve infrastructure and housing to support a growing, low-carbon economy](#)

[Priority two: Offer education opportunities that lead to the right skills and right jobs in the right places](#)

[Priority three: Ensure clean and safe streets and improve public spaces and local culture](#)

[Priority four: Help people to help themselves while always protecting the most vulnerable children and adults](#)

Currently, the Council's Performance Dashboard shows that the following progress has been made:

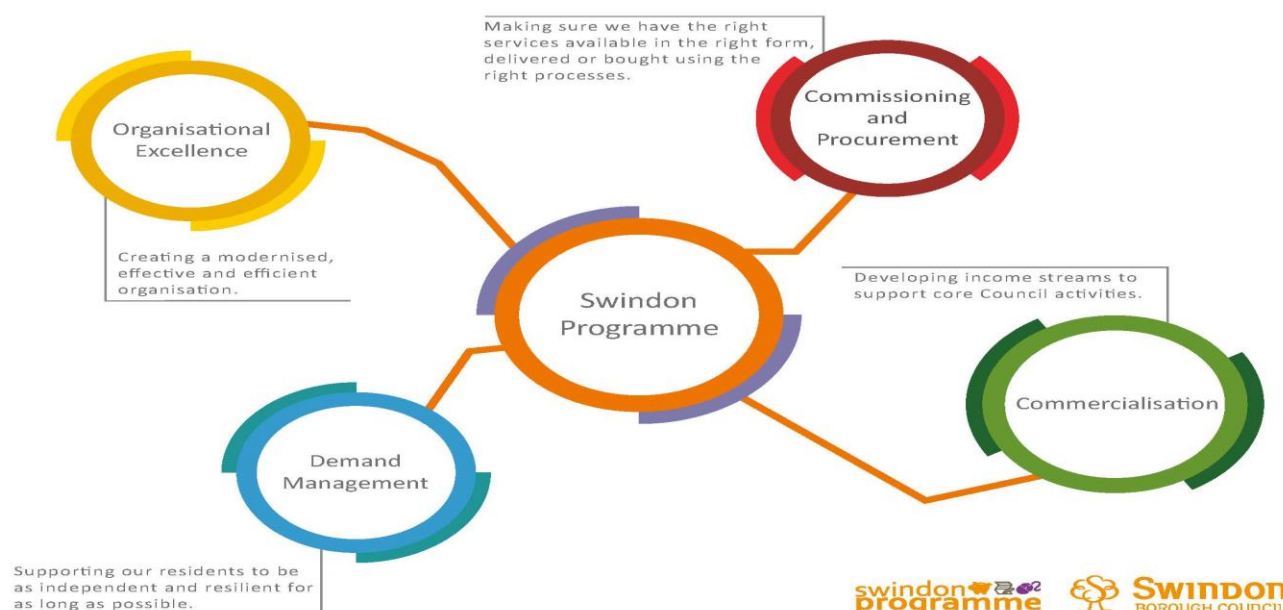
Priority	No. of Pledges	Achieved	On Track	Need Improvement
One	14	2	9	3
Two	5	0	2	3
Three	4	0	3	1
Four	7	0	4	3
Total	30	2	18	10

Swindon Programme

The Swindon Programme sets the challenge of saving £30 million in 30 months. We will do this by transforming the way we work, and making our services, systems and processes more efficient for both our customers and officers. This will allow us to provide the residents of Swindon with the information and support they need in a way that is convenient to them and cost effective for us.

There are four strands to the Swindon Programme:

- Organisational Excellence
- Demand Management
- Commissioning and Procurement
- Commercialisation



Value for Money

The Council's External Auditor, Grant Thornton, was satisfied that in all significant respects, the Council had proper arrangements in place to secure economy, efficiency and effectiveness in the use of its resources. In reaching this conclusion the External Auditor completed an overall assessment of arrangements and risks for the year of audit (2016/17) and looked in detail at how the Council built up savings plans and included them in to budgets.

The Council's financial management arrangements conform to the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer in Local Government (2015). Timely support, information and responses are provided to our external auditors. Findings and recommendations from both our Internal and External Auditors are considered by senior management and at the Council's Audit Committee.

The role of management

The Council's Corporate Management Team has a shared responsibility for delivering the organisational strategic direction, agreeing priorities and driving their successful achievement.

Over the last few years there has been a focused and planned programme of succession planning put in place by the Chief Executive to ensure that the senior management of the organisation is refreshed and better equipped to meet the challenges ahead.

This has resulted in new Corporate Directors being appointed and more recently the Chief Executive being replaced due to retirement. Organisational changes have also meant that some Heads of Service have been replaced and/or left as well.

The development and roll-out of the Swindon (transformation) Programme is continually ensuring that the skills and capacity required to manage the organisation going forwards helps better position the Council to be a modern, efficient and effective organisation.

Risk Management

Risk management is about identifying and understanding the threats to the achievement of the Council's Vision and priorities by taking reasonable and sensible action to reduce the chance of them happening. The Council is committed to managing risks within its control, to keep employees safe, protect assets, maintain and improve its services and make good use of funds, as part of sound corporate governance.

Risk is managed through the activities of the Council, including planning, monitoring, design, and decision-making. Risk is integrated within the planning and performance system and is not a separate standalone process as the management of risk and uncertainty is integral to the delivery of priorities and objectives. The process is designed to be simple to complete and is more focused on identifying and managing key risks rather than all risks.

The Council's Corporate Risk Register is regularly reviewed at Leader's Advisory Group, Audit Committee and the Corporate Management Team as part of their review of overall organisational performance to ensure that the significant risks are being managed effectively.

Key risks identified in the Corporate Risk Register are:

Risk area	Risk rating	Risk area	Risk rating
Financial sustainability	High	Safeguarding children	Medium
Empowering communities	Medium	Safeguarding adults	Medium
Growing the economy	Medium	Governance	Low

Managing the environment	Medium	Realising potential	Medium
The local, national and international context	Medium	Effective prevention	High
IT: Business critical systems	Medium	Business continuity	Low

Review of the effectiveness of our governance arrangements

Swindon Borough Council annually reviews the effectiveness of its governance framework including the system of internal control. The review of effectiveness is informed by executive managers within the Council who have responsibility for the development and maintenance of the governance environment, the Head of Internal Audit's annual report, and also by comments made by the external auditors and other review agencies and inspectorates.

Corporate Directors and relevant Heads of Service have completed an assurance questionnaire reviewing the control environment within their service and the results of the questionnaire have been used to help inform our assessment of significant control issues for the Council.

Details of the review were presented to Audit Committee at their June 2018 meeting. Details can be found at:

<http://ww5.swindon.gov.uk/moderngov/ieListMeetings.aspx?CId=687&Year=0>

Opinion on the Council's governance arrangements

The review has found that the Council's governance arrangements continue to be regarded as fit for purpose in accordance with the governance framework.

Areas of focus – looking forward

Whilst these arrangements generally work well the review identified a number of significant governance issues that need to be addressed:

Governance issue	Lead Officer
Information Governance and Security	Director: Digital Services and Corporate Programmes
Financial Stability and the Swindon Programme	Director of Finance
Children Services	Corporate Director: Children
GCSE attainment	Head of Education
Premises management	Corporate Director: Resources and Growth

- **Information Governance and Security:** Following the refresh of its information technology and governance policies in 2016/17 the Council also invested in MetaCompliance, a policy delivery, management awareness and compliance tool. A phased roll-out of this software to all computer users has ensured that currently compliance records show that more than 98% of our computer users have now read, been tested upon and agreed to abide by the Council's IT Acceptable Use Policy.

PSN compliance remains outstanding, mostly due to component software needed to run legacy systems. The PSN project manager has a clear programme of work to get Swindon compliant by mid-2018 which will deliver Swindon IG toolkit 13 and 14.

Work continues to develop in-house Information and Technology capacity and capabilities and modernisation of the service following the in-sourcing of the service from Capita. Some of the key deliverables are:

- Migrations from Capita Private Cloud computing facilities to Council ones.

- Building modern secure, networking and cloud storage facility at the Council.
- Plan to encrypt swindon.gov.uk emails to meet Data Protection Act compliance
- **Financial Stability and the Swindon Programme:** In response to the pressures facing the Council it has adopted a cross-cutting approach, the Swindon Programme, to address the funding gap in the period to March 2020. Across the two year period from April 2018-March 2020 it is anticipated that £30million of savings need to be delivered. During the course of the 2018/19 financial year the Council will need to focus on the delivery of in-year savings already identified while developing plans for closing the remaining gap in the subsequent year.

Given the importance of this work the Council's Corporate Management Team convenes as the Programme's Board on a monthly basis to provide leadership for the individual work streams and, where appropriate, redirect resources to ensure that progress is maintained.

- **Children Services:** The recent Ofsted inspection that focussed on the children's services 'front door' confirmed two areas that require priority action from the Council. The 'front door' refers to the service provided to professionals and members of the public with advice, information and support about services for children and young people who are potentially vulnerable or at risk. The priorities include improving the identification of risk so that there is no delay in decision making when children are at risk of harm and the quality of management oversight in relation to safeguarding practice.

Ofsted recognised that "a well-targeted programme of improvement has begun" including the revision of early support for vulnerable children as well as plans to increase senior leadership capacity and management training for all managers. Inspectors noted that these are not yet embedded or sustained enough to ensure that the front door is providing a consistently safe, well-targeted and timely response to every child. Colleagues in Children's Services and across the Council are working hard to implement the improvement plan and bring about rapid change and improvement for children and families. The improvement priorities have been developed following both internal and external review and have been supported by Cabinet with £7.5m of investment in the service over the next two years.

We have been proactive in seeking support from other Local Authorities and The Local Government Association's regional children's services adviser has brokered support to help us on our journey of improvement.

- **GCSE Attainment:** Significant action was taken during 2017/18 to develop a robust governance structure that enables and challenges performance concerning school improvement in Swindon. This has included the development of the Swindon Challenge Board (established in March 2017) which has funded a considerable number of improvement projects within schools and updated the Schools Causing Concern Strategy as well as the School Improvement strategy. GCSE results are currently below the national average and pupil progress measures are too low. Raising attainment across the Borough will not be a quick fix however, and time will be needed for the Board to have an impact on a rise in standards.

An on-going challenge for the Council is ensuring the involvement of academies in contributing to the improvement agenda. This has improved over the past twelve months with much closer working with the Regional Schools Commissioners office. The Council and the academy schools now work with national organisations (PIXL, Rossendale National Research School) and external academy trusts. All bar one of the Council's secondary schools is an academy and although the local authority has responsibility for school improvement there is a lack of direct power that the Council can use to influence the performance of academies and ultimately attainment.

- **Premises Management:** an Internal Audit review of the premises management arrangements within the Council was undertaken during 2017/18. The audit found a number of significant weaknesses including:
 - A lack of clarity regarding roles and responsibilities as the Council's Health and Safety Policies for Fire Risk Assessments and Legionella Management (in hot and cold water systems) are not sufficiently detailed

- No overall performance process in place to ascertain the extent and status of any fire risk assessment actions or legionella risk assessment actions for corporate buildings as there is no corporate management and monitoring conducted of parties' assigned responsibility under the current process
- Formal risk criteria is not in place to determine the frequency of risk assessments for buildings and to provide a standard and consistent approach.

Corporate Management Team (CMT) had also raised concerns and the Director: Resources and Growth initiated a work stream to resolve the issues raised both by CMT and Internal Audit. The work of this work stream is nearing completion and the key issues raised are being addressed. Internal Audit has scheduled a follow-up audit to be carried out during 2018/19 to ensure agreed recommendations have been implemented.

Looking back to 2016/17

The review also identified that the following areas included in last year's statement have either progressed sufficiently for them not to be included in this year's statement or were one-off occurrences that are not applicable to the year being reviewed:

- **Transfer of staff from SEQOL.** Due to SEQOL ceasing to trade approximately 500 staff had to be brought back in-house over a very short time period during 2016/17. Services brought back in-house included: the front line social work team; two older people care homes; a learning disability care service; shared lives; building futures; Swindon Support team; the Hospital social work team; Enterprise Works etc. Work was also required to find new providers for four older people day services. The staff transfers were carried out successfully in a very short period and involved a significant amount of officer time, however there was no adverse effect on service users.
- **Parishes.** A significant diversion of resources was required during 2016/17 to:
 - Work with pilot parishes regarding the transfer of services
 - Establish new parishes including the election of new Councillors
 - Disaggregate budgets and service provision
 - Consult regarding the proposed changes
 All areas of the Council have now been successfully parished.
- **Housing maintenance contract management.** An Internal Audit review of the contract management arrangements within Housing was undertaken during 2016/17. The audit found a number of significant weaknesses. A subsequent follow-up audit carried out later in the year found that procedures had improved but there was still a significant amount of work required to implement agreed audit recommendations. Further Internal Audit work is planned in this area during 2018/19.

These areas will continue to be reviewed and relevant risks will be included and managed through the Council's Corporate Risk register (see above).

Certification

To the best of our knowledge, the governance arrangements, as defined above, have been effectively operating during the year although we recognise the areas for additional focus identified in the first section of this statement. We are satisfied that these enhancements will address the need for improvements that were identified in our review of effectiveness and will monitor their implementation and operation as part of our next annual review.

Signed:

Signed:

Councillor David Renard
Leader of the Council

John Gilbert
Chief Executive

Governance and Internal Control issues - Action Plan

Ref.	Area of Governance/Internal Control	Action
1	Information governance and security	<p>Areas for improvement during 2018/19:</p> <ul style="list-style-type: none"> PSN compliance remains outstanding, mostly due to component software needed to run legacy systems. The PSN project manager has a clear programme of work to get Swindon compliant by mid-2018 which will deliver Swindon IG toolkit 13 and 14. Work continues to develop in-house Information and Technology capacity and capabilities and modernisation of the service following the in-sourcing of the service from Capita. Some of the key deliverables are: <ul style="list-style-type: none"> Migrations from Capita Private Cloud computing facilities to Council ones. Building modern secure, networking and cloud storage facility at the Council. Plan to encrypt swindon.gov.uk emails to meet Data Protection Act compliance Ensure the organisation is prepared to comply with the General Data Protection Regulations by May 2018.
2	Financial Stability and the Swindon Programme	<p>During the course of the 2018/19 financial year the Council will need to focus on the delivery of in-year savings already identified while developing plans for closing the remaining gap in the subsequent year.</p> <p>Given the importance of this work the Council's Corporate Management Team convenes as the Programme's Board on a monthly basis to provide leadership for the individual work streams and, where appropriate, redirect resources to ensure that progress is maintained.</p>
3	Children Services	<p>The recent Ofsted inspection identified the following two areas as priorities: improving the identification of risk so there is no delay in decision making when children are at risk of harm and the quality of management oversight in relation to safeguarding practice.</p> <p>Ofsted recognised that "a well-targeted programme of improvement has begun" including the revision of early support for vulnerable children as well as plans to increase senior leadership capacity and management training for all managers. These actions need to be embedded and sustained to ensure that the front door is providing a consistently safe, well-targeted and timely response to every child.</p> <p>Colleagues in Children's Services and across the Council are already working to implement the improvement plan, which we developed following both an internal and external review, and which was supported by Cabinet in February with £7.5m of investment in the service over the next two years. Children Services has been proactive in seeking support from other local authorities and The Local Government Association's regional children's services adviser brokering support to help us on our journey of improvement.</p>
4	GCSE attainment	<p>Significant action was taken during 2017/18 to develop a robust governance structure that enables and challenges performance concerning school improvement in Swindon. This has included the development of the Swindon Challenge Board (established in March 2017) which has funded a considerable number of improvement projects within schools and updated the Schools Causing Concern Strategy as well as the School Improvement strategy. This will continue during 2018/19.</p> <p>Raising attainment across the Borough will not be a quick fix however, and time will be needed for the Board to have an impact on a rise in standards. Involvement of academies in contributing to the improvement agenda has improved over the past twelve months with much closer working with the Regional Schools Commissioners office. The Council and the academy schools now work much with national organisations (PIXL, Rossendale National Research School) and external academy trusts. This, again,</p>

		will continue to be worked on during 2018/19.
Ref.	Area of Governance/Internal Control	Action
5	Premises management	<p>A work stream has been put in place by the Corporate Director: Resources and Growth to address the issues raised in an Internal Audit review along with those raised by Corporate Management Team. An action plan has been agreed by management to address the key issues raised by Internal Audit including:</p> <ul style="list-style-type: none"> ▪ A lack of clarity regarding roles and responsibilities as the Council's Health and Safety Policies for Fire Risk Assessments and Legionella Management (in hot and cold water systems) are not sufficiently detailed ▪ No overall performance process in place to ascertain the extent and status of any fire risk assessment actions or legionella risk assessment actions for corporate buildings as there is no corporate management and monitoring conducted of parties' assigned responsibility under the current process ▪ Formal risk criteria is not in place to determine the frequency of risk assessments for buildings and to provide a standard and consistent approach.

This page is intentionally left blank

Proposed Corporate Training and Development Programme for Councillors 2018/2019 (Note: service areas will organise service specific training in addition to the below)		
Dates	Subject	Facilitator
21 May 2018 6.00pm Committee Room 6	Induction for New Members of the Licensing Committee – followed by a session on chairing Licensing Panels	Kathryn Ashton, Licensing Officer
22 May 2018 6.00pm Committee Room 1	Induction for New Members of the Planning Committee and any councillor with an interest in planning process	Richard Bell, Planning Officer Kehinde Awojobi, Legal Department
23 May 2018 6.00pm Committee Room 6	Education Transport Appeals Sub-Committee	Hannah Cole, School Admissions Manager
6 June 2018 6.00pm Committee Room 6	Chairing Skills	Stephen Taylor, Director of Law and Democratic Services
15 October 2018 6.00pm Committee Room 6	Finance for Members	Paul Smith, Head of Finance
23 October 2018 6.00pm Committee Room 6	Code of Conduct	Stephen Taylor, Director of Law and Democratic Services
24 October 2018 6.00pm Committee Room 6	Information Security Training (including changes to the Data Protection Act)	Stephen Maskell, Information Governance Manager
14 November 2018 6.00pm Committee Room 6	Decision Making / Governance	Stephen Taylor, Director of Law and Democratic Services
28 January 2018 6.00pm Committee Room 6	Equalities and Inclusion – what are the responsibilities of elected members?	Nick Stephenson, Change Lead: Equality & Diversity
TBC if required	Responsibilities of councillors appointed by the council to the boards of outside bodies	Kehinde Awojobi, Head of Conveyancing, Environment and Contracts

Training session provided at each meeting	Corporate Parenting Advisory Board	Director of Children's Services
---	------------------------------------	---------------------------------

External providers

Members are invited to apply to attend external events and conferences, and attendance is approved through a Cabinet Member Briefing Note.

EZone Modules

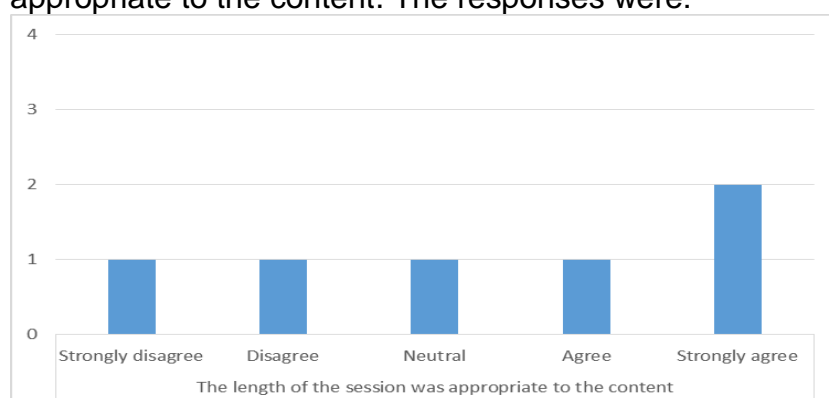
- Data Protection.
- Equality and Diversity.
- Fraud Awareness.
- Freedom of Information.
- Information Security.
- Child Sexual Exploitation.

The training session evaluation forms have been introduced following the decision to adopt them by the Member Development Advisory Group. The responses from the sessions held at which they have been handed out have been collated and are set out below for consideration.

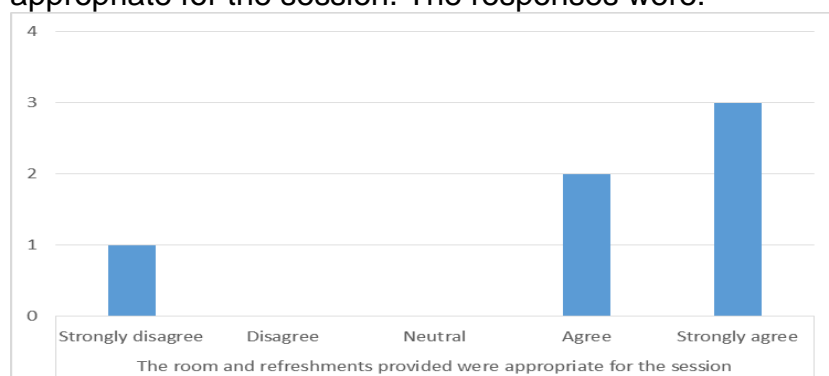
Induction for new members of the Licensing Committee – 22 May 2017

This session was attended by 7 Borough Councillors and 6 feedback forms were received.

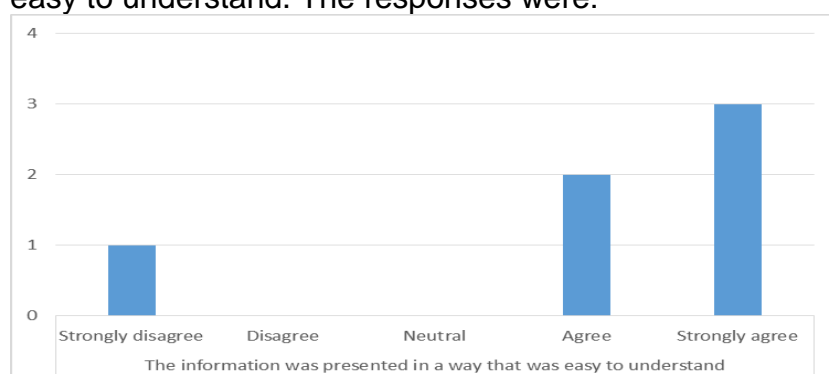
The councillors were asked their thoughts on the arrangements for the training session. First of all they were asked if they felt the length of the session was appropriate to the content. The responses were:



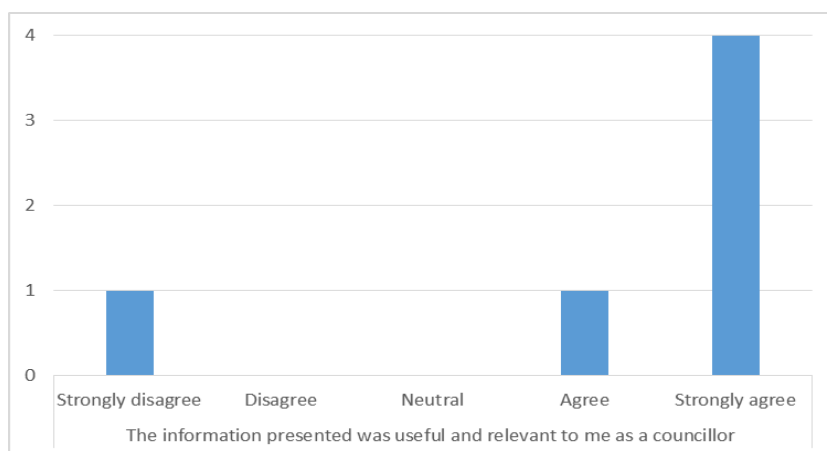
They were then asked if they felt the room and refreshments provided were appropriate for the session. The responses were:



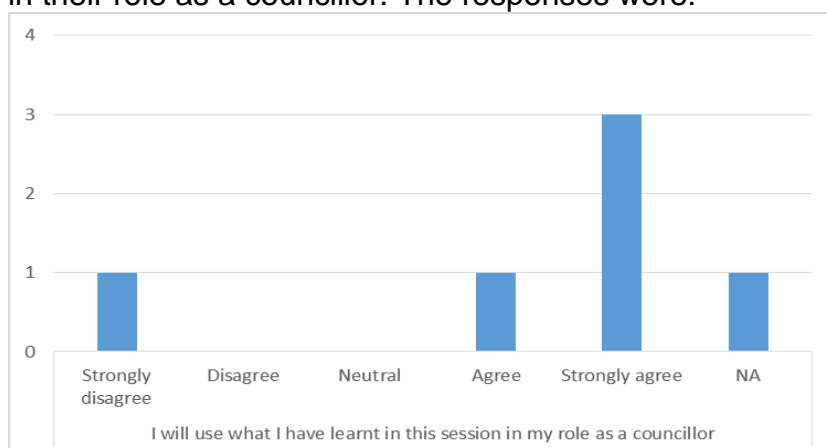
The councillors were then asked their thoughts on the content of the training session itself. They were first asked if the information had been presented in a way that was easy to understand. The responses were:



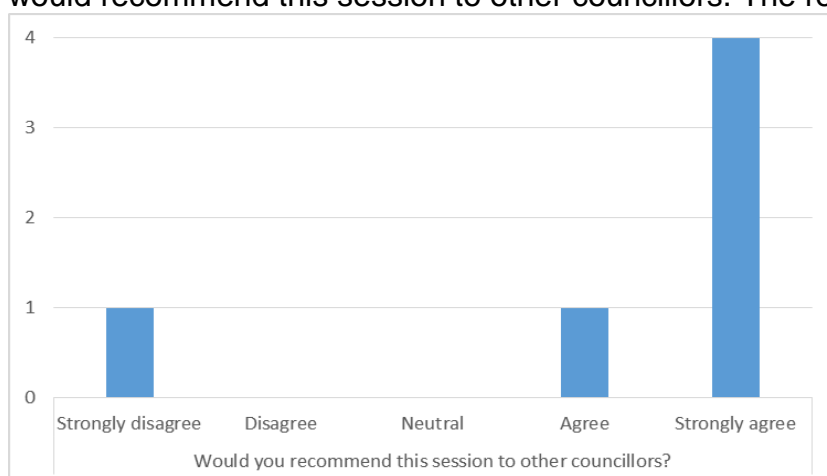
They were then asked if the information presented was useful and will be relevant to them as a councillor. The responses were:



The councillors were then asked if they will use what they have learnt in this session in their role as a councillor. The responses were:



Finally, the councillors were asked to rate the session overall in terms of if they would recommend this session to other councillors. The responses were:



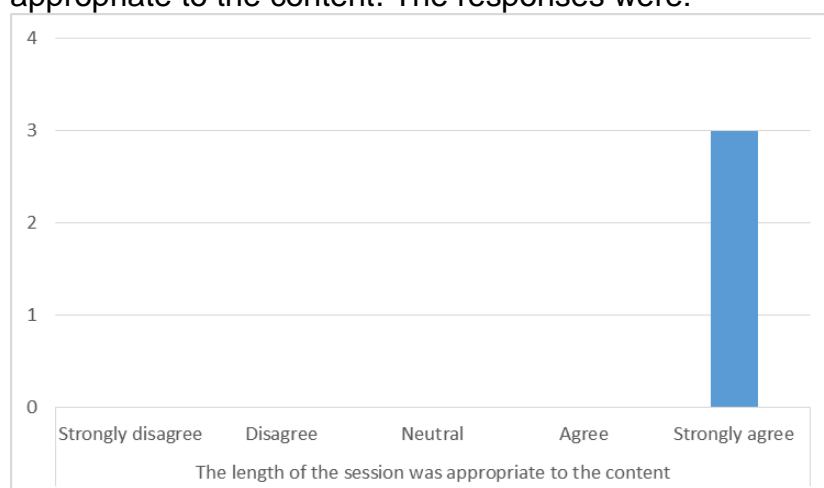
The councillors were also offered the opportunity to provide some additional comments on any thoughts they had on how the training offer could be improved. Their responses were as follows:

- I think 6 monthly refresher courses would be helpful, particularly if legislation is due to be changed or policies reviewed.
- The session overran.

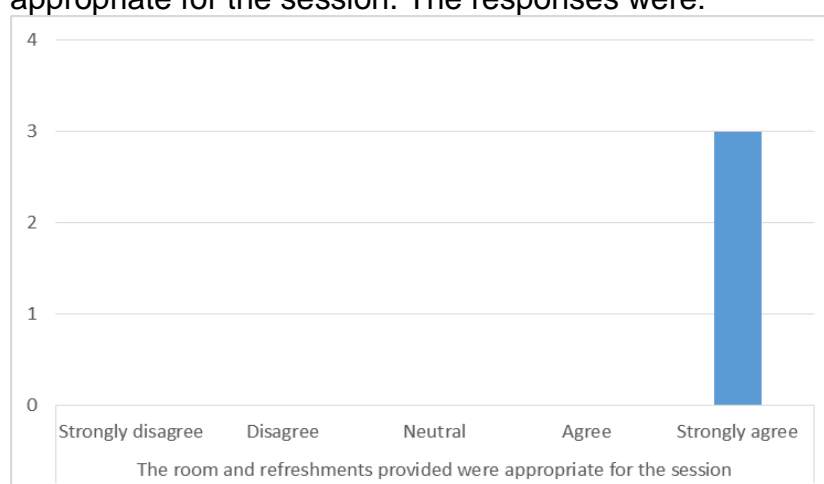
Induction for new members of the Planning Committee – 24 May 2017

This session was attended by 5 Borough Councillors and 3 feedback forms were received. Unfortunately, one respondent did not fully complete the form and so there is some missing data.

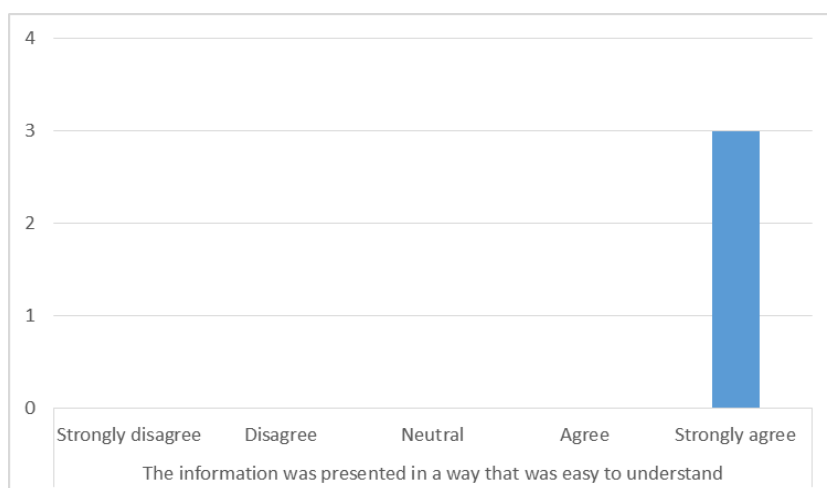
The councillors were asked their thoughts on the arrangements for the training session. First of all they were asked if they felt the length of the session was appropriate to the content. The responses were:



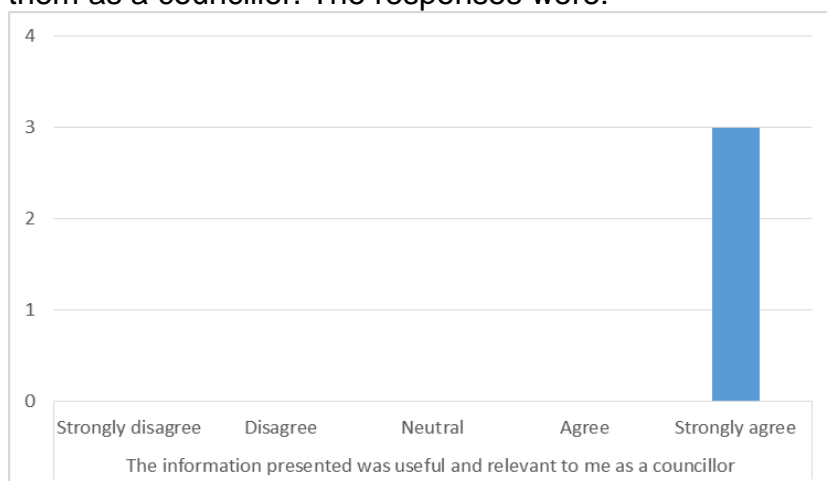
They were then asked if they felt the room and refreshments provided were appropriate for the session. The responses were:



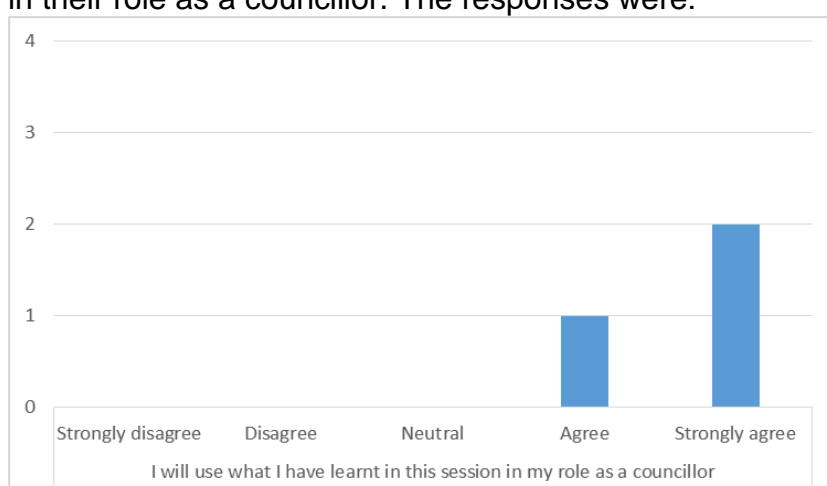
The councillors were then asked their thoughts on the content of the training session itself. They were first asked if the information had been presented in a way that was easy to understand. The responses were:



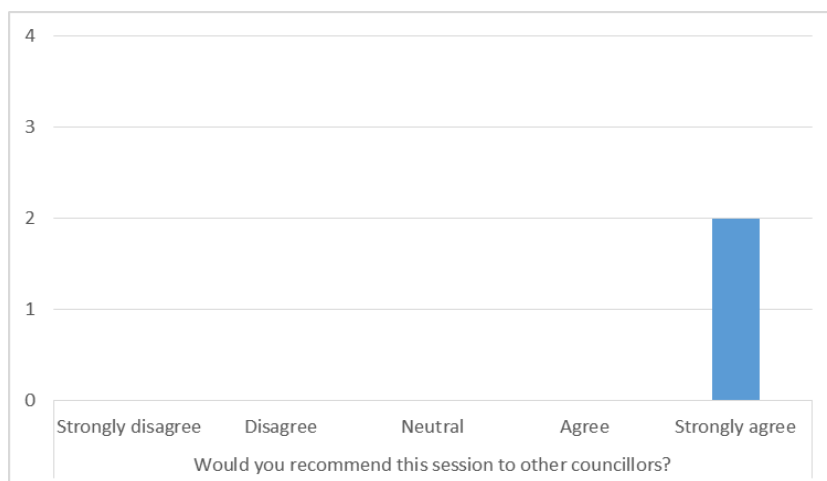
They were then asked if the information presented was useful and will be relevant to them as a councillor. The responses were:



The councillors were then asked if they will use what they have learnt in this session in their role as a councillor. The responses were:

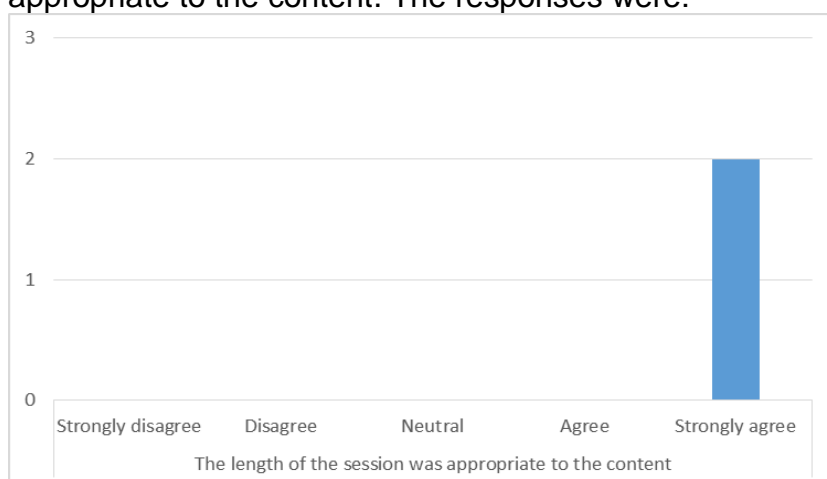


Finally, the councillors were asked to rate the session overall in terms of if they would recommend this session to other councillors. The responses were:

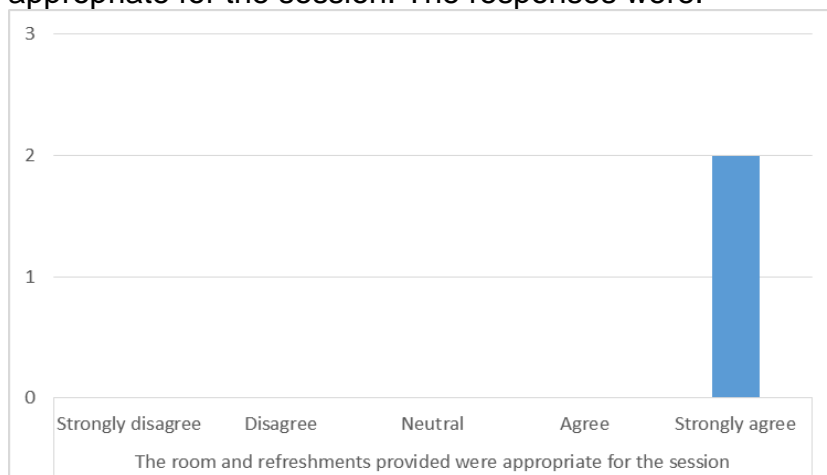
***Education Transport Appeals Sub-Committee – 25 May 2017***

This session was attended by 2 Borough Councillors, both of whom provided feedback forms.

The councillors were asked their thoughts on the arrangements for the training session. First of all they were asked if they felt the length of the session was appropriate to the content. The responses were:



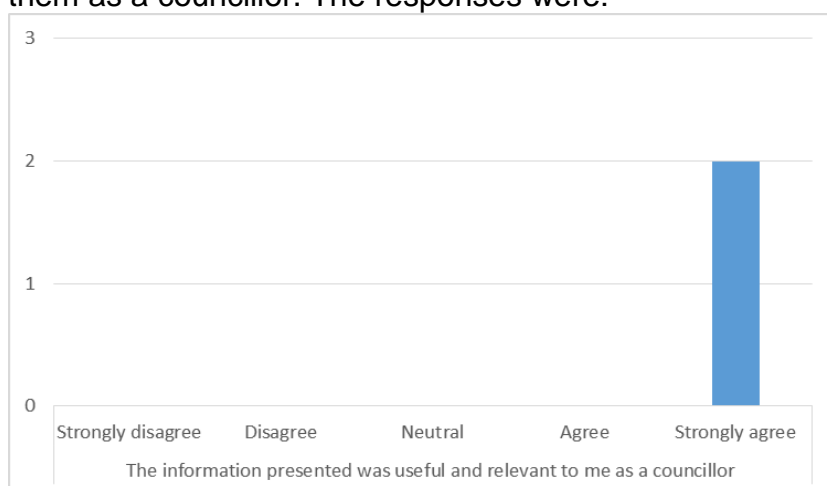
They were then asked if they felt the room and refreshments provided were appropriate for the session. The responses were:



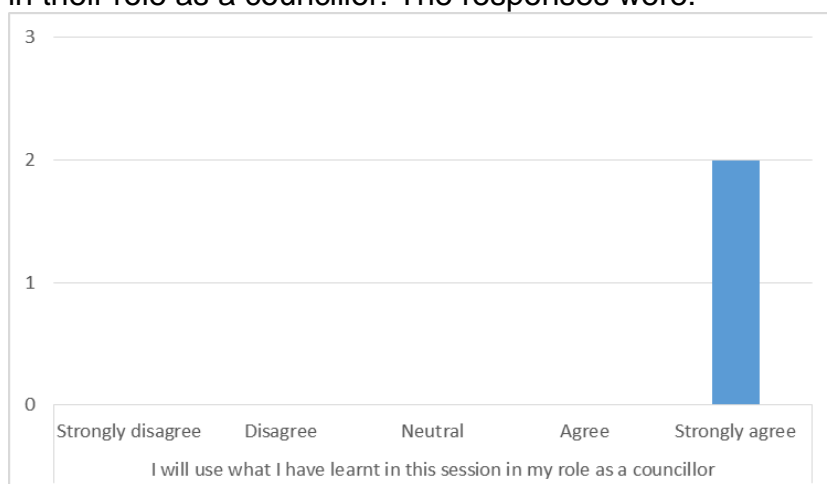
The councillors were then asked their thoughts on the content of the training session itself. They were first asked if the information had been presented in a way that was easy to understand. The responses were:



They were then asked if the information presented was useful and will be relevant to them as a councillor. The responses were:



The councillors were then asked if they will use what they have learnt in this session in their role as a councillor. The responses were:



Finally, the councillors were asked to rate the session overall in terms of if they would recommend this session to other councillors. The responses were:



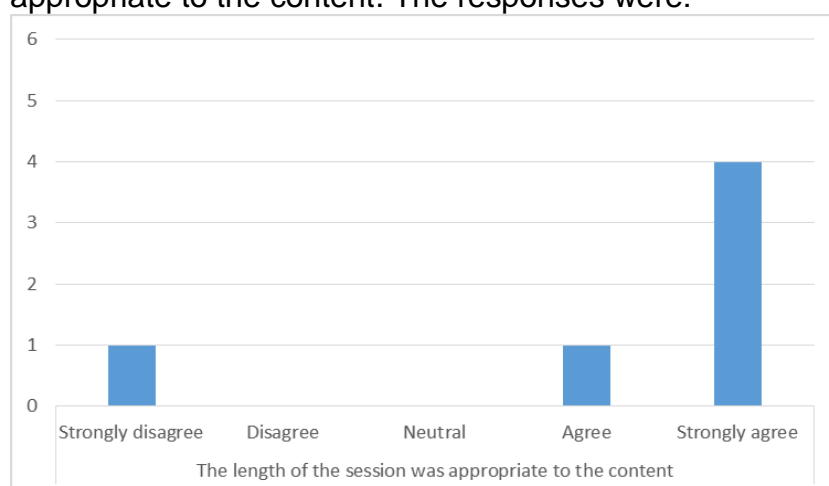
The councillors were also offered the opportunity to provide some additional comments on any thoughts they had on how the training offer could be improved. Their responses were as follows:

- Really good session, very useful to discuss particular situations and how they should be dealt with (would rather discuss at training than adjourn an appeal meeting!)
- The training session was very good and well presented.

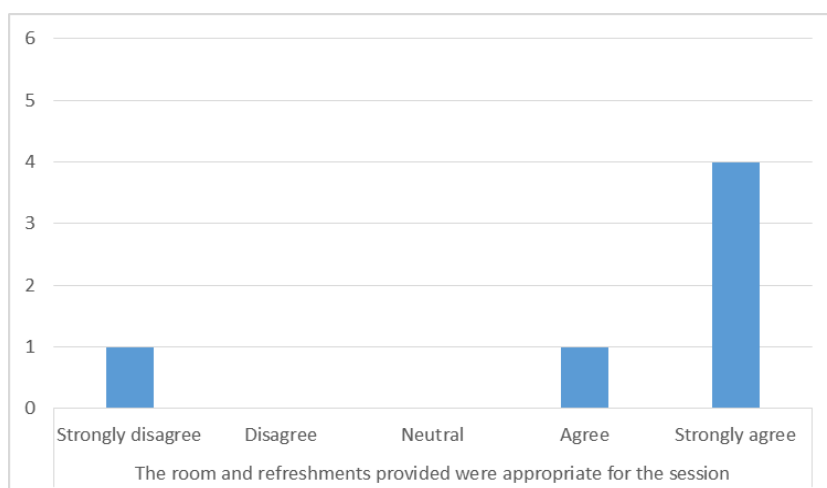
Chairing Skills – 26 June 2017

This session was attended by 6 Parish Councillors and no Borough Councillors, and all of them completed feedback forms.

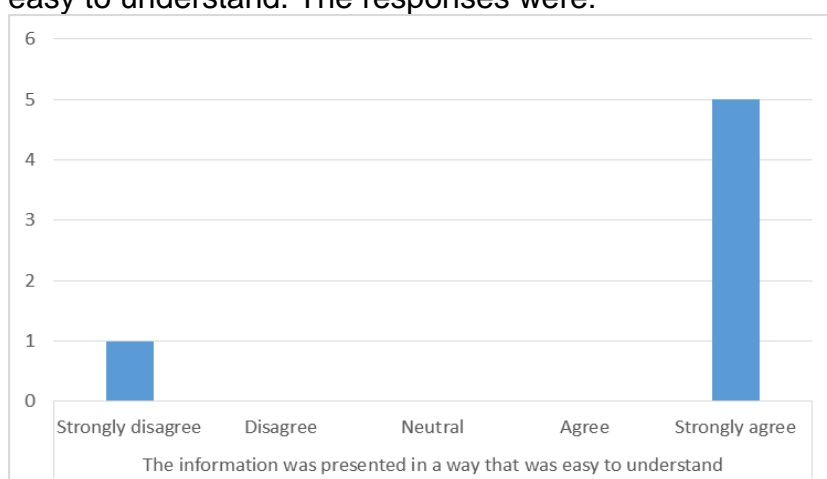
The councillors were asked their thoughts on the arrangements for the training session. First of all they were asked if they felt the length of the session was appropriate to the content. The responses were:



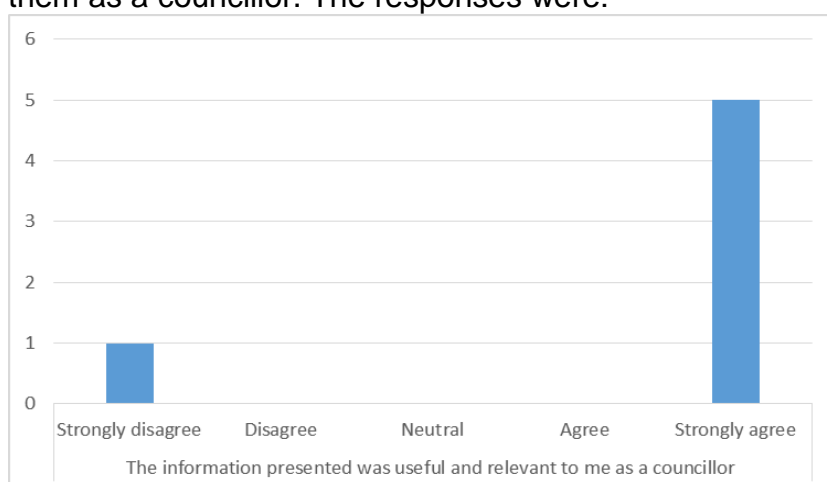
They were then asked if they felt the room and refreshments provided were appropriate for the session. The responses were:



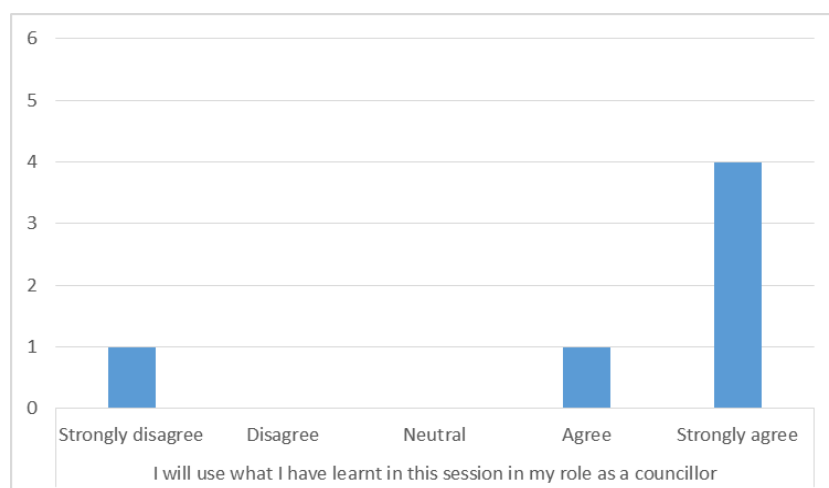
The councillors were then asked their thoughts on the content of the training session itself. They were first asked if the information had been presented in a way that was easy to understand. The responses were:



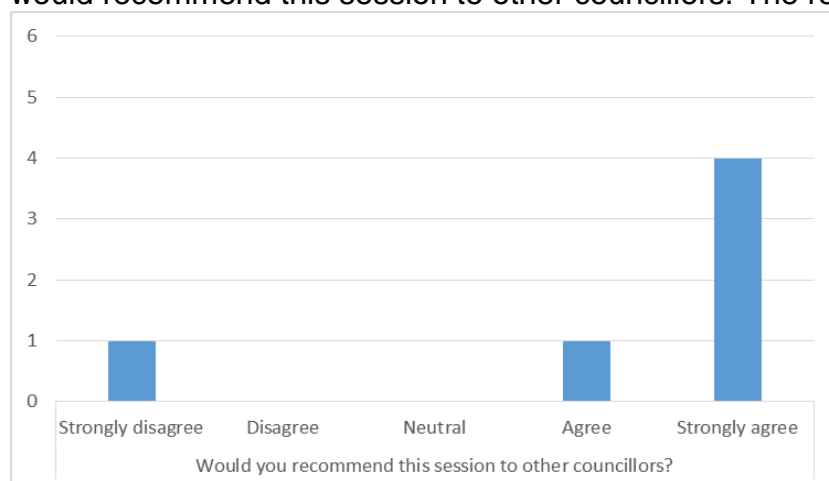
They were then asked if the information presented was useful and will be relevant to them as a councillor. The responses were:



The councillors were then asked if they will use what they have learnt in this session in their role as a councillor. The responses were:



Finally, the councillors were asked to rate the session overall in terms of if they would recommend this session to other councillors. The responses were:



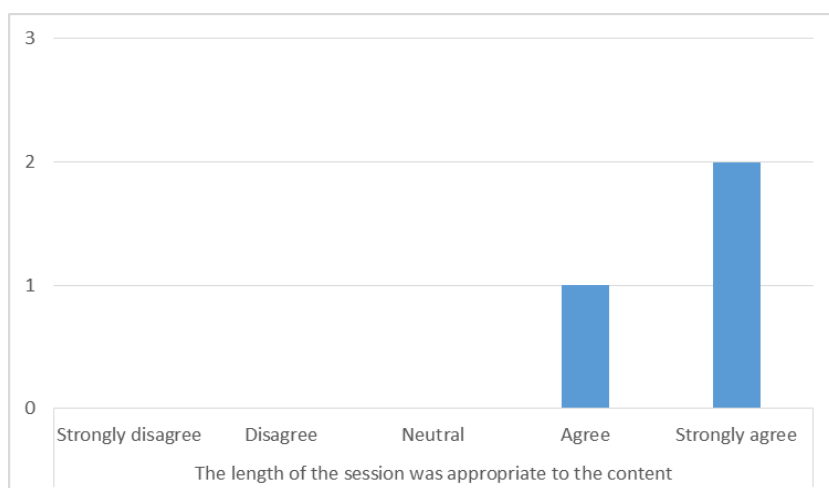
The councillors were also offered the opportunity to provide some additional comments on any thoughts they had on how the training offer could be improved. There was one response as follows:

- Nothing to advise - perfect for me. Had some points I needed answers to and they were included in the training material.

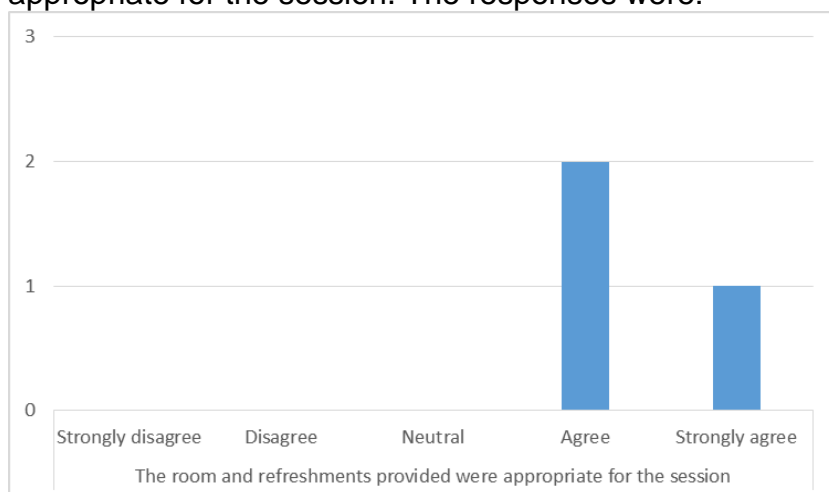
Training for Directors of Council owned companies – 7 July 2017

This session was attended by 3 Borough Councillors, all of whom completed feedback forms.

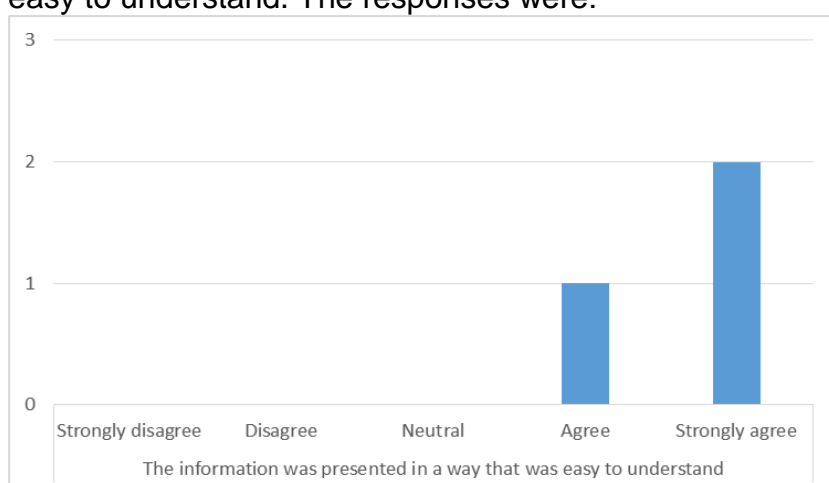
The councillors were asked their thoughts on the arrangements for the training session. First of all they were asked if they felt the length of the session was appropriate to the content. The responses were:



They were then asked if they felt the room and refreshments provided were appropriate for the session. The responses were:



The councillors were then asked their thoughts on the content of the training session itself. They were first asked if the information had been presented in a way that was easy to understand. The responses were:



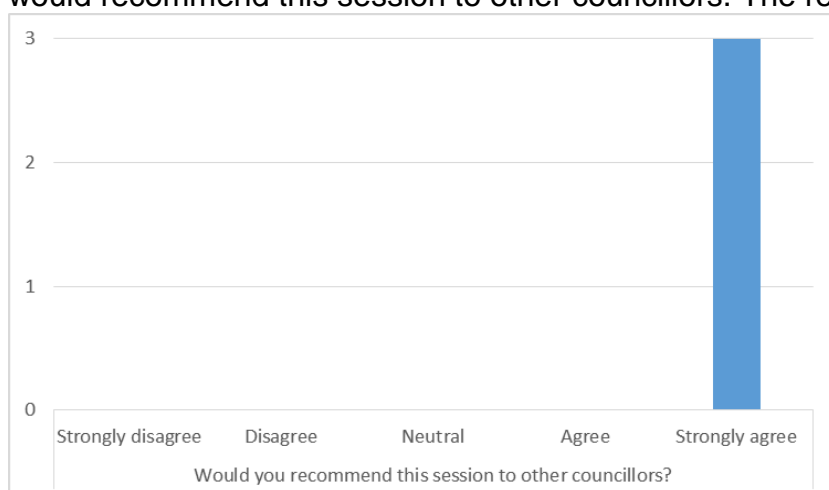
They were then asked if the information presented was useful and will be relevant to them as a councillor. The responses were:



The councillors were then asked if they will use what they have learnt in this session in their role as a councillor. The responses were:



Finally, the councillors were asked to rate the session overall in terms of if they would recommend this session to other councillors. The responses were:



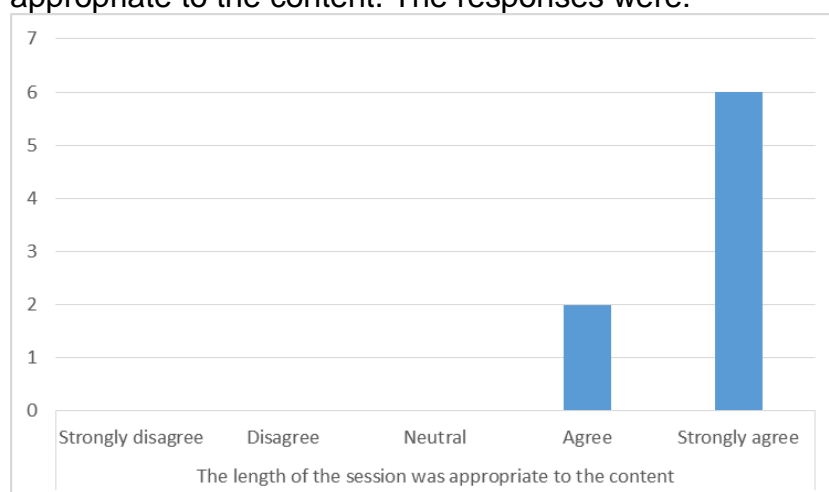
The councillors were also offered the opportunity to provide some additional comments on any thoughts they had on how the training offer could be improved. The responses were as follows:

- Should be mandatory for every councillor who represents the council as a Director, and attend as relevant to anyone who is a director of their own company, or is a Trustee of a charity.
- All councillors should attend.

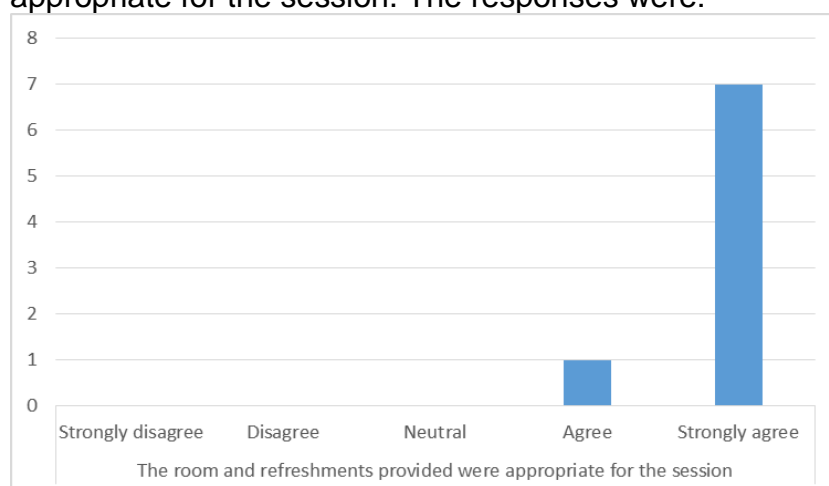
Code of Conduct – 18 September 2017

This session was primarily aimed at Parish Councillors, 9 of whom attended. 8 of them have submitted feedback forms.

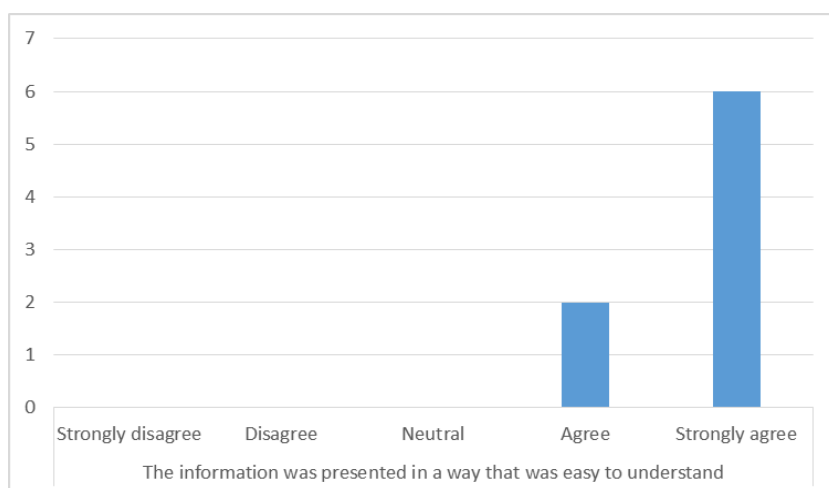
The councillors were asked their thoughts on the arrangements for the training session. First of all they were asked if they felt the length of the session was appropriate to the content. The responses were:



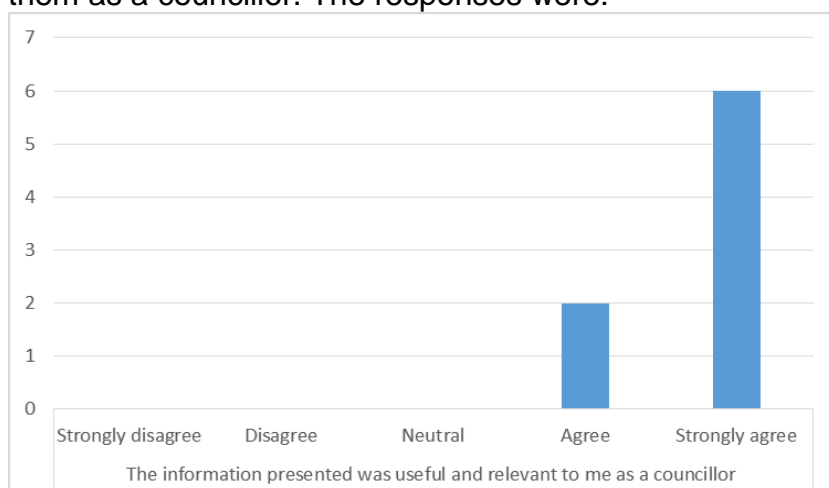
They were then asked if they felt the room and refreshments provided were appropriate for the session. The responses were:



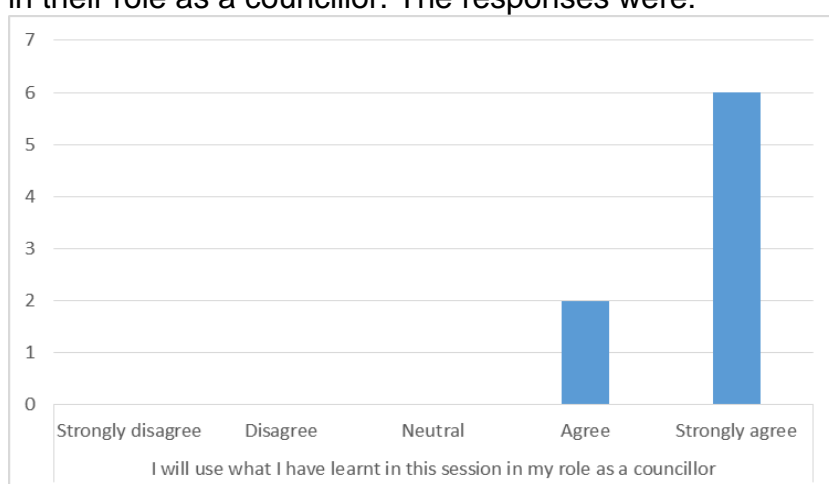
The councillors were then asked their thoughts on the content of the training session itself. They were first asked if the information had been presented in a way that was easy to understand. The responses were:



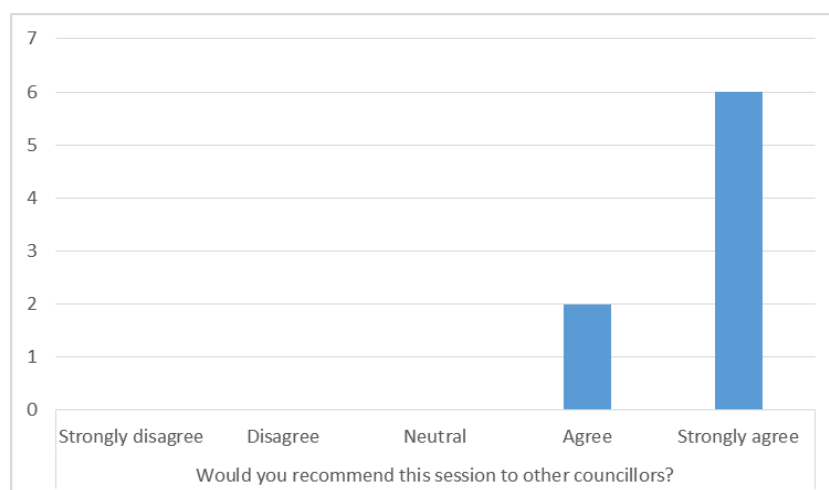
They were then asked if the information presented was useful and will be relevant to them as a councillor. The responses were:



The councillors were then asked if they will use what they have learnt in this session in their role as a councillor. The responses were:



Finally, the councillors were asked to rate the session overall in terms of if they would recommend this session to other councillors. The responses were:



The councillors were also offered the opportunity to provide some additional comments on any thoughts they had on how the training offer could be improved. The responses were as follows:

- The session was presented in a mildly entertaining way which kept attention.
- Good session – thank you.
- Very good presentation from Stephen.

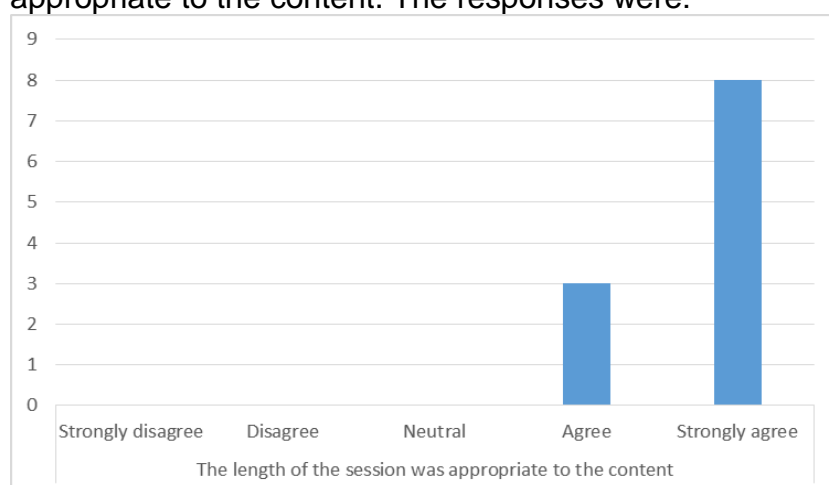
Chairing Skills – 27 September 2017

This session was primarily aimed at Parish Councillors, 2 of whom attended. Only one of the two attendees completed a feedback form so it has not been possible to undertake an evaluation.

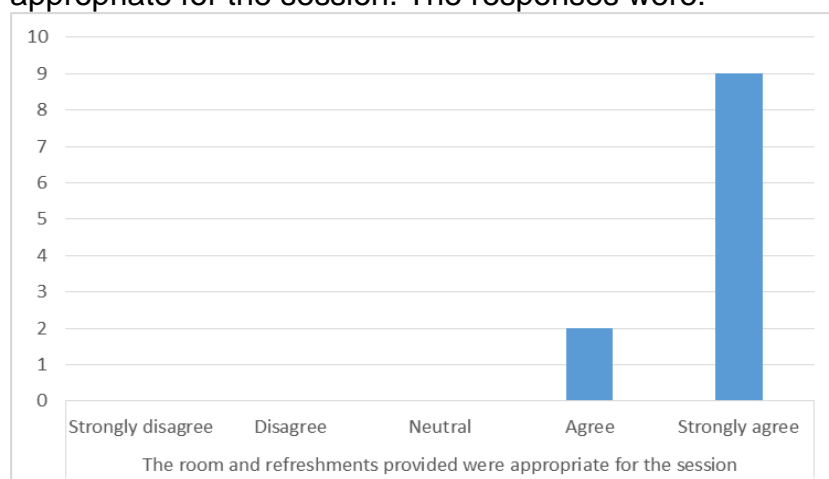
Media Skills – 16 October 2017

This session was aimed at both Borough and Parish Councillors. 3 Borough Councillors attended along with 9 Parish Councillors. 11 of them have submitted feedback forms.

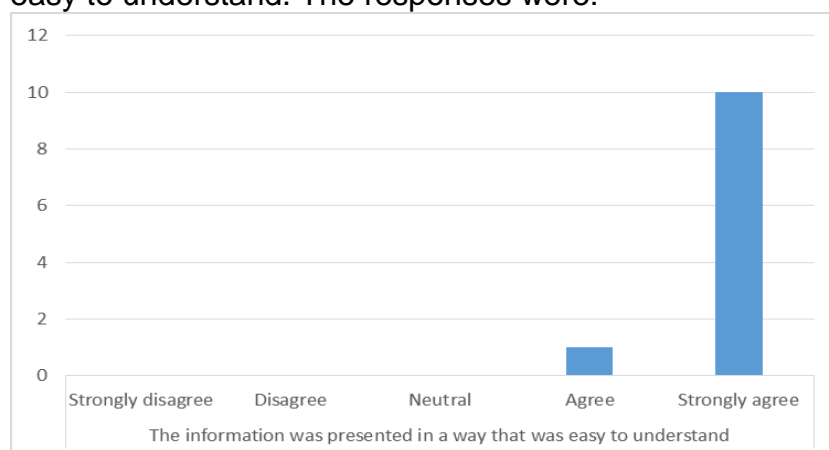
The councillors were asked their thoughts on the arrangements for the training session. First of all they were asked if they felt the length of the session was appropriate to the content. The responses were:



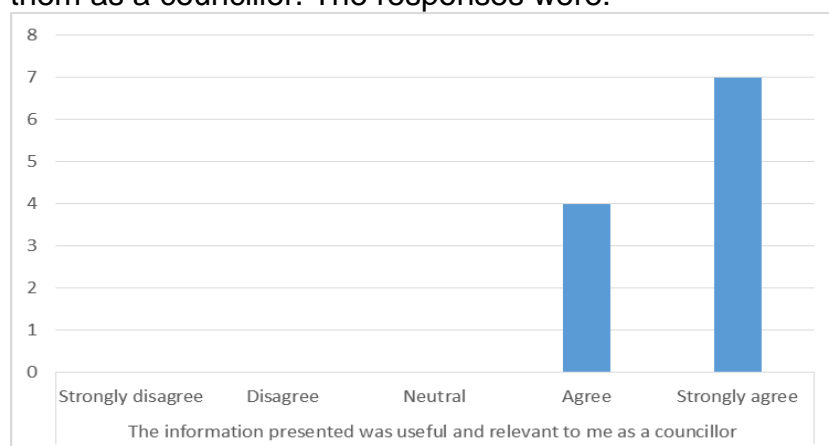
They were then asked if they felt the room and refreshments provided were appropriate for the session. The responses were:



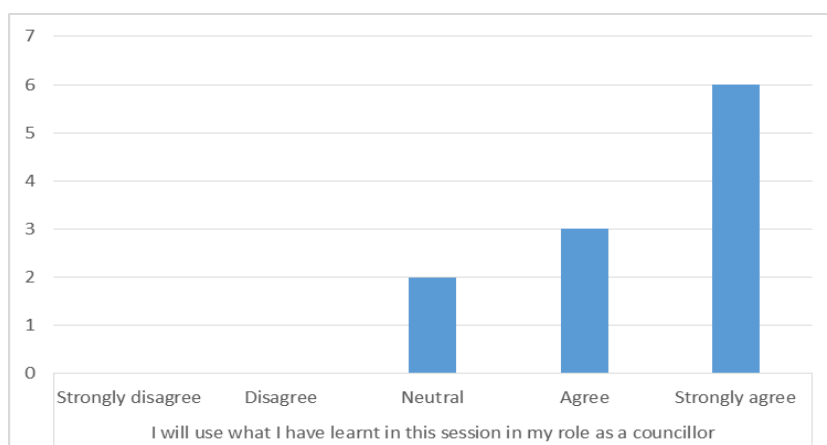
The councillors were then asked their thoughts on the content of the training session itself. They were first asked if the information had been presented in a way that was easy to understand. The responses were:



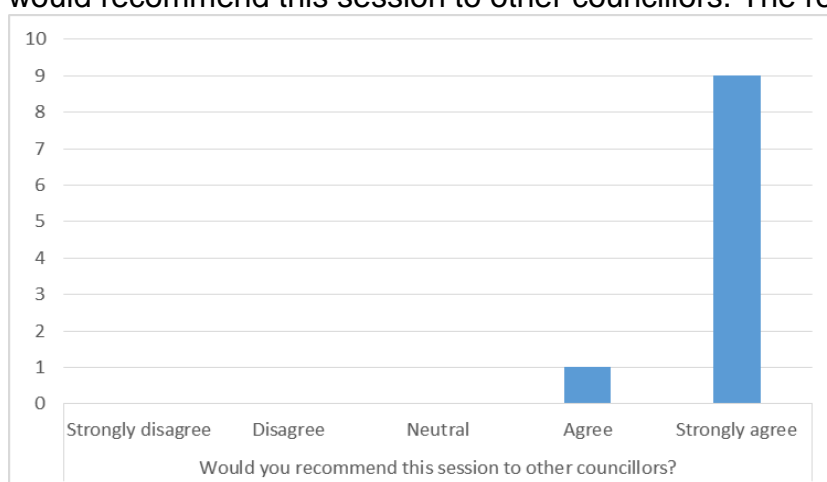
They were then asked if the information presented was useful and will be relevant to them as a councillor. The responses were:



The councillors were then asked if they will use what they have learnt in this session in their role as a councillor. The responses were:



Finally, the councillors were asked to rate the session overall in terms of if they would recommend this session to other councillors. The responses were:



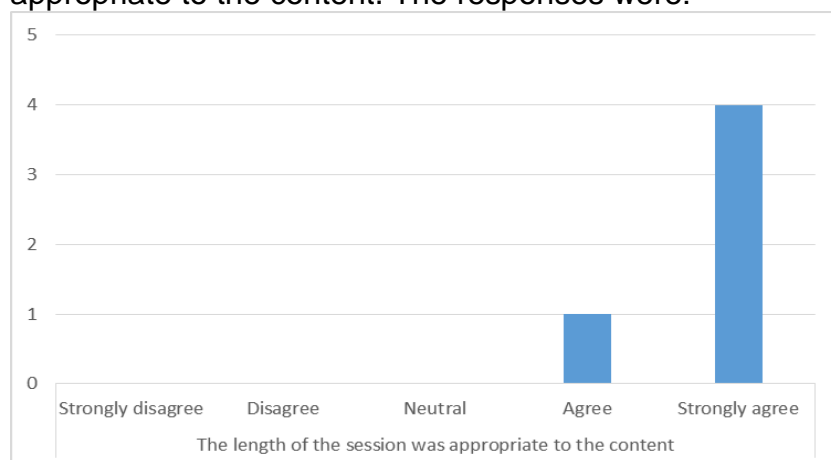
The councillors were also offered the opportunity to provide some additional comments on any thoughts they had on how the training offer could be improved. The responses were as follows:

- An intro by attendees would have been good. Nice to know who we are sitting with.
- Great trainer - thank you for organising.
- Excellent session, highly practical, relevant and entertaining. Great teacher.
- Possibly an opportunity for a five minute surgery (which would probably last much longer!) for your own Parish Council particular difficulties and issues.
- Apart from the handouts, could the complete meeting notes be put on a memory stick? For future reference.
- Would be handy to be able to have access to powerpoint presentation afterwards.

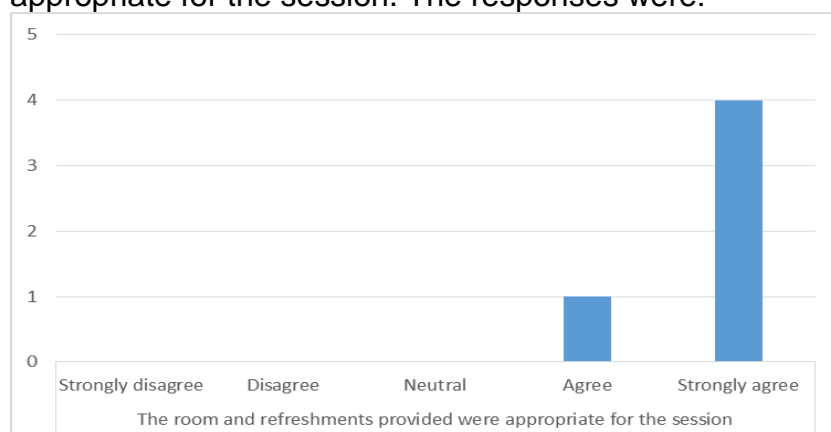
Decision-making – 8 November 2017

This session was primarily aimed at Parish Councillors, 5 of whom attended. All of them have submitted feedback forms.

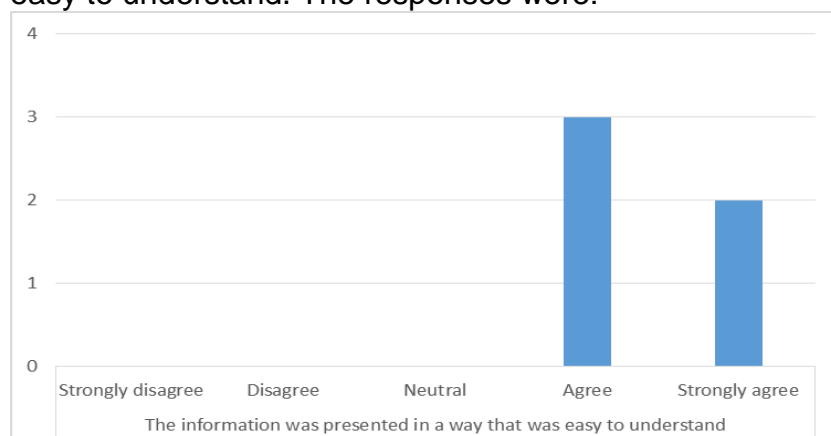
The councillors were asked their thoughts on the arrangements for the training session. First of all they were asked if they felt the length of the session was appropriate to the content. The responses were:



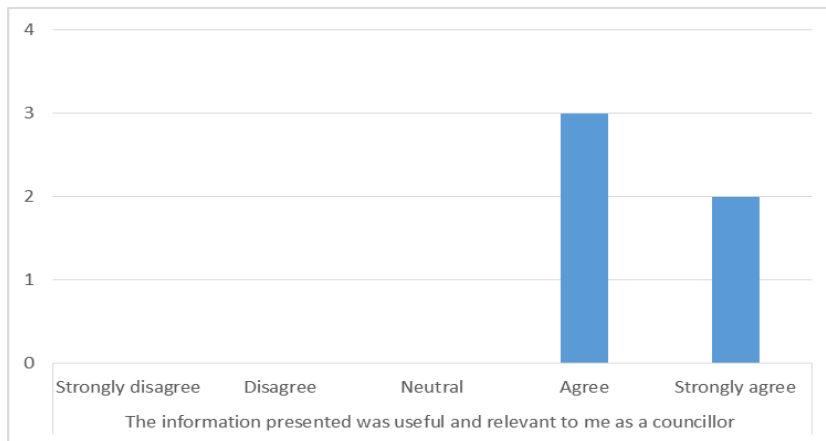
They were then asked if they felt the room and refreshments provided were appropriate for the session. The responses were:



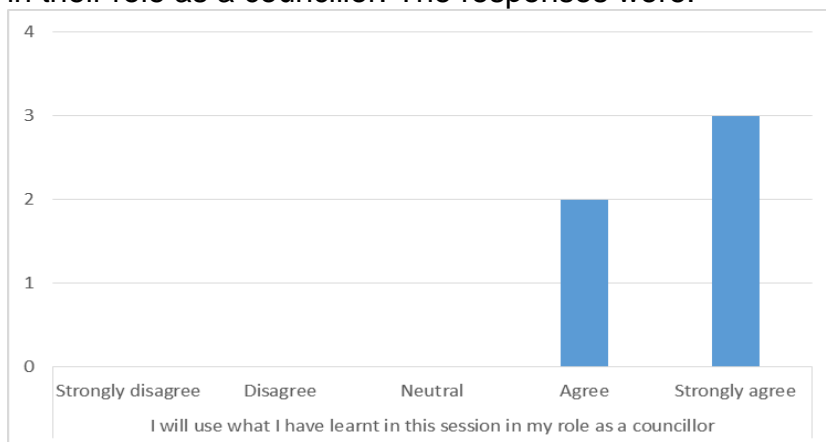
The councillors were then asked their thoughts on the content of the training session itself. They were first asked if the information had been presented in a way that was easy to understand. The responses were:



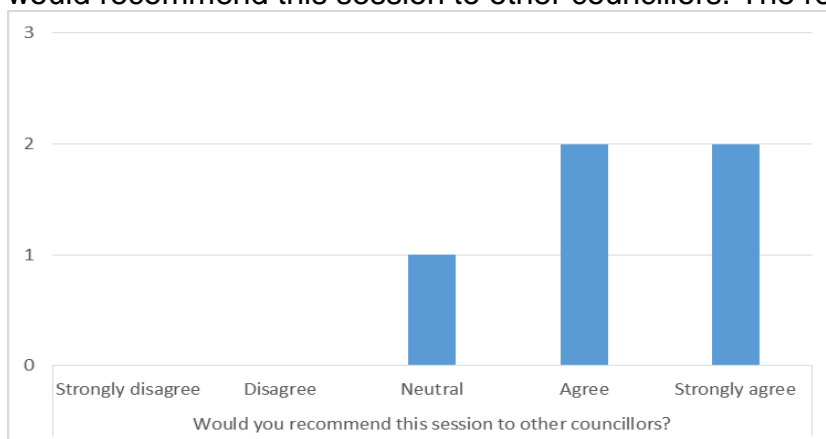
They were then asked if the information presented was useful and will be relevant to them as a councillor. The responses were:



The councillors were then asked if they will use what they have learnt in this session in their role as a councillor. The responses were:



Finally, the councillors were asked to rate the session overall in terms of if they would recommend this session to other councillors. The responses were:



The councillors were also offered the opportunity to provide some additional comments on any thoughts they had on how the training offer could be improved. The responses were as follows:

- I would have been happy with a longer session.
- Perhaps a hand out or website link to any particular Act or law mentioned. Maybe more on FOI procedures?
- Briefing notes before meeting so can prepare.

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