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BlackpoolCouncil

16 September 2014

To: Councillors Cain, Clapham, I Coleman, Mrs Delves, Hunter and Jackson

The above members are requested to attend the:

STANDARDS COMMMITTEE

Wednesday, 24 September 2014 at 3.00 pm in Committee Room B, Town Hall, Blackpool

AGENDA

1 DECLARATIONS OF INTEREST

Members are asked to declare any interests in the items under consideration and in doing so state:

- (1) the type of interest concerned; and
- (2) the nature of the interest concerned

If any member requires advice on declarations of interests, they are advised to contact the Head of Democratic Governance in advance of the meeting.

2 MINUTES OF THE LAST MEETING HELD ON 16 AUGUST 2012

(Pages 1 - 6)

To agree the minutes of the last meeting held on 16 August 2012 as a true and correct record.

3 INDEPENDENT PERSON PROTOCOL

(Pages 7 - 14)

4 STANDARDS UPDATE REPORT

(Pages 15 - 22)

Venue information:

First floor meeting room (lift available), accessible toilets (ground floor), no-smoking building.

Other information:

For queries regarding this agenda please contact Lorraine Hurst, Head of Democratic Governance, Tel: (01253) 477127, e-mail lorraine.hurst@blackpool.gov.uk

Copies of agendas and minutes of Council and committee meetings are available on the Council's website at www.blackpool.gov.uk.



Present:

Councillor Mrs Haynes (in the Chair)

Councillors

Mrs Delves Hutton Riding Ryan

In attendance:

Mark Towers, Head of Democratic Services and Monitoring Officer Lorraine Hurst, Assistant Head of Democratic Services and Deputy Monitoring Officer

1. DECLARATIONS OF INTEREST

There were no declarations of interest.

2. MINUTES OF THE MEETING HELD ON 30 MAY 2012

Resolved: That the minutes of the meeting held on 30 May 2012 be signed by the Chairman as a correct record.

3. REVIEW OF THE CODE OF CONDUCT FOR MEMBERS

Members were aware that the Council, at its meeting on 20 June 2012, had approved a Code of Conduct for Members and had agreed that the Committee would report back with further final recommendations in relation to the Code.

The Committee considered the content and wording of the Code and suggested areas for improvement in relation to 'other interests' in order to make the terminology more meaningful.

Members went on to consider the arrangements for dispensation and noted that although the Code that had been approved in June, had included the provision for dispensation in relation to those matters that would normally affect most Council members (including members' allowances, setting Council tax and ceremonial honours), the legislation required that a written request for dispensation is submitted by each member.

Resolved:

That Council be recommended to agree:

1. That 'other interests' as set out in the Code of Conduct for Members be amended to read 'personal interests' in order for the terminology to be more meaningful.

- 2. That, subject to 1. above, in cases of non participation due to a personal interest (paragraph 15 of the Code) that the Code is amended to read 'personal and prejudicial interests'.
- 3. To note that training will be organised for all members which will help explain the different categories of interests.
- 4. That dispensation for all members of the Council be granted, allowing them to participate and vote upon the areas referred to in paragraph 15(3) of the Code of Conduct, until the end of the current term of office, subject to the submission of a prepopulated request signed by each member.

4. ARRANGEMENTS FOR DEALING WITH ALLEGATIONS OF MEMBER MISCONDUCT

Members noted that the Localism Act required that local authorities adopt arrangements for dealing with allegations of member misconduct and the Council at its meeting on 20th June 2012, had agreed for the Standards Committee to consider the arrangements and report back on proposals.

The Committee had previously acknowledged that a new framework for dealing with allegations could benefit from a slicker and more streamlined approach and that wherever appropriate, the arrangements should focus around securing a mediated outcome. Furthermore, the Localism Act allowed a new flexibility to delegate to the Monitoring Officer the initial decision on whether a complaint required investigation or informal resolution as well as the ability to refer complaints to Standards Committee.

Members were aware that the Council was pursuing reciprocal arrangements with Fylde Borough Council to enable investigations to be carried out on behalf of each authority to avoid any conflict of interest. For these arrangements to work effectively, both Councils would benefit from having the same or very similar arrangements for dealing with allegations and members noted that Fylde Borough Council had adopted the same arrangements that were being considered by the Committee.

Resolved:

- 1. That the Council be recommended to agree the following arrangements for dealing with allegations of member misconduct:
- i) That the Monitoring Officer be appointed as the Proper Officer to receive complaints of failure to comply with the Code of Conduct regarding councillors and co-opted members.
- ii) That the Monitoring Officer be given delegated powers, after consultation with the Independent Person, to determine whether a complaint merits formal investigation and to arrange such investigation.
- iii) That the Monitoring Officer should seek resolution of complaints without formal investigation wherever practicable and that s/he be given discretion to refer recommendations on investigation to the Standards Committee where s/he feel that it is

inappropriate for him/her to take the decision and to report periodically on the discharge of this function.

- iv) Where the investigation finds no evidence of failure to comply with the Code of Conduct, that the Monitoring Officer be instructed to close the matter, providing a copy of the report and findings of the investigation to the complainant and to the member concerned and to the Standards Committee for information.
- v) Where the investigation finds evidence of a failure to comply with the Code of conduct, the Monitoring Officer after consultation with the Independent Person be authorised to seek local resolution to the satisfaction of the complainant in appropriate cases, with a summary report for information to Standards Committee. Where such local resolution is not appropriate or not possible they are to report the investigation findings to a meeting of the Standards Committee for local hearing.
- vi) That the Standards Committee be given delegated powers to undertake the following in respect of a member who is found on hearing to have failed to comply with the Code of Conduct, such actions to include:
- a) Reporting its findings to a meeting of Council for information and/or a press release to the media (a censure)
- b) Recommending to the member's Group Leader (or in the case of ungrouped members, recommend to Council or to committees) that he/she be removed from any or all committees or sub-committees of the Council
- c) Recommending to the Leader of the Council that the member be removed from the Executive, or removed from particular Cabinet Member responsibilities
 - d) Recommending the Monitoring Officer to arrange training for the member
- e) Recommending removal from all outside appointments to which he/she has been appointed or nominated
- f) Recommending withdrawing facilities provided to the member by the Council, such as a computer, website and/or email and Internet access(providing it does not obstruct the democratic process)
- g) Recommending excluding the member from the Council's offices or other premises, with the exception of meeting rooms as necessary for attending Council, committee/sub committee and Executive meetings
- h) Recommending the member to contact the Council via specified point(s) of contact.

(In determining the appropriate action, the Standards Committee must be aware that a Member must not be precluded from carrying out their official duty).

2. That Council considers a revised 'Responsibility for Functions' for the Committee based on the proposed new arrangements.

3. That the Committee receives a report each year to include a summary of themes arising from allegations in relation to members, key information in relating to Code requirements and details of training undertaken.

5. APPOINTMENT OF INDEPENDENT PERSON(S)

The Committee considered the proposals for the appointment of the independent person as required by the Localism Act and in doing so noted the reciprocal arrangements being pursued with Fylde Borough Council in relation to dealing with allegations of misconduct. Members noted that a pool of three independent persons was being proposed and that each authority would appoint one of the independent persons as its lead with a third member to draw upon to cover in times of absence or where they may be conflicts of interest. The Committee went on to consider the proposed recruitment process for these roles.

Resolved:

- 1. That positions for three independent persons are advertised to be shared between Blackpool Council and Fylde Borough Council (subject also to the agreement of Fylde Council's Standards Committee).
- 2. That each Authority nominates one of the independent persons as its lead.
- 3. That the process for recruitment and proposals as set out in the report be agreed.
- 4. To note that the Independent Remuneration Panels from both Councils will consider whether remuneration is appropriate for the position(s).

6. UPDATED MEMBER AND OFFICER PROTOCOL FOR PLANNING MATTERS

The Head of Democratic Services reported upon an amended Member and Officer Protocol for Planning Matters that had been recommended for approval by the Council's Planning Committee. The document had been revised in order to provide clear and understandable guidance and included a detailed schedule on site visits.

Members also noted the proposals for a scheme allowing ward members to refer planning applications, which ordinarily would be dealt with by officers under delegated powers, to the Planning Committee for consideration.

Resolved:

That Council be recommended to agree:

- 1. That the amended Member and Officer Protocol for Planning Matters including the Planning Committee Site Visits Schedule be approved.
- 2. That the procedure for referral by ward councillors be approved and that the document is reviewed after a 12 month period.

3. That the Head of Democratic Services update the Constitution accordingly.

Members thanked officers for their work in relation to the items under discussion on the agenda.

Chairman

(The meeting ended at 6:47 pm)

Any queries regarding these minutes, please contact: Lorraine Hurst, Assistant Head of Democratic Services Tel: 01253 477127

E-mail: lorraine.hurst@blackpool.gov.uk



Report to:	STANDARDS COMMITTEE
Relevant Officer:	Mark Towers, Director of Governance and Regulatory Services / Monitoring Officer
Date of Meeting:	24 September 2014

PROTOCOL RELATING TO THE INDEPENDENT PERSON

1.0 Purpose of the report:

1.1 To consider whether to adopt a Protocol relating to the Independent Person.

2.0 Recommendation(s):

To adopt the Protocol for the Independent Person, as set out at Appendix 3(a) and to agree to keep this under review.

3.0 Reasons for recommendation(s):

- 3.1 To help set out the role of the Independent Person to assist all parties involved in the standards framework.
- 3.2a Is the recommendation contrary to a plan or strategy adopted or approved by the Council?
- 3.2b Is the recommendation in accordance with the Council's approved budget? Yes
- 3.3 Other alternative options to be considered:

To not have a Protocol, or to have a Protocol in a different form.

4.0 Council Priority:

4.1 The relevant Council Priority is "Deliver quality services through a professional, well-rewarded and motivated workforce."

5.0 Background Information

5.1 The role of the 'Independent Person' is a key feature of the standards framework for all local authorities under the Localism Act 2011, in terms of how authorities deal with allegations of member misconduct.

- 5.2 Blackpool and Fylde Councils have agreed shared arrangements in relation to the standards framework and have appointed a shared pool of Independent Persons, with a designated lead for each Council. The Independent Persons are Mr Mozley (lead for Blackpool), Mr Horrocks (lead for Fylde) and Mr Ellwood.
- 5.3 Monitoring Officers from each of the respective Councils, together the three Independent Persons, considered that it would be useful to have a protocol established relating to the role of the Independent Person. A draft copy of the Protocol is attached.
- 5.4 The Protocol seeks to establish the role of the Independent Person in assisting in the consideration of written allegations of member misconduct, circumstances regarding the referral of complaints for investigation, arrangements between the subject member and the Independent Person, what happens following an investigation, the relationship of the Independent Person with the Standards Committee and other general matters concerning the role. Fylde Borough Council agreed this Protocol at a meeting earlier this year.

Does the information submitted include any exempt information?

No

List of Appendices:

Appendix 3(a) - Draft Protocol for Independent Persons.

6.0 Legal considerations:

6.1 There is no legal requirement to have a Protocol, it was considered that under the Localism Act 2011, there was a requirement to have an Independent Person and a Protocol would help set out the role of the Independent Person.

7.0 Human Resources considerations:

7.1 None

8.0 Equalities considerations:

8.1 None other than the Protocol promotes a system where the subject member also has access to an Independent Person as well as the Monitoring Officer.

9.0 Financial considerations:

9.1 There are no financial implications associated with this report.

10.0	Risk management considerations:
10.1	A clearly agreed protocol will help arrangements work in a consistent and transparent way.
11.0	Ethical considerations:
11.1	None.
12.0	Internal / External Consultation undertaken:
12.1	Consultation has taken place between both Monitoring Officers and the three Independent Persons.
13.0	Background papers:
13.1	None.







Protocol relating to the Independent Person

1. Background to the role

- 1.1 The role of the Independent Person is a key feature of the standards framework for all local authorities under the Localism Act 2011, in terms of how authorities deal with allegations of member (councillor and co-opted member) misconduct.
- 1.2 Blackpool Council and Fylde Borough Council have agreed shared arrangements in relation to the standards framework and have appointed a shared pool of three Independent Persons, with a lead for each respective authority.
- 1.3 This Protocol sets out to identify a shared understanding of the relationships between the Independent Persons and the two authorities in terms of handling complaints of member misconduct and the wider promotion of standards.

2. Considering written allegations

- 2.1 Under the powers of the Localism Act, the Council's Monitoring Officer will receive allegations of misconduct, initially assess the matter and decide upon the appropriate course of action to be taken.
- 2.2 The Monitoring Officer may, if he/she considers appropriate, seek the view of an Independent Person at this stage on any action to be taken. A written record may be obtained if the Monitoring Officer feels it appropriate and with the consent of the Independent Person.
- 2.3 When deciding on how to progress with a complaint, the Monitoring Officer will firstly consider if there is a potential breach of the Code of Conduct.

Further questions to be considered by the Monitoring Officer and Independent Person include:

- a. Was the member/co-optee acting in their official capacity at the time of the alleged misconduct?
- b. Can the complaint be considered as being of a very minor/trivial nature, repetitious, politically motivated, vexatious or malicious?
- c. Has there been a delay in making the complaint is this relevant?
- d. Is there public interest in the matter?
- e. Is there sufficient information to enable a decision to be made? If not, what information is required?

3. Referring complaints for investigation

- 3.1 If the Monitoring Officer considers that an investigation is required, he/she <u>must</u> seek the views of an Independent Person. The Monitoring Officer will produce an Investigation Referral Notice which will include these views.
- 3.2 The Independent Person will receive a copy of the Investigation Referral Notice (in addition to the Investigating Officer, subject member and the Independent Person consulted by the subject member).
- 3.3 Where the views differ as to what course of action should be taken, the Monitoring Officer will record the reasons for following a particular course of action, although the Investigation Referral Notice will be clear that it is the Monitoring Officer that ultimately decides.

4. Arrangements between the subject member and the Independent Person

- 4.1 The member who is the subject of the complaint may seek the views of an alternative Independent Person and should do so via the Monitoring Officer who will arrange for them to consult.
- 4.2 It should be remembered that the role of the Independent Person is to give advice but not to the extent where they express a view on the merits of the complaint.
- 4.3 The Independent Person may provide a brief record of their views to the Monitoring Officer (with a copy to the subject member).
- 4.4 Direct contact with the subject member without the Monitoring Officer's knowledge is not permitted and the Monitoring Officer should be notified immediately by the Independent Person if direct contact is attempted by the subject member, any of the parties or other persons.

5. Following the investigation

- 5.1 At the end of the investigation, the Monitoring Officer will produce a Decision Notice on any action to be taken. The Decision Notice will include the report and findings from the Investigating Officer and the written views of the Independent Person(s) as appropriate.
- 5.2 The Independent Person(s) will receive a copy of the Decision Notice and investigation report in addition to the subject member.
- 5.3 Where the investigation finds evidence of a failure to comply with the Code of Conduct, and the Monitoring Officer wishes to seek informal resolution, the Independent Person will be consulted and may be invited to take part in conciliation (see paragraph 7.3).

5.4 If a hearing is to take place, the Standards Committee will take into account the written views of the Independent Person(s) and may ask them to attend. The Independent Person(s) will be provided with a copy of the outcome of the Standards Committee's determination.

6. Relationship with the Standards Committee

- 6.1 All Independent Persons will receive agendas and minutes of meetings of the Standards Committees for both Councils.
- 6.2 Although they are not part of the formal business and have no formal voting rights, Independent Persons may be invited to speak at Standards Committee meetings. They may also be invited to observe confidential matters on the advice of the Monitoring Officer and with the agreement of the Chairman.

7. Other matters

- 7.1 Independent Persons will agree to adhere to the Code of Conduct for Members.
- 7.2 Where an Independent Person is unable to act because of a conflict of interest or because they are otherwise unavailable, their role will be carried out by an alternative Independent Person.
- 7.3 Independent Persons may be requested by the Monitoring Officer or Standards Committee to attend or assist in training or in mediation or conciliation in order to resolve complaints where that is considered the most appropriate course of action.
- 7.4 Independent Persons shall not make any comments to the media or other persons on any matters. Any requests for comments shall be referred to in the first instance to the Monitoring Officer and the Independent Person should notify the Monitoring Officer immediately, if any such requests are made.
- 7.5 Independent Persons have right to raise any concerns about standards/member conduct issues or implementation of the process with the respective authority's Monitoring Officer, Deputy Monitoring Officer or Chief Executive.
- 7.6 The Council, through the Standards Committee and its Monitoring Officer, is responsible for assisting the Council to meet its duty to promote and maintain high standards. Independent Persons have a key role in this and will be consulted on any proposed changes to the Code of Conduct or procedures for handling allegations.



Report to:	STANDARDS COMMITTEE
Relevant Officer:	Mark Towers, Director of Governance and Regulatory Services / Monitoring Officer
Date of Meeting:	24 th September 2014

STANDARDS UPDATE REPORT

1.0 Purpose of the report:

1.1 To consider an update report from the Monitoring Officer on standards issues raised to date under the new framework.

2.0 Recommendation(s):

- 2.1 To consider the update report and note the issues raised to date.
- 2.2 To form a joint working group with Fylde Borough Council members to review the code of Code of Conduct for Members and the arrangements for dealing with complaints of member misconduct.

3.0 Reasons for recommendation(s):

- 3.1 To make Standards Committee members aware of the type of issues raised.
- 3.2a Is the recommendation contrary to a plan or strategy adopted or approved by the Council?
- 3.2b Is the recommendation in accordance with the Council's approved Yes budget?
- 3.3 Other alternative options to be considered:

None. This is an update report.

4.0 Council Priority:

4.1 The relevant Council Priority is "Deliver quality services through a professional, well-rewarded and motivated workforce."

5.0 Background Information

- 5.1 The Monitoring Officer has been appointed as Proper Officer to receive allegations of failure to comply with the Code of Conduct regarding elected members and co-opted members. The Monitoring Officer has delegated authority, after consultation with an Independent Person, to determine whether an allegation of a member's misconduct requires investigation and to arrange such an investigation.
- 5.2 The Monitoring Officer should seek resolution of complaints without formal investigation wherever practicable and he has the discretion to refer matters to the Standards Committee where he feels it is inappropriate to take a decision on a referral for investigation. He should also periodically prepare reports for the Standards Committee on the discharge of this function.
- 5.3 It should be noted that there are a number of stages in dealing with reported matters. Some matters are brought to the attention of the Monitoring Officer without merit. In instances where a breach may have been considered to arise and in line with agreed procedures, wherever possible the Monitoring Officer should seek the resolution of complaints without the need for formal investigation. Periodic reports to the Standards Committee show all the matters which have been brought to the attention of the Monitoring Officer for review in order that members of the Standards Committee have an appreciation of all matters arising.
- 5.4 The schedule below sets out the issues raised on a category basis since the new code was agreed by the Council in June 2012.

July 2012 to December 2012

Treating others with respect/ bringing office into disrepute - 1 initial assessment and an informal resolution was agreed with the complainant and subject member.

Not code of conduct issues - 2 referrals but these were not code of conduct issues. (1 of these referrals was considered at an initial assessment stage by someone appointed by the Monitoring Officer to act on his behalf, but was deemed not to be a code of conduct issue)

<u>2013</u>

Interests - advice given to one member regarding a potential breach of the code of conduct in relation to a declaration of interest - advice was taken and no breach was incurred (consultation took place with an Independent person).

Not code of conduct issues - 2 referrals but these were not code of conduct issues.

Advice given to potential complainant - advice was given in 2 instances to potential complainants who then amicably resolved their issues.

2014

Treating others with respect/ bringing office into disrepute - 1 initial assessment and an informal resolution was agreed with the complainant and subject member.

Use position to confer an advantage - 1 initial assessment undertaken but with no code of conduct issue.

Interests - advice given to one member regarding a potential breach of the code of conduct in relation to a declaration of interest - advice was taken and no breach was incurred.

Treating others with respect/ bringing office into disrepute - 1 initial assessment and after consultation with an Independent Person this was referred for investigation. The Investigating Officer's report has been received with a recommendation of a potential breach of the code, in relation to 'treating others with respect'.

- 5.5 The latter instance referred to at 5.4 above relates to a matter where the investigation report was initially due to be considered on this agenda. However, the Monitoring Officer has had further discussions with the complainant and the subject member and the complainant has requested for the matter to be resolved informally and for the matter to remain confidential. The subject member has now agreed to informal resolution and the Monitoring Officer has also consulted the Independent Person. At the time of publication of this agenda, this matter has not yet been concluded and the Monitoring Officer will report further at the meeting.
- 5.6 The Council's agreed procedure for dealing with allegations of misconduct is listed at Appendix 4(a). The relevant paragraph in this situation is shown below:

 "Where the investigation finds evidence of a failure to comply with the Code of conduct, the Monitoring Officer after consultation with the Independent Person be authorised to seek local resolution to the satisfaction of the complainant in appropriate cases, with a summary report for information to Standards Committee. Where such local resolution is not appropriate or not possible they are to report the investigation findings to a meeting of the Standards Committee for local hearing."
- 5.7 The experience of operating these arrangements since 2012, has prompted a request from both Blackpool's Monitoring Officer and Fylde Borough Council's Monitoring Officer to review the code of conduct and the framework surrounding it, to allow for a revised code and set of arrangements to be in place following the local elections in

2015. In view of this the Committee will be asked if it wishes to nominate members to form a joint working group with the Independent persons and representatives from Fylde Borough Council.

Does the information submitted include any exempt information?

No - unless further detail is to be disclosed regarding the case referred for investigation.

List of Appendices:

Appendix 4(a) - Procedure for Dealing with Allegations of Misconduct

- 6.0 Legal considerations:
- 6.1 None the Council has a locally agreed procedure for dealing with allegations at Appendix 4(a).
- 7.0 Human Resources considerations:
- 7.1 None
- 8.0 Equalities considerations:
- 8.1 None
- 9.0 Financial considerations:
- 9.1 There are no financial implications associated with this report.
- 10.0 Risk management considerations:
- 10.1 None.
- 11.0 Ethical considerations:
- 11.1 None.
- 12.0 Internal/External Consultation undertaken:
- 12.1 Consultation has taken place where appropriate with the relevant Independent Person.

- **13.0** Background papers:
- 13.1 Exempt.



Procedure for Dealing with Allegations of Member Misconduct

(agreed by Council on 19th September 2012, following recommendation from the Standards Committee)

- 1) That the Monitoring Officer be appointed as the Proper Officer to receive complaints of failure to comply with the Code of Conduct regarding councillors and co-opted members.
- 2) That the Monitoring Officer be given delegated powers, after consultation with the Independent Person, to determine whether a complaint merits formal investigation and to arrange such investigation.
- 3) That the Monitoring Officer should seek resolution of complaints without formal investigation wherever practicable and that s/he be given discretion to refer recommendations on investigation to the Standards Committee where s/he feel that it is inappropriate for him/her to take the decision and to report periodically on the discharge of this function.
- 4) Where the investigation finds no evidence of failure to comply with the Code of Conduct, that the Monitoring Officer be instructed to close the matter, providing a copy of the report and findings of the investigation to the complainant and to the member concerned and to the Standards Committee for information.
- 5) Where the investigation finds evidence of a failure to comply with the Code of conduct, the Monitoring Officer after consultation with the Independent Person be authorised to seek local resolution to the satisfaction of the complainant in appropriate cases, with a summary report for information to Standards Committee. Where such local resolution is not appropriate or not possible they are to report the investigation findings to a meeting of the Standards Committee for local hearing.
- 6) That the Standards Committee be given delegated powers to undertake the following in respect of a member who is found on hearing to have failed to comply with the Code of Conduct, such actions to include:
 - i) Reporting its findings to a meeting of Council for information and/or a press release to the media (a censure)
 - ii) Recommending to the member's Group Leader (or in the case of ungrouped members, recommend to Council or to committees) that he/she be removed from any or all committees or sub-committees of the Council
 - iii) Recommending to the Leader of the Council that the member be removed from the Executive, or removed from particular Cabinet Member responsibilities
 - iv) Recommending the Monitoring Officer to arrange training for the member
 - v) Recommending removal from all outside appointments to which he/she has been appointed or nominated
 - vi) Recommending withdrawing facilities provided to the member by the Council, such as a computer, website and/or email and Internet access(providing it does not obstruct the democratic process)

- vii) Recommending excluding the member from the Council's offices or other premises, with the exception of meeting rooms as necessary for attending Council, committee/sub committee and Executive meetings
- viii) Recommending the member to contact the Council via specified point(s) of contact.

(In determining the appropriate action, the Standards Committee must be aware that a Member must not be precluded from carrying out their official duty).