



Standards Committee

Date **Tuesday 25 June 2013**
Time **9.30 am**
Venue **Committee Room 1A, County Hall, Durham**

Business

Part A

**Items during which the Press and Public are welcome to attend.
Members of the Public can ask questions with the Chairman's agreement.**

1. Apologies for Absence
2. Minutes of the Meeting held on 15 February 2013 (Pages 1 - 4)
3. Declarations of Interest, if any
4. Future Reporting Arrangements for Complaints, Compliments and Suggestions - Report of Assistant Chief Executive and Corporate Director, Neighbourhood Services (Pages 5 - 10)
5. Changes Regarding the Local Government Ombudsman - Report of Head of Legal and Democratic Services and Monitoring Officer (Pages 11 - 16)
6. Members Acting for Developers - Report of Head of Legal and Democratic Services and Monitoring Officer (Pages 17 - 22)
7. Probity in Planning - New Guidance issued by the Local Government Association - Report of Head of Legal and Democratic Services and Monitoring Officer (Pages 23 - 44)
8. Such other business as in the opinion of the Chairman of the Meeting is of sufficient urgency to warrant consideration.
9. Any resolution relating to the exclusion of the public during the discussion of items containing exempt information.

Part B

Items during which it is considered the meeting is not likely to be open to the public (consideration of exempt or confidential information)

10. Monitoring Officer Other Action - Complaints involving Members at a Town Council - Report of Head of Legal and Democratic Services and Monitoring Officer (Pages 45 - 48)
11. Local Investigation - Case Reference LA175 - Report of Head of Legal and Democratic Services and Monitoring Officer (Pages 49 - 54)
12. Update on the handling of Current Complaints - Report of Head of Legal and Democratic Services and Monitoring Officer (Pages 55 - 62)
13. Such other business as in the opinion of the Chairman of the Meeting is of sufficient urgency to warrant consideration.

Colette Longbottom

Head of Legal and Democratic Services

County Hall
Durham
17 June 2013

To: The Members of the Standards Committee

Councillors J Armstrong, E Bell, J Clark, M Dixon, B Graham, G Holland, E Huntington, I Jewell, W Stelling, B Stephens and M Williams

Parish and Town Council Representatives:-

Town Councillor AJ Cooke and Town Councillor T Batson

DURHAM COUNTY COUNCIL

STANDARDS COMMITTEE

At a Meeting of **Standards Committee** held in Committee Room 2 - County Hall, Durham on **15 February 2013** at **10.00 am**

Present: **Councillor J Shiel (Chairman)**

Members of the Standards Committee:

Councillors A Bainbridge, E Bell, D Farry, G Holland, D Southwell and M Williams.

Town Councillor T Batson; Town Councillor A Cooke.

Apologies:

Mr J Dixon-Dawson and Councillors P Charlton, J Armstrong, C Carr and W Stelling.

Also in Attendance:

Mr P Jackson

1 Minutes of the Meeting held on 7 November 2012

Consideration was given to the minutes of the meeting held on 7 November 2012. Councillor Bell advised that he had submitted his apologies for that meeting, however they were not recorded in the minutes, and requested that the amendment be recorded.

With the amendment to the apologies noted, the minutes of the meeting held on 7 November 2012 were confirmed as a correct record and signed by the Chairman.

2 Declarations of Interest

There were no declarations of interest received.

3 Corporate Complaints, Compliments, Comments and Suggestions – Quarter 3, 2012/13

Consideration was given to the report of the Corporate Director, Neighbourhood Services, which provided the performance information and learning outcomes in relation to the two types of complaints (Statutory and Non-Statutory) which the Council dealt with (for copy see file of Minutes).

The Service Improvement Team Leader was in attendance to deliver the report and an overview presentation of the statutory, non statutory and Local Government

Ombudsman complaints received throughout the period (for copy of slides see file of Minutes)

In referring to the outstanding decisions which were awaited from the Local Government Ombudsman, a Member queried how long those decisions had been outstanding. The Service Improvement Team Leader advised that she would get a response to the Member following the meeting.

The Chairman referred to the previous meeting of the Committee, when concerns had been raised in relation to planning related complaints. Members of the Committee would benefit from more detailed information in relation to planning complaints, as it was acknowledged that some complaints would be about the outcome of planning applications rather than planning procedure, and it would be useful to have a breakdown of that information. The Service Improvement Team Leader agreed to arrange for the Head of Planning or relevant delegate officer to attend the next meeting of the Committee to provide further information.

In response to a query from a Member, the Service Improvement Team Leader advised that the environment within the Council was taken into account when complaints were being considered. Complaints which were made against Council Policy would be recorded as unjustified complaints, however they would be used at a later date to inform future policy making decisions.

A concern was raised in relation to the pressure which could be placed on resources once the changes to the welfare system came into force later in the year. The Service Improvement Team Leader advised that work was currently being undertaken to assess the potential increase of demand and as such plan resources accordingly. Members were further advised that Customer Service Staff and front line officers within Revenues and Benefits were undertaking a series of briefing sessions to ensure they would be well equipped to deal with public enquiries once the welfare reform changes came into force. Members were further advised that work was being done in relation to communicating the changes to the public and signposting them to where to get assistance in relation to benefit claims.

It was noted that in relation to the Resources service area, there were a high number of complaints compared to a low number of compliments and Members queried whether some investigative work could be undertaken to assess why this was the case. The Service Improvement Team Leader advised that while no such work was currently being undertaken, she would forward on the Committee's comments.

In relation to Neighbourhood Services, Members of the Committee requested that their gratitude and appreciation to staff be placed on record, regarding the refuse service delivery especially during adverse weather conditions. Members received a lot of praise for Council services verbally, though this was not reflected in the physical compliments which were received by the authority.

Resolved:

That the report be noted.

4 Granting of Dispensations in connection with the approval of the Council's Budget and Council Tax

Consideration was given to the report of the Head of Legal and Democratic Services, which informed the Committee of dispensations granted to members in connection with the forthcoming Council meeting which would approve a budget and set Council Tax for 2013/14 (for copy see file of Minutes).

The Chairman noted that to date, 110 dispensation requests had been received from members of the County Council, leaving 16 outstanding. He therefore requested that a final reminder be issued to those members whose request was currently outstanding, in an attempt to ensure that all Councillors could participate in fully in agreeing the budget and Council Tax for 2013/14.

Resolved:

That the report be noted.

5 Exclusion of the Public

Resolved:

That under Section 100A (4) of the Local Government Act 1972 the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in paragraph 3 of Schedule 12A to the said Act.

6 Update on the Handling of Current Complaints

The Committee considered a report of the Head of Legal and Democratic Services which provided an update report in respect of complaints of alleged breaches of the Code of Conduct (for copy see file of Minutes).

In addition, an updated Local Determination Procedure was circulated for Members approval, reflecting the changes to Procedure following the introduction of the new Code of Conduct.

Resolved:

That the report be noted and the updated Local Determination Procedure be approved.

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Standards Committee

25th June 2013



Future reporting arrangements for complaints, compliments and suggestions

Report of Terry Collins, Corporate Director of Neighbourhood Services and Lorraine O'Donnell Assistant Chief Executive

Purpose of the Report

- 1 To note proposals for aligning reporting of complaints, compliments and suggestions from Standards Committee to Corporate Issues Scrutiny Committee, linked to wider performance management reporting, and following consideration by Constitution Working Group.

Background

- 2 Since the new Unitary Council was formed. The Standards Committee has had 14 key areas of responsibility which are set out in the Council's constitution under Article 9, as follows:
 - a. promoting and maintaining high standards of conduct by Councillors, Independent Members and Co-opted Members;
 - b. assisting the Councillors, Independent Members, Co-opted Members and Parish and Town Council Members to observe the Members' Code of Conduct and where appropriate, the Planning Code of Practice;
 - c. advising the Council on the adoption or revision of the Members' Code of Conduct and the Planning Code;
 - d. monitoring the operation of the Members' Code of Conduct and Planning Code;
 - e. advising, training or arranging to train Councillors, Independent Members, Co-opted Members and Parish and Town Council Members on matters relating to the Members' Code of Conduct and Planning Code;
 - f. granting dispensations to Councillors, Independent Members, Co-opted Members and Parish and Town Council Members from requirements

- relating to interests set out in the Members' Code of Conduct and Planning Code;
 - g. the exercise of any functions under Regulations made under Section 54(4) of the Local Government Act 2000 (as amended);
 - h. the assessment, investigation and determination of allegations of misconduct on the part of Members;
 - i. dealing with any alleged breach by a Member of a Council Protocol, in accordance with procedures approved by the Committee;
 - j. overview of the Officers' Code of Conduct;
 - k. overview of the Protocol on Member/Officer Relations;
 - l. overview of complaints handling and Ombudsman investigations;
 - m. power to make payments or provide other benefits in cases of maladministration etc;
 - n. the exercise of (a) – (h) in relation to Parish and Town Council Members.
- 3 The responsibilities of the Corporate Issues Scrutiny Committee include consideration of the Council Plan and the Notice of Key Decisions and to monitor performance against these plans. A key element of this work is a focus on customer services performance monitoring. Under the current constitution, this overview and scrutiny work in relation to customer services is limited by the lack of consideration of service complaints, compliments and suggestions information as a key part of the customer services' performance picture.

Proposed change in reporting arrangements

- 4 At present, as 1 of its 14 functions, the standards committee receives the following reports in relation to customer complaints, compliments and suggestions:
- Quarterly reports on the Council's overall position in relation to complaints compliments and suggestions – these reports provide information in relation to the "Corporate" and Statutory complaints received into the Council during the period in question; there is an overview of the overall position in terms of numbers and response rates followed by a detailed breakdown in relation to each Service Grouping, including a description of learning outcomes as a result of analysing trends and identification of service improvements as a result of the complaint. Reports cover Stage1, Stage 2 and Ombudsman complaints.
 - Annual representations reports in relation to both Children's and Adult Services.

- 5 In addition the Standards Committee receives reports in relation to individual Code of Conduct complaints:
 - Part B report for each meeting details Code of Conduct complaints against elected Members.
- 6 In future it is proposed that the Part B Code of Conduct complaints reports remain with the Standards Committee, but the quarterly reports and annual representation reports relating to customer services are realigned and in future reported to Corporate Issues Overview and Scrutiny Committee, to inform customer services performance overview work.
- 7 This proposed change aligns to the Council's Customer First Strategy which stresses the importance of using customer feedback to inform service improvement. By linking reporting of customer complaints, compliments and suggestions to reporting of service performance, the scrutiny function will be able to ensure that customers' views fully inform their work.
- 8 Analysis of the complaints received over the last financial year shows that the feedback received has reflected key changes which the Council has implemented either as a result of harmonisation or through having to meet savings targets as part of the Medium Term Financial Plan. The main areas of complaint have related to delays in Benefits processing due to system changes; the introduction of alternate weekly collection of household refuse and charges for services such as replacement bins and pest control. This information is useful when considered alongside the performance report in order to provide the customer perspective in relation to changes and service delivery at that point in time.
- 9 If the change is agreed, then further development work will be undertaken to align complaints reporting more strongly with quarterly performance management reporting to members. In particular, there is an opportunity to strengthen reporting as part of the quarterly performance report received by Cabinet as well as the scrutiny function. By realigning the way in which we report this data and intelligence, we can ensure customer feedback forms a key part of our performance discussions.
- 10 The change proposals have been considered and agreed in principle by Constitution Working Group, and subject to comments from the Standards Committee will be submitted to the July meeting of full Council for approval.

Recommendations

- 11 Members are recommended to note the proposals which will be forwarded to full council for approval:
- a. Align reporting of customer complaints, compliments and suggestions information from Standards Committee to Corporate Issues Overview and Scrutiny Committee
 - b. Amend the constitution to reflect this change, specifically:
 - i. For the Standards Committee, to limit consideration of complaints information to that relating to Code of Conduct complaints by removing 2 (L) from Article 9.
 - ii. For Corporate Issues Overview and Scrutiny Committee, to include an overview of customer complaints, compliments and suggestions.

Background papers

Quarterly performance management reports received by Cabinet and Scrutiny

Quarterly complaints, compliments and suggestions reports, and annual representation reports received by Standards Committee.

Contact:	Mary Readman	Tel:	03000 268161
	Jenny Haworth		03000 268071

Appendix 1: Implications

Finance - None

Staffing – None

Risk – should reduce risk of customer feedback information not adequately informing overview and scrutiny review work

Equality and Diversity / Public Sector Equality Duty - none

Accommodation - none

Crime and Disorder - none

Human Rights - none

Consultation - none

Procurement - none

Disability Issues - none

Legal Implications – this change will need to be reflected within the Council's constitution.

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Standards Committee

25 June 2013



Changes Regarding the Local Government Ombudsman

Report of Colette Longbottom, Head of Legal and Democratic Services

Purpose of the Report

- 1 To advise the Standards Committee on new arrangements to be implemented by the Local Government Ombudsman (LGO).

Background

- 2 The LGO has introduced a new business model in response to the 37% cut in funding it will suffer for 2014/15, despite a predicted increase in complaints of 10-12%. The increase in complaints is predicted due to changes in the provision of Welfare, and also changes in Housing. In relation to Welfare, such complaints were previously dealt with by the Social Fund Commissioner (last year 38k), these now fall under the jurisdiction of the LGO.
- 3 The new business model takes the form of a new 3 stage approach to complaints handling. The 3 stages will be Intake; Assessment; Investigation. From the point of Intake to the conclusion of the Assessment stage, should take no more than 20 days.
- 4 **INTAKE** – A complaint will only be with the INTAKE TEAM for 1 day, during which time it will go through a quick assessment to determine whether the complaint is premature, whether it is a matter for the LGO and whether there is sufficient evidence to warrant it being referred to the ASSESSMENT TEAM. There will be no corresponding with the Authority at the INTAKE stage, nor will the team be making decisions such as whether the complaint is potentially outside of LGO jurisdiction.
- 5 **ASSESSMENT** – Key to assessment stage is that rapid decisions will be made on complaints, as to whether they should be rejected or progressed for investigation. Rather than formal emails between LGO and the Authority, it is envisaged that at this stage there will be a greater emphasis on more immediate conversations with the Authority Liaison Officer to obtain provisional information and to provide clarification.
- 6 **PREMATURE COMPLAINTS** – Up until now, when the LGO establishes that a complaint to them is premature (that the Council has not had a reasonable opportunity to deal with the matter internally), the Authority Liaison Officer is sent a copy of the complaint and is instructed to process it accordingly to ensure that it will be considered under the Councils Complaints Procedure. This will no longer be the case. The LGO are placing the onus on the

complainant, and should a complaint be classified as premature, then it will be the responsibility of the complainant to bring the matter to the attention of the Council. The LGO will not “hold the hand” of complainants any longer at this stage, the complainant will be forced to take responsibility for their own complaint.

- 7 Could we/should we approach will be taken as to whether a complaint is progressed for investigation, with factors such as whether an investigation would be an appropriate use of public funds, or whether there is public interest in a matter, being taken into consideration.
- 8 **INVESTIGATION** – Once a complaint has been passed to an Investigator, regular contact with the Authority Liaison Officer will be encouraged, so that complaints aren’t “left hanging” for months on end as has been the case in the past. Furthermore, rather than just being provided with excerpts from a complaint, the Authority Liaison Officer should, in most cases, receive a full copy of the complaint to work with. The law stipulates that once an investigation is underway, the Authority must be permitted to comment on the complaint, so that opportunity will always be provided.
- 9 **PUBLISHING STATEMENTS OF REASON** – Perhaps the most drastic change to the way the LGO now proposes to operate. From 1 April 2013, all decisions made by the Ombudsman subsequent to that date, will be published. This is not done by any other Ombudsman at this time. The LGO believes that the current publication scheme is imbalanced and gives an unfair view of local authorities, as only cases which are taken to report stage get published, which inevitably find in favour of the complainant and identify serious maladministration or injustice on the part of the Council. The new approach of publishing ALL decisions will be fairer and more realistic.
- 10 1 April 2013 will be the lead in date for this new approach, however we will not start to see decisions published until the summer, as three months will be allowed to pass from when a decision is made to it being published.
- 11 The publication scheme will apply to all decisions, even those made at assessment stage, when the Authority may not have been called upon to provide information/comment on the complaint. This will be common at Assessment Stage, and the first we may hear about most complaints dealt with at Assessment, will be when the decision notice is issued. However these decisions will not have found any issue with the Council, they will be non-contentious cases and the decisions made will be non negotiable for the complainant. In any case where there may be implications/negative comment about the Authority, a provisional view will always be issued first.
- 12 As such, whether at Assessment or Investigation stage, there should from this point on, be greater importance placed on all Provisional Views released by the Ombudsman. This is the Council’s opportunity to refute or challenge any comments made by the LGO which may appear in the final published decision notice. Even in cases where the Ombudsman is not suggesting any maladministration etc on behalf of the Council, with no further action to be taken, it may still be that the Provisional View could contain negative critique about the Authority, for example, drawing attention to how a matter could have been handled better, even though there is no ultimate finding of

injustice. As such, any officers who receive a copy of a Provisional View from the Authority Liaison Officer, should be urged to take the time to assess the content closely, and take advantage of the opportunity to pass comment, before the Investigator arrives at a Final Decision which will ultimately be published.

- 13 There are unlikely to be any exceptions to the rule that all final decisions will be published, it will be a universal approach. It should also be noted that anonymity will not be afforded to any senior officers who may be mentioned in a final decision notice, although junior officers will remain anonymous.
- 14 There is attached, at Appendix 2, a schedule showing the number of complaints currently being overseen by Democratic Services.
- 15 **IN SUMMARY** - Key points to note are as follows:
 - Changes in the relationship between the LGO and Authority Liaison Officers – while there will be less work to do in terms of premature complaints and less complaints being progressed to Investigation, this will be balanced out by the approach that there will be more conversations at Assessment Stage and a predicted increase in the number of complaints to deal with.
 - The publication of decisions – Need to establish a regular dialogue between the Authority Liaison Officer and External Communications, possibly on a monthly basis, to provide advance notice of decisions which will be due to be published.

Recommendation

- 16 To note the new arrangements to be implemented by the Local Government Ombudsman.

Contact: Jocasta Lawton Tel: 03000 269 707

Appendix 1: Implications

Finance – none specific in this report.

Staffing - none specific in this report.

Risk - none specific in this report.

Equality and Diversity / Public Sector Equality Duty - none specific in this report.

Accommodation - none specific in this report.

Crime and Disorder - none specific in this report.

Human Rights - none specific in this report.

Consultation - none specific in this report.

Procurement - none specific in this report.

Disability Issues - none specific in this report.

Legal Implications - none specific in this report.

Appendix 2: 2013 Ombudsman Cases Overview

New Complaints

From 1 January 2013 to date, there have been 39 new enquiries from the Local Government Ombudsman further to complaints made against the Council. These relate to the following:

- 9 x Planning related complaints
- 6 x Adult Social Care complaints
- 8 x Children's Services complaints
- 3 x Highways related complaint
- 1 x Anti Social Behaviour related complaint
- 2 x School Admission Appeals complaints
- 1 x Rights of Way complaint
- 1 Housing complaint
- 5 x Benefits & Tax complaints
- 2 x Corporate Services complaints
- 1 x Benefits/Homelessness/Housing Solutions related complaint.

Of those 39 complaints, 20 have already been closed by the Ombudsman as follows:

- 1 x Planning complaint – closed as not in the LGO jurisdiction
- 3 x Planning complaints – Ombudsman decided not to initiate full investigations
- 2 x Adult Social Care complaints– Ombudsman decided not to initiate full investigations.
- 2 Children's Services complaints– closed as not in the LGO jurisdiction
- 1 x Children's Services complaint – Ombudsman decided not to initiate a full investigation.
- 1 x Children's Services complaint – closed following a local settlement.
- 1 x Children's Services complaint – the Ombudsman discontinued their involvement to allow the Council to fully investigate the complaint internally.
- 1 x Highways complaint – closed as not in the LGO jurisdiction.
- 2 x Benefits & Tax complaints – Ombudsman decided not to initiate full investigations.
- 2 x Benefits & Tax complaints – closed as not in the LGO jurisdiction.
- 2 x Corporate Services complaints- closed as not in the LGO jurisdiction.
- 1 x Anti Social Behaviour complaint – closed as not in the LGO jurisdiction.
- 1 x Housing complaint – Ombudsman decided not to initiate full investigation.

Ongoing Complaints

There is currently 1 case ongoing which was opened prior to the beginning of the year, as follows:

- 1 x Benefits/Homelessness complaint (open since 23/11/12)

Premature Complaints

Since the beginning of the year the Ombudsman has referred 6 complaints back to the Council to deal with, as it was apparent that the Council had not had fair opportunity to consider the matters through the internal complaints procedure. These relate to the following:

- 2 x Adult Social Care complaints
- 1 x Planning related complaint
- 1 x complaint relating to Housing Repairs
- 1 x School Admission Appeals complaint
- 1 x complaint relating to the actions of the Councils bailiffs

It has been procedure up to now for the Ombudsman to send the Authority Liaison Officer all the details of the premature complaint, which then needs to be logged and submitted to the Corporate Complaints Unit. This is no longer the case, the Ombudsman will no longer refer matters to the Council on the complainants behalf, that will be up to the complainant to do.

Standards Committee

25 June 2013



Members Acting for Developers

Report of Colette Longbottom, Head of Legal and Democratic Services

Purpose of the Report

1. To invite members to approve a briefing note for circulation to all Councillors on acting for developers.

Background

2. Earlier in the year, a series of articles were published in the Telegraph by Campaign to Protect Rural England in relation to the alleged practice of councillors acting for developers for a fee.
3. The Local Government Minister, Brandon Lewis, and the Secretary of State for Communities and Local Government have responded to these articles and following this, a briefing note which provides further guidance has been prepared for members and is attached as Appendix 2.

Recommendations and Reasons

4. Standards Committee is invited to approve the briefing note for circulation to all members.

Contact: Clare Burrows Tel: (03000) 260548

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Appendix 1: Implications

Finance: None

Staffing: None

Equality and Diversity: None

Accommodation: None

Crime and Disorder: None

Human Rights: None

Consultation: None

Procurement: None

Disability Discrimination Act: None

Legal Implications: None

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Briefing Note – Members Acting for Developers

Background

There have been a series of articles published in the Telegraph by Campaign to Protect Rural England in relation to the alleged practice of councillors acting for developers for a fee, to which the Local Government Minister Brandon Lewis and the Secretary of State for Communities and Local Government have responded.

As a result of this publicity this briefing note has been produced with the intention to provide guidance to members acting for developers.

Localism Act 2011

Members are reminded that it is unacceptable to be receiving any form of payment to lobby their own Council. Paragraph 5 of the Code of Conduct states that you must not use or attempt to use your position as a member improperly to confer on or secure for yourself or any other person any advantage or disadvantage.

Under paragraph 11 of the Code of Conduct Members must register their discloseable pecuniary interests, which includes their employment and any trade for profit or gain. Failure without reasonable excuse to do so is a criminal offence.

Bribery Act 2010

Depending on the circumstances, the receipt of payments to lobby could constitute a criminal offence under the Bribery Act.

The Bribery Act also covers those who promise or provide such payments, be they consultancy firms or individuals. Those who offer financial advantage to any councillor to attempt to influence the planning process in their local authority are themselves potentially committing a criminal offence. Should members find themselves in this position they should immediately contact the Monitoring Officer.

Misconduct in Public Office

It seems likely that councillors acting for a fee for developers will also be committing the common law offence of misconduct in public office.

The offence is committed when a public officer acting as such wilfully neglects to perform his duty and/or wilfully misconducts himself to such a degree as to amount to an abuse of the public's trust in the office holder, without reasonable excuse or justification. The offence carries a maximum sentence of life imprisonment.

If you require any further advice in relation to this matter please contact the Monitoring Officer.

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Standards Committee

25 June 2013



Probity in Planning - New Guidance issued by the Local Government Association

Report of Colette Longbottom, Head of Legal and Democratic Services Monitoring Officer

Purpose of the Report

1. To inform members of Guidance recently published by the Local Government Association relating to Probity in Planning.

Background

2. The Council's Constitution includes a section entitled Code of Practice for Members and Officers dealing with Planning Matters. The Code was largely based upon the Local Government Association's Guidance Note of Good Practice issued in 2002. This latest Guidance supersedes that publication. I have therefore reviewed the Council's current Code of Practice to identify whether any changes are required as a result of the new Guidance.
3. The Guidance on the conduct of work as agents for individuals pursuing planning matters within the Authority area has been strengthened and recommends that officers and serving Councillors should not act as agents even if they are not involved in the decision making process. Paragraph 3.6 of our current Code implies that members would not be restricted from acting professionally as agents for persons pursuing planning matters within Durham provided they played no part in the decision making process for those proposals. A change in the Code will be recommended to reflect the more restrictive guidance which might be attributable to conflict situations reported nationally within the last year which attracted considerable media attention.

4. It will be worthwhile clarifying our current rules on site visits when the Code is revised. The LGA Guidance suggests that site visits should be less common than may currently be the case in Durham and revised wording would reflect that they should not be regarded as standard practice for each application.
5. The new Guidance also clarified that new documents should not be circulated at Planning Committee meetings by supporters and objectors because of the risk that members may not have sufficient opportunity to give it proper consideration and officers may not have sufficient opportunity to check its accuracy or advise upon it. The Council's current practice is to circulate to members of the public a guide on procedures for speaking at Planning Committees and the detail is not included in the Code of Practice. This supplementary guidance will be updated to clarify that circulation of documents excluding a summary of any oral submissions the speaker intends to make will not be permitted.

Recommendation

6. The Committee is requested to note that the Council's Constitution Working Group will be invited to make recommendations to Council on changes to the Council's Code of Practice for members and officers dealing with planning matters to reflect the new Guidance from the Local Government Association.

Contact: David Taylor

Telephone: 03000 269727

Appendix 1: Implications

Finance: None

Staffing: None

Risk: None

Equality and Diversity/Public Sector Equality Duty: None

Accommodation: None

Crime and Disorder: None

Human Rights: None

Consultation: None

Procurement: None

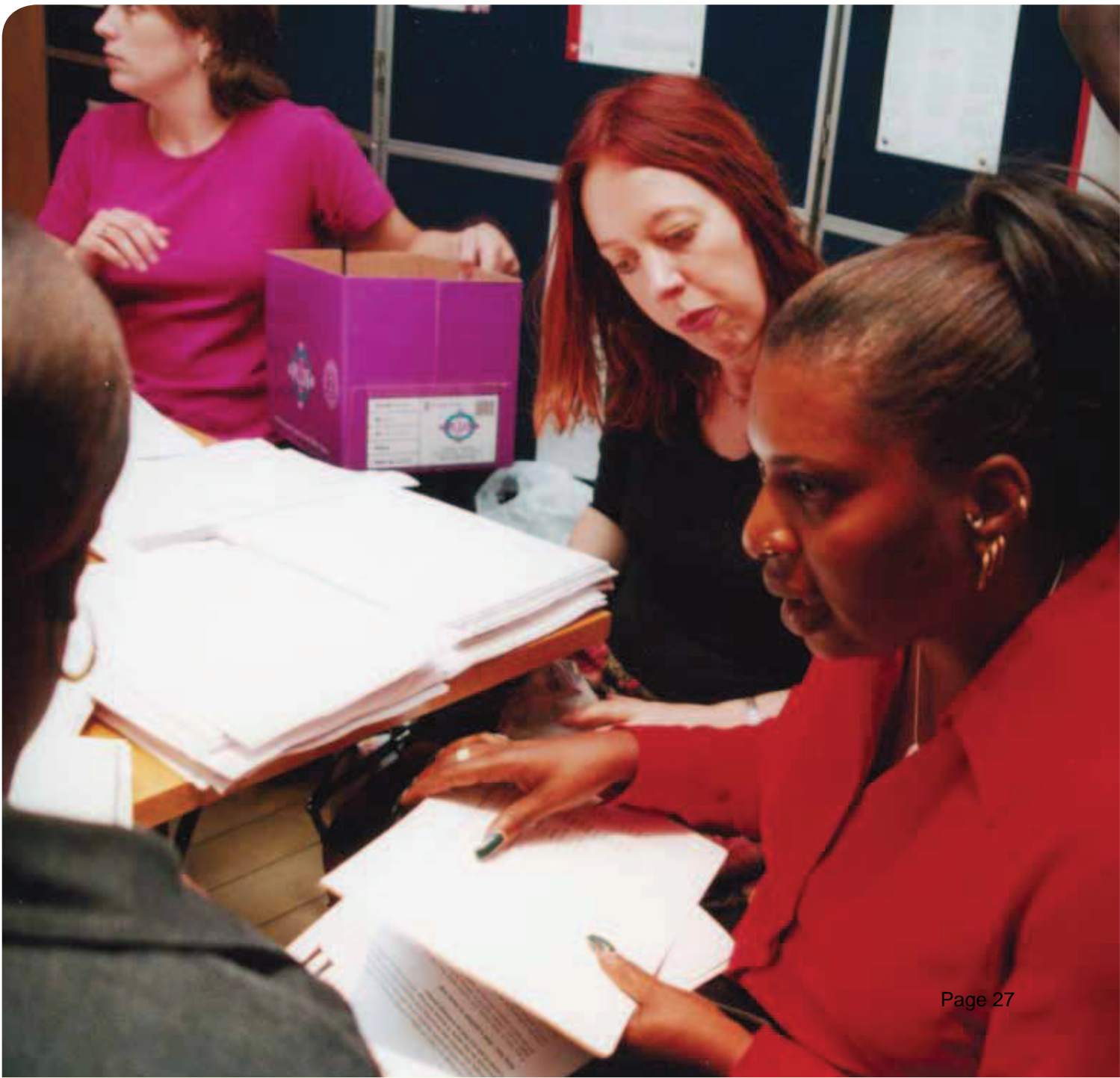
Disability Discrimination Act: None

Legal Implications: contained in the report

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Probity in planning

for councillors and officers



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This publication was prepared by Trevor Roberts Associates for the Planning Advisory Service. It also includes contributions from officers from various councils.

April 2013

Foreword

This 2013 update to the 2009 version of the Local Government Association's Probity in Planning guide reflects changes introduced by the Localism Act 2011. It clarifies how councillors can get involved in planning discussions on plan making and on applications, on behalf of their communities in a fair, impartial and transparent way.

This guide has been written for officers and councillors involved in planning. Councillors should also be familiar with their own codes of conduct and guidance.

This guide is not intended to nor does it constitute legal advice. Councillors and officers will need to obtain their own legal advice on any matters of a legal nature concerning matters of probity.

Introduction

Planning has a positive and proactive role to play at the heart of local government. It helps councils to stimulate growth whilst looking after important environmental areas. It can help to translate goals into action. It balances social, economic and environmental needs to achieve sustainable development.

The planning system works best when officers and councillors involved in planning understand their roles and responsibilities, and the context and constraints in which they operate.

Planning decisions involve balancing many competing interests. In doing this, decision makers need an ethos of decision-making in the wider public interest on what can be controversial proposals.

It is recommended that councillors should receive regular training on code of conduct issues, interests and predetermination, as well as on planning matters.

Background

In 1997, the Third Report of the Committee on Standards in Public Life (known as the Nolan Report) resulted in pressures on councillors to avoid contact with developers in the interests of ensuring probity. In today's place-shaping context, early councillor engagement is encouraged to ensure that proposals for sustainable development can be harnessed to produce the settlements that communities need.

This guidance is intended to reinforce councillors' community engagement roles whilst maintaining good standards of probity that minimizes the risk of legal challenges.

Planning decisions are based on balancing competing interests and making an informed judgement against a local and national policy framework.

Decisions can be controversial. The risk of controversy and conflict are heightened by the openness of a system which invites public opinion before taking decisions and the legal nature of the development plan and decision notices. Nevertheless, it is important that the decision-making process is open and transparent.

One of the key aims of the planning system is to balance private interests in the development of land against the wider public interest. In performing this role, planning necessarily affects land and property interests, particularly the financial value of landholdings and the quality of their settings. Opposing views are often strongly held by those involved.

Whilst councillors must take account of these views, they should not favour any person, company, group or locality, nor put themselves in a position where they may appear to be doing so. It is important, therefore, that planning authorities make planning decisions affecting these interests openly, impartially, with sound judgement and for justifiable reasons.

The process should leave no grounds for suggesting that those participating in the decision were biased or that the decision itself was unlawful, irrational or procedurally improper.

This guidance is not intended to be prescriptive. Local circumstances may provide reasons for local variations of policy and practice. Every council should regularly review the way in which it conducts its planning business.

This guidance refers mainly to the actions of a local authority planning committee as the principal decision-making forum on planning matters. It is recognised, however, that authorities have a range of forms of decision-making: officer delegations; area committees; planning boards, and full council.

This guidance applies equally to these alternative forms of decision-making. Indeed, it becomes very important if the full council is determining planning applications referred to it, or adopting local plans and other policy documents, that councillors taking those decisions understand the importance of this guidance. The guidance also applies to councillor involvement in planning enforcement cases or the making of compulsory purchase orders.

The general role and conduct of councillors and officers

Councillors and officers have different but complementary roles. Both serve the public but councillors are responsible to the electorate, whilst officers are responsible to the council as a whole. Officers advise councillors and the council and carry out the council's work. They are employed by the council, not by individual councillors. A successful relationship between councillors and officers will be based upon mutual trust, understanding and respect of each other's positions.

Both councillors and officers are guided by codes of conduct. The 2011 Act sets out a duty for each local authority to promote and maintain high standards of conduct by councillors and to adopt a local code of conduct. All councils had to adopt a local code by August 2012.

The adopted code should be consistent with the principles of selflessness, integrity, objectivity, accountability, openness, honesty and leadership.

It should embrace the standards central to the preservation of an ethical approach to council business, including the need to register and disclose interests, as well as appropriate relationships with other councillors, staff, and the public. Many local authorities have adopted their own, separate codes relating specifically to planning although these should be cross referenced with the substantive code of conduct for the council.

Staff who are chartered town planners are subject to the Royal Town Planning Institute (RTPI) Code of Professional Conduct, breaches of which may be subject to disciplinary action by the Institute. Many authorities will have adopted a code of conduct for employees and incorporated those or equivalent rules of conduct into the contracts of employment of employees.

In addition to these codes, a council's standing orders set down rules which govern the conduct of council business.

Councillors and officers should be cautious about accepting gifts and hospitality and should exercise their discretion. Any councillor or officer receiving any such offers over and above an agreed nominal value should let the council's monitoring officer know, in writing, and seek advice as to whether they should be accepted or declined. Guidance on these issues for both councillors and officers should be included in the local code of conduct

Employees must always act impartially and in a politically neutral manner. The Local Government and Housing Act 1989 enables restrictions to be set on the outside activities of senior officers, such as membership of political parties and serving on another council. Councils should carefully consider which of their officers are subject to such restrictions and review this regularly.

Officers and serving councillors must not act as agents for people pursuing planning matters within their authority even if they are not involved in the decision making on it.

Whilst the determination of a planning application is not a 'quasi-judicial' process (unlike, say, certain licensing functions carried out by the local authority), it is a formal administrative process involving the application of national and local policies, reference to legislation and case law as well as rules of procedure, rights of appeal and an expectation that people will act reasonably and fairly. All involved should remember the possibility that an aggrieved party may seek a Judicial Review and/or complain to the Ombudsman on grounds of maladministration or a breach of the authority's code.

Finally, as planning can sometimes appear to be complex and as there are currently many changes in planning taking place, the LGA endorses the good practice of many councils which ensures that their councillors receive training on planning when first appointed to the planning committee or local plan steering group, and regularly thereafter. The Planning Advisory Service (PAS) can provide training to councillors (contact pas@local.gov.uk).

Registration and disclosure of interests

Chapter 7 of the 2011 Act places requirements on councillors regarding the registration and disclosure of their pecuniary interests and the consequences for a councillor taking part in consideration of an issue in the light of those interests. The definitions of disclosable pecuniary interests are set out in The Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012. A failure to register a disclosable pecuniary interest within 28 days of election or co-option or the provision of false or misleading information on registration, or participation in discussion or voting in a meeting on a matter in which a councillor or co-opted member has a disclosable pecuniary interest, are criminal offences.

For full guidance on interests, see Openness and transparency on personal interests: guidance for councillors, Department for Communities and Local Government, March 2013. (This guidance note does not seek to replicate the detailed information contained within the DCLG note). Advice should always be sought from the council's monitoring officer. Ultimately, responsibility for fulfilling the requirements rests with each councillor.

The provisions of the Act seek to separate interests arising from the personal and private interests of the councillor from those arising from the councillor's wider public life. Councillors should think about how a reasonable member of the public, with full knowledge of all the relevant facts, would view the matter when considering whether the councillor's involvement would be appropriate.

Each council's code of conduct should establish what interests need to be disclosed. All disclosable interests should be registered and a register maintained by the council's monitoring officer and made available to the public. Councillors should also disclose that interest orally at the committee meeting when it relates to an item under discussion.

A councillor must provide the monitoring officer with written details of relevant interests within 28 days of their election or appointment to office. Any changes to those interests must similarly be notified within 28 days of the councillor becoming aware of such changes.

A disclosable pecuniary interest relating to an item under discussion requires the withdrawal of the councillor from the committee. In certain circumstances, a dispensation can be sought from the appropriate body or officer to take part in that particular item of business.

If a councillor has a (non-pecuniary) personal interest, he or she should disclose that interest, but then may speak and vote on that particular item. This includes being a member of an outside body; mere membership of another body does not constitute an interest requiring such a prohibition.

It is always best to identify a potential interest early on. If a councillor thinks that they may have an interest in a particular matter to be discussed at planning committee he or she should raise this with their monitoring officer as soon as possible.

See Appendix for a flowchart of how councillors' interests should be handled.

Predisposition, predetermination, or bias

Members of a planning committee, Local Plan steering group (or full Council when the local plan is being considered) need to avoid any appearance of bias or of having predetermined their views before taking a decision on a planning application or on planning policies.

The courts have sought to distinguish between situations which involve predetermination or bias on the one hand and predisposition on the other. The former is indicative of a 'closed mind' approach and likely to leave the committee's decision susceptible to challenge by Judicial Review.

Clearly expressing an intention to vote in a particular way before a meeting (predetermination) is different from where a councillor makes it clear they are willing to listen to all the considerations presented at the committee before deciding on how to vote (predisposition). The latter is alright, the former is not and may result in a Court quashing such planning decisions.

Section 25 of the Act also provides that a councillor should not be regarded as having a closed mind simply because they previously did or said something that, directly or indirectly, indicated what view they might take in relation to any particular matter.

This reflects the common law position that a councillor may be predisposed on a matter before it comes to Committee, provided they remain open to listening to all the arguments and changing their mind in light of all the information presented at the meeting. Nevertheless, a councillor in this position will always be judged against an objective test of whether the reasonable onlooker, with knowledge of the relevant facts, would consider that the councillor was biased.

For example, a councillor who states "Windfarms are blots on the landscape and I will oppose each and every windfarm application that comes before the committee" will be perceived very differently from a councillor who states: "Many people find windfarms ugly and noisy and I will need a lot of persuading that any more windfarms should be allowed in our area."

If a councillor has predetermined their position, they should withdraw from being a member of the decision-making body for that matter.

This would apply to any member of the planning committee who wanted to speak for or against a proposal, as a campaigner (for example on a proposal within their ward). If the Council rules allow substitutes to the meeting, this could be an appropriate option.

Authorities will usually have a cabinet/ executive member responsible for development and planning. This councillor is able to be a member of the planning committee. Leading members of a local authority, who have participated in the development of planning policies and proposals, need not and should not, on that ground and in the interests of the good conduct of business, normally exclude themselves from decision making committees.

Development proposals submitted by councillors and officers, and council development

Proposals submitted by serving and former councillors, officers and their close associates and relatives can easily give rise to suspicions of impropriety. Proposals could be planning applications or local plan proposals.

Such proposals must be handled in a way that gives no grounds for accusations of favouritism. Any local planning protocol or code of good practice should address the following points in relation to proposals submitted by councillors and planning officers:

- if they submit their own proposal to their authority they should play no part in its consideration
- a system should be devised to identify and manage such proposals
- the council's monitoring officer should be informed of such proposals
- such proposals should be reported to the planning committee and not dealt with by officers under delegated powers.

A councillor would undoubtedly have a disclosable pecuniary interest in their own application and should not participate in its consideration. They do have the same rights as any applicant in seeking to explain their proposal to an officer, but the councillor, as applicant, should also not seek to improperly influence the decision.

Proposals for a council's own development should be treated with the same transparency and impartiality as those of private developers.

Lobbying of and by councillors

Lobbying is a normal part of the planning process. Those who may be affected by a planning decision, whether through an application, a site allocation in a development plan or an emerging policy, will often seek to influence it through an approach to their ward member or to a member of the planning committee.

As the Nolan Committee's 1997 report stated: "It is essential for the proper operation of the planning system that local concerns are adequately ventilated. The most effective and suitable way that this can be done is through the local elected representatives, the councillors themselves".

Lobbying, however, can lead to the impartiality and integrity of a councillor being called into question, unless care and common sense is exercised by all the parties involved.

As noted earlier in this guidance note, the common law permits predisposition but nevertheless it remains good practice that, when being lobbied, councillors (members of the planning committee in particular) should try to take care about expressing an opinion that may be taken as indicating that they have already made up their mind on the issue before they have been exposed to all the evidence and arguments.

In such situations, they could restrict themselves to giving advice about the process and what can and can't be taken into account.

Councillors can raise issues which have been raised by their constituents, with officers. If councillors do express an opinion to objectors or supporters, it is good practice that they make it clear that they will only be in a position to take a final decision after having heard all the relevant arguments and taken into account all relevant material and planning considerations at committee.

If any councillor, whether or not a committee member, speaks on behalf of a lobby group at the decision-making committee, they would be well advised to withdraw once any public or ward member speaking opportunities had been completed in order to counter any suggestion that members of the committee may have been influenced by their continuing presence. This should be set out in the authority's code of conduct for planning matters.

It is very difficult to find a form of words which conveys every nuance of these situations and which gets the balance right between the duty to be an active local representative and the requirement when taking decisions on planning matters to take account of all arguments in an open-minded way. It cannot be stressed too strongly, however, that the striking of this balance is, ultimately, the responsibility of the individual councillor.

A local code on planning should also address the following more specific issues about lobbying:

- Planning decisions cannot be made on a party political basis in response to lobbying; the use of political whips to seek to influence the outcome of a planning application is likely to be regarded as maladministration.
- Planning committee or local plan steering group members should in general avoid organising support for or against a planning application, and avoid lobbying other councillors.
- Councillors should not put pressure on officers for a particular recommendation or decision, and should not do anything which compromises, or is likely to compromise, the officers' impartiality or professional integrity.
- Call-in procedures, whereby councillors can require a proposal that would normally be determined under the delegated authority to be called in for determination by the planning committee, should require the reasons for call-in to be recorded in writing and to refer solely to matters of material planning concern.

As previously outlined, councillors must always be mindful of their responsibilities and duties under their local codes of conduct. These responsibilities and duties apply equally to matters of lobbying as they do to the other issues of probity explored elsewhere in this guidance.

Pre-application discussions

Pre-application discussions between a potential applicant and a council can benefit both parties and are encouraged. However, it would be easy for such discussions to become, or be seen by objectors to become, part of a lobbying process on the part of the applicant.

Some councils have been concerned about probity issues raised by involving councillors in pre-application discussions, worried that councillors would be accused of predetermination when the subsequent application came in for consideration. Now, through the Localism Act and previously the Audit Commission, the LGA and PAS recognise that councillors have an important role to play in pre-application discussions, bringing their local knowledge and expertise, along with an understanding of community views. Involving councillors can help identify issues early on, helps councillors lead on community issues and helps to make sure that issues don't come to light for the first time at committee. PAS recommends a 'no shocks' approach.

The Localism Act, particularly S25, by endorsing this approach, has given councillors much more freedom to engage in pre-application discussions. Nevertheless, in order to avoid perceptions that councillors might have fettered their discretion, such discussions should take place within clear, published guidelines.

Although the term 'pre-application' has been used, the same considerations should apply to any discussions which occur before a decision is taken. In addition to any specific local circumstances, guidelines should include the following:

- Clarity at the outset that the discussions will not bind a council to making a particular decision and that any views expressed are personal and provisional. By the very nature of such meetings not all relevant information may be at hand, nor will formal consultations with interested parties have taken place.
- An acknowledgement that consistent advice should be given by officers based upon the development plan and material planning considerations.
- Officers should be present with councillors in pre-application meetings. Councillors should avoid giving separate advice on the development plan or material considerations as they may not be aware of all the issues at an early stage. Neither should they become drawn into any negotiations, which should be done by officers (keeping interested councillors up to date) to ensure that the authority's position is co-ordinated.

- Confirmation that a written note should be made of all meetings. An officer should make the arrangements for such meetings, attend and write notes. A note should also be taken of any phone conversations, and relevant emails recorded for the file. Notes should record issues raised and advice given. The note(s) should be placed on the file as a public record. If there is a legitimate reason for confidentiality regarding a proposal, a note of the non-confidential issues raised or advice given can still normally be placed on the file to reassure others not party to the discussion.
- A commitment that care will be taken to ensure that advice is impartial, otherwise the subsequent report or recommendation to committee could appear to be advocacy.
- The scale of proposals to which these guidelines would apply. Councillors talk regularly to constituents to gauge their views on matters of local concern. The Nolan Committee argued that keeping a register of these conversations would be impractical and unnecessary. Authorities should think about when, however, discussions should be registered and notes written.

Authorities have other mechanisms to involve councillors in pre-application discussions including:

- committee information reports by officers of discussions to enable councillors to raise issues, identify items of interest and seek further information
- developer presentations to committees which have the advantage of transparency if held in public as a committee would normally be (with notes taken)
- ward councillor briefing by officers on pre-application discussions.

Similar arrangements can also be used when authorities are looking at new policy documents and particularly when making new site allocations in emerging development plans and wish to engage with different parties, including councillors, at an early stage in the process.

The Statement of Community Involvement will set out the council's approach to involving communities and other consultees in pre-application discussions. Some authorities have public planning forums to explore major pre-application proposals with the developer outlining their ideas and invited speakers to represent differing interests and consultees. As well as being transparent, these forums allow councillors and consultees to seek information and identify important issues for the proposal to address, although still bearing in mind the need to avoid pre-determination.

Officer reports to committee

As a result of decisions made by the courts and ombudsman, officer reports on planning applications must have regard to the following:

- Reports should be accurate and should include the substance of any objections and other responses received to the consultation.
- Relevant information should include a clear assessment against the relevant development plan policies, relevant parts of the National Planning Policy Framework (NPPF), any local finance considerations, and any other material planning considerations.

- Reports should have a written recommendation for a decision to be made.
- Reports should contain technical appraisals which clearly justify the recommendation.
- If the report's recommendation is contrary to the provisions of the development plan, the material considerations which justify the departure must be clearly stated. This is not only good practice, but also failure to do so may constitute maladministration or give rise to a Judicial Review challenge on the grounds that the decision was not taken in accordance with the provisions of the development plan and the council's statutory duty under s38A of the Planning and Compensation Act 2004 and s70 of the Town and Country Planning Act 1990.

Any oral updates or changes to the report should be recorded.

Public speaking at planning committees

Whether to allow public speaking at a planning committee or not is up to each local authority. Most authorities do allow it. As a result, public confidence is generally enhanced and direct lobbying may be reduced. The disadvantage is that it can make the meetings longer and sometimes harder to manage.

Where public speaking is allowed, clear protocols should be established about who is allowed to speak, including provisions for applicants, supporters, ward councillors, parish councils and third party objectors.

In the interests of equity, the time allowed for presentations for and against the development should be the same, and those speaking should be asked to direct their presentation to reinforcing or amplifying representations already made to the council in writing.

New documents should not be circulated to the committee; councillors may not be able to give proper consideration to the new information and officers may not be able to check for accuracy or provide considered advice on any material considerations arising. This should be made clear to those who intend to speak.

Messages should never be passed to individual committee members, either from other councillors or from the public. This could be seen as seeking to influence that member improperly and will create a perception of bias that will be difficult to overcome.

Decisions which differ from a recommendation

The law requires that decisions should be taken in accordance with the development plan, unless material considerations (which specifically include the NPPF) indicate otherwise (s38A Planning & Compensation Act 2004 and s70 of the Town and Country Planning Act 1990).

This applies to all planning decisions. Any reasons for refusal must be justified against the development plan and other material considerations.

The courts have expressed the view that the committee's reasons should be clear and convincing. The personal circumstances of an applicant or any other material or non-material planning considerations which might cause local controversy will rarely satisfy the relevant tests.

Planning committees can, and often do, make a decision which is different from the officer recommendation. Sometimes this will relate to conditions or terms of a S106 obligation. Sometimes it will change the outcome, from an approval to a refusal or vice versa. This will usually reflect a difference in the assessment of how a policy has been complied with, or different weight ascribed to material considerations.

Planning committees are advised to take the following steps before making a decision which differs from the officer recommendation:

- discussing the areas of difference and the reasons for that with planning officers beforehand (as part of a standard 'call-over' meeting where all items on the agenda are discussed)
- recording the detailed reasons as part of the mover's motion
- adjourning for a few minutes for those reasons to be discussed and then agreed by the committee
- where there is concern about the validity of reasons, considering deferring to another meeting to have the putative reasons tested and discussed.

If the planning committee makes a decision contrary to the officers' recommendation (whether for approval or refusal or changes to conditions or S106 obligations), a detailed minute of the committee's reasons should be made and a copy placed on the application file. Councillors should be prepared to explain in full their planning reasons for not agreeing with the officer's recommendation. Pressure should never be put on officers to 'go away and sort out the planning reasons'.

The officer should also be given an opportunity to explain the implications of the contrary decision, including an assessment of a likely appeal outcome, and chances of a successful award of costs against the council, should one be made.

All applications that are clearly contrary to the development plan must be advertised as such, and are known as 'departure' applications. If it is intended to approve such an application, the material considerations leading to this conclusion must be clearly identified, and how these considerations justify overriding the development plan must be clearly demonstrated.

The application may then have to be referred to the relevant secretary of state, depending upon the type and scale of the development proposed (s77 of the Town and Country Planning Act 1990). If the officers' report recommends approval of such a departure, the justification for this should be included, in full, in that report.

Committee site visits

National standards and local codes also apply to site visits. Councils should have a clear and consistent approach on when and why to hold a site visit and how to conduct it. This should avoid accusations that visits are arbitrary, unfair or a covert lobbying device. The following points may be helpful:

- visits should only be used where the benefit is clear and substantial; officers will have visited the site and assessed the scheme against policies and material considerations already
- the purpose, format and conduct should be clear at the outset and adhered to throughout the visit
- where a site visit can be 'triggered' by a request from the ward councillor, the 'substantial benefit' test should still apply.
- keep a record of the reasons why a site visit is called.

A site visit is only likely to be necessary if:

- the impact of the proposed development is difficult to visualise from the plans and any supporting material, including photographs taken by officers
- the comments of the applicant and objectors cannot be expressed adequately in writing or
- the proposal is particularly contentious.

Site visits are for observing the site and gaining a better understanding of the issues. Visits made by committee members, with officer assistance, are normally the most fair and equitable approach. They should not be used as a lobbying opportunity by objectors or supporters.

This should be made clear to any members of the public who are there.

Once a councillor becomes aware of a proposal they may be tempted to visit the site alone. In such a situation, a councillor is only entitled to view the site from public vantage points and they have no individual rights to enter private property. Whilst a councillor might be invited to enter the site by the owner, it is not good practice to do so on their own, as this can lead to the perception that the councillor is no longer impartial.

Annual review of decisions

It is good practice for councillors to visit a sample of implemented planning permissions to assess the quality of the decisions and the development. This should improve the quality and consistency of decision-making, strengthen public confidence in the planning system, and can help with reviews of planning policy.

Reviews should include visits to a range of developments such as major and minor schemes; upheld appeals; listed building works and enforcement cases. Briefing notes should be prepared on each case. The planning committee should formally consider the review and decide whether it gives rise to the need to reconsider any policies or practices.

Scrutiny or standards committees may be able to assist in this process but the essential purpose of these reviews is to assist planning committee members to refine their understanding of the impact of their decisions. Planning committee members should be fully engaged in such reviews.

Complaints and record keeping

All councils should have a complaints procedure which may apply to all council activities. A council should also consider how planning-related complaints will be handled, in relation to the code of conduct adopted by the authority.

So that complaints may be fully investigated and as general good practice, record keeping should be complete and accurate. Every planning application file should contain an accurate account of events throughout its life. It should be possible for someone not involved in that application to understand what the decision was, and why and how it had been reached. This applies to decisions taken by committee and under delegated powers, and to applications, enforcement and development plan matters.

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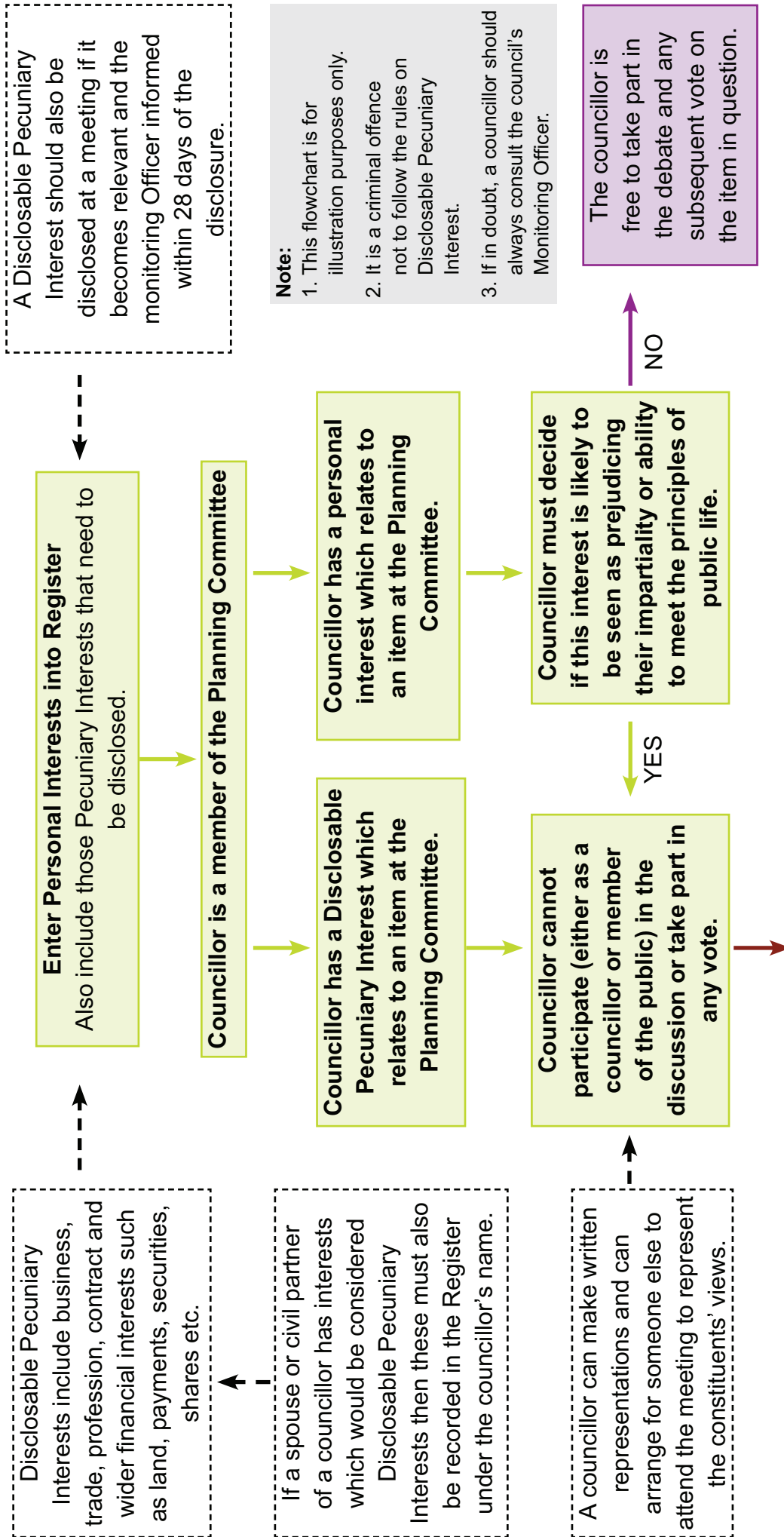
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Flowchart of councillors' interests



Councillor must leave the room if Council's Standing Orders require it or if continuing presence is incompatible with the Council's code of conduct or it would contravene the principles of public life. Special dispensation can be sought in exceptional circumstances.



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