

Meeting of the

# **STANDARDS COMMITTEE**

---

**Tuesday, 16 February 2010 at 7.30 p.m.**

---

## **A G E N D A**

---

### **VENUE**

**C1, 1st Floor, Town Hall, Mulberry Place, 5 Clove Crescent, London,  
E14 2BG**

<b>Members:</b>	<b>Deputies (if any):</b>
<b>Chair: Mr Patrick (Barry) O'Connor</b> <b>Vice-Chair: Mr Muhammad Habibur Rahman</b>	
<b>Mr Ibrahim Ali</b> <b>Ms. S. Bagum</b> <b>Ms Suzette Barry</b> <b>Mr R. Hopkins</b> <b>Mr Barry Lowe</b> <b>Mr Eric Pemberton</b> <b>Mr Matthew William Rowe</b>	
<b>Councillor Waiseul Islam</b> <b>Councillor Dr. Emma Jones</b> <b>Councillor Azizur Rahman Khan</b> <b>Councillor Abdul Munim</b> <b>Councillor Salim Ullah</b>	<b>Councillor Peter Golds, (Designated Deputy representing Councillor Dr. Emma Jones)</b> <b>Councillor Clair Hawkins, (Designated Deputy representing Councillors Waiseul Islam and Salim Ullah)</b> <b>Councillor Alexander Heslop, (Designated Deputy representing Councillors Waiseul Islam and Salim Ullah)</b> <b>Councillor Sirajul Islam, (Designated Deputy representing Councillors Waiseul Islam and Salim Ullah)</b> <b>Councillor Abjol Miah, (Designated Deputy</b>

representing Councillors Md. Abdul  
Munim)  
Councillor M. Mamun Rashid, (Designated  
Deputy representing Councillors Md.  
Abdul Munim)

**[Note: The quorum for this body is 3 Members, of whom two must be Independent Members].**

If you require any further information relating to this meeting, would like to request a large print, Braille or audio version of this document, or would like to discuss access arrangements or any other special requirements, please contact: Zoe Folley, Democratic Services,  
Tel: 020 7364 4877, E-mail: [zoe.folley@towerhamlets.gov.uk](mailto:zoe.folley@towerhamlets.gov.uk)

# LONDON BOROUGH OF TOWER HAMLETS

## STANDARDS COMMITTEE

Tuesday, 16 February 2010

7.30 p.m.

### 1. APOLOGIES FOR ABSENCE

To receive any apologies for absence.

	PAGE NUMBER	WARD(S) AFFECTED
<b>2. DECLARATIONS OF INTEREST</b>		
To note any declarations of interest made by Members, including those restricting Members from voting on the questions detailed in Section 106 of the Local Government Finance Act, 1992. See attached note from the Chief Executive.	1 - 2	
<b>3. UNRESTRICTED MINUTES</b>		
To confirm as a correct record of the proceedings the minutes of the ordinary meeting of the Standards Committee held on 20 <sup>th</sup> October 2009.	3 - 8	
<b>4. DEPUTATIONS &amp; PETITIONS</b>		
To receive any deputations or petitions.		
<b>5. UNRESTRICTED REPORTS FOR CONSIDERATION</b>		
<b>5 .1 Corporate Governance Review - Assessment against CIPFA/ SOLACE Framework</b>	9 - 26	All Wards
<b>5 .2 National Fraud Initiative 2008/09 and Anti Fraud Update Report</b>	27 - 40	All Wards
<b>5 .3 Local Assessment of Complaints Update - New Adult Social Care procedure</b>	41 - 46	All Wards
	PAGE NUMBER	WARD(S) AFFECTED
<b>5 .4 Monitoring Report on Ethical Standards Training</b>	47 - 50	All Wards

- |             |   |                |                  |
|-------------|---|----------------|------------------|
| <b>5 .5</b> | <b>Monitoring Implementation of the Ethical Governance Protocol for Council Contracts Progress Report</b> | <b>51 - 54</b> | <b>All Wards</b> |
| <b>5 .6</b> | <b>Members Attendance and Interests - Monitoring Report</b>   | <b>55 - 68</b> | <b>All Wards</b> |

**6. ANY OTHER UNRESTRICTED BUSINESS WHICH THE CHAIR CONSIDERS URGENT**

To consider any other unrestricted business that the Chair considers to be urgent.

# Agenda Item 2

## DECLARATIONS OF INTERESTS - NOTE FROM THE CHIEF EXECUTIVE

This note is guidance only. Members should consult the Council's Code of Conduct for further details. Note: Only Members can decide if they have an interest therefore they must make their own decision. If in doubt as to the nature of an interest it is advisable to seek advice **prior** to attending at a meeting.

### Declaration of interests for Members

Where Members have a personal interest in any business of the authority as described in paragraph 4 of the Council's Code of Conduct (contained in part 5 of the Council's Constitution) then s/he must disclose this personal interest as in accordance with paragraph 5 of the Code. Members must disclose the existence and nature of the interest at the start of the meeting and certainly no later than the commencement of the item or where the interest becomes apparent.

You have a **personal interest** in any business of your authority where it relates to or is likely to affect:

- (a) An interest that you must **register**
- (b) An interest that is not on the register, but where the well-being or financial position of you, members of your family, or people with whom you have a close association, is likely to be affected by the business of your authority more than it would affect the majority of inhabitants of the ward affected by the decision.

Where a personal interest is declared a Member may stay and take part in the debate and decision on that item.

**What constitutes a prejudicial interest?** - Please refer to paragraph 6 of the adopted Code of Conduct.

**Your personal interest will also be a prejudicial interest in a matter if (a), (b) and either (c) or (d) below apply:-**

- (a) A member of the public, who knows the relevant facts, would reasonably think that your personal interests are so significant that it is likely to prejudice your judgment of the public interests; AND
- (b) The matter does not fall within one of the exempt categories of decision listed in paragraph 6.2 of the Code; AND EITHER
- (c) The matter affects your financial position or the financial interest of a body with which you are associated; or
- (d) The matter relates to the determination of a licensing or regulatory application

The key points to remember if you have a prejudicial interest in a matter being discussed at a meeting:-

- i. You must declare that you have a prejudicial interest, and the nature of that interest, as soon as that interest becomes apparent to you; and
- ii. You must leave the room for the duration of consideration and decision on the item and not seek to influence the debate or decision unless (iv) below applies; and

- iii. You must not seek to improperly influence a decision in which you have a prejudicial interest.
- iv. If Members of the public are allowed to speak or make representations at the meeting, give evidence or answer questions about the matter, by statutory right or otherwise (e.g. planning or licensing committees), you can declare your prejudicial interest but make representations. However, you must immediately leave the room once you have finished your representations and answered questions (if any). You cannot remain in the meeting or in the public gallery during the debate or decision on the matter.

**LONDON BOROUGH OF TOWER HAMLETS**

**MINUTES OF THE STANDARDS COMMITTEE**

**HELD AT 7.32 P.M. ON TUESDAY, 20 OCTOBER 2009**

**M71, 7TH FLOOR, TOWN HALL, MULBERRY PLACE, 5 CLOVE CRESCENT,  
LONDON, E14 2BG**

**Members Present:**

Mr Patrick (Barry) O'Connor (Chair)

Mr Muhammad Habibur Rahman (Vice-Chair)  
Mr Ibrahim Ali (Independent Member)  
Ms. S. Bagum (Independent Member)  
Ms Suzette Barry (Independent Member)  
Mr R. Hopkins (Independent Member)  
Mr Eric Pemberton (Independent Member)  
Mr Matthew William Rowe (Independent Member)  
Councillor Waiseul Islam  
Councillor Azizur Rahman Khan  
Councillor Salim Ullah

**Officers Present:**

Ruth Dowden – (Complaints Manager)  
Isabella Freeman – (Assistant Chief Executive [Legal Services])  
Minesh Jani – (Service Head, Risk Management)

Nadir Ahmed – (Trainee Committee Officer)  
Louise Fleming – (Acting Executive Team Leader, Democratic Services)

**1. APOLOGIES FOR ABSENCE**

Apologies for absence were received from Councillors Dr Emma Jones, Peter Golds and Abdul Munim.

Apologies for lateness were also received from Councillor Waiseul Islam.

**2. DECLARATIONS OF INTEREST**

None received.

**3. UNRESTRICTED MINUTES**

**RESOLVED**

That the minutes of the meeting of the Standards Committee held on 14 July 2009 be agreed as a correct record and signed by the Chair.

**4. DEPUTATIONS & PETITIONS**

None received.

**5. REPORTS FOR CONSIDERATION****5.1 Ethical Standards Questionnaire - Outcomes Report**

Isabella Freeman, Assistant Chief Executive [Legal Services] and Monitoring Officer, at the request of the Chair, in introducing the report summarised the salient points contained therein.

Ms Freeman reported that all Members had responded bar one, who was on long term sickness absence. Members who had not known, or had been unclear, about any aspects of the Ethical Standards would be contacted and offered clarification and further training.

In response to a question from the Chair, Ms Freeman clarified that the large number of Members who were unaware of the Whistleblowing Policy was probably due to Members' preference to use the Member Enquiry mechanism. Officers would contact those Members who had indicated that they were not familiar with the Whistleblowing Policy to offer them the necessary clarification and training.

The Chair informed Members of the committee that training on hearings had been arranged on 11<sup>th</sup> November 2009 and this would take place in conjunction with four other London boroughs. There was also a compact disc from the Standard Board for England which would be made available after the training was completed.

**RESOLVED**

That the contents of the report be noted.

**5.2 Anti Fraud and Corruption Strategy - Red Book 2 - Progress Update**

Mr Minesh Jani, Service Head, Risk Management, at the request of the Chair, in introducing the report summarised the salient points contained therein.

Mr Jani informed Members that the report before them presented the results of the independent review of the Council's Anti Fraud and Corruption Strategy and the further steps that were going to be taken in order to meeting the Anti Fraud standards. Out of the 55 standards, 46 had been fully or partially met and 9 had not been met. It was intended that all 55 standards would be fully met by December 2009.



In response to queries from Members, Mr Jani reported that most of the standards that were yet to be met were procedural, e.g. to present a report to a specific committee of the Council. Others relied on working with other departments. Whilst there was the fear of deadlines slipping, Mr Jani reassured Members that there was a strong will to drive things and mechanisms were in place to deal with any bottlenecks. The reason that some targets were vague, in comparison to others, was that they were dependent on other departments fulfilling certain obligations in relation to the targets.

Mr Jani also responded that the total level of fraud and corruption was not currently centrally reported. However, separate reports were compiled as the statistics came from different departments.

Mr Jani also responded to Members' concerns about the risks involved in using estate agents to provide housing for homeless residents and also about a recent case in the press related to credit card misuse.

On a separate note, Mr Jani informed Members that the Council had been awarded £50,000 from the Department for Communities and Local Government to investigate instances where social homes had been unlawfully sub-let however an official announcement was yet to be made.

The Chair thanked the officer for the report and requested that in future update reports, specifics be included on the levels of recovery.

### **RESOLVED**

That the contents of the report be noted.

## **5.3 Corporate Complaints - Half Year Report 2009/ 2010**

Ruth Dowden, Corporate Complaints Manager, at the request of the Chair, in introducing the report summarised the salient points contained therein.

Ms Dowden informed Members that the number of Stage 3 complaints in the Communities, Localities and Culture Directorate (CLC) was due to Estate Parking now being allowed to be appealed at Stage 3 where this was not previously the case. The actual fines were not the subject of appeals as this went to the independent adjudicator but matters related to enforcement officer conduct and policy went through the complaints policy.

The Council had received one report determining maladministration from the Local Government Ombudsman in relation to a planning case and this was being considered at the next meeting of the Strategic Development Committee.

As it was only an interim, half year report, it did not provide a clearer picture of the nature of the complaints. However, this could be provided to individual Members if required. The primary purpose of the report was to highlight any negative or positive trends.

Ms Dowden clarified that the complaints relating to “Arts and Events” were probably due to public events that took place in places such as Victoria Park and complaints about anti-social behaviour were categorised under “Community Safety”.

Ms Dowden also reassured Members that there was a monitoring mechanism in place which followed the International Standard for Complaint Handling and encompassed issues such as how long it took to investigate a complaint, the manner in which it was investigated and the training provided to those investigating complaints, amongst other things. There were also regular reports to Directors and other monitoring mechanisms were in place.

In response to a question from a Member, Ms Dowden clarified that if an outcome of a Stage 3 complaint was “Withdrawn or Referred On” it often meant that only one part of the original complaint that had been passed on to Stage 3 as other parts of the complaint had been dealt with. However, on reaching Stage 3, it had become clear that it was outside the remit of the Council’s Corporate Complaints procedure and so had been referred to the appropriate body for resolution.

The Chair thanked the officer for her report.

#### **RESOLVED**

That the contents of the report be noted.

#### **5.4 Handling Complaints about Member Conduct - Pre-Hearing Process Arrangements**

Ms Freeman, at the request of the Chair, in introducing the report summarised the salient points contained therein.

The appendix to the report contained the proposed pre-hearing process arrangements which had been simplified in light of the changes to the Code of Conduct. The previous process had been very complicated and the new process provided an outline for the Clerk to follow.

#### **RESOLVED**

That the pre-hearing process arrangements be adopted, as set out in Appendix A to the report.

#### **6. ANY OTHER BUSINESS WHICH THE CHAIR CONSIDERS URGENT**

The Chair reminded Members that training would be taking place on 11<sup>th</sup> November in relation to hearings. This would take place in Newham in conjunction with four other London boroughs. Written confirmation of the arrangements would follow in due course.

The meeting ended at 8.23 p.m.

Chair, Mr Patrick (Barry) O'Connor  
Standards Committee

This page is intentionally left blank

# Agenda Item 5.1

Committee: <b>STANDARDS COMMITTEE</b>	Date: <b>16 February 2010</b>	Classification: <b>UNRESTRICTED</b>	Report No.	Agenda Item No.
Report Of: <b>Assistant Chief Executive (Legal Services)</b>		Title: <b>Annual Corporate Governance Review 2009</b>		
Originating Officer: <b>Isabella Freeman</b>		Wards Affected: <b>All</b>		

## **1. SUMMARY**

- 1.1 The Council's corporate governance arrangements are reviewed annually against a framework of good practice produced jointly by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives (SOLACE).
- 1.2 This report informs Members of the outcome of the most recent review completed in December 2009 and outlines progress on compliance/action identified as being required by the previous review undertaken in October 2008.

## **2. RECOMMENDATION**

- 2.1 Members are recommended to note the progress on compliance/action arising from the 2008 review as detailed in section 4 of this report agree the outcome of the 2009 review as detailed in Appendix A.

### 3. **BACKGROUND**

- 3.1 Corporate governance is the system by which local authorities direct and control their functions and relate to their communities. This will include decision making processes at all levels within the Council, community engagement, partnership activities, procurement procedures and Member/officer roles, responsibilities and conduct.
- 3.2 The Standards Committee's terms of reference include review of the Council's corporate governance arrangements to ensure the authority operates within a robust framework and the outcome of the corporate governance review is reported to this Committee each year.
- 3.3 On an annual basis, officers have mapped the Council's arrangements for corporate governance against the framework of good practice originally produced jointly by CIPFA and SOLACE in 2001. Since that time local government has been subject to continued reform to improve local accountability and engagement and the framework was revised in June 2007. In October 2007 the Standards Committee agreed the Council's current Local Code of Corporate Governance which reflects the requirements of the CIPFA/SOLACE framework.
- 3.4 The outcome of the annual review against the framework is detailed in the checklist at Appendix A. The framework identifies the following six core principles of good governance:
- **Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.**
  - **Members and officers working together to achieve a common purpose with clearly defined functions and roles.**
  - **Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.**
  - **Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.**
  - **Developing the capacity and capability of members and officers to be effective.**
  - **Engaging with local people and other stakeholders to ensure robust public accountability.**
- 3.5 These six core principles are supplemented by a number of supporting principles as set out in the review checklist attached as Appendix A. The checklist also identifies the specific source documents maintained

by the Council to ensure compliance with these principles and the requirements which underpin the Local Code of Corporate Governance.

- 3.6 As part of the review process, the checklist has been considered by senior council officers to identify any necessary compliance/action required as set out in the final column of Appendix A.

**4. PROGRESS ON COMPLIANCE/ACTION IDENTIFIED BY THE PREVIOUS REVIEW**

- 4.1 The Council carries out regular monitoring to ensure that the Community Plan, Strategic Plan and Tower Hamlets Index objectives are being met and the outcomes are reported to the Corporate Management Team and the Cabinet. The table below sets out the additional compliance/action identified as being required by the previous review in October 2008 and identifies progress to date by reference to the relevant core principle specified in the CIPFA/SOLACE framework.

<b>Core Principle</b>	<b>Compliance/Action Required</b>	<b>Progress to Date</b>
<b>1. Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area.</b>	Deliver workshops for Councillors on performance management by December 2008.	All Member seminar on the Strategic Plan took place on 28 <sup>th</sup> January 2009.
<b>2. Members and officers working together to achieve a common purpose with clearly defined functions and roles.</b>	“Members and officers working together” module in Corporate Training Programme	Two sessions per year are held and scheduled into the learning and development programme.
	Development of role description for Cabinet, Scrutiny and non-executive members by March 2009.	Role descriptions have been drafted for further discussion with Members by May 2010.
	Constitution Review June 2008, Department Schemes of Delegation to be finalised and maintained.	Review undertaken and agreed by full Council on 22.4.09.

	<p>Review local procedure in place for complaints about Member conduct.</p> <p>Review of report writing template and sign-off procedure to ensure compliance.</p> <p>Update Constitution, including the Member/Officer Protocol to take account of new arrangements for the local assessment of complaints about Member conduct.</p> <p>Implementation of new Partnership Governance Framework.</p> <p>Maintain and issue guidance to Council representatives on outside organisations.</p>	<p>Review undertaken and agreed by the Standards Committee on 20.4.09.</p> <p>Template completed December 2009. Guidance to be finalised January 2010 alongside revised forward planning process.</p> <p>Revised Constitution agreed by full Council 22.4.09. Review of Member/Officer Protocol remains outstanding and carried forward as action required in 2009 review.</p> <p>Implemented 24.01.09</p> <p>Undertaken annually in June when notifying organisations of representatives for the year.</p>
<p><b>3. Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.</b></p>	<p>Refresh Member Learning and Development Programme (ML&amp;D) and achieve IDeA member Development Charter by March 2009.</p> <p>Ensure up to date Code of Conduct training for all Councillors including planning for Induction Programme 2010.</p>	<p>New programme for ML&amp; D drawn up for 2008/09 &amp; 2009/10. IDeA Member Development Charter achieved and awarded to the Council on 12.5.09.</p> <p>All Members trained in either group training or 1:1 sessions. Code of Conduct training is to be the first mandatory seminar to be held on 18 May 2010.</p>



	<p>Complete an ethical standards assessment.</p> <p>Ongoing training for Members participating in Assessment, Review and Hearings Sub-Committees.</p>	<p>Completed and outcomes reported to the Standards Committee on 20.10.09</p> <p>In-house training undertaken January 2009 and cross borough training also held in November 2009.</p>
<p><b>4. Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.</b></p>	<p>Review of report writing guidance/template.</p> <p>Code of Conduct training for all Members and quarterly reminders re: updating register of interests.</p>	<p>Template completed December 2009. Guidance to be issued January 2010.</p> <p>Undertaken annually. Reminder re: Register of Interests is now undertaken six monthly as agreed with Audit.</p>
<p><b>5. Developing the capacity and capability of members and officers to be effective.</b></p>	<p>Review system for monitoring and reporting to Standards Committee re: completion of member's timesheets.</p> <p>Recruit and develop women to "Councillors of the Future" Programme.</p>	<p>New system for monitoring timesheets to be submitted to Standards Committee in February 2010.</p> <p>Programme completed in February 2009.</p>
<p><b>6. Engaging with local people and other stakeholders to ensure robust public accountability.</b></p>	<p>Develop proposal for webcasting at meetings and for some Council meetings to take place in community venues.</p>	<p>Development work undertaken; Member approval not obtained for implementation in the current year – for further consideration from May 2010 and carried forward as action required in 2009 review.</p>

**5. COMMENTS OF THE CHIEF FINANCIAL OFFICER**

5.1 There are no immediate financial implications arising out of this report.

**6. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL SERVICES)**

6.1 This report has been prepared by the Assistant Chief Executive (Legal Services) who is also the Council's monitoring officer and incorporates legal comments.

**7. RISK MANAGEMENT IMPLICATIONS**

7.1 Good corporate governance arrangements are essential to the operation and reputation of the Authority. Compliance with the revised CIPFA/SOLACE framework will ensure that the Council's arrangements are robust and improved where necessary.

**8. ONE TOWER HAMLET CONSIDERATIONS**

8.1 A robust corporate governance framework is key to maintaining effective community leadership and confidence in local democracy.

**9. ANTI-POVERTY IMPLICATIONS**

9.1 There are no specific anti-poverty implications arising out of this report.

**10. SAGE IMPLICATIONS**

10.1 This report has no immediate implications for the Council's policy of strategic action for a greener environment.

---

LOCAL GOVERNMENT ACT 2000 (SECTION 97)  
LIST OF "BACKGROUND PAPERS" USED IN THE PREPARATION OF THIS REPORT

Brief description of "background paper"	Tick if copy supplied for register	If not supplied, name and telephone number of holder
Standards Committee file		Isabella Freeman 020 7364 4800

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
<p>1. Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area</p>	<ul style="list-style-type: none"> <li>exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcome for citizens and service users</li> <li>ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning</li> </ul>	<ul style="list-style-type: none"> <li>develop and promote the authority's purpose and</li> <li>review on a regular basis the authority's vision for the local area and its implications for the authority's governance arrangements</li> <li>ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners</li> <li>publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance</li> <li>decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available</li> <li>put in place effective arrangements to identify and deal with failure in service delivery</li> </ul>	<p>LAA and Community Plan Strategic Plan Directorate Plans</p> <p>Local Code of Corporate Governance</p> <p>Partnership Agreement Local Code of Corporate Governance THP Framework and Structure</p> <p>Annual Report BVPP Annual Statement of Accounts Annual Council Tax Leaflet</p> <p>Tower Hamlets Index Strategic Plan Directorate Plans Performance Management Framework</p> <p>Complaints Procedure Performance Review Group LAA Performance Reports Member Performance Information Group</p>	<p>Bi-monthly Tower Hamlets Index/Strategic Plan Monitoring to CMT and Cabinet</p> <p>Six monthly national priorities monitoring to CMT and Cabinet</p> <p><b>Stephanie Ford</b></p>

	<ul style="list-style-type: none"> <li>ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money</li> </ul>	<ul style="list-style-type: none"> <li>decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively. Measure the environmental impact of policies, plans and decisions</li> </ul>	<p>Tower Hamlets Index Benchmarking Guidance for Managers Efficiency Board EIA's Implications in cabinet/committee reports Efficiency Strategy</p>	
--	---	--	--	--

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
<p>2. Members and officers working together to achieve a common purpose with clearly defined functions and roles</p>	<ul style="list-style-type: none"> <li>ensuring effective leadership throughout the authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function</li> </ul>	<ul style="list-style-type: none"> <li>set out a clear statement of the respective roles and responsibilities of the executive and of the executive's members individually and the authority's approach towards putting this into practice</li> <li>set out a clear statement of the respective roles and responsibilities of other authority members, members generally and of senior officers</li> </ul>	<p>Core Values Leadership &amp; Management Framework Cabinet portfolio statements Member role/job descriptions</p> <p>Constitution Member role/job descriptions</p>	<p>Annual review of the Constitution by cross party working group <b>Isabella Freeman/John Williams</b></p> <p>Finalise arrangements for the introduction of Member role descriptions <b>John Williams</b></p> <p>Review Member/Officer Protocol <b>Mark Norman</b></p>
	<ul style="list-style-type: none"> <li>ensuring that a constructive working relationship exists between authority members and officers and that the responsibilities of members and officers are carried out to a high standard</li> </ul>	<ul style="list-style-type: none"> <li>determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority,</li> </ul>	<p>Constitution – Part 3 Responsibility for Functions</p>	

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
		<p>taking account of relevant legislation, and ensure that it is monitored and updated when required</p> <ul style="list-style-type: none"> <li>• make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management</li> <li>• develop protocols to ensure that the leader and chief executive (or equivalent) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained</li> </ul>	<p>Chief Executive designated Head of Paid Service</p> <p>Member/Officer Protocol LAB terms of reference Member/Chief Officer performance review meetings</p>	
<p>2 Cont.</p> <p>Page 17</p>	<ul style="list-style-type: none"> <li>• ensuring relationships between the authority, its partners and the public are clear so that each knows what to expect of</li> </ul>	<ul style="list-style-type: none"> <li>• make a senior officer (the S151 Officer) responsible to the authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control</li> <li>• make a senior officer (usually the monitoring officer) responsible to the authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with</li> <li>• develop protocols to ensure effective communication between members and officers in their respective</li> </ul>	<p>Director of Resources designated as section 151 officer</p> <p>Financial comments required in all committee reports</p> <p>Assistant Chief Executive (Legal Services) designated as Monitoring Officer</p> <p>Legal comments required in all committee reports</p> <p>Member/Officer Protocol Members Bulletin</p>	

	the other	<p>roles</p> <ul style="list-style-type: none"> <li>• set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process, including an effective remuneration panel (if applicable)</li> <li>• ensure that effective mechanisms exist to monitor service delivery</li> </ul>	<p>Members, Allowances Scheme London Councils' Independent Remuneration Panel Terms and conditions of service for officers</p> <p>Tower Hamlets Index EXCELSIS Performance Management Framework</p>	
<p><b>CORE PRINCIPLE</b></p>	<p><b>SUPPORTING PRINCIPLE</b></p>	<p><b>LOCAL CODE REQUIREMENTS</b></p> <ul style="list-style-type: none"> <li>• ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated</li> <li>• when working in partnership, ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the authority</li> <li>• when working in partnership: <ul style="list-style-type: none"> <li>– ensure that there is clarity about the legal status of the partnership</li> <li>– ensure that representatives of organisations both understand and make clear to</li> </ul> </li> </ul>	<p><b>SOURCE DOCUMENTS</b></p> <p>Community Plan Strategic Plan THP Framework Consultation Calendar Consultation Toolkit</p> <p>THP Framework Member role/job descriptions Guidance for Members on external bodies</p> <p>Third Sector Strategy Standard grant conditions and SLA requirements with voluntary sector organisations Ethical Governance Protocol for Council Contracts</p>	<p><b>COMPLIANCE/ACTION REQUIRED</b></p>

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
<p>3. Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour</p>	<ul style="list-style-type: none"> <li>ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance</li> </ul>	<p>all other partners the extent of their authority to bind their organisation to partner decisions</p> <p><b>LOCAL CODE REQUIREMENTS</b></p> <ul style="list-style-type: none"> <li>ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect</li> <li>ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols</li> <li>put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice</li> </ul>	<p>Core Values Standards Committee Leadership &amp; Management Framework</p> <p>Code of Conduct for Members Employees' Code of Conduct Member/Officer Protocol Anti Fraud Strategy (including Whistleblowing Procedure) Complaints Procedure Managers Briefing Members Briefing Corporate and Member Learning and Development Programmes</p> <p>Constitution Part 5 - Codes and Protocols Financial Procedure Rules Managers Briefing Members Bulletin Corporate and Member Learning and Development Programmes</p>	

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
3 Cont.	<ul style="list-style-type: none"> <li>ensuring that organisational values are put into practice and are effective</li> </ul>	<ul style="list-style-type: none"> <li>develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations, and communicate these with members, staff, the community and partners</li> <li>put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice</li> <li>develop and maintain an effective standards committee</li> <li>use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority</li> <li>in pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively</li> </ul>	<p>Constitution Part 5 - Codes and Protocols Core Values Leadership &amp; Management Framework</p> <p>Constitution Part 5 - Codes and Protocols Standards Committee CMT Audit Plan</p> <p>Annual work programme and report to Council Terms of reference</p> <p>Core Values Leadership and Management Framework</p> <p>THP Framework Community Plan Themes – Key Priorities Partnership Priorities</p>	<p>Provide training on Code of Conduct for Members following local government elections in May 2010. <b>Isabella Freeman</b></p>



CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
<p>4. Taking informed and transparent decisions which are subject to effective scrutiny and managing risk</p>	<ul style="list-style-type: none"> <li>being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny</li> </ul>	<ul style="list-style-type: none"> <li>develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible</li> <li>develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based</li> <li>put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice</li> <li>develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee</li> <li>ensure that effective, transparent and accessible arrangements are in place for dealing with complaints</li> </ul>	<p>Constitution O&amp;S Committee annual report to Council Scrutiny annual work programme Member role/job descriptions Ombudsman annual report</p> <p>Constitution – Part 4 Procedure Rules Report writing templates Officer and Member Learning and Development Programmes</p> <p>Constitution Part 5 - Codes and Protocols Annual review of the Constitution</p> <p>Audit Committee</p> <p>Complaints Procedure</p>	<p>Tower Hamlets Index monitoring reports to be considered by O&amp;S Committee <b>Stephanie Ford</b></p>

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
4. Cont.	<ul style="list-style-type: none"> <li>having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs</li> </ul>	<ul style="list-style-type: none"> <li>ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications</li> <li>ensure that proper professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately</li> </ul>	<p>Committee reports and pre agenda processes Member Learning and Development Programme Annual Residents' Survey Report writing templates and pro formas</p> <p>Legal and financial comments are required in all committee reports</p>	
	<ul style="list-style-type: none"> <li>ensuring that an effective risk management system is in place</li> </ul>	<ul style="list-style-type: none"> <li>ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their jobs</li> <li>ensure that effective arrangements for whistle-blowing are in place to which officers, staff and all those contracting with or appointed by the authority have access</li> </ul>	<p>Risk Registers Risk management implications required in all Committee reports Project Management Framework</p> <p>Anti Fraud Strategy</p>	<p>Complete review of anti-fraud and corruption arrangements to ensure best practice requirements are met. <b>Tony Qayum</b></p>

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
<p>4. Cont.</p>	<ul style="list-style-type: none"> <li>using their legal powers to the full benefit of the citizens and communities in their area</li> </ul>	<ul style="list-style-type: none"> <li>actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise their powers to the full benefit of their communities</li> <li>recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on authorities by public law</li> <li>observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law               <ul style="list-style-type: none"> <li>rationality, legality and natural justice</li> <li>into their procedures and decision-making processes</li> </ul> </li> </ul>	<p>Constitution</p> <p>Legal comments required in all committee reports</p> <p>Constitution</p> <p>Legal comments required in all committee reports</p> <p>Constitution</p> <p>Legal comments required in all committee reports</p> <p>Legal officer in attendance at all Committee meetings</p>	
<p>5. <b>Developing the capacity and capability of members and officers to be effective</b></p>	<ul style="list-style-type: none"> <li>making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles</li> </ul>	<ul style="list-style-type: none"> <li>provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis</li> <li>ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority</li> </ul>	<p>Staff Induction Scheme</p> <p>Corporate Learning &amp; Development Programme</p> <p>Core Values</p> <p>Leadership &amp; Management Framework</p> <p>Job descriptions</p> <p>Person descriptions</p> <p>Member Learning &amp; Development Programme</p> <p>Member Induction Programme</p>	

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
5. Cont.	<ul style="list-style-type: none"> <li>developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group</li> </ul>	<ul style="list-style-type: none"> <li>assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively</li> <li>develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed</li> <li>ensure that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs</li> </ul>	<p>Member Learning and Development Programme Staff Performance Development Framework</p> <p>Member Learning and Development Programme Staff Performance Development Framework</p> <p>Member Learning &amp; Development Working Group Members' Timesheets - Reports to Standards Committee Scrutiny Focus Groups</p>	
<ul style="list-style-type: none"> <li>encouraging new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal</li> </ul>	<ul style="list-style-type: none"> <li>ensure that effective arrangements are in place designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority</li> <li>ensure that career structures are in place for members and officers to encourage participation and development</li> </ul>	<p>Recruitment and Selection Standards Women/People into Public Life Programmes/Initiatives Community Plan LAP's Capital Ambition/Councillor of the Future</p> <p>Staff Performance &amp; Development Framework</p>		

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
<p>6. Engaging with local people and other stakeholders to ensure robust public accountability</p>	<ul style="list-style-type: none"> <li>exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships</li> </ul>	<ul style="list-style-type: none"> <li>make clear to themselves, all staff and the community to whom they are accountable and for what</li> <li>consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationships and any changes required</li> <li>produce an annual report on the activity of the scrutiny function</li> </ul>	<p>Community Plan Directorate Service Plans  Scrutiny Procedure Rules</p> <p>O&amp;S annual report to Council</p>	<p>Refine proposals for webcasting at some Committee/Council meetings. <b>John Williams</b></p>
	<ul style="list-style-type: none"> <li>taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning</li> </ul>	<ul style="list-style-type: none"> <li>ensure clear channels of communication are in place with all sections of the community and other stakeholders, and put in place monitoring arrangements and ensure that they operate effectively</li> <li>hold meetings in public unless there are good reasons for confidentiality</li> <li>ensure that arrangements are in place to enable the authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands</li> </ul>	<p>Community Plan Consultation Calendar LAP's</p> <p>Constitution - Part 4 Procedure Rules</p> <p>LAP's Consultation Calendar Consultation Toolkit Interpretation &amp; Translation Policy</p>	

CORE PRINCIPLE	SUPPORTING PRINCIPLE	LOCAL CODE REQUIREMENTS	SOURCE DOCUMENTS	COMPLIANCE/ACTION REQUIRED
6. Cont.	Cont.	<ul style="list-style-type: none"> <li>establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has changed as a result</li> <li>on an annual basis, publish a performance plan giving information on the authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period</li> <li>ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so</li> <li>develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making</li> </ul>	<p>Forward Plan Consultation Toolkit</p> <p>Tower Hamlets Index Strategic Plan monitoring Best Value Performance Plan Annual Report</p> <p>Constitution – Part 4 Procedure Rules</p> <p>Ethical Governance Protocol for Council Contracts</p>	
	<ul style="list-style-type: none"> <li>making best use of human resources by taking an active and planned approach to meet responsibility to staff</li> </ul>		<p>Constitution Collective agreements with TU's Staff Forums HR Policies and Procedures</p>	

# Agenda Item 5.2

REPORT TO:	DATE	CLASSIFICATION	REPORT NO.	AGENDA NO.
Standards Committee	16 <sup>th</sup> February 2010			
REPORT OF:  <b>Corporate Director, Resources</b>  ORIGINATING OFFICER(S):  <b>Head of Audit Services</b> <i>Tony Qayum</i>	National Fraud Initiative Update  <b>Ward(s) Affected: N/A</b>			

## 1. SUMMARY

- 1.1 This report updates the Standards Committee on the current progress of the National Fraud Initiative 2008 -09 and provides an overview of anti fraud work undertaken during the past nine months by Audit Services.

## 2. RECOMMENDATIONS

- 2.1 The Standards Committee is asked to note the contents of this report.

## 3. INTRODUCTION

- 3.1 This report updates The Standards Committee of the current progress of the National Fraud Initiative 2008 -09 and provides an overview of anti fraud work undertaken during the past nine months by Audit Services.

#### 4. NATIONAL FRAUD INITIATIVE 2008-09

4.1 The National Fraud Initiative 2008-09 was launched by the Audit Commission in July 2008 and spans a two year period from July 2008 to December 2009. The NFI data was supplied to the Audit Commission in October 2008 with the resultant output reports being issued to the Council in February 2009. The coverage of this year's NFI was extended to include new mandatory data sets with the objectives of identifying fraud or error on the following key areas :-

- Benefits fraud (housing and Council Tax)
- Employee fraud (employees with Border Agency issues and rights to work and employees failing to declare other employment which may have a conflict)
- Pension fraud/overpayments to deceased pensioners
- In appropriate Right - to - Buy
- Illegal tenancies and temporary accommodation
- Multiple insurance claims
- Creditors address book
- Potential duplicate payments
- In-appropriate issue/abuse of parking permits, blue badge or freedom passes

4.2 For the current NFI, since the reports issued in February 2009 there has a second NFI data match run, which generally concerned matches where data had either been submitted late or had to be resubmitted (LBTH data was accurately submitted on time). Additionally in May 2009 LBTH participated in a pilot run of homelessness data. As a result of this the Authority has received over 18,000 matches from the Audit Commission for examination/investigation.

4.3 In acknowledgement by the Audit Commission that all outputs may not be actually frauds or error, the Commission has developed its own risk assessment for each output report and formulated a recommended filter to be applied to the output identifying the cases mostly likely to be of concern. The application of the recommended filter has reduced the circa 18,000 output to 2,242 (2,176 plus 66 from the second run).

4.4 To manage the NFI the Audit Service's has set its own milestones in order to achieve the objectives prescribed by the Audit Commission. These are :-

- 30<sup>th</sup> June 2009 - All recommended filter matches to be open and reviewed



- 30<sup>th</sup> September 2009 - All recommended filter matches to be examined and close all cases that are not required for further investigation
  - 31<sup>st</sup> December 2009 – All cases not being pursued for fraud/recovery to be closed
- 4.5 From the attached Appendix A, it is confirmed that our “in house” milestones for the NFI as at end December 2009 have been met. It should also be noted that we have also looked beyond the Audit Commissions’ recommended filter matches and are reviewing all other reports and applying our own filter or local knowledge for an additional test and following up individual cases.
- 4.6 To date, the NFI 2008-09 exercise has identified 39 cases of error and 17 cases of fraud which account for overpayments totalling some £322K.
- 4.7 In early 2008 a second NFI run was carried out matching single person’s discounts to the electoral role. This work has identified 1,168 matches to date in single persons discounts being ended with a total annual saving of circa £370K.
- 4.8 In October 2009 the Audit Commission was asked to support the RH John Healey MP’s initiative on identifying un-lawful and unauthorised tenants to stamp out tenancy fraud. All local authorities and the larger Registered Social Landlord’s nationwide were approached and participated in the release of tenancy data to support this action.
- 4.9 Further to this the Audit Service is undertaking a local pro active support to the Governments initiative and we are currently advertising for 3 resources to investigate and recover un-lawfully sub let properties.

## **5. AUDIT COMMISSION EXAMINATION**

- 5.1 The Audit Commission are able to view the progress of each authority in managing the NFI as the Commission have remote access to all sites via a web link. In September 2009 a site visit was undertaken of a number of Local Authorities to evaluate progress and resolve queries and Tower Hamlets was inspected. The inspection confirmed that the Council was on target to meet the prescribed deadlines for managing the data and that there were no concerns resulting from the inspection that required follow up.
- 5.2 The deadlines for completing the exercise have been met.

## **6. ANTI FRAUD AND RISK AWARENESS TRAINING**

- 6.1 Audit Services have undertaken three training initiatives during 2009-10, with further training exercises planned for the remainder of the year.
- 6.2 The three training sessions were in regard to Anti Money Laundering training for key Finance staff across the authority and formed part of our e- learning package which was developed in partnership with Legal Services, Organisational Development and an outside Solicitor's covering Anti Money Laundering and Anti Fraud and Corruption arrangements, Governance Standards and Risk Management including Code of Conduct for Employees and Members.
- 6.3 The second session was delivered to the Resources Directorate and presented as a joint presentation between Legal and Audit Services and covered Ethical Standards to prevent Fraud and Corruption.
- 6.4 The third training session was for Secondary School Bursars and covered general governance matters and compliance with sound financial practice and best practice from the British Bankers Association. This training session will be repeated for Junior School Finance staff later in this calendar year at the request of Children's Services.

## **7. OTHER KEY ACTIVITIES UNDERTAKEN DURING THE YEAR TO DATE**

- 7.1 Audit Services has also worked closely with the Police on two specific matters which have been recently finalised. One involved the prosecution of a former temporary employee for defrauding the Council of £22,000 coming from a range of deceptions. The matter has been successfully prosecuted with the culprit pleading guilty and being handed down a fifty two week sentence suspended for two years, a curfew for four months between the hours of 9 .00 pm and 7.00 am each day for four months, 200 hours unpaid work and electronic tagging.
- 7.2 The deterrent value of this case is considered considerable with press coverage being reported in the local press as well as the Councils own free newspaper, East End Life.

- 7.3 The system of control within the service area has been improved following this inquiry and revised operational arrangements have been introduced to manage risks more effectively.
- 7.4 The other matter involved a former School Governor who had stolen a sum of money from a Governor's group facilitated by the School. The School Governor has admitted to the theft and the Police have issued her with a formal Caution.
- 7.5 The Audit Service has also provided support to Directorates upon request.
- 7.6 The Audit Service has also worked jointly with the Procurement Team to minimise fraud and loss on the use of the corporate purchase cards.
- 7.7 We have also continued to develop closer working arrangements with the Parking Service and Legal Services with regard to Blue Badge irregularity and worked corporately where instances of Blue Badge irregularity has involved members of staff.
- 7.8 We have challenged ourselves against the requirements of the CIPFA Red Book 2 publication 'Managing the Risk of Fraud' which was evaluated by an independent legal advisor and a detailed action plan is in place to ensure the Council achieves full compliance of the enhanced standards by the end of this financial year.
- 7.9 To this end the Head of Audit Services is leading on this to ensure that other parts of the Council make the necessary enhancements to processes and procedures and to ensure joined up working is developed further.
- 7.10 We have also developed a protocol for joint working between the PCT and Audit Services and Housing Benefits and are utilising Government funding to establish the extent of Housing Fraud within the authority by developing pro active drives to identify savings. This is being developed in conjunction with four other Local Authorities within the North East London area.

## **8. Comments of the Chief Financial Officer**

- 8.1 These are contained within the body of this report.

## **9. Concurrent Report of the Assistant Chief Executive (Legal Services)**

- 9.1 There are no immediate legal implications arising from this report.

**10. One Tower Hamlets**

10.1 There are no specific one Tower Hamlets considerations.

10.2 There are no specific Anti-Poverty issues arising from this report.

**11. Risk Management Implications**

11.1 The revised control environment should pick up the areas identified as of concern and reduce the residual risk.

**12. Sustainable Action for a Greener Environment (SAGE)**

14.1 There are no specific SAGE implications.

---

Local Government Act, 1972 SECTION 100D (AS AMENDED)

***List of "Background Papers" used in the preparation of this report***

Brief description of "background papers"

Contact :

*Tony Qayum, 4773*

# APPENDIX A

26-Jan-2010

NATIONAL FRAUD INITIATIVE 2008/2009  
 AUTHORITY SUMMARY: London Borough of Tower Hamlets

No.	Report Name	Total Run1	Total Run2	Status	Processed	In Progress	Frauds	Errors	Savings
1	Housing Benefit Claimants to Student Loans, high quality, within bodies	100	0	Opened	72	35	7	1	£91919.72
2	Housing Benefit Claimants to Student Loans, high quality, between bodies	32	0	Opened	30	4	1	0	£21937.46
3	Housing Benefit Claimants to Student Loans, medium quality, within bodies	1	0	Closed	1	0	0	0	£0.00
4	Housing Benefit Claimants to Student Loans, medium quality, between bodies	3	0	Opened	2	2	0	0	£0.00
13	Housing Benefit Claimants to Payroll, high quality, within bodies	4	0	Opened	181	11	1	2	£2456.99
13.1	Housing Benefit Claimants to Payroll Pensions, high quality, within bodies	1	0	Opened	44	2	0	0	£0.00
14	Housing Benefit Claimants to Payroll, high quality, between bodies	4	0	Opened	37	2	0	8	£0.00
14.1	Housing Benefit Claimants to Payroll Pensions, high quality, between bodies	15	0	Opened	8	7	0	3	£31235.42
17	Housing Benefit Claimants to Payroll, address quality, within bodies	83	0	Opened	461	257	2	6	£72511.70
17.1	Housing Benefit Claimants to Payroll Pensions, address quality, within bodies	8	0	Closed	9	0	0	0	£0.00
18	Housing Benefit Claimants to Payroll, address quality, between bodies	82	3	Opened	71	28	0	0	£813.90
18.1	Housing Benefit Claimants to Payroll Pensions, address quality, between bodies	137	0	Opened	50	90	0	1	£0.00

**IMPORTANT :** This summary includes matches that occurred in previous years.

Page 1 Of 7

NATIONAL FRAUD INITIATIVE 2008/2009  
 AUTHORITY SUMMARY: London Borough of Tower Hamlets

26-Jan-2010

No.	Report Name	Total Run1	Total Run2	Status	Processed	In Progress	Frauds	Errors	Savings
20 High	Housing Benefit Claimants to Asylum Seekers, high quality, between bodies	3	0	Closed	9	0	0	0	£0.00
21 Medium	Housing Benefit Claimants to Asylum Seekers, medium quality, between bodies	5	0	Closed	8	0	0	0	£0.00
23 High	Housing Benefit Claimants to UK Visas, high quality, between bodies	3	1	Closed	4	0	0	1	£9892.05
24 Medium	Housing Benefit Claimants to UK Visas, medium quality, between bodies	29	25	Opened	73	9	0	0	£0.00
26 High	Housing Benefit Claimants to Housing Benefit Claimants, high quality, within bodies	20	0	Closed	30	0	0	6	£0.00
27 High	Housing Benefit Claimants to Housing Benefit Claimants, high quality, between bodies	35	0	Opened	49	1	0	11	£0.00
28 Medium	Housing Benefit Claimants to Housing Benefit Claimants, medium quality, within bodies	4	0	Closed	5	0	0	0	£0.00
29 Medium	Housing Benefit Claimants to Housing Benefit Claimants, medium quality, between bodies	13	0	Closed	17	0	0	0	£0.00
31 High	Housing Benefit Claimants to Housing Rents, high quality, between bodies	1	1	Closed	2	0	0	0	£0.00
32 Medium	Housing Benefit Claimants to Housing Rents, medium quality, within bodies	42	0	Opened	42	1	0	0	£0.00

**IMPORTANT : This summary includes matches that occurred in previous years.**

Page 2 Of 7

**NATIONAL FRAUD INITIATIVE 2008/2009**

26-Jan-2010

**AUTHORITY SUMMARY:** London Borough of Tower Hamlets

No.	Report Name	Total Run1	Total Run2	Status	Processed	In Progress	Frauds	Errors	Savings
33	Housing Benefit Claimants to Housing Rents, medium quality, between bodies	35	2	Closed	55	0	0	0	£0.00
37	Housing Benefit Claimants to Right to Buy, medium quality, between bodies	15	0	Opened	20	1	0	0	£0.00
45.1	Housing Benefit Claimants to Insurance Claimants, high quality, within bodies	7	0	Closed	25	0	0	0	£0.00
45.3	Housing Benefit Claimants to Insurance Claimants, medium quality, within bodies	1	0	Opened	2	1	0	0	£0.00
45.5	Housing Benefit Claimants to Insurance Claimants, address quality, within bodies	4	0	Opened	13	8	0	0	£0.00
46.1	Housing Benefit Claimants to Market Traders, high quality, within bodies	21	0	Opened	20	4	0	0	£0.00
46.2	Housing Benefit Claimants to Market Traders, high quality, between bodies	1	0	Opened	0	1	0	0	£0.00
46.3	Housing Benefit Claimants to Market Traders, medium quality, within bodies	1	0	Closed	1	0	0	0	£0.00
46.5	Housing Benefit Claimants to Market Traders, address quality, within bodies	31	0	Opened	11	25	0	0	£0.00
46.6	Housing Benefit Claimants to Market Traders, address quality, between bodies	2	0	Opened	3	1	0	0	£0.00
47.2	Housing Benefit Claimants to Taxi Drivers, high quality, between bodies	75	1	Opened	8	74	1	0	£0.00

**IMPORTANT :** This summary includes matches that occurred in previous years.

Page 3 Of 7

NATIONAL FRAUD INITIATIVE 2008/2009  
 AUTHORITY SUMMARY: London Borough of Tower Hamlets

26-Jan-2010

No.	Report Name	Total Run1	Total Run2	Status	Processed	In Progress	Frauds	Errors	Savings
47.4 Medium	Housing Benefit Claimants to Taxi Drivers, medium quality, between bodies	3	0	Opened	0	3	0	0	£0.00
47.6 Low	Housing Benefit Claimants to Taxi Drivers, address quality, between bodies	54	0	Opened	32	43	0	0	£0.00
48.3 Medium	Housing Benefit Claimants to Personal alcohol licences, medium quality, within bodies	2	0	Opened	0	2	0	0	£0.00
48.4 Medium	Housing Benefit Claimants to Personal alcohol licences, medium quality, between bodies	1	1	Opened	0	2	0	0	£0.00
48.5 Low	Housing Benefit Claimants to Personal alcohol licences, address quality, within bodies	30	0	Opened	8	22	0	0	£0.00
48.6 Low	Housing Benefit Claimants to Personal alcohol licences, address quality, between bodies	1	0	Opened	0	1	0	0	£0.00
52 High	Payroll Pensions and Pension Gratuity to Benefits Agency Deceased Persons, high quality, within bodies	26	0	Opened	75	19	0	0	£15675.08
54 High	Payroll Pensions to Payroll, high quality, within bodies	26	0	Closed	38	0	0	0	£0.00
55 High	Payroll Pensions to Payroll, high quality, between bodies	29	1	Closed	70	0	0	0	£0.00
65 High	Payroll to Payroll, high quality, within bodies	1	0	Opened	8	0	0	0	£0.00

**IMPORTANT :** This summary includes matches that occurred in previous years.

Page 4 Of 7



NATIONAL FRAUD INITIATIVE 2008/2009

AUTHORITY SUMMARY: London Borough of Tower Hamlets

26-Jan-2010

No.	Report Name	Total Run1	Total Run2	Status	Processed	In Progress	Frauds	Errors	Savings
66 High	Payroll to Payroll, high quality, between bodies	11	1	Opened	169	8	0	0	£0.00
69 High	Payroll to Asylum Seekers, high quality, between bodies	2	0	Closed	2	0	0	0	£0.00
70 Medium	Payroll to Asylum Seekers, medium quality, between bodies	1	0	Closed	1	0	1	0	£10357.68
72 High	Payroll to UK Visas, high quality, between bodies	3	0	Closed	3	0	2	0	£51568.68
73 Medium	Payroll to UK Visas, medium quality, between bodies	38	28	Closed	70	0	2	0	£13319.52
75 High	Payroll to Housing Benefit Claimants, high quality, between bodies	1	0	Opened	4	1	0	0	£0.00
102 Medium	Housing Rents to Housing Rents, medium quality, within bodies	233	0	Closed	245	0	0	0	£0.00
102.1 Medium	Housing Rents to Housing Rents, medium quality, within bodies	4	0	Closed	15	0	0	0	£0.00
103 Medium	Housing Rents to Housing Rents, medium quality, between bodies	29	0	Opened	27	5	0	0	£0.00
103.1 Medium	Housing Rents to Housing Rents, medium quality, between bodies	28	0	Opened	31	4	0	0	£0.00
111 High	Housing Rents to Housing Benefit Claimants, high quality, between bodies	2	0	Closed	2	0	0	0	£0.00
113 Medium	Housing Rents to Housing Benefit Claimants, medium quality, between bodies	40	0	Opened	48	1	0	0	£0.00

**IMPORTANT : This summary includes matches that occurred in previous years.**

Page 5 Of 7

NATIONAL FRAUD INITIATIVE 2008/2009

AUTHORITY SUMMARY: London Borough of Tower Hamlets

26-Jan-2010

No.	Report Name	Total Run1	Total Run2	Status	Processed	In Progress	Frauds	Errors	Savings
144	Right to Buy to UK Visas, medium quality, between bodies	2	2	Closed	21	0	0	0	£0.00
150	Right to Buy to Housing Rents, medium quality, within bodies	33	0	Closed	44	0	0	0	£0.00
151	Right to Buy to Housing Rents, medium quality, between bodies	4	0	Opened	7	1	0	0	£0.00
154	Right to Buy to Right to Buy, medium quality, within bodies	2	0	Closed	16	0	0	0	£0.00
156	Right to Buy to Housing Benefit Claimants, high quality, within bodies	263	0	Opened	283	5	0	0	£0.00
158	Right to Buy to Housing Benefit Claimants, medium quality, within bodies	6	0	Closed	12	0	0	0	£0.00
159	Right to Buy to Housing Benefit Claimants, medium quality, between bodies	1	0	Closed	29	0	0	0	£0.00
172.1	Blue Badge Parking Permit to Benefits Agency Deceased Persons, high quality, within bodies	252	0	Opened	252	0	0	0	£0.00
172.2	Concessionary Travel Passes to Benefits Agency Deceased Persons, high quality, within bodies	97	0	Closed	97	0	0	0	£0.00
172.3	Resident Parking Permit to Benefits Agency Deceased Persons, high quality, within bodies	15	0	Closed	38	0	0	0	£0.00

**IMPORTANT :** This summary includes matches that occurred in previous years.

Page 6 Of 7

NATIONAL FRAUD INITIATIVE 2008/2009

AUTHORITY SUMMARY: London Borough of Tower Hamlets

26-Jan-2010

No.	Report Name	Total Run1	Total Run2	Status	Processed	In Progress	Frauds	Errors	Savings
173 High	Private Residential Care Homes to Benefits Agency Deceased Persons, high quality, within bodies	14	0	Opened	77	3	0	0	£0.00
180.1 High	Insurance Claimants to Insurance Claimants, high quality, within bodies	17	0	Opened	17	2	0	0	£0.00
180.2 High	Insurance Claimants to Insurance Claimants, high quality, between bodies	2	0	Opened	2	1	0	0	£750.00
180.3 Medium	Insurance Claimants to Insurance Claimants, medium quality, within bodies	7	0	Opened	7	2	0	0	£0.00
180.4 Medium	Insurance Claimants to Insurance Claimants, medium quality, between bodies	1	0	Closed	1	0	0	0	£0.00
180.5 Low	Insurance Claimants to Insurance Claimants, address quality, within bodies	95	0	Opened	95	0	0	0	£0.00
180.6 Low	Insurance Claimants to Insurance Claimants, address quality, between bodies	14	0	Opened	14	0	0	0	£0.00
<b>TOTAL</b>		<b>2208</b>	<b>66</b>		<b>3223</b>	<b>689</b>	<b>17</b>	<b>39</b>	<b>£322438.20</b>

**IMPORTANT : This summary includes matches that occurred in previous years.**

Page 7 Of 7

This page is intentionally left blank

# Agenda Item 5.3

<b>COMMITTEE:</b> Standards	<b>DATE:</b> February 2010	<b>CLASSIFICATION:</b>  <b>UNRESTRICTED</b>	<b>REPORT NO.</b>	<b>AGENDA ITEM NO.</b>
<b>REPORT OF:</b>  ISABELLA FREEMAN ASSISTANT CHIEF EXECUTIVE  <b>ORIGINATING OFFICER(S):</b>  RUTH DOWDEN CORPORATE COMPLAINTS MANAGER		<b>TITLE:</b>  Adults Social Care Procedure April 2009  Wards Affected: ALL		

## 1. SUMMARY

- 1.1 This report is to consider the new complaint regulations for Adult Social Care and Health and contains a summary of complaints received by the Council in the period 1 April 2009 to 31 December 2009 under the revised procedure.
- 1.2 In general, the emphasis is on finding individual and effective solutions to service users complaints through flexible and responsive investigation.

## 2. RECOMMENDATIONS

- 2.1 Members are asked to note the contents of the report.

### 3. **BACKGROUND**

- 3.1 This report provides an overview of the new Health and Social Care Complaints procedure under the Health and Social Care (Community Health and Standards) Act 2003, in accordance with regulations published in 2009, and effective from April 2009.
- 3.2 This legislation focuses on service user experience and effective resolution of complaints in a single internal investigation.
- 3.3 It also places a duty on Local Authorities and National Health Services to provide a joined up approach to complaint resolution
- 3.4 When a complaint is received the receiving body must liaise with the complainant, and any other bodies involved to assess the potential impact of the issues raised, consider the most effective means of resolution and agree with the complainant a methodology, time frame and resolution plan. No standard response times are stipulated; all must be agreed at the onset and be proportionate to the issues raised.
- 3.5 The flexibility offered in the regulations is intended to allow an individual response unfettered by rigid format and timeframes.
- 3.6 If a satisfactory outcome is not achieved, there is recourse to the Local Government Ombudsman.

### 4 Tower Hamlets' Experience April to December 2009.

Table 1

<b>Statutory Adults Social Care Complaints resolved in 3rd quarter 2009/10</b>												
	<b>01/07/09 30/09/09</b>	<b>01/10/09 31/12/09</b>	<b>Not Upheld</b>		<b>Partially Upheld</b>		<b>Upheld</b>		<b>Answered Within 10 Working Days</b>		<b>Answered Within 20 Working Days</b>	
<b>Disability and Health</b>	0	1	0	0%	0	0%	1	100%	0	0%	1	100%
<b>Elders</b>	3	4	4	100%	0	0%	0	0%	1	25%	3	100%
<b>Learning Disabilities</b>	0	2	0	0%	0	0%	2	100%	2	100%	0	100%
<b>Resources</b>	1	1	0	0%	0	0%	1	100%	1	100%	0	100%
<b>OT Services</b>	2	0								N/A		N/A
<b>Commissioning</b>	1	0								N/A		N/A
<b>Totals:</b>	<b>7</b>	<b>8</b>	<b>4</b>	<b>50%</b>	<b>0</b>	<b>0%</b>	<b>4</b>	<b>50%</b>	<b>4</b>	<b>50%</b>	<b>4</b>	<b>50%</b>

- 4.1 Given the discretion allowed in the procedure, we are measuring response times at 10, 20, 30 and 40 working days.

- 4.2 I will focus on the most recent quarter (October to December 2009) to highlight examples of how the procedure has been implemented. Of the eight considered in the third quarter, all were concluded within 20 working days, with half being completed within 10 working days. (table 1 above)
- 4.3 A variety of methods of investigation and resolution have been used.
- 4.4 In one instance a complaints officer and the service manager visited the complainant at home and, having agreed that a recording error resulted in service being missed, they established an action plan to make good the omission and prevent recurrence. This complaint was concluded to the complainants' satisfaction.
- 4.5 In only one case, a formal investigation has been instigated, interviewing service users, staff and reviewing files.
- 4.6 Most frequently, once the complainants report (taken over the phone, by letter, in a meeting with a complaints officer) has been established, it has been agreed that the service provide background information to the complaints team, who have then liaised with both the complainant and the service to achieve a satisfactory outcome.
- 4.7 Table 2 indicates the main reason for the complaints, with three complaints questioning the competence of the service provision and two challenging assessment decisions.

<b>COMPARISON OF COMPLAINTS BY REASON</b>						
	<b>01/07/2009 30/09/2009</b>		<b>01/10/2009 31/12/2009</b>		<b>Change</b>	
<b>Appropriateness of Service.</b>	<b>0</b>	<b>0%</b>	<b>1</b>	<b>13%</b>	<b>1</b>	<b>100%</b>
<b>Attitude of Staff</b>	<b>0</b>	<b>0%</b>	<b>1</b>	<b>13%</b>	<b>1</b>	<b>100%</b>
<b>Challenge Assessment Decision</b>	<b>2</b>	<b>29%</b>	<b>2</b>	<b>25%</b>	<b>0</b>	<b>0%</b>
<b>Competence of Service</b>	<b>4</b>	<b>57%</b>	<b>3</b>	<b>38%</b>	<b>-1</b>	<b>-100%</b>
<b>Delay in Provision of Service</b>	<b>1</b>	<b>14%</b>	<b>0</b>	<b>0%</b>	<b>-1</b>	<b>-100%</b>
<b>Lack of Information</b>	<b>0</b>	<b>0%</b>	<b>1</b>	<b>13%</b>	<b>1</b>	<b>100%</b>
<b>Totals:</b>	<b>7</b>		<b>8</b>		<b>1</b>	

- 4.8 There appears to be a small reduction in complaints following the introduction of the new procedure, with 32 initial complaints being

considered in the nine months prior to the change against 26 in the subsequent nine months.

## 5 Reporting And Learning From Complaints

5.1 Since April 2009, in additions to the management information provided quarterly to the Directorate Management Team, similar reports have been provided to THINK, and latterly to the Directorate's Quality Board.

5.2 In this way, information is relayed back to service users to consider, and further feedback obtained.

5.3 Also, in order to review the effectiveness of the new procedure, and measure the service user's experience and access issues, a period of consultation has taken place, capturing individual users' views (those who have used the new process) and those of advocacy / service user organisations, along with an internal review of complaint issues and outcomes to inform the policy review and provide direction for publicity and access support arrangements.

5.4 It is unlikely that the interim procedure will change in any significant way. However, many of the outcomes of consultation relate to accessing the procedure and the Council is currently:

- producing a new, joint complaints leaflet with Health, with easy read, large print and translated versions;
- establishing a publicity strategy, to include all community access points, the web, informing advocacy and community support groups; and
- establishing contact with advocacy and community support services to set up regular information sessions.

5.5 As yet, no complaint considered under the new procedure has been passed to the Ombudsman, although general feedback from the Ombudsman (across all Councils) indicates that they are now receiving a flow of complaints falling under the new regulations.

5.6 A review of complaints and lessons learnt follows overleaf



## Social Care Complaints Summary

Division	Summary
Disability and Health	Complaint about proposed change of service level and care provider to service user. Complaint upheld, re-assessment offered.
Elders	Lack of correct financial advice about caring for the complainant's mother. Direct payments were not wanted by care worker, but apology was given for incorrect advice.
Elders	Complaint about failure to arrange change of residential care home. However, service user did not meet admission criteria for preferred home
Elders	Complaint about alleged poor attitude of social worker. Complaint observations sent to PCT.
Elders	Complaints about care staff not caring safely or appropriately for elderly service user. Complaint responded to and agreement reached that the service user's husband will not intervene in his wife's care.
Learning Disabilities	Request for short term additional resources was approved but not confirmed with service user and carer. After meeting carer, apology was given and explanation on how the procedure would be improved.
Learning Disabilities	Complaint about failure to record an agreed increase in care for an adult with learning difficulties. Complaint upheld. Care Increase that has been agreed is now properly recorded so increased respite care will be received.
Resources	Changes to timing of weekend services, and changes in carer, were not communicated to service users relative. Commitment given to improve communicated with relative.

---

### 6. COMMENTS OF THE CHIEF FINANCIAL OFFICER

- 6.1 This report describes the new complaint regulations for Adult Social Care and Health and contains a summary of complaints received by the Council in the period 1 April 2009 to 31 December 2009 under the revised procedure.
- 6.2 There are no specific financial implications emanating from this report. Currently, service procedures and quality checks are designed to minimise the cost of correcting failures in service provision. Consequently, compensation where this is agreed as necessary, the expenditure is contained within the Directorate's budget.

### 7. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL)

- 7.1 Advice is tendered as required on any potential service breach of statutory or other responsibilities and local settlement advocated to avert other legal action.

## **7 ONE TOWER HAMLETS CONSIDERATIONS**

- 7.1 Complaint Procedures have been subject to Equalities Impact Assessments and endeavour to capture data on the six equalities strands. Each complaint is considered in the light of any perceived discrimination and monitoring data is analysed annually to considered any wider trends or implications.
- 7.2 Continuing publicity, and analysis of levels of awareness of the process within the community, will ensure that all residents and service users will have better awareness of their right to voice any concerns.

## **8. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT**

- 8.1 The are no key considerations

## **9. RISK MANAGEMENT IMPLICATIONS**

- 9.1 Risk is managed through the internal review processes, and where appropriate legal and risk management advice is sought when considering complaint resolution.

## **10 EFFICIENCY STATEMENT**

- 10.1 Where appropriate, service improvements and efficiencies are proposed and considered by the relevant services.

---

**Local Government Act, 1972 Section 100D (As amended)  
List of “Background Papers” used in the preparation of this report**

# Agenda Item 5.4

Committee: <b>STANDARDS COMMITTEE</b>	Date: <b>16 February 2010</b>	Classification: <b>UNRESTRICTED</b>	Report No.	Agenda Item No.
Report Of: <b>Assistant Chief Executive (Legal Services)</b>		Title: <b>Ethical Standards Training</b>		
Originating Officer: <b>Isabella Freeman</b>		Wards Affected: <b>All</b>		

## 1. SUMMARY

- 1.1 This report informs Members of progress and the current position in relation to Member training relating to ethical standards issues.

## 2. RECOMMENDATION

- 2.1 Members are asked to consider and note the content of this report

## 3. ETHICAL GOVERNANCE/STANDARDS TRAINING

- 3.1 The Standards Committee is responsible for promoting high standards of conduct and specifically:

- Advising on the training of Councillors, co-opted Members and church, other faith and parent governor representatives on matters relating to the Members Code of Conduct.
- 3.2 The Committee last received a report on ethical standards related training on 20 January 2009 and this further report outlines the current position on progress with training in these areas:
  - 3.3 **Understanding Planning and Planning Probity – 2 and 24 June 2009.** Annual mandatory training for members of the Development and Strategic Development Committees.
  - 3.4 **Licensing – Code of Conduct and Best Practice – 2 June 2009.** Annual mandatory training for members of the Licensing Committee.
  - 3.5 **Code of Conduct for Members –** All members have now been trained in group or 1:1 training sessions.
  - 3.6 **Local Assessment of Complaints – 11 November 2009.** Cross borough training facilitated by external solicitors for councillors, officers and independent members from the participating authorities.
  - 3.7 **Ethical Standards Self Assessment – June to September 2009.** All members completed a self assessment questionnaire and the outcomes were reported to the Standards Committee on 20 October 2009.

#### **4. COMMENTS OF THE CHIEF FINANCIAL OFFICER**

- 4.1 There are no immediate financial implications arising out of this report.

#### **5. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL SERVICES)**

- 5.1 This report has been prepared by the Assistant Chief Executive (Legal Services) who is also the Council's Monitoring Officer and incorporates legal comments.

#### **6. RISK MANAGEMENT IMPLICATIONS**

- 6.1 Ethical governance arrangements are essential to the operation and reputation of the Authority. The proposals contained in this report accord with recommendations of the Audit Commission for an integrated approach to ethical governance.

#### **7. ONE TOWER HAMLETS CONSIDERATIONS**

- 7.1 The training measures outlined in this report are important for ensuring that Members understand and comply with their responsibilities in

relation to ethical governance which is key to maintaining effective community leadership and confidence in local democracy.

**8. SAGE IMPLICATIONS**

- 8.1 This report has no immediate implications for the Council's policy of strategic action for a greener environment.

---

**LOCAL GOVERNMENT ACT 2000 (SECTION 97)  
LIST OF "BACKGROUND PAPERS" USED IN THE PREPARATION OF THIS REPORT**

<b>Brief description of "background paper"</b>	<b>Tick if copy supplied for register</b>	<b>If not supplied, name and telephone number of holder</b>
Standards Committee file		Isabella Freeman 020 7364 4800

This page is intentionally left blank

# Agenda Item 5.5

<b>Committee:</b> Standards Committee	<b>Date:</b> 16 February 2010	<b>Classification:</b> Unrestricted	<b>Report No:</b>	<b>Agenda Item:</b>
<b>Report of:</b> Corporate Director of Resources  <b>Originating officer(s)</b> Richard Parsons Service Head Procurement & Corporate Programmes		<b>Title:</b> Ethical Governance Protocol for Corporate Contracts  <b>Wards Affected:</b> All		

## 1. **SUMMARY**

- 1.1 Reports were submitted to the Standards Committee in October 2008 and July 2009, regarding adherence to the Council's Ethical Governance Protocol by suppliers. This report updates with further progress on the adoption of the protocol by suppliers.

## 2. **RECOMMENDATIONS**

Standards Committee is recommended to:-

- 2.1 Note the contents of this report.

### **3. BACKGROUND**

3.1 The Council has adopted an Ethical Governance Protocol for Council Contracts, which it requires all suppliers to follow. Since Autumn 2008, the Procurement Service has been requiring adoption of the protocol in all Tenders, and has been monitoring adoption by suppliers of the protocol. More recently, the Council has introduced its Requisition-to-Pay (R2P) e-procurement system, and it is a requirement of suppliers, in order to be set up to do business with the Council, that they comply with the protocol.

### **4. ADOPTION OF PROTOCOL**

4.1 To date, 484 suppliers have actively confirmed their adoption of the protocol, representing approximately £227m expenditure, or 60% of total annual spend. Whilst this represents six times as many suppliers as the 78 who had signed up in July 2009, it is only an additional £29m in value compared to the £198m reported at that time. However, it should be noted that most of the Council's large suppliers were included in the 78 who had responded by July, and subsequent activity has been addressed quantity of suppliers, rather than just expenditure.

4.2 The Council's R2P system requires suppliers to be approved before they are set up on the system, and therefore before they can do business with the Council. Implementation of the system is being developed alongside a supplier rationalisation process, which will reduce the number of suppliers from the current level of over 7,000, to a much lower figure. Through using this control, it should be possible over the next year to ensure that virtually 100% of suppliers will commit to the protocol. Full rollout of the system across the Council will be completed by the end of March, although the supplier adoption activity will continue beyond that date.

4.3 However, whilst R2P is a powerful tool for ensuring suppliers' commitment to the protocol, its implementation has meant that it has not been appropriate to approach all historic suppliers to the Council, to encourage their sign-up to the protocol. The fact that we may have done business with a supplier in the past does not necessarily mean that this will continue into the future under R2P, and so it is at the point that a supplier is invited to register on R2P, that they are also required to signal their acceptance of the protocol.

### **5. RECOMMENDATIONS**

5.1 Standards Committee is recommended to:-

- Note the contents of this report.

### **6. COMMENTS OF THE CHIEF FINANCIAL OFFICER**



6.1 There are no financial implications.

**7. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL)**

7.1 There are no legal implications of this report.

**8. ONE TOWER HAMLETS CONSIDERATIONS**

8.1 The adoption of a standard ethical governance protocol by key suppliers is important in achieving a consistent, ethical approach in service delivery. As many of the Council's essential services are delivered by external suppliers, it is imperative that the suppliers maintain the same high standards required of the Council. Monitoring of compliance will be an ongoing activity.

**9. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT**

9.1 There are no specific sustainability implications.

**10. RISK MANAGEMENT IMPLICATIONS**

10.1 The main risk management implications are in relation to reputational risk, in the event that a key supplier's ethical standards are found to be unsatisfactory.

---

**Local Government Act, 1972 Section 100D (As amended)  
List of "Background Papers" used in the preparation of this report**

None.

This page is intentionally left blank

# Agenda Item 5.6

Committee <b>STANDARDS COMMITTEE</b>	Date <b>16 FEBRUARY 2010</b>	Classification <b>UNRESTRICTED</b>	Agenda Item No.
Report of <b>Service Head, Democratic Services</b>  Originating Officer(s): <b>John Williams</b>	Title <b>MEMBERS' ATTENDANCE, TIMESHEETS AND DECLARATION OF INTERESTS: MONITORING REPORT</b>  Wards affected <b>ALL</b>		

## 1. SUMMARY

- 1.1 This report updates the Committee on a range of matters related to Councillors' attendance at formal meetings and training events, completion of timesheets and the register of interests. Some amendments to the format and content of the report have been made and additional information included, as previously requested by the Committee.
- 1.2 The report also sets out the comments received from Councillors in response to consultation on possible changes to the format and/or content of the Members' timesheet proforma.

## 2. RECOMMENDATIONS

- 2.1 That the Committee:
- (i) Note the information set out in Appendices 1, 2 and 3 in relation to Councillors' submission of timesheets, attendance at formal meetings and training events, and completion of the register of interests during the current municipal year;
  - (ii) Consider whether there is a need to ask the Chair to write to any Councillor(s) in connection with any of the monitoring information;
  - (iii) Note the responses submitted by Councillors to the consultation on possible changes to the Members' timesheet proforma as set out at Appendix 5 and comment on any further changes that the Committee wishes to suggest;
  - (iv) Comment on the revised format and content of this monitoring report and any further enhancements to be included in future reports; and
  - (iv) Agree to receive further monitoring reports at six monthly intervals.

### **3. BACKGROUND**

- 3.1 Since April 2004 the Standards Committee has received regular monitoring reports on the completion of Members' timesheets and attendance by Members at Council and other formal meetings.
- 3.2 At recent meetings the Committee has discussed how to build on this good practice by incorporating additional information in the reports and/or presenting the information in the most suitable way to further enhance transparency and accountability. In April 2009 the Committee agreed a number of proposed changes to the monitoring regime and these are incorporated in this report.

### **4. MEMBERS' TIMESHEETS**

- 4.1 Tower Hamlets Councillors have, since April 2002, completed monthly timesheets detailing the time spent on council duties, split into categories such as surgeries, casework, attendance at meetings/external bodies etc.
- 4.2 Members' timesheets are posted on the 'Meet your Councillor' pages of the Council's website which also contain information on the ward represented, committee/external appointments, surgery information, contact and other details. Councillors are personally responsible for the accuracy and timely submission of their timesheets.
- 4.3 Completion of timesheets is not a statutory requirement and does not affect the Basic and Special Responsibility Allowances paid to Members. However, the London Councils Independent Panel on the Remuneration of Councillors have emphasised the need for an accountable and transparent allowances scheme. In their 2001 report, the Independent Panel identified the tasks and responsibilities which they believed were the essential remit of a Councillor. In proposing a Basic Allowance to apply to all Councillors, they assumed a "contribution" of 40 hours per month on top of a "voluntary commitment" of 20 hours for each Member. Tower Hamlets has voluntarily developed the timesheet system to enhance transparency.
- 4.4 The Standards Committee has placed great importance on the timely and accurate completion of timesheets and the monitoring arrangements have placed Tower Hamlets at the forefront of best practice in this area. Benchmarking research reported previously to the Committee has shown that very few other local authorities have any such formal monitoring system in place. At recent meetings the Committee has discussed the value of the information provided in relation to the time taken to complete the timesheets, recognising that a balance needs to be found between accountability and not spending a disproportionate amount of time compiling the information which could be better spent elsewhere. The Committee concluded that the reporting process was a valuable one which assisted Members in accounting publicly for their work, and that it should continue but that certain improvements could be made to the content of the report and timesheets.

## **Improvements to the report**

- 4.5 **Date of completion:** Rather than merely presenting a snapshot of timesheets completed as at the date of the Standards Committee meeting, the Committee asked that the schedule indicate when each timesheet was submitted, thereby providing a means to monitor completion on a continuous basis. The table at Appendix 1 has been amended to give this information (NB: As this data is historic, following the change in reporting method it has been necessary in some cases to use the date that the timesheet was posted on the website. On occasion this may be some days later than the date it was submitted by the Councillor. Accurate data is now being tracked for all timesheets and this will be reflected in future reports.)
- 4.6 **Content:** The monitoring arrangements show whether or not timesheets have been completed but do not include information on their content. The Committee previously considered whether some information e.g. the number of hours recorded could be shown. However it concluded that a single headline figure would not provide sufficient information and a more meaningful analysis of the categories would mean quite lengthy reports. The full timesheets for each Councillor are readily available on the Council's website and it is not suggested that such an analysis should be included in the reports. However, for illustrative purposes and in the context of the Independent Panel's recommendations at 4.3 above, a figure has been added to the bottom of each column in Appendix 1 for the 6 months to December, showing the average number of total hours recorded on each of the timesheets submitted in respect of that month.

## **The current position – completion of timesheets**

- 4.7 In relation to the submission of timesheets, the current position, as at 8 February 2010 and set out in Appendix 1 attached, is that 30 Members (58.8% of the total) have completed their timesheets up to and including December 2009. 17 Councillors (33.3%) are three or more months in arrears. This information will continue to be updated and a revised schedule will be tabled at the meeting, if necessary.
- 4.8 In the event that the tabled schedule shows any Member still significantly in arrears, the Committee may wish to follow previous practice and ask the Chair to write to that Member drawing his/her attention to the need to maintain an up to date record.

## **5 CONSULTATION ON CHANGES TO THE TIMESHEET PROFORMA**

- 5.1 Members have previously commented that the existing timesheet format does not facilitate easy recording of some aspects of a councillors duties e.g. background reading on key issues or ad hoc informal meetings with residents. In addition a number of the specific categories included on the existing timesheet (example attached at appendix 4) are now out of date.
- 5.2 As requested by the Committee at its previous meetings, consultation has therefore been undertaken with Councillors on possible changes to the format of the timesheets themselves and/or the categories included to

improve ease of use and the value of the information collected for accountability purposes.

5.3 As part of the consultation exercise, all Councillors were asked a series of questions including the following:-

- Is the current timesheet easy to complete?
- Does the timesheet currently include the correct categories?
- What new categories would you like to add?
- What existing categories would you like to delete?
- Do you have any other comments or suggestions in relation to the timesheets?

5.4 The responses received to the consultation are attached at Appendix 5. The Committee is invited to note the responses and make any further comments or suggestions for changes that they would themselves wish to make. Officers will then refresh the timesheet proforma taking account of all the comments made and submit a revised draft document to a future meeting.

## 6. **MEMBERS' ATTENDANCE AT MEETINGS**

6.1 As with timesheets, attendance at committee/panel meetings is not a statutory requirement - the law simply says that if a Councillor fails to attend any Council or other qualifying meeting for a period of six months, he/she shall cease to be a Member of the local authority - and it is accepted that many important Council duties take place outside formal meetings. Nevertheless, attendance at meetings to which he/she has been appointed does represent a key part of a Councillor's work and the combination of attendance and timesheet monitoring information in this report provides a useful picture of a Councillor's activity for the purpose of accountability.

### **Improvements to the report**

6.2 The Committee has previously agreed that detailed information on attendance at informal and discretionary meetings such as scrutiny working groups and LAP events was not required, but that greater prominence should be given to monitoring attendance at the formal Council committees. In relation to quasi-judicial meetings where attendance is drawn from a pool of trained Councillors, for example Licensing and Appeals Sub-Committees, the report should indicate for each Member the percentage attendance at meetings for which he/she was eligible.

6.3 In April 2009 the Committee asked that where a Councillor has failed to attend a formal meeting but has submitted apologies in advance, this should be noted in the report. The attached schedule has been amended to incorporate these changes.

### **The current position - attendance at meetings**

6.4 The chart at Appendix 2 shows the record of attendance by Councillors at formal constitutional meetings during the current municipal year (i.e. from 20 May 2009 to date).

## **7. MEMBERS' DECLARATION OF INTERESTS AND ATTENDANCE AT MANDATORY TRAINING EVENTS**

7.1 The Committee has previously discussed what additional information it would find useful to enhance the overall regime of accountability for Councillor activity and to promote and monitor the ethical governance framework. It was agreed that information should be included on two key areas – (i) Members' completion of the register of personal interests, and (ii) attendance at mandatory training events including seminars on the Code of Conduct and further specific training for Councillors appointed to the quasi-judicial committees. This information is summarised in Appendix 3 attached and further explanatory information is below:-

7.2 **Updates to the register of Members' interests:** Members are required to complete a register of their interests within 28 days of becoming a Councillor and subsequently they must notify any change to this within 28 days of becoming aware of the change. Members receive six-monthly reminders to update the register with any changes. The most recent reminder was issued on 11 August 2009 and the attached schedule lists the date of each Councillor's latest update to their register entry.

7.3 As a matter of good practice and for the purpose of clarity, Members are asked to provide a nil return if there are no changes to register at the six-monthly reminder. However it is important to note that failure to do so would not represent a breach of the Code of Conduct.

### **Gifts and hospitality register**

7.4 The Committee has previously requested information on the recording of gifts and hospitality received by Members.

7.5 The Code of Conduct provides that a Councillor shall have a personal interest in any business of the authority that relates to the interests of any person from whom he/she has received a gift or hospitality with an estimated value of at least £25. Any such gifts or hospitality must be registered and, if they were received during the previous three years, must be declared at any relevant meeting.

7.6 Gifts and hospitality are now recorded as part of the main register of Members' interests form. However, for the purposes of clarity and transparency, Tower Hamlets still also maintains a separate register of gifts and hospitality declared by Councillors and this will be brought to the Standards Committee meeting for Members' perusal as required.

7.7 **Attendance at training events:** The Committee has also sought assurance regarding Councillors' attendance at relevant mandatory training events such as those on the Code of Conduct and the specific sessions arranged for members of the Development, Licensing and Appeals Committees and the Appointments Sub-Committee. This information is now incorporated into the schedule at Appendix 3, together with the total number of attendances at other (non-mandatory) in-house Member seminars during the year.

## **8. OBSERVATIONS OF THE CHIEF FINANCIAL OFFICER**

8.1 There are no direct financial implications arising from this report.

## **9. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL)**

9.1 The Relevant Authorities (General Principles) Order 2001 details principles which are to govern the conduct of Members of relevant authorities in England and police authorities in Wales. The Schedule sets out a number of general principles, including that Members should be accountable to the public for their actions and the manner in which they carry out their responsibilities. The schedule is attached as an appendix to the revised Code of Conduct for Members adopted by Tower Hamlets Council on 11 September 2007.

## **10. IMPLICATIONS FOR ONE TOWER HAMLETS**

10.1 There are no specific implications for One Tower Hamlets arising from the proposals in this report.

## **11. ANTI-POVERTY IMPLICATIONS**

11.1 There are no specific anti-poverty issues arising from the proposals in this report.

## **12. RISK MANAGEMENT IMPLICATIONS**

12.1 There are no risk management implications.

## **13. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT (SAGE)**

13.1 There are no SAGE implications arising directly from this report.

---

### **LOCAL GOVERNMENT ACT, 2000 (SECTION 97) LIST OF "BACKGROUND PAPERS" USED IN THE PREPARATION OF THIS REPORT**

Brief description of "background paper"	Name and telephone number of holder and address where open to inspection
Reports by the Independent Panel on the Remuneration of Councillors in London	John Williams 020 7364 4204 Town Hall, Mulberry Place, 5 Clove Crescent, London, E14 2BG
Councillors timesheets and attendance files	



APPENDIX 1

**MEMBERS MONTHLY TIMESHEETS – SUMMARY OF RETURNS**  
**MADE FROM MAY 2009 TO JANUARY 2010**

Councillor	MAY	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR
Abbas, H	15.7.09	10.9.09	11.9.09	14.9.09	21.1.10	21.1.10	21.1.10	21.1.10				
Ahmed, A M O	8.7.09	8.7.09	8.9.09	12.10.09	21.12.09	22.12.09	22.12.09	12.1.10				
Ahmed, R.	27.1.10	27.1.10	27.1.10	27.1.10	27.1.10	27.1.10	27.1.10	27.1.10				
Ahmed, R. U.	18.6.09	2.7.09	19.8.09	15.9.09	9.10.09	11.11.09	7.1.10	7.1.10				
Ali, A	13.7.09	13.7.09	4.8.09	21.12.09	21.12.09	21.12.09	18.1.10	18.1.10				
Ali, Md. Shahid	3.6.09	13.7.09	6.8.09	2.9.09	2.10.09	4.11.09	3.12.09	5.1.10	4.2.10			
Ali, Shahed	17.9.09	18.9.09	18.9.09	23.9.09								
Archer, T	30.7.09	30.7.09	7.8.09	1.9.09	22.10.09	2.11.09	1.2.10	1.2.10	1.2.10			
Asad, A	9.7.09	9.7.09	14.8.09	4.9.09	8.1.10	8.1.10	11.1.10	11.1.10				
Begum, L	8.9.09	8.9.09	8.9.09	8.9.09								
Briscoe, P	9.6.09	5.8.09	5.8.09	23.9.09	16.10.09							
Choudhury, A	4.6.09	4.8.09	19.8.09	16.9.09	4.11.09	16.11.09	8.12.09	18.1.10				
Eaton, S	23.7.09	23.7.09										
Eckhardt, R												
Francis, M	13.7.09	21.8.09	21.8.09	15.10.09	8.1.10	8.1.10	11.1.10	18.1.10				
Golds, P	26.10.09	20.10.09	21.10.09	21.10.09	21.10.09	4.2.10	4.2.10	4.2.10	4.2.10			
Hague, F	5.8.09	5.8.09										
Hague, S	8.7.09	8.7.09	20.10.09	20.10.09	20.10.09							
Harper-Penman, C	5.2.10	5.2.10	5.2.10	5.2.10	12.1.10	12.1.10	12.1.10	12.1.10				
Hawkins, C	8.2.10	8.2.10	8.2.10	8.2.10	8.2.10	8.2.10	8.2.10	8.2.10	8.2.10			
Heslop, A	2.7.09	2.7.09	12.10.09	12.10.09	12.10.09	23.12.09	23.12.09					
Houghton, S												
Hussain, A	11.6.09	8.9.09	9.9.09	8.9.09	28.10.09							
Islam, S	14.7.09	14.7.09	15.10.09	14.10.09	15.10.09	15.12.09	15.12.09					
Islam, W	7.2.10	7.2.10	7.2.10	7.2.10	7.2.10	7.2.10	7.2.10	7.2.10	7.2.10			
Jackson, A	19.10.09	19.10.09	20.10.09	20.10.09								
Jones, D	14.7.09	14.7.09	6.8.09	20.10.09	20.10.09							
Jones, E	4.2.10	5.8.09	10.8.09	8.9.09	8.10.09	18.11.09	9.12.09	12.1.10	2.2.10			
Khan, A. R.	15.6.09	5.8.09	19.8.09	8.10.09	8.10.09	23.11.09	6.1.10	8.1.10				
Khan, R	13.7.09	8.7.09	11.1.09	11.1.10	11.1.10	11.1.10	11.1.10	11.1.10				
Khatun, S	5.2.10	5.2.10	5.2.10	5.2.10	5.2.10	5.2.10	5.2.10	5.2.10	5.2.10			
Matin, A	27.5.09	20.8.09	20.8.09	8.9.09	1.10.09	30.10.09	4.1.10	4.1.10				
Miah, A												
Miah, F												
Miah, H	4.8.09	25.8.09	8.9.09	8.9.09	11.11.09	6.1.10	5.1.10	2.2.10				

Councillor	MAY	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR
Munim, M. A.	25.9.09	25.9.09	25.9.09	28.9.09	4.2.10	4.2.10	4.2.10	4.2.10				
O'Flaherty, T	30.6.09	3.2.10	3.2.10	3.2.10	3.2.10	3.2.10	3.2.10	3.2.10	3.2.10			
Omer, A.	5.8.09	17.8.09	21.8.09	27.10.09	9.11.09	3.2.10	3.2.10	3.2.10	3.2.10			
Peck, J	1.6.09	9.7.09	3.8.09	22.12.09	22.12.09	22.12.09	22.12.09	12.1.10				
Rahman, L	13.7.09	13.7.09	6.1.10	6.1.10	6.1.10	6.1.10	6.1.10	6.1.10				
Rahman, O	13.7.09	13.7.09	22.12.09	22.12.09	12.1.10	12.1.10	12.1.10	12.1.10				
Rashid, Md. M.	10.9.09	10.9.09	10.9.09	10.9.09	4.2.10	4.2.10	4.2.10	4.2.10	4.2.10			
Salique, M. A.												
Sardar, A. A.	29.6.09	14.7.09	24.9.09	24.9.09	19.10.09	17.12.09	17.12.09					
Saunders, R	20.11.09	13.1.10	13.1.09	14.1.10	14.1.10	14.1.10	15.1.10	15.1.10				
Snowdon, D	1.2.10											
Turner, B	26.6.09	26.6.09	8.10.09	8.10.09	8.10.09	17.12.09	17.12.09					
Uddin, D												
Ullah, A	13.7.09	14.7.09	6.1.10	6.1.10	6.1.10	6.1.10	6.1.10	6.1.10				
Ullah, S	3.6.09	4.8.09	10.8.09	8.9.09	23.10.09	5.11.09	7.1.10	7.1.10	4.2.10			
Uz-Zaman, M												
<b>AVERAGE HOURS RECORDED FOR MONTH</b>			<b>90.24</b>	<b>63.70</b>	<b>76.78</b>	<b>87.35</b>	<b>84.82</b>	<b>64.76</b>				

**MEMBERS' ATTENDANCE – 20 MAY 2009 – 29 JANUARY 2010**

**APPENDIX 2**

	Council	Cabinet	Dev Cttee	Licensing Cttee	O & S Cttee	Health Scrutiny Panel	Standards Cttee	Pensions Cttee	Human Resources Cttee	Appeals Cttee	Appts Sub Cttee	General Purposes Cttee	Strategic Dev Cttee	Licensing Sub-Cttee	Audit Cttee	Grants Panel
Total Held	6	8	6	3	8	4	2	3	3	12	5	2	5	20	3	2
H. Abbas	6		6					1 (2Ap)					2(dep)		1 (1Ap)	
Ohid Ahmed	6	8							3		***3					2
Rajib Ahmed	5 (1Ap)			2 (1Ap)				3		**9 (75%)				*4 (20%)		
R. U. Ahmed	4 (2Ap)	7 (1Ap)														
A. Ali	5 (1Ap)	4 (4Ap)									***2					
Shahed Ali	6		1(dep)		1(dep)				3				4 (1Ap)			
M. Shahid Ali	6			3					3	2 (dep)		2		*6 (30%)		
T. Archer	6		1 (dep)		5 (3Ap)	3 (1Ap)							3 (dep)			
A. Asad	6	8									***2					2
L. Begum	5 (1Ap)					(3Ap)				**2 (16%) (6Ap)		0 (2Ap)				
P. Briscoe	6								1 (2Ap)			1 (1Ap)				
A. Choudhury	6		6										5			
S. Eaton	6			6 (2Ap)		1 (3Ap)							4 (1Ap)		2 (1Ap)	
R. Eckhardt	6		1 (dep)	3									1 (3Ap)			
M. Francis	6	7 (1Ap)						3			***2		5			2
P. Golds	6			3	2 (dep)				1 (dep)	3 (dep)	***5	1 (dep)		*1 (5%)		
F. Haque	6		3 (2Ap)	2 (1Ap)									5		3	
S. Haque	6		6													
C. Harper-Penman	5 (1Ap)			2 (1Ap)										*5 (25%)		
C. Hawkins	6			3								2		*4 (20%)		
A. Heslop	6			1 (2Ap)	7 (1Ap)	2 (2Ap)								*3 (15%)		
S. Houghton	5 (1Ap)		4 (2Ap)													
A. Hussain	6															
S. Islam	5 (1Ap)			2 (1Ap)	7 (1Ap)								1(dep)			
W. Islam	6						2	3				2		*1 (5%)		
A. Jackson	6			2 (1Ap)	7 (1Ap)	3 (1Ap)										
D. Jones	6				7 (1Ap)			3								
E. Jones	6					1 (dep)	1 (1Ap)	2							1 (dep)	

**QUALIFYING NOTES:**

1. This schedule denotes the attendance of Members at Council, Cabinet and the Standing Committees of the Council only and does not include ad-hoc advisory panels that some Members serve on.
2. Care should be taken in calculating the attendance of members in percentage terms, as, for instance, not all Members of the Appeals Committee would be summoned to serve on every Appeal.
3. Some Members are appointed to more Standing Committees/Panels than others, therefore a precise comparison of attendance between Members is often inappropriate because of opportunity.
4. Members sometimes attend meetings in a substitute capacity for their colleagues.

\* Part of pool of Members to sit on Licensing Sub-Committees

\*\* Part of pool of Members to sit on Appeals Committees

\*\*\* As required for Appointments Sub-Committee

\*\*\*\* General Purposes Committee – one meeting in quorate

**MEMBERS' ATTENDANCE – 20 MAY 2009 – 29 JANUARY 2010**

	Council	Cabinet	Dev Cttee	Licensing Cttee	O & S Cttee	Health Scrutiny Panel	Standards Cttee	Pensions Cttee	Human Resources Cttee	Appeals Cttee	Appts Sub Cttee	General Purposes Cttee	Strategic Dev Cttee	Licensing Sub-Cttee	Audit Cttee	Grants Panel
Total Held	6	8	6	3	8	4	2	3	3	12	5	2	5	20	3	2
A. R. Khan	6						2			**7 (55%)(1Ap)	***2					
R. Khan	6	7 (1Ap)									***3		2 (3Ap)			2
S. Khatun	4 (2Ap)		4 (2Ap)		1(dep)								2 (3Ap)			
A. Matin	5 (1Ap)			0												
A. Miah	5 (1Ap)				2 (5Ap)	2 (2Ap)					***3				0 (1Ap)	
F. Miah	5 (1Ap)			1				0		**9 (75%) (1Ap)						
H. Miah	4 (2Ap)		4 (2Ap)													
A. Munim	3 (3Ap)						0 (1Ap)									
T. O'Flaherty	3 (3Ap)		2 (4Ap)					0 (3Ap)			***2					
A. Omer	6															
J. Peck	6	8							1 (1Ap)		***5					
L. Rahman	6	8														
O. Rahman	6	8														
M. Rashid	4 (2Ap)			1 (1Ap)								0 (2Ap)				
M. A. Saliq	6		4 (2Ap)						3	**3 (25%)						
A. Sardar	6				7 (1Ap)							2				
R. Saunders	6			1 (2Ap)										*7 (35%)		
D. Snowdon	6							3	1 (dep)						2 (1Ap)	
B. Turner	5 (1Ap)				4 (dep) 6 (1Ap)	1 (3Ap)				**1 (8%) (3Ap)						
D. Uddin	5 (1Ap)								0				4 (1Ap)			
A. Ullah	6	7 (1Ap)														0 (2Ap)
S. Ullah	5 (1Ap)				1(dep)		2			**11 (91%) (1Ap)						
Uz-Zaman	5 (1Ap)			1 (2Ap)						**0 (0%)				*4 (20%)		

**QUALIFYING NOTES:**

1. This schedule denotes the attendance of Members at Council, Cabinet and the Standing Committees of the Council only and does not include ad-hoc advisory panels that some Members serve on.
2. Care should be taken in calculating the attendance of members in percentage terms, as, for instance, not all Members of the Appeals Committee would be summoned to serve on every Appeal.
3. Some Members are appointed to more Standing Committees/Panels than others, therefore a precise comparison of attendance between Members is often inappropriate because of opportunity.
4. Members sometimes attend meetings in a substitute capacity for their colleagues.

\* Part of pool of Members to sit on Licensing Sub-Committees

\*\* Part of pool of Members to sit on Appeals Committees

\*\*\* As required for Appointments Sub-Committee

\*\*\*\* General Purposes Committee – one meeting in quorate

**APPENDIX 3: COMPLETION OF DECLARATION OF INTEREST FORMS AND ATTENDANCE AT TRAINING EVENTS (MAY 2009 – DECEMBER 2009)**

	Declaration of Interest update received:	Mandatory Training				Non-mandatory Learning & Development Seminars attended (Max = 5)
		Planning & Probity	Appeals	Licensing	Appointments	
H. Abbas	30.9.09	Y				0
Ohid Ahmed	19.8.09				Y	0
Rajib Ahmed	13.11.08		Y	Y		2
R. U. Ahmed	19.8.09					0
A. Ali	4.9.08				Y	0
Shahed Ali	10.10.07	Y				1
M. Shahid Ali	10.11.09		Y	Y		3
T. Archer	30.1.10	Y				0
A. Asad	10.11.08				Y (08/09)	0
L. Begum	15.8.09		Y			0
P. Briscoe	2.1.09					0
A. Choudhury	30.7.08	Y				0
S. Eaton	24.11.09	Y				0
R. Eckhardt	9.10.07	Y		Y		0
M. Francis	10.10.07	Y			Y	1
P. Golds	20.10.09	Y	Y	Y	Y	0
F. Haque	29.5.08	Y		Y		0
S. Haque	11.11.09	Y				0
C. Harper-Penman	27.8.09			Y		0
C. Hawkins	24.8.09	Y		Y		0
A. Heslop	11.10.07			Y		1
S. Houghton	6.10.09	Y				0
A. Hussain	19.12.08					0
S. Islam	24.8.09	Y				0
W. Islam	26.9.07			Y		0
A. Jackson	11.7.08					0
D. Jones	26.3.08	Y	Y			1
E. Jones	12.8.09					1
A. R. Khan	24.8.09		Y		Y	1
R. Khan	13.8.09	Y			Y	0
S. Khatun	13.8.09	Y				0
A. Matin	15.10.07			Y		0
A. Miah	10.10.07	Y	Y		Y	1
F. Miah	10.10.07		Y	Y		0
H. Miah	21.8.09	Y	Y			0
A. Munim	12.8.09	Y				1
T. O'Flaherty	2.9.09	Y			Y (08/09)	1
A. Omer	2.12.08					1
J. Peck	17.12.08					0
L. Rahman	27.2.09				Y	0
O. Rahman	27.7.09					0
M. Rashid	21.8.09	Y (08/09)		Y		0
M. A. Salique	10.9.08	Y	Y			0
A. Sardar	17.11.08					2
R. Saunders	22.11.09			Y		0
D. Snowdon	9.4.09			Y		0
B. Turner	26.6.08		Y			1
D. Uddin	10.10.07	Y				0
A. Ullah	9.12.08					0
S. Ullah	24.8.09		Y			1
Uz-Zaman	16.12.09		Y	Y		0

NB: Where a Member is appointed to a regulatory committee they may not serve on that committee until they have undertaken the relevant mandatory training

**EXISTING MEMBERS' TIMESHEET PROFORMA**

<b>MEMBERS NAME:</b>	
<b>MONTH:</b>	
<b>NUMBER OF SURGERIES HELD:</b>	
<b>NUMBER OF CASES:</b>	
<b>HOLIDAY AND ANNUAL LEAVE:</b>	
<b>SICK:</b>	
<b>COUNCIL MEETINGS ATTENDED</b>	<b>TIME SPENT</b>
<b>EXTERNAL BODIES MEETINGS</b>	<b>TIME SPENT</b>
<b>OTHER</b>	<b>TIME SPENT</b>
<i><b>(Please enter total time spent on any of the following – you do not need to enter the number of meetings)</b></i>	
Chair's Pre Agenda Meetings	
Citizenship Ceremony	
Civic Receptions	
Community Events	
Conferences	
Corporate Parenting Steering Group	
Group Meetings	
Holiday/s	
LAB Meetings	
Learning, Achievement & Leisure (CPAG)	
Living Well (CPAG)	
Local Area Partnership (LAP)	
Mayoral Engagements	
Meeting with Council Officer/s	
Meeting with Councillor/s	
Meeting with other organisations	
Members Training Sessions/Seminar	
MP/MEP/Minster -Meetings	
NDC Meetings	
Olympic Bid	
Paperwork, Reading & Telephone Calls	
School Governors Meeting	
Site Visits	
Tenants/Residents Meeting	
Time Spent on Casework	
Time Spent at Surgery	
Working Party	

**PLEASE RETURN COMPLETED TIMESHEET TO PATRICIA ATTAWIA, MAYOR'S OFFICE MANAGER**

**APPENDIX 5 – RESPONSES TO CONSULTATION ON CHANGES TO MEMBERS’ TIMESHEET PROFORMA**

Response	Easy to complete?	Right categories?	Categories to add?	Categories to delete?	Any other comments?	Councillor’s role
1	yes	yes	n/a	n/a	Would be good to have this in spreadsheets so that total time and other sections update automatically	Executive Cllr
2	yes	yes	Development Committee meeting/planning committee	NDC meetings		Executive Cllr
3	yes	yes	Street consultations	n/a	n/a	Executive Cllr
4	yes	no	Home visits or meetings with residents (i.e. casework) but separate from casework total	Olympic bid	Whole process needs to have some teeth, why complete them some members do not bother for a whole year, when they do, do not bother with any detail.	Scrutiny Lead
5	yes	yes	Home visit	none	no	Non-Executive
6	yes		Meetings related to portfolio (to replace very specific categories that could be deleted)	Chair’s pre-agenda Corporate Parenting Steering Group Learning, achievement & leisure CPAG Living Well CPAG Mayoral engagements NDC meetings Olympic bid Working party	Regular prompts to submit them would be really useful. I always fill mine out but often forget to send them in. I think reminders would improve accountability.	Committee Chair
7	yes	partially	External body meetings, visiting constituents	Olympic bid	Provide a template to all members on a memory stick	Committee Chair
8	no	no	Casework visits. Update LAP info	Olympic bid, living well CPAG		Executive Cllr
9	yes	yes	none	none	no	Non-Executive
10	yes	yes	none	none	no	Executive Cllr

11	no	no	Council meeting, Group meeting, learning event, LAP event	The list of different types of council meetings is unwieldy – exclude this and people can fill in their own	Can officers fill in how many enquiries we have done as I have to ask them anyway?	Non-Executive
Other comments received, separately from the consultation exercise:		Working in office (separately from 'meetings')	Estimated figure for telephone, reading and paperwork is meaningless. Also misleading as people read at different speeds.			

Overall response: 11 Members (21.57%)

Key messages: The majority of respondents found the form easy to complete

Suggestions have been made to improve on categories, distribute electronically and issue reminders to submit timesheets.