

Mae'r ddogfen hon ar gael yn Gymraeg hefyd



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## **SECTION 22 - PROTOCOL ON MEMBER / OFFICER RELATIONS**

### **1. Introduction**

- 1.1 The purpose of this Protocol is to guide Members and Employees of the Council in their relations with one another.
- 1.2 Mutual respect between Members and Employees is essential to good local government. However, close personal familiarity between individual Members and Employees can damage this relationship and prove embarrassing to other Members and Employees.
- 1.1 Members and Officers should abide by the Nolan principles which are:
  - Selflessness
  - Integrity
  - Objectivity
  - Accountability
  - Openness
  - Honesty
  - Leadership
- 1.2 The relationship has to function without compromising the ultimate responsibilities of Employees to the Council as a whole, and with due regard to such technical, financial, professional and legal advice that Employees can legitimately provide to Members. The Protocol seeks to set a framework that assists the working relationships between Members and Employees.
- 1.3 This protocol should be read alongside other protocols such as the Member and Officer Codes of Conduct. The appendix to this protocol provides more information around the Member/Officer relationship, in general, and the distinct roles each have.

### **2. Roles of Members**

- 2.1 Members undertake many different roles. Broadly these are:
  - Providing political leadership by setting the Council's direction in terms of developing, monitoring and reviewing Council strategies and policies.
  - Members express political values and support the policies of the party or group to which they belong (if any).
  - Members represent their electoral ward and are advocates for the citizens who live in the area.
  - Members are involved in active partnerships with other organisations as community leaders.
  - Members contribute to the decisions taken in Full Council and in its various bodies on which they serve, as well as joint committees, outside bodies and partnership organisations.
  - Members help develop and review policy and strategy.

- Members monitor and review policy implementation and service quality.
- Members are involved in quasi-judicial work through their membership of regulatory committees.

### **3. Roles of Employees**

3.1 Briefly, Employees have the following main roles:

- Managing and providing the services for which the Council has given them responsibility and being accountable for the efficiency and effectiveness of those services.
- Providing advice to the Council and its various bodies and to individual Members in respect of the services provided.
- Initiating policy proposals.
- Implementing agreed policy.
- Ensuring that the Council always acts in a lawful manner.

### **4. Respect and Courtesy**

4.1 For the effective conduct of Council business there must be mutual respect, trust and courtesy in all meetings and contacts, both formal and informal, between Members and Employees. This plays a very important part in the Council's reputation and how it is seen in public. It is very important that both Members and Employees remember their respective obligations to enhance the Council's reputation and to do what they can to avoid criticism of other Members, or other Employees, in public places.

### **5. Undue Pressure**

- 5.1 It is important in any dealings between Members and Employees that neither should seek to take unfair advantage of their position.
- 5.2 In their dealings with Employees (especially junior Employees) Members need to be aware that it is easy for them to be overawed and feel at a disadvantage. Such feelings can be intensified where Members hold senior official and/or political office.
- 5.3 A Member should not apply undue pressure on an Employee either to do anything that he is not empowered to do or to undertake work outside normal duties or outside normal hours. Particular care needs to be taken in connection with the use of Council property and services.
- 5.4 Similarly, an Employee must neither seek to use undue influence on an individual Member to make a decision in his favour, nor raise personal matters to do with their job, nor make claims or allegations about other Employees. *(The Council has formal procedures for consultation, grievance and discipline, and Employees have the right to report possible wrongdoing under the Council's Whistleblowing Policy.)*

## **6. Familiarity**

- 6.1 Close personal familiarity between individual Members and Employees can damage the principle of mutual respect. It could also, intentionally or accidentally, lead to the passing of confidential information or information which should not properly be passed between them, such as personal details.
- 6.2 Such familiarity could also cause embarrassment to other Members and/or other Employees and even give rise to suspicions of favouritism.
- 6.3 For these reasons close personal familiarity must be avoided.

## **7 Breach of Protocol**

- 7.1 If a Member considers that he has not been treated with proper respect or courtesy he may raise the issue with the Employee's line manager. If direct discussion with the manager does not resolve the complaint it should be referred to the Head of Service or Strategic Director responsible for the employee concerned. Breach of the Protocol may give rise to disciplinary proceedings against an Employee if the circumstances warrant it.
- 7.2 If an employee considers that a Member has contravened the protocol he should consult his line manager who will if necessary involve the Head of Service or Strategic Director. In certain circumstances breach of the Protocol may also constitute a breach of the Members' Code of Conduct. If the breach is sufficiently serious this may warrant a formal reference to the Monitoring Officer as a complaint to be considered for potential investigation by the Standards Committee. Many complaints will be capable of informal resolution. The Monitoring Officer or the Chief Executive will assist in this process if necessary.

## **8. Provision of Advice and Information to Members**

- 8.1 Members are free to approach Employees of the Council to provide them with such information and advice as they may reasonably need in order to assist them in discharging their role as a Member of the Council. This can range from a request for general information about some aspect of the Council's activities to a request for specific information on behalf of a constituent.
- 8.2 Employees should always endeavour to respond to requests for information promptly and should in any event inform the Member if there is likely to be any appreciable delay in dealing with an enquiry. As a minimum the timescale for responding to correspondence should be observed i.e. either a full response or, if this is not possible, an acknowledgement that fully explains what is happening within 10 working days of the receipt of the enquiry.
- 8.3 The legal rights of Members to inspect Council documents are covered partly by statute and partly by common law.
- 8.4 The Access to Information Procedure Rules of this Constitution explain the position with regard to access to papers relating to the business of a Member body.

- 8.5 The information sought by a Member should only be provided by the respective Service as long as it is within the limits of the Service's resources. For their part, Members should seek to act reasonably in the number and content of the requests they make. Members should understand that unreasonable requests may add to pressures within services.
- 8.6 It is important for Services and their staff to keep Members informed both about the major issues concerning the Council and, more specifically, about issues and events affecting the area they represent. Local Members should be informed about proposals that affect their electoral ward and should also be invited to attend Council initiated events within their electoral ward. (Further details are contained in the Protocol for Liaison with Local Members).
- 8.7 If a Member asks for specific information relating to the work of a particular Service, and it appears possible or likely that at a subsequent meeting an issue could be raised or question asked on the basis of the information provided, then the appropriate Cabinet Member or Committee Chair concerned should be advised about the information provided.
- 8.8 Officers have to advise Members from time to time that a certain course of action cannot be carried out. Members sometimes assume that this is a case of Officers deliberately obstructing the wishes of politicians. In fact this is hardly ever the case. Officers are employed to give unbiased professional advice even if it is not what Members want to hear. They do this as much for the protection of Members as for any other reason. However, the mark of an effective Officer is that if they do have to give negative advice, this will be accompanied by suggestions as to how Members might achieve some or all of their objectives in other ways. Such Officers are invaluable to any Council.
- 8.9 Members may be entitled under the Freedom of Information Act 2000 to receive information which falls outside their common law rights based on the "need to know". Employees are encouraged to supply documents to Members without the need for a formal FOI request if it is apparent from the Member's enquiry that any individual would be entitled to receive such documentation. The Council's Information Governance Manager will be able to advise in consultation if necessary with the Monitoring Officer on whether any request would fall within the Freedom of Information Act.

## **9. Confidentiality**

- 9.1 In accordance with the Code of Conduct for Members, a Member must not disclose information given to him/her in confidence by anyone, or information acquired which he/she believes, or ought reasonably to be aware, is of a confidential nature, except where:
- a) he/she has the consent of a person authorised to give it;
  - b) he/she is required by law to do so;
  - c) the disclosure is made to a third party for the purpose of obtaining professional advice provided that the third party agrees not to disclose the information to any other person; or
  - d) the disclosure is:

- i. reasonable and in the public interest; and
  - ii. made in good faith and in compliance with the reasonable requirements of the authority.
- 9.2 Confidential Committee papers (yellow papers) are to be treated as confidential information unless the relevant Committee resolves not to exclude press and public. Members are reminded that the author of the report makes the initial assessment as to whether or not the papers are to be treated as confidential. The decision as to whether they remain confidential is for the Committee. Other information may be confidential because to disclose it would be against the Council's or the public interest. Information may also be confidential because of the circumstances in which it was obtained.
- 9.3 Information and correspondence about an individual's private or business affairs will normally be confidential.
- 9.4 Officers should make it clear to Members if they are giving them confidential information. If a Member is not sure whether information is confidential, he or she should ask the relevant Officer, but treat the information as confidential in the meantime.
- 9.5 Any Council information provided to a Member must only be used by the Member in connection with the proper performance of the Member's duties as a Member of the Council.
- 9.6 If a Member receives confidential information and considers it should be disclosed to another person because it is reasonable and in the public interest to do so then he or she must first consult with the Monitoring Officer and shall not disclose the information without having regard to any advice given by that Officer.

## **10. Provision of Support Services to Members**

- 10.1 The only basis on which the Council can lawfully provide support services (e.g. laptop, tablet, mobile phone, stationery, word processing, printing, photocopying, transport, etc.) to Members is to assist them in discharging their role as Members of the Council. Such support services must therefore only be used on Council business. They should never be used in connection with party political or campaigning activity or for private purposes.

### **10.2 Correspondence**

Official letters on behalf of the Council should normally be sent in the name of the appropriate Employee, rather than the name of a Member. On occasion, it may be appropriate for a 'joint' letter to be sent from a Senior Officer and Elected Member. There are circumstances where a letter sent in the name of a Member is perfectly appropriate, for example, in response to a letter of enquiry or complaint sent direct to that Member. Letters which, for example, create obligations or give instructions on behalf of the Council should never be sent out in the name of a Member unless that Member holds a senior position and has delegated authority to do so.

### 10.3 Media

Communication with the media can be an important part of a Member's workload. In general, Members provide comment and views while Employees provide factual information. If a Member is unsure about the circumstances of a particular issue he should contact the appropriate Strategic Director or Head of Service concerned or ask the Press Office to do so.

## **11. The Council's Role as Employer**

- 11.1 In their dealings with Officers, Members should recognise and have regard to the Council's role as employer. Members should be aware that Officers could rely on inappropriate behaviour of a Member in an employment case against the Council.

## **12. Political Activity**

- 12.1 Those employees whose posts have been identified as "politically restricted" are not permitted to engage in any political activity. This applies at all times both during work hours and outside and not only during the pre-election period. The main activities prohibited to these officers are:-
- being a candidate for election to the House of Commons, the Welsh Parliament/Senedd Cymru, the Police and Crime Commissioner or a Local Authority;
  - acting as an agent for a candidate for the election to one of the bodies above;
  - being an officer of a political party or acting on behalf of a candidate for election to one of the bodies above;
  - canvassing on behalf of a political party or on behalf of a candidate;
  - speaking to the public or to a section of the public with the apparent intention of affecting support for a candidate or political party;
  - publishing any written work which appears to be intended to affect public support for a candidate or political party; and
  - engaging in active political debate with candidates or parties via social media. In this regard such restricted staff should also avoid "liking", "following" or "befriending" candidates or political parties on social media.
- 12.2 The Chief Executive, Strategic Directors or Heads of Service may properly be called upon to advise Group Leaders but will not be expected to attend group meetings. Support in these circumstances must not extend beyond providing information and advice in relation to matters of Council business. Employees must not be involved in advising on matters of party business.
- 12.3 Any particular cases of difficulty or uncertainty in the advice to party groups should be raised with the Chief Executive who will discuss them with the relevant Group Leaders.
- 12.4 Employees are employed by the Council as a whole. They serve the Council and are responsible to the Chief Executive and their respective Strategic Directors/Heads of Service, and not to individual Members of the Council whatever office they might hold.

- 12.5 Both Members and Employees are subject to their own Codes of Conduct which can be found in the Constitution. This Protocol provides guidance on working relationships between Members and Employees. It is essential that both are familiar with the detailed obligations in their respective Codes of Conduct which will prevail in the event of any conflict between the Codes and this Protocol.

**13. Sanctions**

- 13.1 Complaints about any breach of this Protocol by a Member may be referred to the Monitoring Officer. It should be noted that certain breaches may also amount to breaches of the Code of Conduct for Members.
- 13.2 Complaints about any breach of this protocol by an Officer may be referred to the relevant Chief Officer, the Chief Executive or the Head of Law and Governance.

**14. Conclusion**

- 14.1 It is hoped that, by following good practice and securing sensible and practical working relationships between Members and Employees, we can provide one of the cornerstones of a successful local authority and thereby enhance the delivery of high value quality services to the people of the area. Mutual understanding, openness and respect are the greatest safeguard of the integrity of the Council, its Members and Employees.



## SECTION 22 – APPENDIX: MEMBER/OFFICER RELATIONS

- 1.1 This appendix must be read in conjunction with the Member/Officer Relations Protocol. It provides more information around the relationship, in general, and the distinct roles each have, in particular.
- 1.2 At the heart of the Member and Officer Codes of Conduct and the Protocol for Member/Officer Relations, is the importance of mutual respect. Member/Officer relationships are to be conducted in a positive and constructive way. Therefore, it is important that any dealings between Members and Officers should observe standards of courtesy and that neither party should seek to take unfair advantage of their position nor seek to exert undue influence on the other party.
- 1.3 Members and Officers all aim to put the people of Conwy at the heart of what they do. They are indispensable to one another. However, their responsibilities are distinct. Members are accountable to the public, whereas Officers are accountable to the Council as a whole.

<b>A Quick Guide to some of the distinct roles</b>	
<b>Members</b> ←	→ <b>Officers</b>
Accountable to the electorate	Accountable to the Council
Community Leader for a ward	Serve the whole Council
Add a political dimension	Politically impartial
Set high level policy/strategy	Ensure operational delivery is effective
Involved in CE/Director/Head of Service appointments	Day to day staff resources management
Collectively set the policy and strategy framework for the Council	

- 1.4 The roles of Members and officers cannot however be divided into completely separate areas. The effective running of the Council requires an effective partnership and collaboration between Members and Officers. Further to the description above, the following diagram outlines the differences and the overlaps:

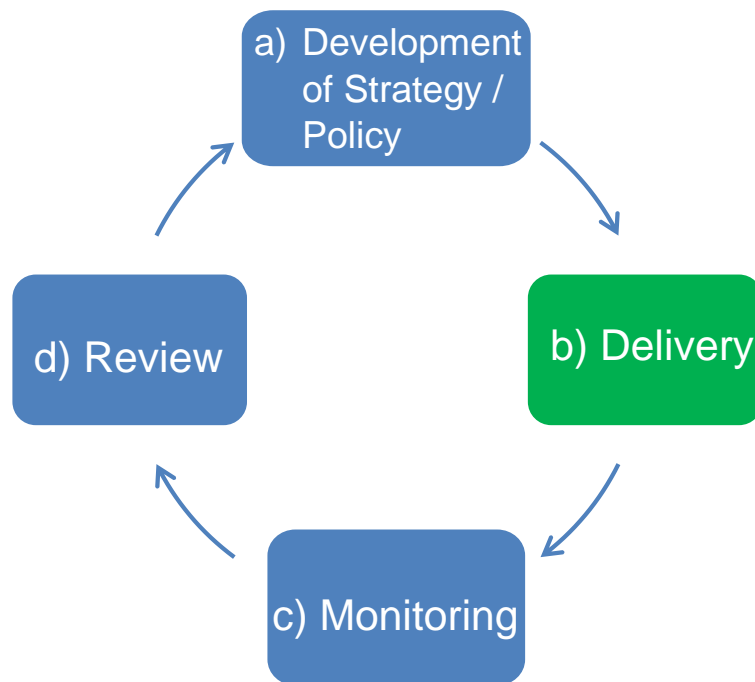


1.5 A useful table to consider, in relation to expectations, is as follows:

What all Members can expect from Officers	What all Officers can expect from Members
A commitment to the authority as a whole, not to an individual political group	Political leadership and direction
A working partnership	A working partnership
A timely response to enquiries and complaints	Compliance with ethical standards and probity requirements
Professional advice not influenced by political views or preference	Non-involvement in the day to day management
Respect, integrity, mutual support and appropriate confidentiality	Respect, dignity and integrity, but no special consideration

1.6 Both Member and Officers play an important role in the development of policy/strategy which can be summarised into four key areas:

- The development of the policy/strategy
- Delivery of the policy/strategy
- Monitoring of the policy/strategy
- Review of the policy/strategy linking to the revision of it (and back to the beginning of the cycle)



1.7 Within this model, 3 of the 4 activities are led by **Elected Members**: -

- a) Development;
- c) Monitoring
- d) Review

One of the four domains is identified as activity led by **Officers**

**b) Delivery**

1.8 It is accepted that Officers support Members in the provision of information, data and advice in relation to the 3 processes of **development; monitoring and review**, and that Officers keep Members briefed on any key issues in relation to the **delivery** of strategy and policy.

1.9 It is the Cabinet that lead on many areas of strategy/policy development, monitoring and review, but other Members across all parties have a significant role to play.

1.10 Overview and Scrutiny Committee Members play a key role in policy development and review. Equally, there is a clear role for ward Members in liaison with communities to raise awareness of strategy and policy, and to feed back from a grass-roots level on proposals for development or review.