



Standards
for England

Engaging with authorities

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May 2008 - date

- Engagements with 171 authorities
- Compliance issues
- Reactive basis
- Some success stories

A risk based model

- Entity Risk Model
- Risk to our **regulatory outcomes**
 - That there are high standards of conduct among members in local authorities
 - That there is an effective and proportionate standards framework in operation

Proposal

- Every authority has a relationship manager
- Every authority is allocated to one of three categories of engagement
 - Low level
 - Medium level (impact / risk)
 - High level

Low level engagement

- Majority of authorities
- Minimum contact
- Individual non-compliance issues followed up
- Easing the regulatory burden

Medium level engagement

About 100 authorities

- Impact
 - GLA, high profile authorities, Inner London boroughs and core cities group
- Risk
 1. Mayor and Cabinet model
 2. 4th option authorities
 3. Authorities with no complaints
 4. Authorities with a significant number of parish councils (60)
 5. Previous high level engagement
 6. At discretion of Director of Risk in consultation with Directors of Regulation and Standards

High level engagement

- About 10% of all authorities (40 – 50)
- Close and continuous engagement
- Possible use of powers

Criteria

- Score of 1 on Audit Commission Use of Resources KLOE 2.3
 - Authority subject of a Corporate Governance Inspection (within last 12 months)
 - Authority subject of an Audit Commission Public Interest Report relating to ethics / governance (within last 12 months)
- or**
- Standards committee not basic level compliant for more than one quarter
- or**
- Meet any three of specified criteria in a rolling 12 month period
- or**
- At discretion of Director of Risk in consultation with Directors of Regulation and Standards

Basic level compliant

KPI for 2010 – 2011

- Standards committee correctly constituted
- Independent members appointed in accordance with the legislation
- Hearings sub-committees are properly constituted
- Authorities submit returns to us by stated deadline
- Authorities submit hearing decision notices as required by legislation

Specified criteria

- One or more complaints not assessed within X days within rolling 12 month period
- One or more investigations not completed X months after referral (within rolling 12 month period)
- One or more reviews not completed within three months of receiving the review request (within rolling 12 month period)
- One or more review decisions that have resulted in no further action decisions being overturned (within rolling 12 month period)
- One or more decisions of the authority's standards committee has been overturned by the First-tier Tribunal (within rolling 12 month period)
- SfE has referred back one or more cases which the authority's standards committee has referred to SfE (within rolling 12 month period)

Consultation

- Full consultation with indication of their likely categorisation
- Timing of consultation
- Continued proof of concept testing
- Development of management information



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