## Part 8 Codes and Protocols

### 8.6 Protocol on Member/Officer Relations

This section provides general guidance for Members and Officers in their relations with one another. It reflects the basic principles underlying the respective rules of conduct that apply to Members and Officers. This protocol cannot cover every eventuality nor is it prescriptive. Its intention is to offer guidance on some of the issues that commonly arise.

Members and Officers are all public servants who depend on each other in carrying out their work. Members are responsible to the people of the Borough who they serve for as long as their term of office lasts, while Officers are responsible to the Council. Their job is to give impartial advice to the Elected Mayor, Cabinet and Council, as well as individual Members, and to carry out the Council's work. The responsibility forre decision making in relation to the Council's work is set out in Part 3 of the Constitution. The Council's Mayor and Cabinet therefore provide direction to the Council's Officers in relation to Executive responsibilities and the Full Council, its Committees and Sub Committees will similarly provide direction in relation to areas of work that are non-Executive responsibilities-

Mutual respect between Members and Officers is essential to good local government. Mutual respect and courtesy should prevail in all meetings and contacts (both formal and informal) between Members and Officers. _To be most effective Members and Officers will work closely and cohesively together. However, close personal familiarity between individual Members and Officers can damage this important relationship.

The relationship has to operate without any risk of compromising the ultimate responsibilities of Officers to the Council as a whole, and with due regard to such technical, financial, professional and legal advice that Officers can legitimately provide to Members.

The following broadly set out the respective roles of Members and Officers. A description of the role of the Elected Mayor is set out in the Protocol on Roles of the Elected Mayor and Chair of North Tyneside Council but the key roles are to be the political leader of the Council, the Council's principal public spokesperson and to give political direction to the Council.

1. Roles of Members

Members have many different roles:

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a) Members are the policy makers and carry out a number of strategic and corporate functions collectively approving the Council's policy framework, strategic plans and budget.
b) Developing and reviewing policy and strategy.
c) Monitoring and reviewing policy implementation and service quality.
d) Members express political values and support the policies of the political party or group to which they belong (if any).
e) Representing their communities and bringing their views into the Council's decision making processes, thus becoming advocates for their communities.
f) Dealing with individual case work and representing constituents in resolving concerns and grievances.
g) Balancing different interests in their ward and representing the ward as a whole.
h) Being involved in partnerships with other organisations as community leaders.
i) Representing the Council on other bodies and acting as ambassadors for the Borough of North Tyneside.
i) Members act in a quasi-judicial capacity when involved in regulatory committees such as licensing and planning.
k) Members may have roles relating to their position as members of Cabinetof Cabinet, Overview and Scrutiny Committees or other committees and sub committees of the Council.

1) Members of the Cabinet can have individual delegated powers, however implementation of their decisions is an officer responsibility.
m) Members serving on Overview and Scrutiny Committees monitor the effectiveness of the Council's policies and services, develop policy proposals and examine community issues. They also monitor local health service provision.

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## 2. Roles of Officers

2.1 _Officers' main roles are as follows:

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a) Providing advice to the Elected Mayor and Members to enable them
$\underline{\text { to fulfil their roles. }}$
a)b) Managing and providing services for which they are responsible.
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| b)ㄷ﹎ Being accountable for ensuring those services are efficient and effective.

## c)d) Advising the Elected Mayor, Cabinet, Council and individual Members in respect of those services.

d)e) Initiating proposals for policy development.
e) $\ddagger$ II Implementing Council policies.
f)g) Ensuring the Council acts lawfully.
g)h) Representing the Council on external organisations.

## 3. Respect and Courtesy

3.1 An essential ingredient to the Council's business being conducted effectively is ensuring mutual respect, trust, courtesy and even-handedness in all meetings and contacts between Officers and Members. This plays a very important part in the Council's reputation and how it is seen by the public.
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4. The Council's Reputation
4.1 Members and Officers both have an important role in engendering a good

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a) protect and promote the legitimacy of democratic local government;
b) promote a positive relationship between Members and Officers and be careful not to undermine it;
c) avoid criticism of the Council when formally representing it; and
d) avoid personal criticism of other Members and Officers.

## 5. Undue pressure

5.1 In any dealings between Members and Officers neither should try to take advantage of their position.
5.2| In their dealings with Officers, Members should be aware that it is easy for Officers to be overawed and feel at a disadvantage. This can be even more so where Members hold leading roles. However, it is also possible for Members, particularly newer, Members, to be overawed by Officers. Members and Officers must always be mutually respectful regardless of their role within the Council.
5.3| Members must not pressurise any Officer to do things s/he has no power to do, or to work outside of normal duties or hours.
5.4 Apart from decisions that are clearly illegal, Officers should usually carry out decisions of Cabinet and Council-decisions. However, instructions should never be given to Officers to act in a way that is unlawful as ultimately this could damage the Council's interests. Officers have a duty to express their reservations in this sort of situation, and the Monitoring Officer or Chief Finance Officer may get involved as they have a statutory duty to intervene where illegality or maladministration is possible. To assist Members in decision making they should be informed of all legal and financial considerations, and be warned of the consequences even if it is unpopular. If a Member has a concern that an Officer is not carrying out a particular Cabinet or Council decision, the Member concerned should draw this to the attention of the Chief Executive.
5.5|In similar terms, Officers should not use undue influence to pressure an individual Member to make a decision in his/her favour, nor raise personal matters to do with their job, or make claims or allegations about other Officers to Members.
5.6| The Council has procedures for consultation, grievance and discipline and there is a right to report actions of concern under the Council's Whistle Blowing Policy.
5.7| As mentioned above, the Council has adopted separate Codes of Conduct for + Members and Officers. One shared aim of the codes is to improve and maintain the Council's reputation and so they demand very high standards of conduct.
5.8_Under the Members' Code of Conduct Members must promote equality, treat • others with respect and not do anything that compromises the unbiased nature of those who work for the Council. In particular, Members should never act in a way which an independent observer might consider to be bullying, harassment or trying to get special treatment.

## 6. Personal and Business Relationships

6.1 Members and Officers must work together closely to effectively undertake the * Council's work. This inevitably leads to a degree of familiarity. However $r_{2}=$ close personal relationships between individual Members and Officers can be damaging to mutual respect.
6.2| It is important not to allow any personal or business connection or relationship with any other Members or Officer to affect the performance of official | responsibilities, taking action or making decisions. It is also important in these circumstances to be wary of passing confidential information to anyone who should not have access to it.
6.3| Members and Officers should always consider how any relationship or connection could be interpreted by anyone outside the Council, or by any other Member or Officer, and avoid creating any impression of unfairness or favouritism.
6.4| Members should take account of any relationship or connection they have with any other Member or Officer when considering whether or not they need to register or declare a personal interest.
6.5 It would usually be inappropriate for a Member to have special responsibilities * in an area of activity in which someone with whom s/he has a close personal or business relationship is a senior officer. If this situation arises, the Member should take appropriate action to avoid a potential conflict of interest.
7. Officers' Advice to the Elected Mayor and Members

Members are entitled to ask the Chief Executive, Strategic Directors or Heads of Service for such advice and information as they reasonably need to help them in discharging their role as a Member of the Council. This can range from general information about some aspect of the Council's activities, to a request for specific information on behalf of a constituent.
7.2 Similarly the Elected Mayor is entitled to receive such advice and support as s/he reasonably requires to enable them to fulfil their role as the political leader of the Council and the Council's principal public spokesperson.
7.3_It is important for the Chief Executive and Strategic Directors to keep Members informed both about the major issues affecting the Council and about issues affecting the areas s/he represents. Members shallshould be kept informed about proposals affecting their ward and be invited to Council initiated events within or affecting their ward. Although issues may affect a single ward, where they have a wider impact, a number of local members will need to be kept informed.
7.4| Advice or information sought by Members should be given in a timely manner. * It should be provided by the relevant service provided it is within the service's resources. Resources are finite and Members should act reasonably in the number and content of the requests they make. (see also Part 8.4 Protocol on Members Access to Information and Council Documents and the Public Access to Information Rules in the Constitution):
7.5 _Officers serve the whole Council and must be politically neutral in their work. In providing advice and support to the Council's Executive, i.e. the Mayor and Cabinet, and/or the Council, and when implementing the lawful decisions of Cabinet and Council, it must not be assumed that an Officer is supportive of a particular policy or view or is being other than politically neutral in implementing such decisions.. This-Political neutrality in carrying out their work ensures that Officers are able to act impartially in the best interests of the Council. Special legal rules exist which limit the political activities of senior Officers. All senior posts are 'politically restricted', which means that the Officers in those posts are not allowed to speak or write in such a way that could affect public support for a political party. However they can speak or write in a way which is necessary in order to perform their duties properly.

More information about this is set out below and a list of politically restricted posts is available though the Council's Chief Executive.-
7.6| If Members have any concerns that an Officer is not acting in a politically

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section, 14 'Interpretation, complaints and allegations of breaches' below 'Concerns about Ófficer conduct or performance). Allegations that an Officer has not acted in a politically neutral way are serious and could be damaging to his/her reputation.
7.7_Officers can advise on matters relating to Council business. However, the Officer may need to tell his or her manager about the discussions, if that is necessary to enable a matter to be properly dealt with.
7.8_Officers can usually give information confidentially unless doing so would not * be in the Council's best interests (for example, if it went against their obligation to protect the Council's legal or financial position). Any information a Member receives confidentially in one capacity (for example, as a Cabinet Member) cannot be used when acting in a different capacity (for example, when representing his/her ward). Confidential information can only be given to those entitled to see it. It is best to check with the Officer giving the information whether it is appropriate to pass it on to others.
7.9| Members should make sure that when they are getting help and advice from Officers they only ask for information to which they are properly entitled. There is more detail about the information to which Members are entitled below. Members' rights to inspect documents are contained partly in legislation and partly at common law and are described in the Protocol on Member Access to Information.
7.1申 If a Member asks for information or advice relating to the work of a particular * service, and it appears likely or possible that the issue could be raised or a question asked at a subsequent meeting on the basis of that information, the relevant Cabinet Member, or Chair of the Committee should be advised about the information provided.
7.11 Any Member can seek advice or assistance in confidence from Chief Executive, Strategic Directors and Heads of Service to address a ward issue.
7.12 Officers are required to serve the Council as a whole. They are responsible to the Chief Executive, Strategic Directors and Heads of Service, and not to individual Members of the Council whatever office they may hold.
8. Pólitically Restricted Posts
8. 1 There are a number of rule which apply to Officers who occupy politically restricted posts under the Local Government and Housing Act 1989. In summary such Officers are prevented from:
a) being a Member of Parliament, a Member of the European Parliament or a local authority member;
b) acting as an election agent or sub agent for a candidate for any of those bodies;
c) being an officer for a political party or branch, or a committee if that role is likely to involve participation in the management of the party or branch, or to act on its behalf in dealings with other persons;
d) canvassing on behalf of a political party or an election candidate;
e) speaking in public in support of a political party; and
f) publishing written or artistic works affecting support for a political party.
9. Member Briefings and PartyPolitical Group Briefings
9.1 General matters of Council policy, development, and performance as well as specific policy issues will usually be the subject of all party briefings.
9.2| There is statutory recognition of political groups. It is common practice for political groups to give preliminary consideration to matters of Council business before the matters are considered by the relevant decision making forum.
9.3 Senior Officers may be asked to attend political group meetings called to address Council business. All requests for briefings of political groups should be directed to the Chief Executive. If attendance is requested the Chief Executive's agreement must be obtained and he will determine the appropriate Officer to attend and all groups must be offered the same facilities if they so request.
9.4 Where officers do attend political group meetings Gćertain matters need to be * understood by Members and Officers about this process:
a) Officer support in these circumstances will be to provide information and advice and to answer questions about matters of Council business;
b) these meetings are not decision making meetings and conclusions reached at them are not Council decisions;
c) where Officers provide information and advice at these meetings this is not a substitute for providing all necessary information and advice to the decision making forum;

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# e)d) if the meeting includes non-Councillors, Officers may not be able to provide the information and advice they would to a meeting of Councillors to prevent disclosure of confidential information to nonCouncillors and 

d)e) Officers should not be asked for, or give advice or comments on political business, and should not expect to be present at meetings or parts of meetings when matters of political business are to be discussed.
9.5| The requirements as to declaring interests apply to political group meetings. The meeting should keep to the requirements of declaring personal and prejudicial interests, including the requirement to record any declared interests in the record of the meeting, and any person with a prejudicial interest should leave the meeting.
9.6 Officers should respect the confidentiality of any discussions at which they are present with Members in this context. They may however have to brief the Chief Executive on the nature of issues raised at the meeting.
9.7 It is accepted that a Member of one political group will not have a need to know and has no right to inspect a document, which is confidential to another political group.
9.8 When responding to questions at a political group meeting Officers will need to bear in mind the rules as to access to information, and where appropriate the need for Members to show that they have a 'need to know'.

- At any other meeting arranged by a political group or individual Member, Officers can only attend to provide information which is publicly available. Again whether an Officer can attend will be a decision for the Strategic Director or Head of Service in accordance with directions from the Chief Executive.
9.9 It is recognised that political groups may normally-have in attendance party representatives who are not elected Members of the Council. _At his discretion, the Chief Executive may permit an Officer to give a political group briefing when such representatives are likely to be present. _The Chief Executive's decision is final. In any event, if such representatives are present, they (1) must comply with the requirements relating to the declaration of any interests and take any necessary consequent action, (2) must not receive any documentation that contains confidential or exempt information, and (3) must not be present when any confidential or exempt information is considered. Members should be aware that where political group meetings are arranged to deal with non Council business, particularly matters of a purely party political nature, and which may be attended by non-Councillors, the Chief Executive may consider the meeting to be a political meeting and therefore provision of Council resources and attendance by Officers to be inappropriate.
9.10 It must not be assumed that an officer is supportive of a particular policy or view considered at a political group meeting simply because he/she has attended or provided information to the meeting.
9.11 Officers will respect the confidentiality of any political group discussions at which they are present and, unless requested to do so by that political group, will not relay the content of such discussions to another political group or to any other members. This shall not prevent an officer providing feedback to other senior officers on a need-to-know basis.
9.12 In their dealings with political groups, officers must treat each group in a fair and even-handed manner.
9.1 1 Officers should not attend nor be asked to attend political_group meetings at any pre-election period (the time between the election being announced and election day).
9.14 At any other meeting arranged by a political group or individual Member, Officers can only attend to provide information which is publicly available. Whether an Officer can attend will be a decision for the Strategic Director or Head of Service in accordance with directions from the Chief Executive. If an Officer who is invited to attend a public meeting is concerned that the meeting is or is becoming a political meeting the Officer will withdraw from the meeting as soon as reasonably practicable to ensure that the political neutrality of the Officer is seen to be maintained. No such meetings should be arranged or held during the pre-election period to Council elections.
9.15 It is acknowledged that some Council staff (e.g. those providing dedicated support to Executive members or the Mayor) may receive and handle messages for members on topics unrelated to the Council. Whilst these will often concern diary management, care should be taken to avoid Council resources being used for private or party political purposes.


## 10. Chief Executive

10.1 The Chief Executive's responsibility is to the Council as a whole and not to any political group.
10.2 The Chief Executive as Head of Paid Service is expected to work closely with the Elected Mayor and Cabinet. This is subject to maintaining his/her position as politically neutral.
10. 3 Everyone should respect the political neutrality of the Chief Executive. S/he should not be asked to play any role or undertake any task which is likely to prejudice that neutrality or make it difficult for him/her to continue to serve successive administrations of whatever political persuasion.
10.4 The Chief Executive is able to give advice on a confidential basis about procedural matters to any Member. All Members of the Council have access to the Chief Executive.
10.5 The following principles govern the relationship between the Chief Executive and political groups:
a) It is proper for the Chief Executive to develop a working relationship with all political groups on the Council.
b) The Chief Executive is free to provide information and answer procedural inquiries to Members of any partygroup. S/he will not advise as to the policies which any party group should pursue.
c) The Chief Executive will draw the attention of the Cabinet to any case where consideration should, in his opinion, be given to affording information, consultation, or representation to the opposition partiesgroups.
10. $\$$ When the Chief Executive attends a meeting of any political group, $\mathrm{s} / \mathrm{he}$ will ensure that the part he plays in the proceedings is consistent with his/her political neutrality.

## 11. Strategic Directors

11.1 The foregoing principles apply similarly to all Strategic Directors, who shall act under the general direction, and after seeking the advice of, the Chief Executive.
12. Correspondence

When a Member sends any letter, fax or e-mail to an Officer, if $\mathrm{s} / \mathrm{he}$ is also sending a copy to another person s/he should make this clear to the Officer. Similarly if an Officer sends information to a Member and copies that information to any other person, s/he should make that clear to the Member concerned.
12. . Communication between Members and Officers will normally be confidential, $_{\text {a }}$ and should not be disclosed to third parties unless there are overriding obligations to disclose it to protect the Council's interests.
12. . A Member may however disclose information to a constituent if the information deals with a ward matter which the constituent has raised, provided the information is not confidential and that disclosure will not harm the interests of the Council or another party. As a general rule personal information about a third party will be confidential. It is best to seek advice if there is any doubt as to whether information can be disclosed. Where information is provided to Members through the Members' Enquiry System, it is accepted that this will normally be made available to third parties. Where the Officer providing the information considers that the whole or any part of
the information should be treated as confidential then this will be indicated and Members will respect that position.
12.4 A summary of the issues raised by and enquiries made by Members, organisations and Members of the public may, from time to time, be given to the relevant cabinet Member.
12.\$ Other than in the case of information sent by Members in their capacity as ward councillors, official letters sent on behalf of the Council should normally be sent out in the name of the appropriate Officer rather than in the name of a Member. In certain exceptional circumstances (for example, when making representations to a Government Minister or writing to the leader of another local authority) it may be appropriate for a letter to be issued in the name of the Elected Mayor.
12. 6 Members should not send letters which appear to create obligations, accept or deny any liability, or give instructions on behalf of the Council. An Officer must always send any such letter.

13 Members' access to documents and information
13. Members may request senior officers to provide them with such information, explanation and advice as they may reasonably need to assist them to discharge their roles as members. Members should refer to the Public Access to Information Rules in the Council's Constitution and also the Protocol on Member Access to Information and Council Documents for further guidance on information to which they are entitled to enable them to fulfil their role.

14. A A member who is unhappy about the actions taken by, or conduct of, an officer
should endeavour wherever possible to:

- avoid personal attacks on, or abuse of, the -officerofficer, at all times.
- ensure that any criticism is well founded and constructive,
- avoidnever makinge a criticism in public, and
- take up the concern with the officer privately.
14.4 If direct discussion with the officer is inappropriate (e.g. because of the

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seriousness of the concern) or fails to resolve the matter, the member should raise the issue with the officer's manager or the relevant senior officer.
14. 5 A serious breach of this protocol by an officer may lead to an investigation under the Council's disciplinary procedure. There are special rules that apply to the Council's Chief Executive (Head of Paid Service), the Chief Finance Officer (Section 151 Officer) and the Monitoring Officer and these can be found in the 'Officer Employment Rules of Procedure' in the Constitution.
14. $\begin{gathered}\text { An officer who believes a member may have acted other than in accordance }\end{gathered}$ with this protocol should raise his/her concern with the Monitoring Officer. He /she will consider, in consultation with the Chief Executive, how the complaint or allegation should be dealt with. At a minor level, this may be no more than informally referring the matter to the leader of the relevant partypolitical group. More serious complaints may involve alleged breaches of the members' code of conduct, and may be referred to the Standards Board for England.

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