



## **AUDIT COMMITTEE – 26 JANUARY 2021**

**SUBJECT: REGISTER OF EMPLOYEES' INTERESTS FORMS 2019/20**

**REPORT BY: HEAD OF PEOPLE SERVICES**

### **1. PURPOSE OF REPORT**

- 1.1 The purpose of the report is to provide the Audit Committee with information regarding the Register of Employees' Interests Forms completed by officers of the Council (excluding Schools) for the 12 month period 1 April 2019 to 31 March 2020 and provide a comparison with the same information for the previous 2 financial years.

### **2. SUMMARY**

- 2.1 Enclosed in the Appendices are summaries of the declarations completed by officers of the Council (excluding Schools) by Directorate, Service Area, Type and Relationship for the 12 month period 1 April 2019 to 31 March 2020.

### **3. RECOMMENDATIONS**

- 3.1 The Audit Committee are asked to note the contents of this report.

### **4. REASONS FOR THE RECOMMENDATIONS**

- 4.1 The recommendations are designed to ensure members of the Audit Committee have an oversight of the position in relation to officers' Register of Employees' Interests Forms.

### **5. THE REPORT**

- 5.1 The Council's Code of Conduct for Employees sets out guidance for employees on a range of issues, including the completion of a Register of Employee Interests form, which help maintain and improve the high standards of conduct within Local Government and protect employees from misunderstandings and confusion.
- 5.2 Completed Register of Employees' Interests forms are submitted to Heads of Service, Directors or the Chief Executive who countersign the forms to show they are aware of the declaration. The form also records details of any controls / action taken to protect

the Council's interests in the circumstances outlined on the form. A copy of the countersigned form is given to the employee and a copy sent to Human Resources for filing on the employee's personal file.

- 5.3 The Head of Service, Director or Chief Executive retains the original form and maintains a summary spreadsheet to record the forms. On a monthly basis the summary spreadsheet or a nil return is submitted to Human Resources for collation and monitoring for consistency and compliance.
- 5.4 In 2019/20 declarations were made by 103 employees and 1 agency worker compared to 2018/19 declarations by 80 employees and 2 agency workers, in 2017/18 declarations were made by 94 employees and 1 agency worker. Where multiple declarations have been made on one form they have been recorded individually.
- 5.5 Appendix 1 summarises the Declarations of Interest by Directorate and Service Area for the period 1 April 2019 to 31 March 2020 and a comparison with the previous 2 financial years. The declarations for the previous years have been adjusted to reflect the current Directorate structures.
- 5.6 A total of 152 declarations of interest were made in 2019/20 compared to 93 in 2018/19 and 122 in 2017/2018. A percentage breakdown of Declarations of Interest by Type is shown below:

Type of Declaration	% of Declarations		
	2017/18	2018/19	2019/20
Relationship	63	29	49
Outside Interest	28	33	31
Gifts and Hospitality	9	38	20

- 5.7 Appendix 2 shows the detail of the Declarations of Interest by Type shown above divided into the 3 sections of the Register of Employees' Interest Form for the period 1 April 2019 to 31 March 2020 and a comparison with the previous 2 financial years.
- 5.8 Percentages for declarations of Outside Interests have decreased slightly to 31% and include school governor posts, external employment and volunteering.
- 5.9 The Audit Committee will be aware that Gifts and Hospitality is the subject of a separate, quarterly report to the Committee.
- 5.10 The information contained in the Appendices confirms that Relationships account for the highest number of declarations. The percentage breakdown by Relationship is shown below:

Type of Relationship	% of Declarations		
	2017/18	2018/19	2019/20
Councillor	2	4	1
Contractor	12	4	4
Employee	69	85	75
Other	17	7	20

- 5.11 Appendix 3 shows the detail of the Declarations of Interest by Relationship for the period 1 April 2019 to 31 March 2020 and a comparison with the previous 2 financial years.

- 5.12 New declarations for Relationships with Councillors have decreased to 1% for 2019/20.
- 5.13 Declarations of Relationships with Contractors are unchanged at 4% in 2019/20 and 2018/19 and 12% in 2017/18.
- 5.14 Relationships between Employees produced the highest number of declarations and accounts for 75% of the declarations made in respect of Relationships. The Code of Conduct requires that all family relationships are disclosed.
- 5.15 As the Audit Committee will be aware, a poster campaign to raise awareness and remind employees of their responsibilities under the Code of Conduct took place in January 2017.

#### 5.16 **Conclusion**

The Head of People Services will continue to monitor the declarations submitted and work with Heads of Service to improve their understanding, promote best practice and corporate compliance of the Code of Conduct where appropriate.

### 6. **ASSUMPTIONS**

- 6.1 There are no assumptions made within this report.

### 7. **LINKS TO RELEVANT COUNCIL POLICIES**

- 7.1 The Council's Code of Conduct for Employees confirms that in performing their duties, employees must act with integrity, honesty, impartiality and objectivity and that they must act in accordance with the principles set out in this Code, recognising the duty of all public sector employees to discharge public functions reasonably and according to the law. This is a Statutory Code requirement.

#### 7.2 **Corporate Plan 2018-2023**

Whilst this report does not specifically contribute towards the Corporate Well-being Objectives, it does support good governance which is the foundation of the Council's performance management framework.

### 8. **WELL-BEING OF FUTURE GENERATIONS**

- 8.1 Having considered the five ways of working, they will not be affected by the contents of this report.

### 9. **EQUALITIES IMPLICATIONS**

- 9.1 There are no equalities implications, as the reason for declaring an interest applies equally to all staff, regardless of their individual characteristics.

## **10. FINANCIAL IMPLICATIONS**

10.1 None.

## **11. PERSONNEL IMPLICATIONS**

11.1 The personnel implications are included in this report.

## **12. CONSULTATIONS**

12.1 There are no consultation responses that have not been included in the report.

## **13. STATUTORY POWER**

13.1 Local Government Act 2000.

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### Appendices:

Appendix 1 Declarations by Directorate and Service Area  
Appendix 2 Declarations by Type  
Appendix 3 Declarations by Relationship

## Appendix 1

### Declarations by Directorate and Service Area 2017/18, 2018/19 and 2019/20

<b>Directorate</b>	<b>2017/18</b>	<b>2018/19</b>	<b>2019/20</b>
Chief Executive	0	0	4
Communities	32	28	9
Education and Corporate Services	63	21	61
Social Services and Housing	27	44	78
<b>Total</b>	<b>122</b>	<b>93</b>	<b>152</b>

<b>Directorate / Service Area</b>	<b>2017/18</b>	<b>2018/19</b>	<b>2019/20</b>
<b>Chief Executive</b>	<b>0</b>	<b>0</b>	<b>4</b>
<b>Communities</b>	<b>32</b>	<b>28</b>	<b>9</b>
Director (Interim)	0	0	1
Infrastructure	3	9	5
Property Services	2	4	0
Public Protection, Community and Leisure Services	17	7	3
Regeneration and Planning	10	8	0
<b>Education and Corporate Services</b>	<b>63</b>	<b>21</b>	<b>61</b>
Director	0	0	4
Business Improvement	4	1	32
Corporate Finance	13	1	0
Customer and Digital Services	36	12	3
Education Planning and Strategy	0	4	7
Learning Education and Inclusion	2	0	11
Legal and Governance	6	3	3
People Services	2	0	1
<b>Social Services and Housing</b>	<b>27</b>	<b>44</b>	<b>78</b>
Adult Services	4	31	19
Childrens Services	3	0	14
Caerphilly Homes	20	13	45
<b>Overall Total</b>	<b>122</b>	<b>93</b>	<b>152</b>

**NB** The declarations for the previous years have been adjusted to reflect the current Directorate structures.

**Appendix 2**  
**Declarations by Type 2017/2018, 2018/19 and 2019/2020**

<i>Type of Declaration</i>	<i>2017/18</i>	<i>2018/19</i>	<i>2019/20</i>
<b>Relationships</b>	<b>77</b>	<b>27</b>	<b>75</b>
Councillor	2	1	1
Contractor	9	1	3
Employee	53	23	56
Other	13	2	15
<b>Outside Interest - Financial</b>	<b>22</b>	<b>18</b>	<b>27</b>
Business Relationship	0	0	1
Outside Employment	22	18	23
Personal Interest	0	0	3
<b>Outside Interest - Non Financial</b>	<b>12</b>	<b>13</b>	<b>20</b>
Business Relationship	0	0	1
Membership of an External Body	5	3	8
Personal Interest	5	9	8
Volunteering	2	1	3
<b>Gifts and Hospitality</b>	<b>11</b>	<b>35</b>	<b>30</b>
Gift	8	31	18
Hospitality	3	4	12

**Appendix 3**  
**Declarations by Relationship 2017/2018, 2018/19 and 2019/2020**

	<b>2017/18</b>	<b>2018/19</b>	<b>2019/20</b>
<b>Relationship - Councillor</b>	<b>2</b>	<b>1</b>	<b>1</b>
Child / Step Child	0	1	0
Cousin including in-Law	0	0	1
Grandparent including Great / in-Law / Step / Civil / Ex	1	0	0
Husband / Wife including Partner / Civil Partner / Ex	1	0	0
<b>Relationship - Contractor</b>	<b>9</b>	<b>1</b>	<b>3</b>
Brother / Sister	2	0	0
Brother / Sister in-Law	1	0	0
Child / Step Child	0	1	0
Cousin including in-Law	1	0	0
Friend / Acquaintance	1	0	2
Husband / Wife including Partner / Civil Partner / Ex	3	0	1
Parent / Step	1	0	0
<b>Relationship - Employee</b>	<b>53</b>	<b>23</b>	<b>56</b>
Aunt / Uncle including in-Law / Step / Civil / Ex	3	2	6
Brother / Sister	6	5	8
Brother / Sister in-Law	3	0	1
Child / Step Child	11	4	7
Cousin including in-Law	2	1	9
Fiancé / Fiancée including Girl / Boy Friend / in-Law / Ex	2	0	0
Husband / Wife including Partner / Civil Partner / Ex	13	3	6
Niece / Nephew including in-Law / Great / Step	0	1	1
Parent / Step	10	4	11
Parents-in-Law including Civil / Partner / Ex	0	2	3
Son / Daughter in-Law	3	1	4
<b>Relationship - Other</b>	<b>13</b>	<b>2</b>	<b>15</b>
Aunt / Uncle including in-law / Step / Civil / Ex	1	0	1
Brother / Sister	0	0	2
Child / Step Child	0	0	2
Cousin including in-Law	1	0	0
Friend / Acquaintance	1	1	1
Godparent / Godchild	1	0	0
Grandparent including Great / in-Law / Step / Civil / Ex	1	0	2
Husband / Wife including Partner / Civil Partner / Ex	4	1	0
Niece / Nephew including in-Law / Great / Step	0	0	1
Parent / Step	2	0	3
Parents-in-Law including Civil / Partner / Ex	2	0	3