



PRESS RECOGNITION PANEL BOARD MEETING

27th meeting of the Press Recognition Panel
09:00, Thursday 26 January 2017
Mappin House, 4 Winsley Street, London W1W 8HF

AGENDA

Indicative timings

Public session

- | | | | |
|----|---|--------|---------------|
| 1. | Welcome | Chair | 09:00 |
| 2. | Apologies for absence | Chair | 09:00 |
| 3. | Declarations of interest | Chair | 09:00 |
| 4. | Minutes of the meeting held on 20 Dec 16,
outstanding actions and matters arising
<i>For noting</i> | Chair | 09:00 – 09:05 |
| 5. | Chief Executive’s Report – January 2017
Paper PRP01(17)
<i>For noting</i> | SU | 09:05 – 09:10 |
| 6. | Finance report – December 2016
Paper PRP02(17)
<i>For noting</i> | SU/JS2 | 09:10 - 09:15 |
| 7. | Governance Policies Review – Part 1
Paper PRP03(17)
<i>For decision</i> | CR | 09.15 – 09:30 |
| 8. | Proposed Process for Variations
Submitted by Approved Regulators
Paper PRP04(17)
<i>For decision</i> | CR/SE | 09:30 – 09:45 |
| 9. | Any other business and close of public session
<i>Including comments from the floor</i> | Chair | |

Confidential session

- | | | | |
|-----|--|----|---------------|
| 10. | Chief Executive’s Report – January 2017
Paper PRP01(17)
<i>For noting</i> | SU | 09:50 – 09:55 |
|-----|--|----|---------------|

11. Quarterly Risk Register Review SU 09:55 – 10:10
Paper PRP05(17)
For discussion

12. Any other business and close of confidential session

Date and time of next meeting: Tuesday 28 February 2017, at Mappin House, 4 Winsley Street, London W1W 8HF, starting at 09:00.



PRESS RECOGNITION PANEL

**Minutes of the 26th meeting of the Press Recognition Panel Board
held on 20 December 2016 at Mappin House, 4 Winsley Street, London W1W 8HF**

Present: Dr David Wolfe QC (Chair), Tim Suter, Carolyn Regan, Harry Rich, Emma Gilpin-Jacobs and Harry Cayton.

In attendance: Susie Uppal (Chief Executive), Paul Nezandonyi (Head of Communications and Stakeholder Management), Saima Ansari (Executive Administration Manager), Adam Gibbs and John Speed (JS2 Ltd), Caroline Roberts (Head of Regulatory Affairs) (Agenda Items 7 to 11) and Simon Edwards (Regulatory Affairs Manager) (Agenda Items 9 to 10)

BOARD MEETING – PUBLIC SESSION

Welcome

1. The Chair **welcomed** Members and attendees to the twenty sixth meeting of the Press Recognition Panel Board.
2. The Chair also **welcomed** James Connal (Capital PR) as the member of the public who was in attendance and content to be named as having been present.

Declaration of members' interests

3. Emma Gilpin-Jacobs has taken up a full-time role with effect from 12 December as Senior Director with The Pew Trusts, a non-partisan organisation. Emma confirmed that there was no conflict of interest.

Minutes of the meeting held on 24 November 2016, outstanding actions and matters arising

4. The minutes of the meeting held on 24 November had been circulated

earlier to the Board and these were recorded as correct. The Chair would sign a copy for the records.

5. The log of outstanding Board actions was **noted** and **agreed**.
6. The Board **noted** that there were no other matters arising that were not covered elsewhere on the Agenda.

Chief Executive's Report – December 2016 – Paper PRP59(16)

7. The Board received a paper which provided an update on Executive activity since the last Board meeting on 24 November.
8. The Chief Executive updated the Board on matters since her report was drafted:
 - the Independent Member for the Nominations Committee was confirmed as Mike Stevens following satisfactory due diligence and reference checks. The Selection Panel said that Mike was a very competent individual that brought complementary skills to the organisation. The Chair will be meeting Mike in the new year.
 - RPC had informed the Chief Executive that Judicial Review proceedings would be issued in January 2017. A letter had been received from Bindmans acting on behalf on IMPRESS who are an interested party in the proceedings.
 - The meeting with the Secretary of State on 19 December had taken place with the Chair, Harry Cayton and the Chief Executive. The Chair had also met Lord Fairfax earlier on 20 December and notes of both meetings will be published on our website.
 - A correction was provided in relation to para 15 of Annex A where IPSO is incorrectly stated as having launched a public consultation on possible changes to the Editors' Code. The Editors' Code of Practice Committee announced the public consultation on 1 December 2016.
9. The Board **noted** with thanks the contents of the Chief Executive's report.

Finance Report November 2016 – Paper PRP60(16)

10. The Board received a paper which provided an update on the financial position as at 30 November.
11. The following points were raised in discussion:
 - The Board **noted** the latest financial position as at 30 November. The Board **noted** that Judicial Review proceedings could have an impact on the forecast for staff resource and legal costs depending on

whether external support is required.

- The Board also **noted** that under 11.7 of the Charter, if the Board considered that its income was insufficient to deal with litigation it could request further funds from the Exchequer. At present, adequate funds are available so there is no requirement to request additional funds.
- Resources continue to be closely monitored in line with the work that needs to be done, with costs managed tightly as always.

Plans for Annual Governance Framework Review – Paper PRP61(16)

12. The Board considered the proposed arrangements for the review of the PRP's governance framework and **agreed** the recommended timeframe for review.
13. The Board have been operating in a clear and transparent manner since its formation. The Board reviewed Annex A and the Board's approach to openness and transparency in Board meetings. The Board Rules of Procedure allow that the public may be excluded from part of a meeting that the Chair or Board decides should be held in confidence "*given the nature of the subject matter, such as where the discussion relates to the personal affairs of an individual or to matters which would attract legal professional privilege, or, exceptionally, where the Board decides that its evaluation of the issues involved could be prejudiced by being held in public.*"
14. The Board considered the types of matters that were usually considered in the confidential session of the Board and concluded that the Board Rules of Procedure did not require clarification. The potential consequences of holding meetings in public such as longer discussions or a possible increase in drafting (to explain options in more detail) should not be factors for determining whether a Board discussion should take place in a confidential session. The Board confirmed that the Board meeting is a meeting held in public but is not a public meeting that involves public participation. There should therefore be no need to change the way issues are discussed or explained in papers.
15. The Board agreed that the 'exceptionality' test to be applied to withholding the discussion from the public session should be rigorously tested to ensure that it did not become routine.
16. A key example of an issue that would be considered in the confidential session would be when the Board were discussing early drafts of a document that would be published in due course. The Board **agreed** that the decisions made in the confidential session should be reviewed post

meeting to decide whether they should be made public in the minutes of the meeting. The Board also welcomed the current practice of publishing minutes earlier.

Post Meeting Note: The decisions made in the Confidential Session at Paragraphs 29, 30 and 34 will be published as part of the Minutes on the website.

Any other business and close of public session

17. James Connal questioned whether the Board felt that they might have had a better discussion if the IMPRESS decision meeting had taken place in private and whether the Board would have reacted differently without the public attention.
18. The Chair commented that they had grown as a Board and felt confident to voice concerns and raise relevant matters and therefore holding the meeting in public was not an issue. The Chair thanked James Connal for his contribution.

BOARD MEETING – CONFIDENTIAL SESSION

[REDACTED]

Date and time of next meeting

The next scheduled meeting of the Board will take place at 09:00 on Thursday 26 January 2017 at Mappin House, 4 Winsley Street, London W1W 8HF.

Drafted: Saima Ansari

Executive Administration Manager

Signed: Dr David Wolfe QC
Chair

Dated: January 17

PRESS RECOGNITION PANEL

Log of outstanding Board actions as at 18 January 2017

Actions completed or addressed by Papers from subsequent meetings have been removed from the log

Highlighted sections are actions from the confidential session

Actions outstanding from the meeting held on 24 November 2016	
Paper PRP55(16) Update of the ARC meeting held on 24 October	
1.	<p>[REDACTED]</p> <ul style="list-style-type: none"> <i>Action to be closed as complete</i>
Paper PRP56(16) Government’s consultation on Press Regulation	
2.	<p>A note would be prepared and sent to Select Committees (and made available on the website) prior to our attendance.</p> <ul style="list-style-type: none"> <i>It was decided that such a note was not in fact required and the Board was notified of this.</i> <i>Action to be closed as complete</i>
3.	<p>The PRP’s consultation response would be discussed further at the December Board meeting.</p> <ul style="list-style-type: none"> <i>Paper PRP62(16) refers.</i> <i>Action to be closed as complete</i>
Paper PRP58(16) Board Effectiveness Evaluation	
4.	<p>The Board asked the Executive to prepare a paper clarifying the criteria for determining what is considered in the public and confidential sessions.</p> <ul style="list-style-type: none"> <i>Paper PRP(61)16 refers</i> <i>Action to be closed as complete</i>
Actions outstanding from the meeting held on 25 October 2016	

Paper PRP46(16) Draft annual report on the success / failure of the recognition system

5. Counsel's advice to be sought, where necessary, on clarifying who does and does not fall within the focus of the Charter and 2013 Act plus any other points requiring clarification. Such advice to be placed in the public domain at the appropriate stage.
- *Progressing: This action was initially raised during discussion on Paper PRP16(16) State of Recognition Report update 28 April 2016. Conference with Counsel has now taken place as a result FAQs will be updated shortly. The advice confirmed the correctness of what we had said in summary on the point in the SORR.*
 - *Action to be closed.*

Actions outstanding from the meeting held on 28 June 2016

Paper PRP34(16) Draft plans for annual Board evaluation 2016

6.
 - *Dates for Board Members appraisals to be agreed.*

Actions outstanding from the meeting held on 18 November 2015

Paper PRP65(15) – Review of Board Members' remuneration

7. A further review of remuneration rates to take place in autumn 2016, on the basis that at that point, the Board will have made decisions about the PRP's work plan and future resourcing requirements which will determine the workload and frequency to Board meetings to the end of 2017.
- *This item has been deferred for consideration until March 2017.*
 - *Action to be closed as recorded on the Forward Plan.*



PRESS RECOGNITION PANEL BOARD

CHIEF EXECUTIVE'S REPORT – JANUARY 2017

Meeting: 26 January 2017

Status: for noting

Lead responsibility: Susie Uppal,
Chief Executive

Contact details: 07790034348 or
020 3443 7072

Purpose

1. The purpose of this paper is to provide an update to the Board on Executive activity since the last Board meeting on 20 December 2016.
2. The Board is invited to **note** the contents of the Chief Executive's report.

Executive Summary

3. The Board is being updated in respect of organisational matters that have progressed since the 20 December 2016 Board meeting.

Background and analysis

Delivery highlights / business plan update / key projects update

IMPRESS

Maintaining awareness

4. We are maintaining an awareness to ensure IMPRESS continues to meet the recognition criteria. As part of this process, we will be meeting with IMPRESS and our first meeting is scheduled for 18 January 2017. An update will be provided at the Board meeting.

PRP01(17)

Judicial Review

5. On 12 January 2017, we received notice of an application from solicitors acting for the News Media Association (NMA) for Judicial Review of the Board's October 2016 decision to recognise IMPRESS as a regulator. NMA have made a request for an expedited hearing. IMPRESS has been confirmed as an interested party in the application.
6. In line with the Board's December 2016 decision that I should act as the PRP's solicitor for the time being, I have written back to the solicitors for the NMA accordingly and instructed Ben Jaffey of Blackstone Chambers to act on our behalf.

Consultations

The Government's consultation on press regulation

7. On 6 January 2017, we submitted our response to the Government's consultation on the Leveson Inquiry and its implementation. We have published our submission on our website, and sent a copy of the response with our annual report on the recognition system to everyone on our database. Since our work, role and remit relate only to the section 40 element of the consultation, we restricted our response to that area. Our response stated that commencement of section 40 would complete a system that will:
 - Protect ordinary people, not just the rich;
 - Protect the press from the chilling effect of large legal costs; and
 - Remove political influence on press regulation.

Stakeholder engagement

Stakeholder meetings

8. On 1 December 2016, the Chair, Tim Suter and I met with Lord Best. A note of the meeting has been published on our website and is available at Annex A.
9. Following the publication of our response to the Government's consultation on press regulation, the Chair met with Lord Attlee on 11 January 2017 and we have arranged a meeting with Lord Blunkett for 1 February 2017. An agreed note of both meetings will be published on our website.
10. On 6 December 2016, the Chair gave evidence to the Lords Communications Committee; he was accompanied by Tim Suter. A transcript of the session has been circulated to the Board and is also available on the PRP's website.
11. The Chair received a request for a meeting from Lord Fairfax. They met on 20 December 2016 and a note of the meeting has been published on our website, and is included at Annex B.

PRP01(17)

12. I met with Natalie Davis, Head of Policy from the Department of Culture, Media and Sport on 17 January 2016 to ensure that there was a full understanding of the points made at the meeting with the Secretary of State for Culture, Media and Sport on 19 December 2016. Natalie Davis confirmed that no decision would be taken on s40 until the outcome of the Judicial Review (R oao Hames and others) was known.

Research update

13. **Annex C** includes an update on key external matters relevant to our work.

Corporate services update

Premises

14. The tenancy agreement for current office runs from 3 November 2016 to 30 April 2017. I am giving consideration to premise requirements given the intention to move to the new “fixed” and “variable” organisation design post April.

IT

15. I will be meeting with Robert Walton, Managing Director Comis, on 1 February 2017 to review our IT services and to also discuss the increasing issues that we are experiencing with some of the laptops, some of which are now over two years old.

Implications

16. The implications of decisions taken by the Board as set out in this paper are as follows:
 - Budget – any budget considerations are referenced in individual Board papers. There are no specific implications in addition to the issues referenced;
 - Legislation – no specific implications;
 - Resources – any resourcing considerations are referenced in individual Board papers. There are no specific implications other than these;
 - Equality, Diversity and Inclusion – no specific implications.

Devolved Nations

17. There are no implications/differences in relation to the areas of work covered in this paper and the devolved nations.

Communications

18. Communications issues are dealt with at paragraphs 7 to 12 of the Paper. There are no other issues to report which have communications implications, so far as I am aware.

Risks

19. There are a range of risks involved in the areas of work covered in this Paper.

Recommendations

20. The Board is asked to **note** the contents of the Chief Executive's report.

Attachments

Annex A – Note of the meeting of the PRP with Lord Best on 1 December 2016 at the House of Lords

Annex B – Note of the meeting of the PRP with Lord Fairfax on 20 December 2016 at 1 Finsbury Square

Annex C - Update on key external matters

PRESS RECOGNITION PANEL

Note of the meeting of the PRP with Lord Best on 1 December 2016 at the House of Lords

David Wolfe, Chair of the Press Recognition Panel (PRP), was invited to meet with Lord Best who chairs the House of Lords Communications Committee. The note below covers the information that was provided to attendees.

Attendees

Lord Best (LB), Chair of the Communications Committee
Theodore Pembroke, Clerk to the Communications Committee

Attendees from the PRP

David Wolfe (DW), Chair of the PRP
Tim Suter, PRP Board member
Susie Uppal (SU), PRP Chief Executive

Discussion

1. LB noted that a debate on press regulation would take place in the House of Lords on 20 December 2016.
2. In terms of the Committee's meetings, Sir Alan Moses (IPSO), Lynne Anderson (NMA), David Wolfe (PRP) and Hacked Off would be appearing on 6 December 2016. Jonathan Heawood (IMPRESS) and Karen Bradley (Secretary of State for Culture, Media and Sport) would be appearing on 13 December 2016.
3. LB confirmed that the Committee would be sending out some questions when they had been firmed up. Probably later that day or the next.
4. LB noted that the Government's consultation on press regulation ran until 10 January 2017.
5. DW confirmed that the PRP would probably be putting in a response to the part of the consultation relating to section 40. The PRP had, in its annual report on the recognition system, explained how the recognition system worked and what mechanisms needed to be put in place for the system to be successful. The Charter sat alongside the provisions in the Crime and Courts Act 2013 that were key to the new system working. Section 40 had not yet been commenced so it could not be said that the recognition system was yet in place. SU explained that section 40 was an important part of the recognition system; it was very finely balanced in that it introduced both incentives and disincentives for relevant publishers.

PRP01(17)

6. DW confirmed that we had not identified any flaws in the Charter in relation to the recognition system. Others had stated concerns about Article 10 of the EHRC, but we had not been able to find any evidence which justified those concerns, particularly in relation to section 40. The PRP was wholly independent and no one had the ability to influence the decisions it took. The Criteria had not been challenged.
DW confirmed that the only matter that had not played out in the way the Charter anticipated was that the successor to the Press Complaints Commission would be contributing to the funding of the recognition system. The PRP was guaranteed three years' funding from the Exchequer. The PRP was not seeking funds, just explaining the situation. If there were to be more funds, then they would need to be in place on a secure, long term and guaranteed basis to avoid any suggestion that funding would provide a mechanism for others to influence how the PRP assessed regulators.
7. DW confirmed that the PRP had not assessed IPSO, but by their own analysis their Board and governance structure and arbitration scheme did not comply with the Charter criteria. SU added that the criteria that the PRP applied were interconnected so it was likely that, on assessment, an organisation would be likely to fail on several criteria and not just one or two.
8. It was noted that some claimed that mandatory arbitration would be too expensive for local publishers. DW noted that the Charter required recognised regulators to operate a front-end filter (to filter out vexatious and frivolous claims) and a safety valve in that those publishers could be exempted from having to be part of a mandatory scheme if it appeared to the PRP that it would cause serious financial harm. In addition, the regulator could charge a small admin fee. SU added that it was important to note that in the current position, a genuinely small local publisher would run out of funds fast if they were sued by a wealthy litigant. For them, section 40 acted as a considerable incentive as they would be protected on costs. Section 40 acted as an incentive and a disincentive; it was finely balanced.
9. DW confirmed that we had not assessed IMPRESS against its draft new code. The PRP had an ongoing function to ensure that recognised regulators continued to meet the criteria, so should IMPRESS decide to adopt a new code, an assessment would be carried out at that time.

PRESS RECOGNITION PANEL

**Note of the meeting of the PRP with Lord Fairfax on 20 December 2016
at 1 Finsbury Square**

David Wolfe, Chair of the Press Recognition Panel (PRP), was invited to meet with Lord Fairfax. The note below covers the conversation that took place.

Attendees

Lord Fairfax (LF)
David Wolfe (DW), Chair of the PRP

Discussion

DW explained to LF (and answered his questions in relation to) the operation of aspects of the Royal Charter and the Crime and Courts Act 2013, including:

- Section 40 of the Act;
- The definition of 'relevant publisher' in the Act;
- The requirements and mechanisms relating to arbitration;
- The protections within the Charter relating to the potential impact of arbitration on local and regional publishers;
- The requirements around independence and funding;
- Processes and activities undertaken by the PRP; and
- The recognition system, including the 29 Charter criteria.

Update on key external matters

1. The update on key external matters is a research-informed piece based on a sample of information available in the public domain.

Commercial Landscape

2. Press Gazette reported that 46 local and regional newspapers have closed since the beginning of 2015. This compares with the launch of 29 newspapers, making a net loss of 17. Since 2005, this makes a net loss of 198 local newspapers. In addition, the total number of journalists working on local newspapers is believed to have at least halved since 2005 (as has the industry's revenue). Many daily titles have gone to weekly publication, and many weekly titles no longer have dedicated editorial teams, opting instead to share resources across a group.
3. The Guardian reported that Google and Facebook will take more than 70% of all money spent on display advertising online in the UK by 2020. The two companies already account for about three-quarters of the £18.4bn display ad market in the US, and 53% of the £4bn currently spent in the UK. The Guardian stated that this growing dominance has put pressure on publishers such as newspapers, most of which have found it difficult to make money from large online audiences as print sales and advertising have fallen rapidly.
4. The NMA released a report which it said showed that the national and local news media industry contributed £5.3 billion to the UK economy in 2015.

Academic and research

Political

5. The Government's consultation on press regulation closed on 10 January 2017. Several individuals, campaign groups, representative bodies and publishers submitted responses. Following the close of the consultation, the Secretary of State for Culture, Media and Sport issued a statement:

"The consultation 'The Leveson Inquiry and its implementation' closed on 10 January after running for ten weeks. We know there is a significant level of interest in the consultation and we are grateful for all the responses submitted. The total number of individual responses to the consultation received is estimated to be over 140,000 and a petition estimated to have over 130,000 signatures has also been received."
6. On 12 January 2017, Culture Secretary Fiona Hyslop confirmed that the Scottish Government had no plans to introduce statutory measures – equivalent to section 40 of the Crime and Courts Act 2013 – to incentivise members of the press in Scotland to sign up to an approved regulator.

Campaigns

7. The NMA led a campaign opposing the commencement of section 40. The NMA released the results of a YouGov poll which it said showed that one per cent of respondents thought press regulation should be among the top four priorities for the Government. Forty-nine per cent said a press regulator should be funded by the industry while four per cent of respondents said that a regulator should be funded by a wealthy individual or trust. The NMA said that the poll also found that more than 68% of people believe that news on social media platforms like Facebook should be subject at least to the same level of regulation as newspapers or even tighter regulation.
8. Hacked Off ran a campaign calling on the government to commence section 40. As reported in Huffington Post, Hacked Off released the results of a YouGov poll that it said showed 57% of people want tougher regulation of the press, while 17% are happy with the status quo. Sixty-one per cent of those who expressed a preference, supported a law requiring newspapers to join an independent regulator; twenty-seven per cent preferred some kind of penalty/benefits incentives system.

Legal and regulatory

9. A new guide to the Editors' Code of Practice was published last month.
10. Former Crimewatch presenter Jacqui Hames, online news publisher Byline Media, and an anonymous phone-hacking victim have jointly filed the claim against the lawfulness of the Government's consultation on the Leveson Inquiry and its implementation.



PRESS RECOGNITION PANEL BOARD

FINANCE REPORT – DECEMBER 2016

Meeting: 26 January 2017

Status: for noting

Lead responsibility: Susie Uppal, Chief Executive

Contact details: Susie Uppal, Adam Gibbs (JS2)

Purpose

1. The purpose of this paper is to update the Board on the finance and banking position as at 31 December 2016.
2. The Board is invited to **note** the latest financial position.

Background and analysis

Finance

3. At the meetings held on 5 and 18 December 2014, the Board noted that finance reports would be added to the agenda for each Board meeting.
4. A bank-reconciled set of management accounts as at 31 December 2016 is attached at Annex A.
5. A reforecast of the results to 31 March 2017 was circulated to the Board for the November 2016 Board meeting. Actual results are compared to the reforecast rather than the approved budget.
6. The deficit for the period ended 31 December 2016 is £526,800 against the November 2016 forecast of £529,104. This represents a positive variance of £2,304 on forecast to the year to date and a positive variance of £51,712 on the original budget for the year to date. There were no significant variations between the forecast and actual result.
7. The Board will have noted that an application for Judicial Review has now been made. This will have an impact on the forecast for HR and legal costs. The Board will be kept notified of changes.
8. JS2 Ltd will be in attendance at the meeting to answer any detailed questions about the format that Board Members may have.

PRP02(17)

9. The Board is invited to **note** the latest position regarding the Panel's finances.

Devolved Nations

10. There are no specific implications/differences in relation to the areas of work covered in this paper and the devolved nations.

Staff changes at JS2

11. Megan Archer has now retired from JS2 and has been replaced as Client Manager by Adam Gibbs. John Speed continues as Client Director.

Banking changes

12. Megan Archer has been removed as a registered user from the Handlesbanken online banking system and Adam Gibbs added as a new user. JS2 have the authority to only set up payments.
13. An upper payment limit of £150,000 has been introduced for David Wolfe and Harry Rich on Handlesbanken online banking.

Communications

14. There are no specific communications implications to draw out.

Risks

15. A robust and defensible position in relation to the Panel's finances is required in order to avoid reputational damage and to ensure compliance with *Managing Public Money*.

Recommendations

16. The Board is asked to **note** the latest financial position.

Timeline for future work

17. JS2 Ltd will continue to provide updates on the Panel's financial position at monthly meetings of the Board.

Attachments

Annex A – Management accounts as at 31 December 2016

Press Recognition Panel

MANAGEMENT ACCOUNTS

10 Months to December 2016

Press Recognition Panel
Period ended 31 December 2016

	10 Months to December 2016			Full year to March 2017	
	Actual	Nov 16		Budget	Nov 16 Forecast
		Forecast	Variance		
	£	£	£	£	£
Income					
Bank Interest	3,665	3,255	410	2,400	3,855
Total Income	3,665	3,255	410	2,400	3,855
Expenditure					
Board costs					
Board Salaries & NIC	48,990	48,691	299	66,024	65,422
Board Travel & Subsistence	185	164	21	1,200	314
Total Board Costs	49,175	48,855	320	67,224	65,736
Communications					
Consultation Events & Launch	-	-	-	6,000	-
Consultation Document & Translation	9,261	9,261	-	28,950	10,561
Website & Visuals	4,451	5,578	(1,127)	5,784	7,517
					Forecast costs for web form for feedback on regulator not yet incurred.
Total Communications Costs	13,712	14,839	(1,127)	40,734	18,078
Overheads					
Salaries & NIC	327,812	332,361	(4,549)	393,788	406,791
					Budgeted costs for additional support not spent in December. One permanent staff post reduced by one day a week (a month earlier than expected).
HR & Recruitment	8,463	5,742	2,721	26,864	23,233
Serviced and Virtual Offices	71,706	71,440	266	111,912	94,060
Meeting rooms	5,626	5,966	(340)	8,886	7,961
Travel & Subsistence	86	260	(174)	1,800	560
Information Technology	5,095	5,385	(290)	3,812	7,038
IT hardware	-	-	-	1,200	1,200
Audit & Accountancy	20,671	20,119	552	44,208	42,603
Printing & Stationery	9,366	9,107	259	9,280	9,962
Insurance	4,735	4,718	17	9,368	8,872
Legal	8,400	8,400	-	30,000	20,000
Subscriptions & publications	4,319	4,124	195	4,512	6,020
Finance Charges	178	155	23	300	230
Sundry expenses	1,121	888	233	1,800	1,338
	467,578	468,665	(1,087)	647,730	629,868
Total Expenditure	530,465	532,359	(1,894)	755,688	713,682
(Deficit) for the period	(526,800)	(529,104)	2,304	(753,288)	(709,827)
Reserves Bfwd	1,954,072	1,954,072		1,954,072	1,954,072
Reserves Cfwd	1,427,272	1,424,968		1,200,784	1,244,245

Press Recognition Panel
Period ended 31 December 2016

	<u>Dec-16</u>		<u>Mar-16</u>	
	£	£	£	£
Current Assets				
Current account	72,368		35,458	
Deposit account	353,305		1,932,826	
Barclays account	1,003,159		5,000	
Cash at bank		1,428,832		1,973,284
Prepayments	12,106		18,222	
Other debtors	1,080		1,521	
Third Party Deposit	14,194		14,194	
Sundry debtors		27,380		33,937
Creditors: amounts falling due within one year				
Trade creditors	3,000		9,952	
Credit card	-		1,064	
Social security and other taxes	12,725		13,390	
Pensions	4,035		-	
Sundry creditors and accruals	9,180		28,743	
		28,940		53,149
Net Current Assets		<u><u>1,427,272</u></u>		<u><u>1,954,072</u></u>
Funds brought forward				
Funds at 31 March 2016		1,954,072		730,710
Surplus/(deficit) for the period to date		(526,800)		1,223,362
		<u><u>1,427,272</u></u>		<u><u>1,954,072</u></u>

PRESS RECOGNITION PANEL BOARD

PLANS FOR ANNUAL GOVERNANCE FRAMEWORK REVIEW

Meeting: 26 January 2017

Status: for approval and decision

Lead responsibility: David Wolfe,
Chair and Susie Uppal,
Chief Executive

Contact details: Caroline Roberts,
Head of Regulatory Affairs

Purpose

1. This paper reviews the first tranche of policies in the PRP's governance framework. It recommends a revised approach for some policies, and suggests maintaining others but with recommended revisions.

Background

2. At the Board's meeting on 20 December 2016, it was agreed that a review of all policies should be undertaken. Given the number of policies (35 in total) it was agreed that the review should take place in four tranches, over the next four Board meetings.
3. The initial policy framework was developed at the time the PRP was established over two years ago. The purpose of the review is to check whether the policies still meet our needs or require amending in any way, and also to identify any opportunities for simplification or consolidation.

Analysis

4. The first tranche of policies includes all those that broadly relate either to information and communications, or to conduct and employment terms and conditions (apart from policies regarding Board remuneration, and Board succession, which have been deferred to the March Board meeting).
5. For each separate policy, we have considered whether the content is up to date and fit for purpose, whether the content can be simplified in any way, incorporated in another related policy, and / or can be captured better elsewhere.

6. The policies are listed in the following table, with a proposed approach for each. The policies are detailed in Annex A to this paper, with proposed revisions marked in track changes where appropriate.

Policy	Proposed revision or approach
<p>Openness, transparency and consultation (December 2014 version - unrevised) Annex A – Page 1</p>	<p>This no longer needs to be retained as a separate policy if we incorporate the general approach in our Mission and Approach policy (to be reviewed in February). The detail on how we do it can be incorporated in our Communications Strategy, rather than a policy document. Our Communications Strategy will incorporate revisions to our approach such as including webinars, and making a distinction between our consultations and calls for information. The changes to the Board’s process for achieving greater openness in board discussions as agreed at the Board’s meeting on 20 December 2017 will be incorporated in the Board Rules of Procedure (also to be reviewed in February).</p>
<p>Confidentiality (December 2014 version - unrevised) Annex A – Pages 1 and 2</p>	<p>This set out Board members’ expected conduct. Board members’ letters of appointment refer to an expectation that the Board will develop its own approach to Terms and conditions, which has not yet been done. We recommend that these should now be drafted, and the confidentiality requirement incorporated in this document rather than maintaining it as a separate policy.</p>
<p>Publication Scheme (December 2015 version with proposed revisions) Annex A – Pages 2 to 7</p>	<p>Our publication scheme has been drafted in line with the Information Commissioner’s Office guidance for non-departmental public bodies. We have made minor revisions, and will review this document again at the end of the process as we will be proposing making changes to some of the documents we make public, during the course of this review process.</p>
<p>Expression of views (December 2014 version - unrevised) Annex A – Page 7</p>	<p>This policy document relates to Board members speaking at events, and meeting with stakeholders. This no longer needs to be maintained as a separate policy, as the principles can be appropriately incorporated in</p>

	our Communications Strategy when this is updated.
Welsh language (January 2015 version unrevised) Annex A – Pages 7 to 11	The PRP is committed to being as inclusive as possible in terms of engagement and accessibility generally. This will be captured in our Mission and Approach and our Communications Strategy, and also in our proposed revisions to our policy on Equality, Diversity and Inclusivity. Our Welsh language policy sets out in detail how we will give effect to this commitment in respect of Welsh speakers. Although the nature of our work over the past two years has not required us to apply this policy in practice, the approach is still one we would adopt wherever appropriate. Our recommendation is that, rather than maintaining a separate Welsh Language policy, our Mission and Approach, and Communications Strategy will clarify how the PRP will give effect to PRP's inclusive approach to engagement and accessibility, including with Welsh speakers.
Declarations of interest (December 2014 version - unrevised) Annex A – Pages 11 and 12	We consider this policy could be incorporated in the Board Rules of Procedure, which will be reviewed at the Board's February meeting.
Political activity (January 2015 version - unrevised) Annex A – Pages 12 and 13	<p>This policy sets out restrictions on political activity for the Board, and for Executive staff, in accordance with the requirements set out in the Charter. It gives some indication of what this should mean in practice. The Charter also lists a number of other restricted activities for the Board and for Executive Staff which are not included in this or any other policy document.</p> <p>If the Board agree to develop Terms and Conditions, it would seem more appropriate to include in that document, a reminder of the Charter's requirement on all excluded and restricted activities, rather than maintaining a separate policy. Otherwise, it is recommended that this policy should be revised to incorporate other activities restricted by the requirements of the Charter.</p>

<p>Equality, diversity and inclusion (December 2014 version with proposed revisions) Annex A – Pages 13 to 15</p>	<p>This policy focusses on the PRP’s commitment to eliminating discrimination and encouraging diversity as an employer. We propose amending it slightly to include our aim to provide equality and fairness, and to be as accessible and inclusive as possible in the way we conduct our business with external stakeholders.</p>
<p>Indemnity for civil liability (December 2014 version - unrevised) Annex A – Page 15</p>	<p>This policy refers to the Charter’s requirement that the Recognition Panel shall indemnify members of the Board and the Appointments committee. The policy clarifies how this should be interpreted in practice. It is a very short policy document, and we consider the content to be adequate. However, if the Board decide to adopt Terms and Conditions, we believe the content could sit more appropriately there.</p>
<p>Anti-bribery policy (February 2015 version – with proposed revisions) Annex A – Pages 15 to 21</p>	<p>Our anti-bribery policy addresses the if there is a risk that someone who works for the organisation, or on the organisation’s behalf might be exposed to bribery. Consistent with the Ministry of Justice recommendations for compliance with the Bribery Act 2010, our policy is appropriate to the level of risk the organisation faces, and includes:</p> <ul style="list-style-type: none"> • the approach to reducing and controlling the risks of bribery • rules about accepting gifts, hospitality or donations • guidance on how to conduct your business, e.g. negotiating contracts • rules on avoiding or stopping conflicts of interest. <p>Whilst still fit for purpose, we consider that the policy can be simplified as indicated.</p>
<p>Gifts and hospitality (January 2015 version – with proposed revisions) Annex A – Pages 21 to 24</p>	<p>The gifts and hospitality policy is detailed and provided for a level of activity that has not materialised, and whilst we have a gifts and hospitality register it has not yet been used. We consider that the gifts and hospitality policy can be simplified as indicated and combined with the expenses policy below.</p>
<p>Expenses (December 2014 version – with</p>	<p>We have reviewed this policy and checked that it remains consistent with HMRC’s guidance on</p>

<p>proposed revisions) Annex A – Pages 24 to 26</p>	<p>tax and NIC treatment of travel and subsistence expenses. We recommend maintaining our policy unchanged, apart from minor amendments as indicated, as we believe it is still fit for purpose.</p>
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Devolved Nations

7. There are no specific issues identified at this stage of the Paper.

Communications

8. The governance policies are published on the PRP's website. As these are reviewed, they will be amended on the website.

Risks

9. There are significant reputational risks if the Panel does not adopt adequate governance procedures and policies, and maintain and review these on a regular basis.

Recommendations

10. The Board is asked to consider the following recommendations:
- i. The content of the policy on Openness, Transparency and Consultation should be updated to reflect our agreed working practices, and incorporated as appropriate when we revise our Mission and Approach; Board Rules of Procedure, and our Communications Strategy;
 - ii. The Terms and Conditions should be drafted for the PRP Board, as anticipated in Board Members' letters of appointment
 - iii. The Terms and Conditions should incorporate the content of our policies on Confidentiality, Political Activity (expanded to incorporate other activities restricted by the Charter); and Indemnity for Civil Liability.
 - iv. We should retain our Publication Scheme; and our policies on Equality, Diversity and Inclusion; Gifts and Hospitality; and Expenses, with the recommended amendments for each.
 - v. The content of our policy on Declarations of Interest can be incorporated in our Board Rules of Procedure when these are revised.
 - vi. The content of our policy on Expressions of Views can be incorporated in our Communications Strategy, when this is revised.
 - vii. The content of our Welsh Language policy can be incorporated in our Communications Strategy when this is revised, and the principles of the

PRP's inclusive and accessible approach to stakeholder engagement incorporated in our Mission and Approach and Equality, Diversity and Inclusion.

- viii. Our anti-bribery policy for the PRP can be simplified as recommended.
- ix. The gifts and hospitality policy can be simplified significantly and combined with the expenses policy, with minor amendments to the latter.

Policy on openness, transparency and consultation (December 2014 version – unrevised)

Recommendation: Policy to be updated to reflect agreed working practises and incorporated into our revised Mission and Approach, Board Rules of Procedure and our Communications Strategy

Openness and transparency

We are committed to operating with the maximum degree of openness and transparency in all our dealings, and this is reflected in our organisational vision, mission and values. Practical issues arising from this (such as conducting formal Board meetings in public) appear elsewhere in the Governance Framework. We will also encourage openness and transparency on the part of other relevant organisations.

Public consultation and engagement

We are committed to ensuring that all those who are affected by our work have a say in how we operate. Consulting with all groups with an interest in the Panel's work and about the Panel's objectives is vital to our credibility, as well as to test new policies and proposals. We have therefore adopted a broad position in respect of consultation, and will operate on the basis that we will consult publicly – wherever practicable – on everything we produce (with an explanation of any document or policy that is consulted on for any reason).

We are committed to the following principles in relation to public consultation:

- Consultation will genuinely inform policies, rather than being used as a way to 'rubber-stamp' our approach.
- We will make efforts to seek feedback from seldom-heard groups; in particular, on specific issues which directly affect a particular group.
- Documents will be concise, self-contained and in plain English. They will be free from jargon, and not assume knowledge of abbreviations or other terms.
- The costs of consultation will be kept to a minimum, by using electronic and other low cost methods (we will try to ensure our approach does not negatively affect participation).
- We will publish feedback after the consultation giving the outcome and how policy changes will be implemented.
- We will generally consult for a period of 8 weeks as a minimum, unless there are specific circumstances which mean we need to consult for a shorter period (we will explain when we need to consult over a short period if this is necessary).
- We will communicate our consultations via the Panel's website, Twitter and direct contact with individuals and organisations who are interested in our work.

Policy on confidentiality (December 2014 version – unrevised)

Recommendation: Policy to be reviewed and incorporated into the Board's Terms and Conditions if these are developed

It is expected that Board Members shall not during, or at any time after the termination of their appointment with the Panel use for his or her own purpose or for another's

benefit or disclose to any third party confidential material and shall use his or her best endeavours to prevent such publication or disclosure. In this context, 'confidential' information means any information or matter which is not in the public domain and which relates to the affairs of the Panel or any of its business contacts.

Publication scheme (December 2015 version – minor amendments proposed at present)

A guide to the information made available routinely by the PRP

Introduction

PRP's publication scheme sets out the information that we will routinely and proactively make available to the public, and where that information is available. We welcome all comments and suggestions on the scheme.

What information is made available routinely by the PRP?

The PRP makes a significant amount of information routinely available to the public on the basis that we are committed to operating with the maximum degree of openness and transparency in all our dealings – for example, where possible, our Board ~~meetings discussions~~ are open to the public and we publish our Board papers on our website. In the majority of cases, the information that you will be looking for will already be available on our website, and there should be no need for you to make a formal request for information. However, if you cannot access the information you want, you can write to the PRP to make a request for information in line with our Freedom of Information Act policy.

Our core functions and corporate structures are such that some information will not be made available routinely. It may not be appropriate – and in some cases, it may be misleading or confusion – to release information at an early stage, for example during the very early development stage of a new policy or process. Once the Board has come to an initial view about policy proposals, we will either consult on these, and share our thinking with stakeholders and the wider public, in line with our ~~Public Consultation and Engagement policy~~ Mission and Approach (if it is a significant policy related to our responsibilities under the Royal Charter), or discuss the proposals further in an open meeting of our Board.

This document has been developed in line with the Information Commissioner's Model Publication Scheme. The information that we will make available is grouped under seven classes of information:

- Who we are and what we do;
- What we spend and how we spend it;
- What our priorities are and how we are progressing these;
- How we make decisions;
- Policies and procedures;
- Lists and registers;
- Services we offer.

How does the scheme work?

The information listed in this document is available on our website and in print. You can access information in three ways:

Via our website – pressrecognitionpanel.org.uk

If the information is available on our website, a link will be provided. Responses

to information requests that we have previously received and dealt with will also be held on the website in a disclosure log.

By email

You can send a request to prp@pressrecognitionpanel.org.uk. ~~or email a request to the Head of Governance, Holly Perry, at hperry@pressrecognitionpanel.org.uk.~~ Include the words 'publication scheme' in the subject header.

By post

You can write to us at PRP, Mappin House, 4 Winsley Street, London, W1W 8HF

If you ask for information that is available on our website to be provided in paper format, it may be necessary for us to make a charge. For example, if a large amount of photocopying or printing is required, or if the cost of postage of a large volume of paperwork is very high, a charge is more likely to be made. You will be notified in advance of any charges.

How up to date is the publication scheme?

Most of the information that we make available will be current. However, for certain classes of information, it may be necessary to publish the information retrospectively.

Information will not be made available indefinitely. We are committed to providing the public with as much information as is practicably possible, however, it is important that we provide only relevant and up to date information.

Is the information available in other languages and other formats?

Most information is available in English We will also consider, on request, providing copies of material in other languages.

We will supply information in alternative formats where, through reason of disability, standard electronic or hard copy documents may not be accessible. When making a request, please let us know how you would like the information communicated to you – we will do our best to comply.

Please note that providing information in other languages and in alternative formats may take longer than otherwise would be the case.

Our information ([this will need reviewing at the end of our policies review](#))

Who we are and what we do – organisational information, structures, location and contacts.

Information	Website links
Role and responsibilities of the PRP	Who we are FAQs The Leveson Report The Royal Charter

Organisational structure of the PRP	The Board The PRP Executive Team
Information relating to the PRP's remit and functions	Who we are FAQs The Leveson Report The Royal Charter
Lists of information relating to organisations with whom the PRP works in partnership	TBC
Details of meetings held with stakeholders	Stakeholder Meeting Correspondence
Board Members and staff	The Board The PRP Executive Team
The location and contact details for the PRP	Ways to Connect

What we spend and how we spend it – financial information relating to projected and actual income and expenditure, procurement, contracts and financial audit

Information	Website links
Financial statements, budgets and variance reports	Board Meeting Papers PRP Business Plan 2015/16 PRP Annual Report and Financial Statements for the period 3 November 2014 to 31 March 2015
Financial audit reports	Publications
Procurement and tendering procedures	Procurement policy
Board Members' interests	Register of Relevant Interests
Lists of contracts awarded and their value	Available only on request

Internal financial regulations	Anti-bribery, money laundering, fraud, theft and corruption policy
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What our priorities are and how we are progressing these – strategies and plans, performance – strategies and plans, performance indicators, audits, reviews

Information	Website links
Annual business plan	Publications
Annual report and accounts	Publications
Reports to Parliament	Publications
Service standards	Publications Organisational Policies

How we make decisions – decision-making processes and records of decisions

Information	Website links
Major policy proposals and decisions	Publications
Background information relating to major policy proposals and decisions	Publications
Public consultations	Openness, Transparency and Consultation Policy
Reports and papers provided for consideration at Board meeting	Past Board Meetings
Minutes of Board meetings	Past Board Meetings
Internal communications guidance and criteria used for decision-making i.e. process systems and key personnel	Organisational Policies

Our policies and procedures – current written protocols, policies and procedures for delivering services and responsibilities

Information	Website links
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Policies and procedures for the conduct of Board business	Board Rules of Procedure
Policies and procedures relating to the recognition function of the PRP	Guidance for applicants
Policies and procedures for the recruitment and employment of staff	Organisational Policies Join the team
Customer services	Organisational Policies
Records Management and personal data policies	Organisational Policies Data Protection Act Policy Data Retention and Disposal Policy
Charging regime and policies	In development

Lists and registers – currently maintained lists and registers

Information	Website links
Public registers and registers held as public records	To be added in future
Disclosure logs	To be added in future
Register of Board interest	Register of Relevant Interests
Register of gifts and hospitality provided to Board members and senior personnel	No gifts and hospitality yet received
Any other lists required by statute or under the Royal Charter	TBC

The service we offer – information about the services we currently provide, including leaflets, guidance and newsletters produced

Information	Website links
PRP's responsibilities	Who we are FAQs
Services to recognised regulators	Guidance for applicants

Services to publishers	Guidance for applicants
Services to members of the public	Current consultations
Leaflets, books and newsletters	Publications
Advice and guidance	Guidance for applicants
Media releases	News overview

For further assistance or guidance, please ~~email contact the Head of Governance, Holly Perry at h.perry@pressrecognitionpanel.org.uk~~ prp@pressrecognitionpanel.org.uk or write to us at the following address: PRP, Mappin House, 4 Winsley Street, London W1W 8HF

Expression of views (December 2014 version – unrevised)

Recommendation: This policy will be revised and incorporated into the Communications Strategy.

- All invitations addressed to Board Members to attend or speak at stakeholder events should be referred to the Chair. Care will be taken to ensure that there is appropriate Board representation at events and that Board Members are properly briefed in advance of attendance. In the normal course of events, the Chair on behalf of the Board will be the nominated spokesman.
- In relation to requests for meetings with the Panel, these should normally be referred to the Chair in the first instance.
- All contact with individuals and organisations will be formal and documented. Unless a meeting takes place in the context of our Whistleblowing Policy, the fact of a meeting having taken place will be subject to public record, even if the content of meetings are held confidentially.
- Informal contact by bodies or individuals will be recorded if relevant.

Welsh Language policy (January 2015 version – unrevised)

Recommendation: The content of our Welsh Language policy can be incorporated in our Communications Strategy when this is revised. The broader principles of the PRP’s inclusive and accessible approach to stakeholder engagement can be incorporated in our Mission and Approach, and our Equality Diversity and Inclusion Policy.

About this policy

1. The Press Recognition Panel (the Panel) has adopted the principle that in the conduct of the public business and the administration of justice in Wales, it will treat the English and Welsh Languages on a basis of equality, so far as is both appropriate in the circumstances and reasonably practicable.
2. While the Welsh Language Act 1993 does not apply to the Panel, the Panel has nevertheless developed a Welsh Language policy that sets out how the Panel intends to give effect to the principle of equality in the services to the public in Wales

for which it is responsible. It is important to note that the Panel does not deal with the public directly – this is the role of the press regulators.

3. This policy covers the following areas of the Panel's activity:

- Service planning and delivery
- Correspondence
- Telephone calls
- Meetings
- Publications
- Recruitment
- Publicity campaigns and advertising
- Website
- Official notices and public notices

Service Planning and Delivery

4. We will ensure everyone involved in policy formulation and the preparation of compliance material are aware of the policy. As we consider and develop new policies, or review existing policies in the usual course of business, we will:

- assess the linguistic consequences of policies affecting services provided to the people in Wales and ensure that new policies and initiatives are consistent with and do not undermine this Welsh Language policy;
- promote and facilitate the use of Welsh as far as is practicable;
- implement the principle of equality, so far as is both appropriate in the circumstances and reasonably practicable.

5. The Panel will not normally be directly involved in the provision of specific services to the public. These will typically be delivered by the press regulators. We will, in so far as is within our responsibilities:

- remove obstacles which prevent press regulators using Welsh when delivering services to the public in Wales, such as developing regulations, rules or procedures, or allowing services to be organised and delivered in a way which facilitates the use of Welsh by organisations and by the public;
- consult the press regulators and everyone with an interest, as we develop policies and initiatives to ensure that full account is taken of the implications for the provision of these services in Wales.

6. We will ensure that any arrangements that we make with third parties that relate to the provision of services to the public in Wales are consistent with the terms of the Scheme and are implemented accordingly.

Correspondence

7. We will respond in Welsh to any correspondence sent to us in Welsh within the same timescale as other correspondence. We will also initiate correspondence with individuals, groups or organisations in Welsh if we know that this is their preferred language. A database will be established of those organisations who wish to deal in Welsh.

8. The same policies will apply to email communications as to other forms of written communication.

9. The services of a qualified translator will be contracted to provide a translation service when required.

Telephone calls

10. The Press Recognition Panel is located in central London and we have only limited direct contact with the general public. Therefore it will not be practicable for us

to offer a Welsh language telephone service. We will offer those who call us and who wish to speak in Welsh the option of writing to us in Welsh, continuing the conversation in English or allowing us some time to arrange for a Welsh speaker to return the call.

Meetings

11. When we hold public meetings in Wales, these will be publicised in both Welsh and English. In order to assist with arrangements we will invite everyone proposing to attend to inform us in advance of their preferred language and make the necessary arrangements to accommodate these preferences, as far as practicable.

Publications

12. Our publications include reports and consultation papers relating to our responsibilities throughout England, Scotland, Northern Ireland and Wales. Publications will be available for the public in Wales either through the Panel website or on request.

13. Annex A sets out some proposed criteria for translating publications into Welsh. Where a document meets these criteria, we will provide an electronic PDF version of the document to download at the same time as the English, where this is practicable. If a Welsh or bilingual version is not provided, translation on request will remain an option.

14. The Panel will welcome responses to consultations in the Welsh language. If a response is submitted in Welsh, the Panel will aim to publish a Welsh version of the executive summary of any response in Welsh, where practicable. If no responses are received in Welsh then only an English version will be published. Translation on request will remain an option.

Recruitment

15. Since our office is located in London, we recruit nationally and advertise in the English language.

16. If the Panel places recruitment advertisements in English language newspapers (or similar media) distributed mainly or wholly in Wales, they will be bilingual, or appear as separate Welsh and English. Notices will be in Welsh in Welsh language publications.

17. The Welsh and English versions will be equal in terms of format, size, quality and prominence – whether produced as a single bilingual version, or as separate Welsh and English notices.

Publicity campaigns and advertising

18. If the Panel undertakes any publicity, exhibition and advertising activities aimed at the general public in Wales, all supporting material will be produced bilingually, or as separate Welsh and English versions. If the Welsh and English versions have to be published separately, both versions will be equal with regard to size, prominence, and quality. Both versions will be available simultaneously and will be equally accessible.

19. If we issue a general advertisement (other than for recruitment purposes), a bilingual version will be placed in the Welsh press if it relates to matters of a particular interest in Wales.

Website

20. When designing and updating the Panel website, we will ensure the availability of any publications issued in Welsh in an accessible way. We will welcome feedback from the public on whether further Welsh content is required.

Official notices and public notices

21. All official notices and public notices published or posted in public places in Wales will be issued bilingually or in both Welsh and English language versions.

Implementation

22. The measures in this policy have been agreed by our Board and carry the full authority of the organisation in their implementation. The Executive Director is ultimately responsible for ensuring that this policy is implemented.

Complaints and feedback

23. Complaints and suggestions for improvement should be directed to Holly Perry, Head of Governance at the following address:

Holly Perry, Mappin House, 4 Winsley Street, London W1W 8HF or by email to: hperry@pressrecognitionpanel.org.uk

Review

24. This policy will be reviewed on an annual basis, as part of the Panel's Governance Framework review.

Annex A: Criteria for Translating Publications into Welsh

When considering whether to translate material into Welsh the following criteria should be used:

1. The target audience or status

Is the material aimed at:

- the general public and relating to the provision of services in Wales
- a particular sector representing Welsh speaking individuals
- individuals representing specific Welsh speaking groups

2. Subject matter

Would publishing the document in English specifically exclude access to the information by Welsh speakers?

3. Media Interest

Is the publication likely to attract considerable media attention from Welsh language-only media?

4. Consultation documents

If the publication is a consultation document?

Is the document only relevant to stakeholders in Wales?

Is the document particularly relevant to stakeholders in Wales?

Does the document relate to the provision of services in Wales?

Policy on Declarations of Interest and Relevant Matters (December 2014 version – unrevised)

Recommendation: This policy could more appropriately be incorporated in the Board Rules of Procedure and will be reviewed and amended accordingly.

The Royal Charter provides at paragraph 6.3 that ‘The Board shall put in place arrangements by which a Member can:

- a. register his interests or any other matter he considers relevant to the Purpose of the Recognition Panel;
- b. determine whether any interest he holds, directly or indirectly, gives rise to a conflict of interest;
- c. declare such conflicts to the Board; and
- d. absent himself from decision-making where the Board determines it is appropriate so to do’.

This Declarations of Interest policy gives effect to these provisions in the Royal Charter. All Board Members must declare any personal or business interests which may, or may be perceived to, be relevant to their responsibilities as Board Members. Members are required to make declarations whether or not these might lead to a perception of a conflict or to a perception of impact on their independence.

The Panel will maintain a Register of Board Members’ disclosable interests which will be a public document and will be reviewed from time to time to ensure that it remains accurate and up to date. The Register will be published on the Panel’s website. The purpose of the Register is to ensure transparency in relation to any interests of Board Members, or of their spouses, partners and dependent children.

Board Members are required to make a declaration of interests for the purposes of the Register immediately on taking up appointment as a Board Member, and are required subsequently to declare any new matter that is required to be included on the Register as soon as possible after it arises.

It is the duty of each Board Member to declare any matter that is required to be included on the Register. If a Board Member is in doubt as to whether or not a particular matter should be declared, they should err on the side of caution and discuss the conflict or perceived conflict with the Chair who will provide confidential guidance.

Any new interests or changes in interests already registered should be declared as soon as possible. Failure to disclose relevant matters will be regarded as inconsistent with the principles of corporate governance and incompatible with continued appointment as a Board Member.

Declaration of Registrable Interests

Board Members are asked to review all aspects of their personal and professional life (and those of individuals linked to them both personally and professionally) in order to

identify which interests, if any, may be perceived by the public as directly or indirectly influencing or affecting their judgement or as benefiting them. For example:

- any position of authority in a charity or voluntary body;
- connection with any body which contracts with or is likely to contract with the Panel;
- directorships in public and private companies including non-executive directorships;
- majority or controlling shareholdings in any undertaking;
- ownership of any company, business or consultancy; and
- remunerated employment, consultancy, trade, profession or vocation.

The primary consideration which will determine whether or not an interest should be declared is the reasonable perception of the public rather than whether the interest will have an actual influence or benefit. The latter is relevant only to the issue of resolving potential conflicts and not the decision to declare.

Declaration of Conflicts of Interest at Meetings of the Board

Before any item is discussed at a Board Meeting each Board Member must disclose any conflict of interest that they believe may arise in relation to that item. If a Board Member is in any doubt as to whether a particular matter constitutes a conflict of interest that should be disclosed, they should disclose it.

Conflicts of interest shall be treated in the following manner:

- the Chair – on the Board's behalf (or in the absence of the Chair the Member acting in that capacity for the meeting in question) will decide if a matter disclosed by a Board Member amounts to a significant conflict of interest that would prevent that Board Member from participating in the discussion of the item under discussion;
- the person in respect of whom the conflict of interest is believed to exist shall have the opportunity to address the meeting regarding the potential conflict of interest; and
- where the Chair (or in the absence of the Chair the Member acting in that capacity for the meeting in question) decides that any Board Member does have a conflict of interest, or perceived conflict of interest, and that interest is of such significance that the Member should not participate in the item under discussion that Member should withdraw from the meeting.

Board Members may be required at any time to confirm that their current entries on the Register are accurate and up to date and will be asked to do so at least once in every year. Each Board Member must sign a form to confirm the accuracy of their entry on the Register.

Political activity (January 2015 version – un-amended)

Recommendation: The policy should be reflected in the Board's Terms and Conditions and updated to reflect all the excluded and restricted activities under the Charter. If not included in the Terms and Conditions, the policy will be updated to reflect all excluded and restricted activities under the Charter.

1. The Royal Charter places certain restrictions on political activity of Board Members and staff:

In relation to Board Members, Schedule 1, 3.3 of the Royal Charter states:

‘In order to ensure the independence of the Board, a person shall be ineligible to be appointed, or to remain as a Member of a Board if he...is a member of the House of Commons, the Scottish Parliament, the Northern Ireland Assembly, the National Assembly for Wales, the European Parliament or the House of Lords (but only if, in the case of the House of Lords, the member holds or has held within the previous 5 years an official affiliation with a political party’.)

In relation to staff, paragraph 7.3 of the Royal Charter states:

‘None of the following may be a member of staff employed by the Recognition Panel or otherwise engaged by the Recognition Panel in a similar capacity (whether on a full-time or part-time basis)...a serving or former member of the House of Commons, the House of Lords, the Scottish Parliament, the Northern Ireland Assembly or the National Assembly for Wales’.

2. It would be inappropriate given the Panel’s status as wholly independent of government for any Board Member or member of staff to engage in active politics. The list of barred activities includes:

- Seeking selection as a candidate for, or being a candidate for, one of the bodies mentioned in paragraph 1 above, as per the Royal Charter;
- Membership – or seeking selection as a candidate or prospective candidate – of local authorities (with the exception of parish councils);
- Seeking adoption or selection as a candidate or prospective candidate for election as a Police and Crime Commissioner; and
- Holding any office, performing any role or undertaking any activity within or in relation to a political party which allows or requires the person to speak on behalf of that party or a candidate standing on its behalf in an election or which involves them doing so.

3. You must:

- to the best of your ability act in a way which maintains political impartiality and is in line with the maintaining the absolute independence of the Press Recognition Panel, no matter what your own political beliefs are;
- act in a way which deserves and retains the confidence of everyone with an interest in the Panel’s work;
- comply with any restrictions that have been laid down on your political activities.

4. You must not:

- act in a way that is determined by party political considerations, or use Panel resources for party political purposes;
- allow your personal political views to determine any advice you give or your actions.

5. Advice is available from the Chair, Executive Director or Governance Manager.

Policy on equality, diversity and inclusion (December 2014 version with proposed revisions)

The Press Recognition Panel is committed to eliminating discrimination and encouraging diversity amongst everyone who works with us. We believe that, for our

organisation to be successful, we need to work with the most talented and diverse people available. The talents and resources of all individuals will be fully utilised to maximise the efficiency of the Panel.

In delivering our legal responsibilities including those relating to the recognition of press regulators, and as an employer, our aim is to be truly representative of all sections of society. We want everyone who ~~works-we work with-us~~, to feel respected, and able to give of their best. ~~We want everyone whose views are relevant to our work to feel included.~~

To that end the purpose of this policy is to provide equality and fairness for all in our legal and employment duties, ~~and in the way we conduct our business~~, and not to discriminate on grounds of any of the protected characteristics of age, disability, gender reassignment, race, religion or belief, ethnicity, sex, sexual orientation, marriage and civil partnership, pregnancy, maternity and ~~(given that the Panel's role also covers Northern Ireland)~~ political belief. We oppose all forms of unlawful and unfair discrimination.

We will enthusiastically give effect to, ~~and will in due course develop policies in relation to the~~ our obligations arising from the Public Sector Equality duty (in the light of the fact that the Royal Charter specifies that the Panel's functions are public functions). ~~We will ensure we conduct our business in a way which respects all protected characteristics, and that we will engage with all our stakeholders in a way which respects any impacts due to disability or language barrier.~~

Everyone who works for us, whether part-time, full-time or temporary, will be treated fairly and with respect, and will be helped and encouraged to develop their full potential. The talents and resources of all individuals will be fully utilised to maximise the efficiency of the Panel.

Selection for employment, promotion, training or any other benefit will be on the basis of aptitude and ability. In relation to recruitment, appointments will be made solely on merit. We positively encourage applications from people from all sections of the community, from all backgrounds and with a broad range of experience.

To ensure that all those who work for us are treated fairly, we monitor diversity as part of our recruitment process and request that individuals applying for roles with us complete a monitoring form. Providing this information is optional. Information provided will be treated as strictly confidential and will be used for monitoring purposes only. No information will be published or used in any way which allows any individuals to be identified.

Our commitments are:

- To create an environment in which individual differences and the contributions of everyone are recognised and valued.
- Everyone who works for us and in partnership with us is entitled to a working environment that promotes dignity and respect to all. No form of intimidation, bullying or harassment will be tolerated.
- We will ensure that everyone who works for us is offered training, development and progression opportunities.
- We will review all our practices and procedures to ensure fairness, and in due course will develop an Equality Scheme and an action plan to give effect to our equality obligations including those arising from the Public Sector Equality Duty.
- We will instil equality, diversity and inclusion practices that make sound business sense.

- Breaches of our equality, diversity and inclusion policy will be regarded as misconduct and could lead to disciplinary proceedings or legal action.
- This policy is agreed by the Board which takes full responsibility for Equality, Diversity and Inclusion issues.

The policy will be monitored and reviewed annually.

Policy on Indemnity for Civil Liability (December 2014 version – unrevised)

Recommendation: This policy does not require revision and could be incorporated into the Board’s Terms and Conditions.

The Royal Charter (para 15.1) states that:

“The Recognition Panel shall indemnify each and every Member of the Board and person serving on the Appointments Committee from the assets of the Recognition Panel against any liability incurred by him by any act or thing done by him in the proper discharge of his responsibilities, office or duty under this Charter”.

Non-executive members of boards are generally personally liable for their decisions and actions. Whilst extremely rare, it is possible for non-executives to be personally liable for their decisions and actions but that this liability can be limited through an indemnity given by the Board where the member has acted in good faith and taken decisions in the normal course of Board business. It does not cover any personal criminal liability nor will it protect reckless actions. The Board proposes to adopt an indemnity for civil liability in the following form:

“A Chairman or Non Executive member or Director who has acted honestly and in good faith will not have to meet out of his or her own personal resources any personal civil liability which is incurred in the execution or purported execution of his or her board function, save where the person has acted recklessly.”

To minimise the risk, Members are expected to act in accordance with the Board’s policies and procedures and with the support of the Board at all times.

Anti-bribery, money laundering, fraud, theft and corruption policy (February 2015 version with proposed revisions)

Introduction

The Press Recognition Panel (‘the ~~PRP~~ ~~PRPI~~’) has a zero tolerance policy towards bribery, money laundering, fraud, theft and corruption. The ~~Panel~~-PRP is also wholly committed to the prevention of bribery, money laundering, fraud theft and corruption and in fostering a culture where these acts are unacceptable. This policy has been developed taking into account the risks the ~~Panel~~-PRP faces, and is based on the Ministry of Justice’s six principles: proportionate procedures, top level commitment, risk assessment, due diligence, communication (including training) and monitoring and review. The ~~Panel~~-PRP will take action against those who knowingly partake in fraudulent and corrupt activity, including taking or giving bribes.

Purpose and scope

This policy:

- defines what is meant by bribery, money laundering, fraud, theft and corruption and gives examples which the Board and ~~Panel~~-PRP staff can use to help them recognise such activity;

- sets out expectations of Board Members and ~~Panel~~PRP staff in relation to the prevention, detection and reporting of bribery, money laundering, fraud, theft and corruption and the consequences of non-compliance with this policy; and
- outlines how allegations of bribery, money laundering, fraud, theft and corruption will be investigated and the options open to those who wish to make a wider disclosure
- applies to all Board Members, advisors, contractors and employees (whether permanent or temporary). The ~~Panel~~PRP expects that others working on its behalf e.g. consultants and third parties, to comply with this policy.

Bribery

Compliance with this policy is mandatory. Non-compliance for staff is considered to be gross misconduct (and could result in dismissal). Non-compliance for Board Members could result in removal from office. Bribery is a criminal offence under the Bribery Act 2010, which came into force on 1 July 2011. It is defined as “offering, promising or giving someone a financial or other advantage to encourage them to perform their functions or activities improperly, and includes where it is known or believed that the acceptance of the advantage in itself constitutes improper performance. It also includes asking for or agreeing to accept a bribe”. This also includes facilitation payments (small bribes paid to speed up a service) and bribes under duress (blackmail and extortion). There are four offences covered by the Act:

- bribing another person (where a person offers, promises or gives a financial or other advantage to another person with the intention that the advantage will induce a person to perform a function or activity improperly);
- being bribed (where a person requests, agrees to receive or accepts a financial or other advantage with the intention that a function or activity is performed improperly);
- bribing a foreign public official (where a person bribes a foreign public official); and
- failure of a commercial organisation to prevent bribery (where a person associated with a commercial organisation bribes another person with the intention of obtaining or retaining business for the organisation or an advantage in the conduct of the organisation’s business).

The ~~Panel~~PRP operates a zero-tolerance policy towards offering and accepting bribes. This includes facilitation payments and bribes under duress.

Money laundering

Money laundering is a criminal offence under the Money Laundering Regulations 2007. In addition, money laundering is also a criminal offence under the Proceeds of Crime Act 2002, Terrorism Act 2000, Anti-Terrorist Crime and Security Act 2001 and Counter-Terrorism Act 2008. Money laundering is defined as “exchanging money or assets that were obtained criminally for money or other assets that are ‘clean’”. The ‘clean’ money or assets do not have an obvious link with any criminal activity. Money laundering also includes money that is used to fund terrorism, however it is obtained. The term ‘laundering’ is used because criminals turn ‘dirty’ money into ‘clean’ funds which can then be integrated into the legitimate economy as though they have been acquired lawfully. The ~~Panel~~PRP operates a zero-tolerance policy towards money laundering.

Fraud and theft

Fraud is a criminal offence under the Fraud Act 2006. There are many technical definitions of fraud, but we define it as a form of dishonesty, involving either false

representation, failing to disclose information or abuse of position, undertaken in order to make a gain or cause loss to another. There are six offences under the Fraud Act: fraud by false representation;

- fraud by failing to disclose information;
- fraud by abuse of position;
- obtaining services dishonestly with intent to avoid payment
- possessing, making and supplying articles for use in frauds; and
- participating in a fraudulent business carried on by a sole trader

Theft is a criminal offence. The Theft Act 1968 covers the criminal definition of theft and the associated offence of 'false accounting'. This is defined as where a person dishonestly, with a view to gain for themselves or another or with intent to cause loss to another either:

- destroys, defaces, conceals or falsifies any account or any record or document made or required for any accounting purpose; or
- in providing information for any purpose, produces or makes use of any account, record or document, which to their knowledge is or may be misleading, false or deceptive.

The **Panel PRP** operates a zero-tolerance policy towards fraud and theft.

Corruption

Corruption is defined as "the offering, giving, soliciting or acceptance of an inducement or reward, which may influence the action of any person". The **Panel PRP** operates a zero-tolerance policy towards acts of corruption.

Prevention and detection

We expect everyone who works for the **Panel PRP** to:

- support the **Panel's PRP's** public statement on the zero-tolerance policy towards bribery and corruption, and comply with this policy;
- have, and be seen to have, the highest standards of honesty, propriety and integrity in the exercise of their duties;
- report all suspected and known cases of bribery, money laundering, fraud, theft and corruption; and
- assist in any investigation.

The **Panel PRP** will:

- publish a statement setting out its commitment to preventing bribery and corruption;
- undertake a risk assessment of its exposure to potential external and internal risks;
- ensure that there are suitable levels of internal controls embedded in day to day practices, particularly in relation to financial procedures;
- ensure that other policies are clear about the **Panel's PRP's** commitment to anti-bribery, money laundering, fraud, theft and corruption and are followed;
- ensure that references are checked and necessary due diligence is carried out when recruiting and appointing people and when new suppliers are procured;
- ensure that Board Members and staff and others who are engaged by the **Panel PRP** are aware of their duties in relation to the management of interests; gifts and hospitality; and how this policy applies to them;

- ensure that there are appropriate processes in place to report and investigate concerns about bribery, money laundering, fraud, theft and corruption;
- ensure an appropriate Whistleblowing policy is in place;
- provide training and guidance as necessary so that individuals understand their role in relation to preventing bribery, money laundering, fraud, theft and corruption;
- record and report on allegations received under this policy;
- take appropriate disciplinary and legal action when necessary (e.g. dismissal, removal from office and termination of contract); and
- inform the relevant authorities, such as the police, if the circumstances and evidence are appropriate.

Reporting concerns

If there are suspicions that an individual has breached this policy concerns should be reported as follows:

- if the concern is about an employee or a supplier – these should be reported to the ~~Executive Director~~ Chief Executive. If it would not be appropriate to do this, concerns should be reported to the Chair of the ~~Panel~~ PRP;
- if concerns relate to a Board Member – these should be reported to the Chair;
- If concerns relate to the Chair, report these to the Senior Independent Director.

Concerns should be documented immediately, in as much detail as possible and include all relevant details such as dates, times, places, details of phone conversations, names of those involved etc. An individual should not attempt to carry out an investigation by themselves as this might damage any subsequent investigation.

Investigation

Any allegation of non-compliance with this policy regarding staff or suppliers will be investigated by the ~~Executive Director~~ Chief Executive (unless it would not be appropriate to do this, in which case the investigation will be by the Chair). ~~Any allegation of non-compliance with this policy regarding suppliers will be investigated by the Finance Director (or equivalent) unless it would not be appropriate to do this, in which case the investigation will be conducted by the Executive Director.~~ Any allegation of non-compliance with this policy regarding Board Members will be investigated by the Chair (unless it would not be appropriate to do this, in which case the investigation will be undertaken by the Senior Independent Director). If the allegations are sufficiently serious the ~~Panel~~ PRP may inform the relevant authorities (for example, the police or Serious Fraud Office) before any investigation is initiated. The ~~Panel~~ PRP will:

- carry out a thorough investigation (~~a process is set out in Annex A~~);
- gather the necessary evidence, take statements and produce a report which details any weaknesses in internal controls which contributed to the fraud and where necessary make recommendations for remedial action.

In all instances the ~~Panel~~ PRP will:

- listen to all concerns raised and treat every allegation seriously and confidentially;
- (unless inappropriate to do so), notify the ~~Executive Director~~ Chief Executive and Chair of all allegations and keep them apprised of the progress of any investigation;

- report the outcome of any investigation and remedial action required to the full Board;
- not ridicule, victimise or discriminate against those who raise a legitimate concern, irrelevant of whether it proves to be founded or not;
- take action against those who deliberately make a false statement or accuse someone of bribery, fraud or corruption for malicious purposes; and
- notify the person who initially raised the concern of the outcome of the investigation and any remedial action to be taken.

Further concerns following investigation

If an individual is unhappy with the outcome of the initial investigation, concerns can be raised with the Chair, another Board Member or the ~~Executive Director~~ Chief Executive. The ~~Panel's~~ PRP's Whistleblowing policy also gives details of how reports can be made to 'prescribed persons' (i.e. external agencies).

Monitoring and review

All allegations made under this policy will be reported to the Board, regardless of whether they are founded or not. The identity of the person who raised the concern will be kept confidential. This policy will be reviewed on a regular basis, taking into account new or changes to legislation and regulations as well as best practice.

ANNEX A – Investigation process

~~This process is a guide. Depending on the severity and nature of the allegation made, it may not be possible to stick to the proposed timetable or cover all of the steps in the order outlined.~~

Task	Responsibility
Concern is raised with: Executive Director (if the concern relates to staff or a supplier) Chair (if the concern relates to the Executive Director or a Board Member) Senior Independent Director (if the concern relates to the Chair) The person raising the concern should provide as much evidence as possible at this stage to support their allegations The Executive Director or Chair or Senior Independent Director will instruct the Head of Governance on what investigation needs to take place in order for them to reach an informed decision.	Person raising the concern — Executive Director/Chair/ Senior Independent Director
Head of Governance to acknowledge the concern with the complainant and request any further evidence to be submitted for consideration within 24 hours.	Head of Governance
Head of Governance to provide the Executive Director/Chair/ Senior Independent Director with any additional evidence provided in order to assess the concern raised.	Head of Governance

Executive Director/Chair/ Senior Independent Director to assess whether the allegation is justified and decide whether to initiate a full investigation.	Executive Director/Chair/ Senior Independent Director
Full Investigation. Gather evidence, take statements and undertake interviews.	Head of Governance
Analyse evidence and produce report on the investigations findings, details on weaknesses in internal controls and recommendations for remedial action.	Head of Governance
Executive Director/Chair/ Senior Independent Director to review the outcome of the investigation and agree action to be taken. Take action	Head of Governance Executive Director/Chair/ Senior Independent Director
Notify the complainant of the outcome of the investigation and action taken.	Executive Director/Chair/ Senior Independent Director
Report to the Board	Head of Governance
Task	Responsibility
Concern is raised with: Executive Director (if the concern relates to staff or a supplier) Chair (if the concern relates to the Executive Director or a Board Member) Senior Independent Director (if the concern relates to the Chair) The person raising the concern should provide as much evidence as possible at this stage to support their allegations. The Executive Director or Chair or Senior Independent Director will instruct the Head of Governance on what investigation needs to take place in order for them to reach an informed decision.	Person raising the concern Person raising the concern Executive Director/Chair/ Senior Independent Director
Head of Governance to acknowledge the concern with the complainant and request any further evidence to be submitted for consideration within 24 hours.	Head of Governance
Head of Governance to provide the Executive Director/Chair/ Senior Independent Director with any additional evidence provided in order to assess the concern raised.	Head of Governance
Executive Director/Chair/ Senior Independent Director to assess whether the allegation is justified and decide whether to initiate a full investigation.	Executive Director/Chair/ Senior Independent Director

Full Investigation. Gather evidence, take statements and undertake interviews.	Head of Governance
Analyse evidence and produce report on the investigations findings, details on weaknesses in internal controls and recommendations for remedial action.	Head of Governance
Executive Director/Chair/ Senior Independent Director to review the outcome of the investigation and agree action to be taken. Take action.	Head of Governance Executive Director/Chair/ Senior Independent Director
Notify the complainant of the outcome of the investigation and action taken.	Executive Director/Chair/ Senior Independent Director
Report to the Board	Head of Governance

Gifts and Hospitality Policy (January 2015 version – with proposed revisions)

Purpose

1. The purpose of this Policy is to set out the responsibilities of Board Members and staff of the Press Recognition Panel (the Panel) in respect of offering or receiving corporate gifts and/or hospitality.

Scope

2. This Policy applies to Board Members, full time and part time employees on full or short-term contracts, and to others working with the Panel, including secondees, agency contractors and others employed under a contract of service.

General Principles

~~3. These guidelines are intended to assist individuals:~~

- ~~a. to act with propriety;~~
- ~~b. to help avoid any impression of improper influence or compromise to the independence of the Panel;~~
- ~~c. to avoid any conflict of interest with their Panel duties and private interests; and~~
- ~~d. to know what they may and may not offer or receive.~~

~~3. The guiding principles governing gifts and hospitality are that:~~

- ~~Individuals' conduct should not foster suspicion of any conflict between their official duties and personal interests or advantage or any impression of improper influence or compromise to the independence of the~~
- ~~Individuals should not offer or accept a gift, reward or hospitality which would or might~~
 - ~~• appear to place them under any obligation to the giver;~~
 - ~~• appear to compromise their impartiality or the independence of the Panel;~~

- ~~▪ be improper; and~~
- ~~▪ be more frequent or regular than would be regarded as 'normal' or 'reasonable', taking into account the nature and value of the item. Any hospitality accepted should not be over-frequent or over-generous — accepting hospitality frequently from the same organisation could lead to a perception that the Panel is being influenced by the objectives of that organisation.~~

3. The guiding principles governing gifts and hospitality are that:
- The PRP Board and staff may not accept any gifts or hospitality that would reasonably be seen to compromise their personal judgment or integrity;
 - Any gifts or hospitality received should be recorded in the Hospitality Register.

Gifts

The Board has determined that there would **never** be circumstances when the acceptance of gifts in any way related to the Panel or its work by either individuals or their relatives would be acceptable. If a gift is offered, it should be politely refused and returned, with an explanation of the Panel's policy. Details of the offer should be provided to the ~~Governance Manager~~ Executive Administration Manager, who will record details in the Panel's register of Gifts and Hospitality (~~see paragraph 13~~).

Hospitality

The offering or receipt of hospitality in relation to the Panel or its work may be acceptable provided that it is a normal and appropriate expression of business courtesy. Hospitality may take various forms, from the provision of tea and coffee at meetings, to large formal receptions or dinners. Working lunches etc provided at ~~Panel~~ PRP premises or by the ~~Panel-PRP~~ at ~~Panel-PRP~~ events need not be reported or registered.

All offers of hospitality ~~would-should~~ be ~~channelled-discussed with~~ through the Chair, ~~via~~ or the ~~Executive Director~~ Chief Executive, and recorded by the Executive Administration Manager ~~or Governance Manager, to ensure that responses are appropriate, consistent, proportionate and recorded accurately.~~

~~Any hospitality accepted should not be or appear lavish or disproportionate to the nature of the relationship the Panel has with the provider. If the individual is in any doubt about the propriety of the hospitality offered, then it should be refused. Relatives of individuals to whom this policy applies should refuse to accept hospitality that could influence, or be reasonably thought to influence, the professional advice and/or decisions of the Panel or that could, or be reasonably thought to place, them under an obligation to the donor, compromise their impartiality or otherwise be improper.~~

~~All offers of hospitality would-should be channelled-discussed with~~ through the Chair, ~~via the Executive Director or Governance Manager, to ensure that responses are appropriate, consistent, proportionate and recorded accurately.~~

~~—The following principles apply to invitations from external organisations:~~

~~☐ — Event-based hospitality that allows colleagues to meet stakeholders, and might shape or promote the Panel's work, is generally acceptable. For example, going to an industry dinner where it is important that a representative of the Panel is present.~~

~~Work-related hospitality from a single stakeholder is acceptable, provided that it can clearly be seen to be of value to Panel's work. For example, working lunches, dinners or the reimbursement of necessary hotel or other accommodation costs.~~

~~An individual should always refuse corporate hospitality that benefits him / her personally, or if there is potential for embarrassing the Panel. For example, tickets to sporting events or the theatre should never be accepted.~~

~~Criteria for refusal~~

~~Gifts and Hospitality must not be accepted and always refused and returned if:~~

~~the gift is cash or is considered to be a cash equivalent, for example a gift token, regardless of the amount;~~

~~the known or estimated value is more than £25;~~

~~the hospitality is deliberately intended to influence the Panel;~~

~~it is lavish or extravagant or could be perceived to be so, for example a meal at a high-end restaurant;~~

~~it is given by an individual or organisation which has direct involvement (or is perceived to have direct involvement) in decisions or relationships affecting the giver or who is involved in ongoing negotiations of decisions which could influence, or be perceived to influence the outcome;~~

~~the hospitality is given by an individual or organisation where there is already a declared conflict of interest;~~

~~acceptance would break any laws or regulations. For example gifts must never be solicited as this is in breach of the Bribery Act 2010.~~

Fees for speeches or other work carried out

~~In relation to speeches made on behalf of the Panel by the Chair, Board Member or Executive Director,~~ It is the Panel's PRP's policy that any decision to speak will be determined on merit – fees will not be accepted. Reasonable expenses connected with a speaking engagement are acceptable. All invitations to speak should be channelled to the Chair via the ~~Chief Executive~~ Executive Director or Governance Manager.

The Gifts and Hospitality Register

All offers must be reported as soon as possible to the ~~Governance Manager~~ Executive Administration Manager, who will record details in the Panel's PRP's Gifts and Hospitality Register.

~~The Register of all declared gifts and hospitality will be reviewed by the Board on a six-monthly basis and then published on the Panel's website.~~

~~The Governance Manager will also maintain a record of all requests for advice and guidance on this policy, in order to supplement this policy when it is reviewed on an annual basis.~~

~~The Register will detail:~~

- ~~▪ details of the gift and/or hospitality offered;~~
- ~~▪ the date;~~
- ~~▪ the known or estimated value, and the venue (if relevant);~~
- ~~▪ details of the person or organisation who offered the gift, or provided with/provided the hospitality;~~

- ~~details of the individual concerned who offered the gift/hospitality or was in receipt of it;~~
- ~~the reason for acceptance or refusal.~~

The Panel may require this information to prove that no tax is payable.

Raising a concern

~~If it is suspected that an individual has breached this policy:~~

- ~~if they are a member of staff — report concerns to the Executive Director (if the concern is about the Executive Director, the concerns should be reported to the Chair);~~
- ~~if they are a Board Member — report concerns to the Chair (if the concern is about the Chair, the concerns should be reported to the Senior Independent Director).~~

~~Concerns should be documented immediately, and in as much detail as possible and include all relevant details such as dates, times, the nature of the gift, hospitality etc.~~

Expenses policy (December 2014 version – with proposed revisions)

Scope

1. This policy applies to all Board Members, advisers, visitors and staff of the Press Recognition Panel (the **Panel PRP**).
2. This policy is designed to ensure cost efficiency and business effectiveness. In making claims for these expenses claimants must apply a test of reasonableness and use the most cost efficient means of discharging their responsibilities.

Responsibilities

3. Claimants should submit claims as soon as possible. All claimants must ensure expenses are submitted within ~~two~~ **one** calendar month and at the year-end (31 March ~~no later than the date advised by the Finance Director (or equivalent)~~). Claims after this period will be paid only in exceptional circumstances.

Expenses

4. The **Panel PRP** does not use the services of an authorised travel agent. All travel and hotel bookings should be made directly by the individual who will be reimbursed in accordance with this policy, unless otherwise advised by the **Executive Administration Manager Governance Manager** (for example, arrangements might be made for travel and hotel accommodation for overnight stays involving all Board Members).
5. The claimant is expected to take advantage of the best and most cost effective available rates.

Travel and Subsistence Costs

6. It is expected that claimants who live within one and a half hours travelling distance of their official destination will travel daily.
7. For travel to attend meetings of the Board or otherwise on the business of the **Panel PRP**, expenses can be claimed at the following rates:

- i. actual payments for the most cost effective travel by standard class, a flexible return or the cost equivalent public rail transport. Any requests to travel other than standard class should be forwarded with an explanation of the circumstances to be approved by the ~~Chief Executive Finance Director (or equivalent)~~. The test of reasonableness will apply;
 - ii. cost is assumed to apply to travel from the claimant's principal place of residence within the UK. Where this is not the case, the expense claimable would be the lower of the actual cost of travel, and travel from the principal UK residence. Any exceptional circumstance require approval by the ~~Chief Executive Finance Director (or equivalent)~~;
 - iii. the same principles applied to rail travel apply also to air travel;
 - iv. for travel by private car, **45 pence** per mile for the first 10,000 miles, **25 pence** over 10,000 miles (in accordance with approved HMRC mileage rates), and actual parking fees and congestion charge;
 - v. for travel by motorcycle, **24 pence per mile**;
 - vi. for travel by bicycle, **20 pence** per mile;
 - vii. for travel by underground or bus including where oyster card or contactless payment is used, reimbursement of the published fares (where evidence of the journey is not readily available).
8. When absent from home or attending business meetings of the ~~Panel PRP~~ or otherwise on the business of the ~~Panel PRP~~, expenditure on subsistence will be reimbursed **against receipts** up to the following limits:
- i. for lunch, up to **£15** per day plus vat;
 - ii. for dinner, up to **£25** per day plus vat;
 - iii. for each night's absence in respect of accommodation up to **£140** per night plus vat. This must not include any extras such as alcohol or newspapers. These must be paid for separately by the claimant;
 - iv. any hospitality to third parties must be approved by the ~~Chief Executive Finance Director (or equivalent)~~ and must be in accordance with the ~~Panel's~~ PRP's policy on gifts and hospitality (e.g. hospitality for anyone who is not an employee).

Carer costs or other 'reasonable adjustments'

9. Reimbursement of carer costs that enable participants to attend events will be made upon presentation of evidence supporting the claim.
10. Where 'reasonable adjustments' are required to enable a claimant's participation (whether travel, accommodation or otherwise), the cost of making these will be reimbursed.

Airline Frequent Flyer Schemes

11. Claimants may retain frequent flyer scheme benefits. However, participation in these schemes must not influence flight selection. The lowest proposed airfare should be taken. Airline club memberships and credit card reward programmes are at the traveller's expense.

Lost or Missing Receipts / Tickets

12. For audit purposes, receipts and evidence of the expenditure having been incurred are required for all claims (other than for underground or bus travel, where evidence is not readily available). In the event of lost or missing receipts the claimant should seek duplicate receipts or produce alternative proof of payment. If no proof of payment is available, refunds will be allowable only if accompanied by a written explanation and approved by the ~~Chief Executive Finance Director (or equivalent)~~.

Authorisation

13. All claims submitted must be authorised by the ~~Chair~~ Chief Executive and in respect of expenses incurred by the Chief Executive, by the Chair, or an individual nominated to authorise claims on his/her behalf.

Notes

The ~~Finance Director (or equivalent)~~ Chief Executive will monitor exceptions to the policy and report them to the Board periodically.

Claims for subsistence may not exceed the daily limits shown except with the agreement of the ~~Finance Director (or equivalent)~~ Chief Executive. If there is a request for a regular variation in respect of any part of this policy in relation to any claimant the case will be referred to the Board for a decision, and the policy amended as necessary.



PRESS RECOGNITION PANEL BOARD

PROPOSED PROCESS FOR VARIATIONS SUBMITTED BY APPROVED REGULATORS

Meeting: 26 January 2017

Status: for decision

Lead responsibility: Susie Uppal,
Chief Executive

Contact details: Simon Edward,
Regulatory Affairs Manager; Caroline
Roberts, Head of Regulatory Affairs

Purpose

1. IMPRESS has advised us that it intends to make certain variations in the way it meets some of the recognition criteria. The PRP Board will be required to consider such proposals, determine whether the recognition criteria would continue to be met, and if not, decide on appropriate action to be taken in accordance with the risk based methodology set out in our Guidance on Cyclical and Ad Hoc Reviews.
2. In reaching its decision, it may be beneficial to the Board to have feedback from third parties through a call for information. The purpose of this paper is to propose an amendment to our processes to allow for this. Draft wording for a proposed amendment is attached at Annex A.

Background

3. At some stage during 2017 we are anticipating that IMPRESS will submit a new code to us. We will therefore need to determine whether they would continue to meet the requirements of criteria 7 and 8 with the new code. In addition, IMPRESS has also indicated that they may broaden their funding base by raising funding through a variety of means. If they decide to do so, we would then need to assess their ongoing compliance with Criterion 6. In considering such requests, the Board may want the benefit of hearing from third parties through a call for information before making a decision. However, our current guidance on reviews only specifically anticipates the

need for a call for information if a full ad hoc or cyclical review is being undertaken.

4. Our published guidance on Cyclical and Ad Hoc reviews details the process for handling changes to compliance with the recognition criteria.
5. This guidance specifically provides for us to invite third party input on variations prior to us making a decision, in the following circumstances:
 - (i) during a cyclical review where our published process states that we will invite feedback on the regulator's self assessment, or
 - (ii) in cases where an ad hoc review has commenced, where we have published details of the criteria to which it relates, and on which we state that we will invite third party feedback.
6. A cyclical review can only take place a minimum of two years after recognition. *"The Royal Charter states that the Panel must review the recognition of a Regulator as soon as practicable after*
 - (a) the end of the period of two years beginning with the day of recognition*
 - (b) the end of the period of three years after that period*
 - (c) the end of each subsequent period of three years"*.In practice it is likely that a regulator may wish to vary the way it meets the recognition criteria before then, as IMPRESS has already informed us it intends to do.
7. The threshold for requiring an ad hoc review is very high. The Royal Charter states that *"The Board of the Recognition Panel may review the recognition of a Regulator at any other time if it thinks that:*
 - (a) there are exceptional circumstances that make it necessary so to do, having regard, in particular, to whether there have been serious breaches of the recognition criteria; and*
 - (b) there is a significant public interest in a review of the Regulator's recognition being undertaken"*.
8. Our guidance on reviews provides for the PRP to gather information relevant to a regulator's ongoing compliance, but does not explicitly provide for the PRP to proactively seek information from third parties in circumstances other than a cyclical or ad hoc review. It commits us to "establish means by which all interested parties can submit relevant information, in writing, online or by telephone", however the clear indication is that this will be information provided on a voluntary basis, rather than in response to a specific request from the PRP. Our guidance also anticipates that information will be provided to us on a voluntary basis by recognised regulators.

9. Our guidance explains how we will use a risk matrix approach to assess information gathered, whether from third parties, from regulators, or from our own process of maintaining awareness. We will use our risk matrix to assess the seriousness of the alleged breach, potential breach, or proposed change, against the likelihood of ongoing compliance. Generally, the more serious the breach and the less likely it is for the regulator to put it right, the more likely it would be for the us to raise the issue at the next cyclical review, or to undertake an ad hoc review.
10. Our decisions on the seriousness and likelihood of compliance will involve the PRP making judgements. In some circumstances, it may be beneficial to issue a call for information to help inform those decisions, but as described above, our Guidance on Cyclical and Ad Hoc Reviews does not make any specific provision for this.
11. At present, unless an analysis is done and a decision is made to proceed to an ad hoc review the PRP guidance does not explicitly permit us to invite third party comment on variations made or proposed by a recognised regulator.

Proposed amended approach

12. We propose revising our “Reviews” guidance to clarify that we may conduct a call for information in circumstances where doing so would materially assist our risk based assessment of a proposed variation by a regulator, or an alleged breach. The advantage of this approach is that it would allow the PRP to seek third party input at its discretion, where we judge it would assist us in our determination of the seriousness and likelihood of compliance.

Recommendation

13. The Board is asked to approve the proposed additional wording (in red and underlined) to be included in the “Assessing Information” section of our Guidance on Cyclical and Ad Hoc Reviews, see Annex A. The first proposed revision (inclusion of the words “or proposed change”) is intended to highlight that the risk matrix will be used when considering proposed changes by the regulator, as well as alleged breaches. The second proposed change is the inclusion of wording to clarify that the PRP executive may use its discretion to decide whether to issue a call for information to assist its assessment.

Communications

14. Our website already states that our guidance on reviews will be updated as the process evolves. We can update the guidance on the website to reflect the new position in early 2017.

15. To ensure that our modified guidance is proportionate and sustainable in respect of the assessment of variations submitted by new regulators, we will engage with select stakeholders such as IMPRESS prior to updating our published guidance.

Risk and resource implications

16. There is a risk that inadequate engagement and assessment will result in a process that lacks rigour, is disproportionate or is administratively unwieldy.
17. To ensure that our modified guidance is proportionate and sustainable in respect of the assessment of variations submitted by new regulators, we will engage with select stakeholders such as IMPRESS prior to updating our published guidance.

Devolved nations

18. No specific issues identified.

Annex A to PRP04(17)

Assessing information

Information gathered will form the evidence base for our assessment for cyclical and ad hoc reviews. We will use a risk matrix to determine the appropriate response in each case.

Likelihood of compliance

	Very high	High	Medium	Low	Very Low
Seriousness	High				
	Upper medium				
	Lower medium				
	Low				

The risk matrix assesses the seriousness of the alleged breach, or proposed change against the likelihood of compliance. Generally, the more serious the breach and the less likely it is for the regulator to put it right, the more severe it becomes on the traffic light system and the more likely it will be for the us to raise the issue at the next cyclical review, or to undertake an ad hoc review.

The steps involved in our risk matrix for assessing information can be summarised as:

- o Identifying the level of seriousness
- o Identifying the likelihood of compliance
- o Applying the likelihood of compliance to the level of seriousness to determine the appropriate threshold and the consequential PRP response.

Seriousness

Factors we will have regard to in assessing seriousness include, but are not limited to:

- o the extent to which the alleged breach could damage public confidence in the regulatory mechanisms
- o the potential negative impact on the public and the press
- o the extent to which the alleged breach was caused deliberately or recklessly
- o extent to which the alleged breach revealed serious or systemic weaknesses in the regulator’s management or compliance procedures
- o extent to which senior management was aware or should have been aware of the alleged breach
- o source reliability

Likelihood of compliance

Factors that would influence the likelihood of compliance include, but are not limited to:

- o findings from previous cyclical and ad hoc reviews
- o relevant communications between the Regulator and the PRP
- o undertakings given by the regulator in breach of the criteria.

The risk matrix and discretion

Our decisions on the seriousness and likelihood of compliance will involve making judgements while deciding how to react to those judgments involves the exercise of discretion. The indicators provided are a guidance in relation to those things, and are not intended to be formulaic.

Prior to coming to a view on seriousness or the likelihood of compliance, we examine the factors we think relevant to the circumstances under consideration. The PRP executive will make a judgement as to whether a call for information on the information gathered would help inform the assessment process, and if so on the appropriate duration for the call for information. The PRP Board will ultimately decide if an ad hoc review is to be undertaken.