

United Kingdom

1. Fair	
Regulatory framework	<p>Financial disclosure requirements are dispersed among the following pieces of legislation:</p> <p>Legislative: The Code of Conduct together with The Guide to the Rules relating to the conduct of Members 2009 (updated 2010) and Code of Conduct for Members of the House of Lords (2009 amended 2010) and Guide to the Code of Conduct (2010 amended 2011)</p> <p>Executive: 2010 Ministerial Code</p> <p>Civil Servants: 2010 Civil Service Code, 2011 Civil Service Management Code, and the 2009 Code of Conduct for Special Advisers</p>
Outreach to public officials about disclosure requirement	<p>The legislation addresses the who, what, where and when of the financial disclosure requirement.</p> <p>Ministers are made aware of the requirements for disclosure on appointment, as are civil servants.</p> <p>However, for journalists covering Parliament, Parliamentary All-Party Groups (informal interest groups made up of Members of both Houses), and Secretaries and Research Assistants of MPs, there are respective webpages which give an overview of who and what needs to be disclosed.</p> <p>Secretaries and Research Assistants: http://www.publications.parliament.uk/pa/cm/cmsecret/100809/memi02.htm</p> <p>All-Party Group: http://www.publications.parliament.uk/pa/cm/cmllparty/register/introduction.htm</p> <p>Journalists: http://www.publications.parliament.uk/pa/cm/cmjournal/journal/introduction.htm#purpose-and-form-of-the-register</p>
Type of information disclosed	<p>The disclosure requirement focuses on financial and business interests with an emphasis on preventing conflicts of interest:</p> <p>Members of the Houses of Commons and Lords are required to disclose the following:</p> <ul style="list-style-type: none"> • Properties: Movable and immovable (including personal residence) • Investments and Liabilities: Stocks and securities, and business relationships with financial institutions. • Incomes: Value and source of incomes. • Positions: Other paid and unpaid positions, high-level positions. • Gifts and sponsored travels: Gifts and sponsored travel (description, source and value) • Other: Sponsorships received (source); list of family members employed by MP (MPs only); and declaration of other non-financial interests which may give rise to a conflict of interest (Members of the Lords only).

	<p>Ministers are required to disclose the following (note that this information is only considered relevant for preventing conflict of interests):</p> <ul style="list-style-type: none"> • Investments and Liabilities: Stocks and securities, and business relationships with financial institutions. • Positions: High-level positions, unpaid positions. • Properties: Movable and immovable. • Family: The interests of close family and friends are also disclosable if relevant. • Other: Sponsorships received. <p>Civil Servants are required to disclose the following:</p> <ul style="list-style-type: none"> • Financial or other private interests where a conflict might arise with official duties. <p>Journalists are required to disclose the following:</p> <ul style="list-style-type: none"> • Positions: Name of employer sponsoring their presence at Parliament as well as other paid employment. <p>All-Party Groups are required to disclose the following:</p> <ul style="list-style-type: none"> • Gifts and sponsored travel: Gifts and sponsored travel received (source only). <p>Secretaries and Research Assistants of MPs are required to disclose the following:</p> <ul style="list-style-type: none"> • Positions: Other paid employment. • Gifts: Gifts and sponsored travel (description only, no value). <p>House of Lords Members' Staff are required to disclose the following:</p> <ul style="list-style-type: none"> • Positions: Other paid relevant employment. • Other: Sponsorships received (source).
<p>Other relevant information</p>	<p>Judiciary: The judiciary is not mandated to submit financial disclosures (http://www.supremecourt.gov.uk/docs/ci_interests.pdf), rather they are bound to abide by their Codes of Conduct (http://www.supremecourt.gov.uk/docs/guide_to_judicial_conduct.pdf) and http://www.judiciary.gov.uk/Resources/JCO/Documents/Guidance/judicial_conduct_2013.pdf</p> <p>Select Committees: A Guide provides conflict of interest advice to MPs who are also Select Committee members (http://www.parliament.uk/documents/commons-committees/guide-select-ctte-members.pdf).</p> <p>Ministers and civil servants: Both categories of officials have restrictions imposed on them regarding: post-tenure activities, unpaid activities, high-level positions, gifts and sponsored travel. Civil servants also have restrictions on public procurement-related activities.</p> <p>In addition, civil servants do not routinely submit financial disclosures, but are required to disclose any interests which might result in a conflict of interest or the appearance of a conflict of interest. There exists a procedure to request approval for post-tenure activities, to ensure that they do not profit unfairly from their official position in subsequent employment.</p>
<p>2. Transparent</p>	
<p>Public accessibility of</p>	<p>The financial disclosure forms are available to the public online (links below) as well as in person from Parliament.</p> <p>Legislative:</p>

<p>disclosed information</p>	<p>House of Commons: http://www.publications.parliament.uk/pa/cm/cmregmem.htm House of Lords: http://www.parliament.uk/mps-lords-and-offices/standards-and-interests/register-of-lords-interests/</p> <p>All-Party Groups: http://www.publications.parliament.uk/pa/cm/cmallparty/register/contents.htm</p> <p>Executive (Ministers publish a semi-annual statement of relevant interests): https://www.gov.uk/government/publications/list-of-ministers-interests</p> <p>Hospitality and gifts information is published for all Ministers: https://www.gov.uk/government/organisations/cabinet-office/series/ministers-transparency-publications</p> <p>Other public officials: House of Lords Members' Staff: http://www.parliament.uk/mps-lords-and-offices/standards-and-interests/register-of-lords-interests/register-of-interests-of-lords-members-staff/ Secretaries and Research Assistants of MPs: http://www.publications.parliament.uk/pa/cm/cmsecret/memi01.htm</p> <p>Business Expenses and Hospitality for Senior Officials (link to Cabinet Office data only, but published by all government departments on www.gov.uk) : https://www.gov.uk/government/organisations/cabinet-office/series/business-expenses-and-hospitality-for-senior-officials</p> <p>Special Advisers declare gifts, hospitality and meetings (link to Cabinet Office data only, but published by all government departments on www.gov.uk): https://www.gov.uk/government/publications/special-advisers-gifts-hospitality-and-meetings-january-march-2013</p> <p>Journalists: http://www.publications.parliament.uk/pa/cm/cmjournal/memi01.htm</p>
<p>Public access to information concerning disclosure system functioning</p>	
<p>Other relevant information</p>	
<p>3. Targeted at senior leaders and those in at-risk positions</p>	
<p>Legislative</p>	<p>Both Houses of Parliament (Commons and Lords) must submit financial disclosure forms which include information on their spouses and dependent children.</p>
<p>Executive</p>	<p>The Ministers and Prime Minister disclose their financial interests, including information on their spouses and/or other close family member.</p>

Judiciary	None disclose.
Other	<p>The following public officials must also declare:</p> <ul style="list-style-type: none"> • Journalists accredited to Parliamentary Press Gallery with incomes of at least £600 • Secretaries and Research Assistants of MPs and House of Lords Members' Staff • All-Party Groups <p>Officials of the Financial Authorities are required to disclose their assets, paid and non-paid outside positions, gifts, and previous employment. The disclosed information on assets is publicly available upon request. The disclosed information on paid and non-paid outside positions, gifts, and previous employment is publicly available online or in print.</p> <p>Senior Officials and Special Advisers declare gifts and hospitality received. This information is published by Departments on a quarterly basis. See for example http://data.gov.uk/data/search?tags=special-advisers.</p>
Risk-based approach to the disclosure requirement	The categories of public officials who must disclose are determined by their high-level and high-risk status as public officials.
Other relevant information	
4. Supported with adequate resources	
Main agency/ agencies involved in disclosure	<p>Legislative:</p> <p>The Registrar of Members' Financial Interests and the Registrar of the Register of Lords' Interests receive the financial disclosures of Members of the Houses of Commons and Lords respectively.</p> <p>Both Registrars are located within the respective Houses of Parliament and have the principle function of receiving the financial disclosures as well as carrying out minor disciplinary actions.</p> <p>Executive:</p> <p>Ministers submit a list of relevant interests to their Permanent Secretary (high-level civil servant located within the Ministry) who reviews the Minister's list of interests together with the Minister. They both then decide on what action to take regarding any interest which may give rise to a conflict. The list and actions are passed on to the Cabinet Office Propriety and Ethics team and the Independent Adviser on Ministers' Interests who check the list for compliance.</p> <p>The Independent Adviser on Ministers' Interests is appointed by the Prime Minister yet retains independence when carrying out their duties. Their key role is to check and investigate potential conflict of interests and other misconduct allegations against Ministers.</p> <p>The Cabinet Office Propriety and Ethics team provides guidance and advice to Ministers, Special Advisers and Civil Servants on possible conflicts of interest. The Prime Minister's Independent Adviser on Ministerial Interests also provides advice on managing possible conflicts of interests which may arise from the private interests of a Minister</p> <p>Other public officials:</p> <p>House of Lords Members' Staff submit their forms to the Pass Office (located within the Houses of Parliament).</p>

	<p>The Office of the Parliamentary Commissioner for Standards receives the disclosure forms from Secretaries and Research Assistants of MPs, journalists, and All-Party Groups. [Information requested from the country to confirm the latter].</p> <p>Advice and guidance on conflict of interest as well as on the financial disclosure system:</p> <p>The Office of the Parliamentary Commissioner for Standards can be contacted by journalists, All-Party Groups, MPs and their staff with queries.</p> <p>The Parliamentary Commissioner for Standards is appointed by the House of Commons for a fixed term of 5 years and is an independent officer of the House accountable to the House of Commons Committee on Standards and Privileges.</p> <p>MPs can also consult the House of Commons Committee on Standards and Privileges (comprised of ten members of the House of Commons) with any queries.</p> <p>The Registrar of Members' Financial Interests can receive queries from MPs and their staff.</p> <p>The Registrar of the Register of Lords' Interests can provide guidance to the Members of the House of Lords and their staff.</p> <p>The Sub-Committee on Lords' Conduct (made up of five members of the House of Lords) can also advise the Members of the House of Lords.</p>
Other entities	
Other relevant information	

5. Useful

Frequency of filing requirement	<p>Legislative: MPs are required to submit within one month of their election. They must update the disclosure form within a month of any changes occurring.</p> <p>Members of the Lords are required to submit a financial disclosure on assuming office and update the financial disclosure information within one month of any change occurring. They receive an annual reminder to update their financial disclosure from their Registrar.</p> <p>Executive: Ministers must provide a list of their interests on assuming office (no deadline specified). This list is considered by the Minister and their Permanent Secretary throughout the Minister's mandate.</p> <p>Other public officials: On taking up their position, journalists, All-Party Groups, the Secretaries and Research Assistants of MPs and House of Lords Members' Staff must disclose and subsequently update the form within 28 days of the change occurring.</p> <p>Data on Gifts and Hospitality for Ministers, Special Advisers and Senior Officials is provided and published on a quarterly basis.</p>
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<p>Validation & verification</p>	<p>No formal verification of the financial disclosure forms is carried out. Investigations into disclosure forms are usually triggered by a complaint either from the public or from a public official.</p> <p>If the complaint is minor, the Registrar will address it. For cases deemed more serious, the House of Lords Commissioner for Standards (appointed by the House of Lords but who retains independence in carrying out duties) or the House of Commons Parliamentary Commissioner for Standards will carry out an investigation. Both Commissioners will report to their respective House Committees (Committee on Standards and Privileges and Sub-Committee on Lords’ Conduct) on the outcome of the investigations.</p> <p>For civil servants, their HR departments address any allegation of misconduct.</p>
<p>Uses of disclosed information</p>	<p>The Commissioners have access to all materials, including financial disclosures, for their investigations.</p>
<p>Other relevant information</p>	<p>Elected officials, i.e. Members of the House of Commons and Lords as well as Ministers, must declare to their colleagues any interest which could affect their duties in Parliament. They must also recuse themselves from that particular business in Parliament which could give rise to a conflict of interest.</p> <p>Civil Servants are required by the Civil Service Management Code to declare any conflicts of interest to their senior management (section 4.1.3.c).</p>
<p>6. Enforceable</p>	
<p>Types of applicable sanctions</p>	<p>Administrative sanctions typically apply for non-compliance.</p> <p>For late submissions, the name of the filer will be put in bold in the Register for one year after they submit their financial disclosure. In some instances, the filer will provide an explanatory note for the late submission in writing in the Register as well. Members of both Houses must also apologize to their respective House.</p> <p>For more serious cases, sanctions are determined by the respective House Committees with the advice of their respective Commissioner. These sanctions can include suspension from Parliament.</p> <p>For civil servants, their departments or agencies are responsible for disciplinary arrangements (disciplinary procedures and action, appeal process and the levels at which these decisions are made).</p>
<p>Mechanism and entities responsible for enforcing measures</p>	<p>The Commissioners advise the House Committees (who make the final decision) on what measures to take for serious breaches of the financial disclosure requirement.</p> <p>The Registrars are responsible for carrying out minor administrative sanctions i.e. placing name in bold in the Registrar.</p>

	<p>The ultimate responsibility for enforcing the Ministerial Code lies with the Prime Minister. For serious misconduct by a Minister, the Independent Adviser on Ministers' Interests can be asked to investigate allegations by the Prime Minister, to whom he reports, advising what sanctions to apply if needed.</p>
<p>Other relevant information</p>	<p>The Commissioners of both the House of Commons and Lords publish annual reports on the number of complaints received and how they were resolved during the year:</p> <p>http://www.parliament.uk/mps-lords-and-offices/standards-and-interests/the-commissioner-for-standards/</p> <p>http://www.parliament.uk/mps-lords-and-offices/standards-and-interests/pcfs/publications/annual-reports/</p>