



# STANDARDS AND ETHICS

## QUARTER 1 REPORT 2015-2016

## 1. Introduction

This is the quarterly report to the Audit & Governance Committee detailing both the figures for the Ethical Indicators and the figures for the Local Determination of Complaints process for 2015/16.

For clarification purposes the months covered by the quarters are as follows:

Quarter 1 – 1 April to 30 June  
Quarter 2 – 1 July to 30 September  
Quarter 3 – 1 October to 31 December  
Quarter 4 – 1 January to 31 March

The report is split into 2 parts for ease of reference; Part 1 refers to the local determination of complaints, part 2 is the table showing the ethical indicators figures.

The report will enable the Audit & Governance Committee to build up a picture over time of how many complaints are received and where these are coming from. The parts of the Code of Conduct which have been breached will also be recorded to enable training to be targeted effectively.

## 2. Part 1 – Local Determination of Complaints

The Monitoring Officer received 1 complaint in Quarter 1 of 2015/16. This complaint related to a District Councillor.

### 2.1 Source of Complaint

The complaint was received from a member of the public.

### 2.2 Assessment Sub-committee Decisions

There have been 0 Assessment Sub-committee meetings in the quarter.

### 2.3 Timeliness of Decision

The Standards for England Guidance stated that the Assessment Sub-committee should complete its initial assessment of an allegation “within an average of 20 working days” to reach a decision on what should happen with the complaint. The Council has taken this standard and adapted it under the new rules to aim to hold an Assessment Sub-committee within 20 working days of notifying the parties that informal resolution is not possible.

### 2.4 Review Requests

There have been no review requests this year. Review requests can only be made following a decision of ‘No further Action’ by the Assessment Sub-committee where there is submission of new evidence or information by the complainant.

### 2.5 Subsequent Referrals

None to report – see above.

## **2.6 Outcome of Investigations**

There were no investigations concluded in this period.

## **2.7 Parts of the Code Breached**

This section is intended to show where there are patterns forming to enable the Audit & Governance Committee to determine where there needs to be further training for Councillors. Targeting training in this way makes it more sustainable and, hopefully, more effective.

So far this year, the following areas of the code were found to have been breached:

N/A

#### 4. Part 2 – Ethical Indicators

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2014/15	2015/16	Actual 2014/15	2015/16	Actual 2014/15	2015/16	Actual 2014/15	2015/16
SE1	Objections to the Councils Accounts	Financial Planning Team Manager	0	0	0		0		0	
SE3	Follow up action relating to breaches of the Member/Officer Protocol (Members)	Head of Legal and Support Services	0	0	0		1		0	
SE3a	Disciplinary action relating to breaches of the Member/Officer Protocol (staff)	Human Resources Team Manager	0	0	0		0		0	
SE4	District Audit Public Interest Reports	Senior Auditor	0	0	0		0		0	
SE5	Number of Whistle blowing Incidents reported		0	0	0		0		0	
SE6	No. of recommendations made to improve governance procedures / policies		5	2	1		2		0	
SE6a	No. of recommendations implemented		5	1	7		10		5	

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2014/15	2015/16	Actual 2014/15	2015/16	Actual 2014/15	2015/16	Actual 2014/15	2015/16
SE7	No. of Ombudsman complaints received	Corporate Complaints Officer	0	0	1		2		2	
SE7a	No. of Ombudsman complaints resolved		0	0	1		2		2	
SE7b	No. of Ombudsman complaints where compensation paid		0	0	0		0		0	
SE8	No. of Corporate Complaints received		75	83	104		70		94	
SE8a	No. of Corporate Complaints resolved		69	79	113		91		74	
SE8b	No. of Corporate Complaints where compensation paid		1	0	4		4		17	

- A total of 83 corporate complaints were received during Q1 which is an increase of 11% when with the same period for Q1 14/15.
- 40 of the complaints (48%) were for the Housing Service. The most common reason for a tenant making a complaint against the Housing Service was logged against “Failing to provide a service” (19 complaints received, which equates to 48% of all Housing complaints).

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2014/15	2015/16	Actual 2014/15	2015/16	Actual 2014/15	2015/16	Actual 2014/15	2015/16
<b>Freedom of Information Act Indicators</b>										
SE9	Total no. of requests received	Head of Legal and Support Services	178	117	147		109		138	
SE9a	No. of requests compliant		125	73	83		82		85	
SE9b	No. of Non compliant requests		45	30	47		19		45	
SE9c	No of requests still open and within the 20 working days		0	1	3		0		0	
SE9d	Number withheld due to exemptions/fees applied		10	10	29		27		18	

- There has been a 34% reduction in FOI requests during Q1 this year compared to the same period of 2014/15. .
- The sustained stability in exemptions during quarter 1 reflects the fact that more information is being made available via the council's web pages, which are now easier to access following the redesign of our website. Moving forward the amount of information made available via the web pages will continue to increase. There has been an increase in the number of requests we have received that we have transferred to a different authority, and we are hoping that we can reduce this amount by constantly updating the information on our website.

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2014/15	2015/16	Actual 2014/15	2015/16	Actual 2014/15	2015/16	Actual 2014/15	2015/16
<b>Regulation of Investigatory Powers Act Indicators</b>										
SE10	No. of Directed Surveillance authorisations granted during the quarter	Senior Auditor	0	0	0		0		0	
SE10a	No. in force at the end of the quarter		0	0	0		0		0	
SE10b	No. of CHIS recruited during the quarter		0	0	0		0		0	
SE10c	No. ceased to be used during the quarter		0	0	0		0		0	
SE10d	No. active at the end of the quarter		0	0	0		0		0	
SE10e	No. of breaches (particularly unauthorised surveillance)		0	0	0		0		0	
SE10f	No. of applications submitted to obtain communications data which were rejected		0	0	0		0		0	
SE10g	No of notices requiring disclosure of communications data		0	0	0		0		0	
SE10h	No of authorisations for conduct to acquire communications data		0	0	0		0		0	
SE10i	No of recordable errors		0	0	0		0		0	