

AUDIT AND GOVERNANCE COMMITTEE – 18 DECEMBER 2012

Title of report	STANDARDS AND ETHICS – QUARTER 2 REPORT
Contacts	Councillor N Rushton 01530 412059 nicholas.rushton@nwleicestershire.gov.uk Head Legal and Support Services and Monitoring Officer 01530 454701 elizabeth.warhurst@nwleicestershire.gov.uk
Purpose of report	To receive the figures for local determination of complaints and the ethical indicators for Quarter 2 of 2012/13.
Strategic aims	Value for Money
Implications:	
Financial/Staff	N/A
Link to relevant CAT	N/A
Risk Management	By receiving this information members will be able to manage risks.
Equalities Impact Assessment	N/A
Human Rights	N/A
Transformational Government	N/A
Consultees	N/A
Background papers	None.
Recommendations	THAT THE REPORT BE RECEIVED AND NOTED.



STANDARDS AND ETHICS

QUARTER 2 REPORT 2012-2013

1. Introduction

This is the second 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 2012/13.

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 2 of 2012/13.

2.1 Source of Complaints

The complaint received was from a Parish Councillor about a Parish Councillor.

2.2 Initial Assessment Decisions

There have been no initial assessment sub-committee meetings in this quarter. As members will be aware, the Monitoring Officer now pursues an informal dispute resolution process prior to initiating formal proceedings via the sub-committee route. There have been difficulties in getting the Parish Councillor to attend the offices to discuss the matter and so this issue has become protracted.

2.3 Timeliness of Decision

The Standards for England Guidance stated that the Initial Assessment Sub-committee should complete its initial assessment of the allegation “within an average of 20 working days” to reach a decision on what should happen with the complaint. The Monitoring Officer will aim to achieve this standard on an annual basis.

As mentioned above, no decisions have been taken during this quarter. There are a number of complaints which were referred for investigation in quarter 1 which are still ongoing.

2.4 Review Requests

There have been no review requests this year.

2.5 Subsequent Referrals

None to report – see above.

2.6 Outcome of Investigations

No investigations were concluded in this period. However two are due to be reported to the consideration sub-committee in Quarter 3.

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.

As reported above, there have been no breaches of the code found so far this year.

4. Part 2 – Ethical Indicators

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2011/12	2012/13	Actual 2011/12	2012/13	Actual 2011/12	2012/13	Actual 2011/12	2012/13
SE1	Objections to the Councils Accounts	Financial Planning Team Manager	0	0	0	0	0		0	
SE2	Referrals to and Investigations undertaken by Standards for England	Head of Legal and Support Services	0	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	0	0		0	
SE3a	Disciplinary action relating to breaches of the Member/Officer Protocol (staff)	Human Resources Team Manager	0	0	0	0	0		0	
SE4	District Audit Public Interest Reports	Senior Auditor	0	0	0	0	0		0	
SE5	Number of Whistleblowing Incidents reported	Senior Auditor	0	0	0	0	0		0	
SE6	No. of recommendations made to improve governance procedures / policies	Senior Auditor	0	0	7	4	3		6	

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2011/12	2012/13	Actual 2011/12	2012/13	Actual 2011/12	2012/13	Actual 2011/12	2012/13
SE6a	No. of recommendations implemented	Senior Auditor	2	7	2	6	3		3	
SE7	No. of Ombudsman complaints received	Customer Services and Corporate Complaints Officer	3	1	2	2	0		2	
SE7a	No. of Ombudsman complaints resolved	Customer Services and Corporate Complaints Officer	3	1	2	2	0		2	
SE7b	No. of Ombudsman complaints where compensation paid	Customer Services and Corporate Complaints Officer	1	0	1	1	0		0	
SE8	No. of Corporate Complaints received	Customer Services and Corporate Complaints Officer	58	77	63	84	81		65	
SE8a	No. of Corporate Complaints resolved	Customer Services and Corporate Complaints Officer	58	75	63	84	81		65	
SE8b	No. of Corporate Complaints where compensation paid	Customer Services and Corporate Complaints Officer	1	1	5	2	9		3	

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2010/11	2011/12	Actual 2010/11	2011/12	Actual 2010/11	2011/12	Actual 2010/11	2011/12
Freedom of Information Act Indicators										
SE9	Total no. of requests received	Head of Legal and Support Services	112	115	94	84	84		120	
SE9a	No. of requests compliant	Head of Legal and Support Services	87	94	75	59	66		106	
SE9b	No. of Non compliant requests	Head of Legal and Support Services	16	21	9	14	13		14	
SE9c	No of requests still open and within the 20 working days	Head of Legal and Support Services	9	0	4	8	1		0	
SE9d	Number withheld due to exemptions/fees applied	Head of Legal and Support Services	19	12	2	3	4		12	
Regulation of Investigatory Powers Act Indicators										
SE10	No. of Directed Surveillance authorisations granted during the quarter	Senior Auditor	1	0	1	0	0		0	
SE10a	No. in force at the end of the quarter	Senior Auditor	0	0	1	0	0		0	
SE10b	No. of CHIS recruited during the quarter	Senior Auditor	0	0	0	0	0		0	

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2010/11	2011/12	Actual 2010/11	2011/12	Actual 2010/11	2011/12	Actual 2010/11	2011/12
SE10c	No. ceased to be used during the quarter	Senior Auditor	0	0	0	0	0		0	
SE10d	No. active at the end of the quarter	Senior Auditor	0	0	0	0	0		0	
SE10e	No. of breaches (particularly unauthorised surveillance)	Senior Auditor	0	0	0	0	0		0	
SE10f	No. of applications submitted to obtain communications data which were rejected	Senior Auditor	0	0	0	0	0		0	
SE10g	No of notices requiring disclosure of communications data	Senior Auditor	0	0	0	0	0		0	
SE10h	No of authorisations for conduct to acquire communications data	Senior Auditor	0	0	0	0	0		0	
SE10i	No of recordable errors	Senior Auditor	0	0	0	0	0		0	