



STANDARDS AND ETHICS

QUARTER 1 REPORT 2014-2015

1. Introduction

This is the first 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 2014/15.

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 no complaints in Quarter 1 of 2014/15.

2.1 Source of Complaints

No complaints have been received.

2.2 Assessment Sub-Committee Decisions

There have been no 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. All complaints received in this quarter are currently in that process.

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 quarter. 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 2013/14	2014/15	Actual 2013/14	2014/15	Actual 2013/14	2014/15	Actual 2013/14	2014/15
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		0		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		4	5	5		0		17	
SE6a	No. of recommendations implemented		5	5	2		1		9	
SE7	No. of Ombudsman complaints received	Customer Services and Corporate Complaints Officer	2	0	2		2		0	
SE7a	No. of Ombudsman complaints resolved		1 (1 where LGO has sent further enquiries)	0	2 (1 awaiting final decision)		1 (1 awaiting final decision)		0	

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2013/14	2014/15	Actual 2013/14	2014/15	Actual 2013/14	2014/15	Actual 2013/14	2014/15
SE7b	No. of Ombudsman complaints where compensation paid	Customer Services and Corporate Complaints Officer	1	0	0		0 (based on 1 resolved in Q3)		0	
SE8	No. of Corporate Complaints received		72	75	75		53		84	
SE8a	No. of Corporate Complaints resolved		68	69	71		50		79	
SE8b	No. of Corporate Complaints where compensation paid		3	1	2		2		3	

- A total of 75 corporate complaints were received during Q1 and is comparable with the same period for Q1 13/14.
- 42 of all complaints (56%) were for the Housing Service. 35 of the housing complaints (83%) were to do with repairs and Decent Homes Improvement Programme and were to do with outstanding/delays in works.

We have asked for information as to the context of these complaints. At the time of writing this report the information was not available. The author of the report will provide an update at the meeting.

- 17 complaints (23%) were for services within Community Services. Majority (88%) were to do with the Leisure service and related to classes i.e. too many in the class, and condition of facilities e.g. air conditioning, changing rooms.

After receiving customer feedback the following improvements were made to Leisure Services; More fitness classes have been added to the class timetable and a new instructor sourced to be able to re-instate a fitness class. The Fitness Studio air conditioning unit has had the coolant replaced, Leisure Services are using a new contractor in order to deal with air conditioning issues more efficiently and to a higher standard. Ventilation has been improved in the swim change toilets and staff presence has been increased to address cleaning and maintenance issues.

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2013/14	2014/15	Actual 2013/14	2014/15	Actual 2013/14	2014/15	Actual 2013/14	2014/15
Freedom of Information Act Indicators										
SE9	Total no. of requests received	Head of Legal and Support Services	116	178	109		165		208	
SE9a	No. of requests compliant		100	125	92		125		151	
SE9b	No. of Non compliant requests		14	45	15		31		51	
SE9c	No of requests still open and within the 20 working days		0	0	0		0		0	
SE9d	Number withheld due to exemptions/fees applied		5	10	4		5		6	

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2013/14	2014/15	Actual 2013/14	2014/15	Actual 2013/14	2014/15	Actual 2013/14	2014/15
Regulation of Investigatory Powers Act Indicators										
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	

