

# Standards and Ethics

## Quarter 2 Report

2023-2024

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# 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 2023/24.

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.

# Local Determination of Complaints

The Monitoring Officer received 3 complaints in Quarter 2 of 2023/24 (1 July 2023 – 30 September 2023).

1 complaint received in Quarter 1 was unable to be progressed as it was determined in Quarter 2 that the Councillor was acting in a private capacity.

## 2.1 Assessment Sub-committee Decisions

There has been 0 Assessment Sub-committee meetings in this quarter.

The Monitoring Officer pursues an informal dispute resolution process prior to initiating formal proceedings via the Sub-committee route.

0 complaints have been resolved informally in Quarter 2.

## 2.2 Timeliness of Decision

The Local Government Association [guidance](#) states that where the decision has been delegated to an officer the authority should aim to complete their initial assessment of an allegation within 15 working days of receiving a complaint. Where the assessment is sent to a committee, the committee should be set up along similar timescales. The Council has taken this standard and included it in the Council's arrangements for dealing with complaints to aim to hold an Assessment Sub-committee within 15 working days of notifying the parties that informal resolution is not possible

## 2.3 Review Requests

There have been 0 review requests in Quarter 2. 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.

## 2.4 Subsequent Referrals

None to report – see above

## 2.5 Outcome of Investigations

None to report – see above

## 2.6 Parts of the Code Breached

This section is intended to show where there are patterns forming to enable the Audit and 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

# Complaints made to the Monitoring Officer under the Code of Conduct during Q2 2023/24

<u>Qtr 2 23/24</u>	<u>Complaint from</u>	<u>About district/ parish councillor</u>	<u>Regarding</u>	<u>status</u>
	Member of the public	Parish Cllr	Comments on social media	Ongoing
	Member of the public	District Cllr	Comments made at a Committee meeting	Ongoing
	Member of the public	District Cllr	Comments and concerns regarding phone call with councillor	Ongoing

# Ethical Indicators

PERFORMANCE INDICATOR	Q1			Q2			Q3			Q4		
	21/ 22	22/ 23	23/ 24	21/ 22	22/ 23	23/ 24	21/ 22	22/ 23	23/ 24	21/ 22	22/ 23	23/ 24
Instances of concerns raised re Modern Slavery	0	0	0	0	0	0	0	0		1	0	
Instances of concerns raised re Modern Slavery referred to national agencies	0	0	0	0	0	0	0	0		0	0	
Number of whistle blowing incidents reported	0	0	0	0	0	0	0	0		0	0	
Number of Challenges to procurements	0	0	0	0	0	0	0	0		0	0	
Public interest Reports	0	0	0	0	0	0	0	0		0	0	
Objections to the Councils Accounts	0	0	0	0	0	0	0	0		0	0	
Disciplinary action relating to breaches of the Member/Officer Protocol	0	0	0	0	0	0	0	0		0	0	
Follow up action relating to breaches of the Member/Officer Protocol	0	0	0	0	0	0	0	0		0	0	
Use of RIPA powers	0	0	0	0	0	0	0	0		0	0	

# Freedom of Information Requests

	Q1			Q2			Q3			Q4		
	21/22	22/23	23/24	21/22	22/23	23/24	20/21	21/22	22/23	20/21	21/22	22/23
Total Number (FOIs)	102	147	157	107	122	196	152	90	108	94	196	148
% answered on time	82.9%	51%	93%	71.9%	79%	85.7%	75%	95.1%	60%	86%	78.17%	91%
Average per month	34	49	52	36	41	71	51	30	38	31	65	49
Average response time (days)	14	7	11	13	9	12	17	10	14	11	15	13
Withheld due to exemption/fees (FOI and BAU)*	19	0	13	12	0	2	31	15	7	10	13	3
Transfers (TFRs)	18	29	18	12	21	15	25	24	18	23	28	26
Subject access requests (SARs)	1	3	11	2	6	11	12	5	5	5	13	10
Internal Reviews	0	1	1	2	3	2	0	1	3	0	2	1
Environmental Information Requests/ Land Charges Searches (personal)	6	4	6	491	4	7	2	336	7	11	1	7

- We have seen an increase in the number of requests received in Q2
- The % answered on time has decreased slightly. There are multiple factors which may have affected this figure. The number of requests received, new starters and the summer holidays
- The aim is to achieve 90% + response rate which we hope to achieve for Q3
- We do not log requests as a BAU on the new system. All requests are logged on the case management system as an FOI request.

# FOI Exemptions for Q2 23/24

Exemption	Description	FOI	BAU	Total
S21	Information Already Reasonably Accessible			
S22	Information Intended for Future Publication			
S27	International Relations			
S28	Relations within the UK			
S29	The Economy			
S30	Investigations			
S31	Law Enforcement			
S32	Court Records			
S36	Effective Conduct of Public Affairs			
S38	Endangering Health and Safety			
S39	Environmental Information			
S40	Personal Information of the Requester/Personal Information			
S41	Confidentiality			
S42	Legal Professional Privilege			
S43	Trade Secrets and Prejudice to Commercial Interests			
S44	Prohibitions on Disclosure			
<b>Total</b>	<b><i>Number need not match the number of cases. Multiple exemptions may apply to one case.</i></b>	<b>0</b>	<b>0</b>	<b>0</b>



# Definitions

**Business as usual** Information requested can be sent quickly and easily within the normal course of business

**Land Charges** specific information about a particular property

**Ombudsman Complaint** a customer has followed Stage 1 and 2 complaints procedure but unhappy with the outcome they are entitled to take complaint to the Local government Ombudsman who will decide if the Council has a case to answer.

**Subject Access Request** a request by an individual to see information an organisation holds on them

**Transfers** requests received that fall out of our remit i.e. Adult social Care or Highways

**Environmental Information Request** a right for any person to request access to environmental information held by public authorities.