



**OADBY AND WIGSTON BOROUGH COUNCIL**

**STANDARDS AND ETHICAL INDICATORS**

**QUARTER 2 REPORT**

**2019-20**

## 1. Introduction

This is the quarterly report to the Policy Finance and Development Committee detailing both the figures for the Ethical Indicators and the figures for the Local Determination of Complaints process for 2019-20.

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 Policy Finance and Development 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 2019/20.

### 2.1 Source of Complaint

The complainant was a member of staff.

### 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 initialling formal proceedings via the Sub-committee route.

In respect of the above complaint the Monitoring Officer and the Deputy Monitoring Officer spoke with the Member concerned about the tenor of an email sent to an officer which caused offence. The Member involved declined to apologise stating that the content of the email was a statement of fact. Having discussed the matter further with the complainant whilst they were disappointed that the Member had declined to apologise they felt that it was not a good use of public resources to pursue the matter further.

The Monitoring Officer has therefore decided that no further action is warranted in this matter and considers the matter closed.

### 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 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.

## **2.5 Subsequent Referrals**

None to report – see above.

## **2.6 Outcome of Investigations**

There were no formal 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 Policy Finance and Development 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:

Not applicable

(Continued Overleaf)

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20
LG1	Objections to the Council’s Accounts	Head of Finance	0	0	0	0	0		0	
LG2	Follow up Action relating to reaches of the Member/Officer Protocol (Members)	Head of Law & Democracy	0	0	0	0	0		0	
LG3	Disciplinary Action relating to breaches of the Member / Officer Protocol (Staff)	HR Manager	0	0	0	0	0		0	
LG4	Number of Whistle Blowing Incidents Reported	Head of Law & Democracy	0	0	0	0	0		0	
LG5	No. of Recommendations made to improve Governance Procedures/Policies		2	0	1 (C/F)	0	23		20 (C/F)	
LG6	No. of Recommendations Implemented		1	0	1	0	3		20	
Complaints										
LG7	No. L1 Corporate Complaints Received	PA to Senior Leadership Team	16	27	28	36	24		25	
	No. L1 Corporate Complaints Resolved		14	24	27	34	5		1	
	No. L1 Corporate Complaints escalated to L2		2	3	1	2	0		0	
LG7a	Total No. Corporate Complaints Resolved without reference to the Ombudsman		16	25	28	35	24		25	
LG7b	No. Corporate Complaints where compensation paid		0	1	0	0	0			
	Service Area		-	Clean & Green						

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20
LG8	No. Ombudsman complaints received	PA to Senior Leadership Team	2	2	2	1	2		4 (+1 C/F)	
	Service Area		-	- Planning - Bens/Tax	-	- Planning				
LG8a	No. Ombudsman complaints resolved		2	2	2	1	1		5	
LG8b	No. Ombudsman complaints not yet determined by the Ombudsman		0	0	-	-				
LG8c	No. Ombudsman complaints where compensation paid		0	0	1	0				
Freedom of Information Act Indicators										
LG9	Total No. of FOI Requests received	Data Protection Officer	193	235	216	182	200		162	
LG9a	No. of FOI Requests Compliant		185	214	199	159	186		156	
LG9b	No. of Non-compliant FOI Requests		8	21	17	23	14		6	
LG9c	No. of FOI Requests still open and within the 20 working days		0	0	0	8	0		0	
LG9d	No. of FOI Requests withheld due to exemptions/fees applied		5	6	4	11	5		3	

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20
Regulation of Investigatory Powers Act Indicators										
LG10	No. of Directed Surveillance Authorisations granted during the quarter	Head of Law & Democracy	0	0	0	0	0		0	
LG10a	No. in force at the end of the quarter		0	0	0	0	0		0	
LG10b	No. of CHIS recruited during the quarter		0	0	0	0	0		0	
LG10c	No. ceased to be used during the quarter		0	0	0	0	0		0	
LG10d	No. active at the end of the quarter		0	0	0	0	0		0	
LG10e	No. of breaches (particularly unauthorised surveillance)		0	0	0	0	0		0	
LG10f	No. of applications submitted to obtain communications data which were rejected		0	0	0	0	0		0	
LG10g	No. of Notices requiring disclosure of communications data		0	0	0	0	0		0	
LG10h	No. of authorisations for conduct to acquire communications data		0	0	0	0	0		0	
LG10i	No. of recordable errors		0	0	0	0	0		0	

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20	Actual 2018/19	2019/20
Anti-Social Behaviour Indicators										
	No. of Complaints Registered	Head of Community & Wellbeing	6	20	16	17	18		24	
	No. of Disposals		2	14	18	20	10		13	
	No. of Complaints still Open		0	2	3	0	0		3	
	No Further Action		-	4		0				
Food Safety Inspections										
BPE31	No. of Programmed Inspections carried over from previous quarter	Head of Law & Democracy				12		21		
	No. of Programmed Inspections		34	20	52	38	44		78	
	No. of Programmed Inspections Completed		17	8	47	29	35		74	
	No. of Programmed Inspections Outstanding		17	12	5	21	9		4	
			No. of Programmed Inspections includes new registrations of which 11 were received in the last month of Q1 and have been programmed for inspection in Q2.		The deficit in inspections has arisen due to the loss of a staff member combined with annual leave. Arrangements have been made for the outstanding inspections to be completed by the end of November					