



**OADBY AND WIGSTON BOROUGH COUNCIL**

**STANDARDS AND ETHICAL INDICATORS**

**QUARTER 1, 2 & 3 REPORT**

**2020-21**

## 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 2020-21.

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 0 complaints in Quarter 1 of 2020-21.

The Monitoring Officer received 1 complaint in Quarter 2 of 2020-21. The complaint related to treating an officer with a lack of respect.

The Monitoring Officer received 0 complaints in Quarter 3 of 2020-21.

### 2.1 Source of Complaint

The source of the complaint in Q2 was from a member of staff.

### 2.2 Assessment Sub-committee Decisions

There have been No Assessment Sub-committee meetings in these 3 quarters.

### 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 these 3 quarters. 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.

## **2.6 Outcome of Investigations**

There were no formal investigations concluded in this period. Having reflected on the complaint the member of staff concerned decided that they wished no action to be taken and the Monitory Officer resolved the matter by offering words of advice and suggested a period of reflection on the impact of the Member's behaviour on the staff member.

## **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

Ref	Performance Indicator Description	Officer responsible for providing information	Q1		Q2		Q3		Q4	
			2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021
LG1	Objections to the Council's Accounts	Head of Finance	0	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	0	
LG3	Disciplinary Action relating to breaches of the Member / Officer Protocol (Staff)	HR Manager	0	0	0	0	0	0	0	
LG4	Number of Whistle Blowing Incidents Reported	Head of Law & Democracy	0	0	0	0	0	0	0	
LG5	No. of Recommendations made to improve Governance Procedures/Policies		0	0	0	0	0	0	0	
LG6	No. of Recommendations Implemented		0	0	0	0	0	0	0	

**Corporate Complaints**

Ref	Performance Indicator Description	Officer responsible for providing information	Q1		Q2		Q3		Q4	
			2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021
LG7	No. Corporate Complaints received	PA to Senior Leadership Team	27	19	36	15	24	29	25	
	No. Corporate Complaints escalated to L2		3	3	2	1	5	4	1	
	No. Corporate Complaints escalated to Ombudsman		2	1	0	0	0	0	1	
LG7a	No. Corporate Complaints Resolved at L1		27	22	34	14	19	29	24	
	No. Corporate Complaints Resolved at L2		0	3	0	1	5	4	0	
LG7b	No. Corporate Complaints where compensation paid		1	0	0	0	0	0	0	
	Service Area									
LG8	No. Ombudsman complaints received	PA to Senior Leadership Team	2	0	1	1	1	1	1	
	Service Area					Comms		Housing	Housing	
LG8a	No. Ombudsman complaints resolved		2	1	0	1	0	1	0	
LG8b	No. Ombudsman complaints not yet determined by the Ombudsman		0	1	0	0	0	0	0	
LG8c	No. Ombudsman complaints where compensation paid		0	1	0	0	1	0	0	

**Freedom of Information Act Indicators**

Ref	Performance Indicator Description	Officer responsible for providing information	Q1		Q2		Q3		Q4	
			2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021
LG9a	No. of FOI Requests Compliant	Data Protection Officer	214	88	158	127	146	135	168	
LG9b	No. of Non-compliant FOI Requests		21	32	20	27	14	27	25	
LG9c	No. of FOI Requests still open and within the 20 working days		0	0	0	0	9	5	4	
LG9d	No. of FOI Requests withheld due to exemptions/fees applied		6	4	12	3	0	2	2	

**Regulation of Investigatory Powers Act Indicators**

Ref.	Performance Indicator Description	Officer Responsible for Providing Information	Q1		Q2		Q3		Q4	
			2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021
LG10	No. of Directed Surveillance Authorisations granted during the quarter	Head of Law & Democracy	0	0	0	0	0	0	0	
LG10a	No. in force at the end of the quarter		0	0	0	0	0	0	0	
LG10b	No. of CHIS recruited during the quarter		0	0	0	0	0	0	0	
LG10c	No. ceased to be used during the quarter		0	0	0	0	0	0	0	
LG10d	No. active at the end of the quarter		0	0	0	0	0	0	0	
LG10e	No. of breaches (particularly unauthorised surveillance)		0	0	0	0	0	0	0	
LG10f	No. of applications submitted to obtain communications data which were rejected		0	0	0	0	0	0	0	
LG10g	No. of Notices requiring disclosure of communications data		0	0	0	0	0	0	0	
LG10h	No. of authorisations for conduct to acquire communications data		0	0	0	0	0	0	0	
LG10i	No. of recordable errors		0	0	0	0	0	0	0	

## Anti-Social Behaviour Indicators

Ref.	Performance Indicator Description	Officer responsible for providing information	Q1		Q2		Q3		Q4	
			2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021
	No. of Complaints Registered	Head of Community & Wellbeing	20	31	17	28	16	11	22	
	No. of Disposals		14	13	20	2	34	3	16	
	No. of Complaints still Open		0	4	0	0	2	0	5	
	No Further Action (where suspect identified)		-	3	0	3	2	1	1	
	No Further Action (no suspect identified)			11		23		7		

## Food Safety Inspections

Ref.	Performance Indicator Description	Officer responsible for providing information	Q1		Q2		Q3		Q4	
			2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021	2019/2020	2020/2021
BPE31	No. of Programmed Inspections	Head of Law & Democracy	20	46	50	43	23	24		66
	No. of Programmed Inspections Completed		8	4	29	4	40	4		*
	No. of Programmed Inspections Outstanding		12	42	21	*81	8	*101		

- Following, The Food Standard Agency latest guidance on routine food inspections, we have prioritised inspections according to risk (High/ Medium and low) all high and medium risk businesses have or will receive a telephone call to assess compliance, and are requested to send in information/ evidence to us. Once we have received an update from the Agency and release of lockdown restrictions physical inspections will recommence. It is only once a physical inspection is carried out we can complete the inspection and issue a Food Standards Rating.
- We have seen a large increase in new businesses mainly home caterers, all of them have received contact, support and advice to ensure they are compliant with food safety regulations.