

Standards Committee 23 November 2011

Code of Conduct Complaints - Status Report

	Cases received	Cases open (cumulative)	Assessed by Committee – investigation	Assessed by Committee – no investigation	To be assessed by Committee/other	Cases closed
April 2009 to December 2009	44	23	18	10	16	21
January 2010 to December 2010	33	18	4	27	2	38

Appeals received
1 (original decision overturned)
9 (original decision upheld)

Month 2011	Cases received	Cases open (cumulative)	Assessed by Committee – investigation	Assessed by Committee – no investigation	To be assessed by Committee/other	Cases closed
January	3	21	0	3	0	0
February	12	30	0	12	0	3
March	8	32	0	8	0	6
April	10	42	1	9	0	0
May	5	38	4	1	0	9
June	2	21	1	1	0	19
July	12	25	8	4	0	8
August	1	24	1	0	0	2
September	4	25	2	2	0	3
October	7	27	1	5	1	5
November						
December						
Totals	64	n/a	18	45	1	55

Appeals received
0
3 (original decision upheld)
0
2 (original decision upheld)
1 (Original decision upheld)
3 (Original decisions upheld)
0
9

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Hearings

		Type of Hearing	Outcome	
2009		Assessment sub-committees - 27	Investigations – 14 Alternative action – 2 No further action – 11	
2010		Assessment sub-committees – 29	Investigations – 4 Alternative action – 4 No further action – 21	
		Review sub-committees – 10	Original decision upheld – 9 Original decision overturned – 1	
		Consideration sub-committees - 11	Referral for determination – 7 Finding of no breach accepted – 4	
		Determination sub-committees - 6	No breach – 2 No breach & breach (training) - 1 Breach – 3 = 1(censure), 1(training) & 1(no further action)	

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2011	Number of hearings	Date(s) and type(s) of hearing	Outcome	Appeal (Y/N)
January	9	11/01/11 - 3 x Assessment Sub-Committee 11/01/11 – 1 x Consideration Sub-Committee 27/01/11 – 2 x Assessment Sub-Committee 27/01/11 - 3 x Consideration Sub-Committee	3 x no further action 1 x referral to Determination Sub-Committee 2 x no further action 3 x referral to Determination Sub-Committee	Yes (2)
February	5	08/02/11 – 1 x Assessment Sub-Committee 24/02/11 – 1 x Consideration Sub-Committee 24/02/11 – 3 x Assessment Sub-Committee	1 x no further action 1 x no failure to comply 3 x no further action	Yes
March	2	17/03/11 – 1 x Determination Sub-Committee 30/03/11 – 1 x Determination Sub-Committee	1 x no failure to comply 1 x 1 no failure to comply & 4 failures to comply (no sanctions)	n/a
April	20	13/04/11 – 3 x Review Sub-Committee 13/04/11 – 17 x Assessment Sub-Committee	Original decisions upheld 17 x no further action	No
May	15	13/05/11 – 10 x Assessment Sub-Committee 13/05/11 – 2 x Review Sub-Committee 19/05/11 – 3 x Determination Sub-Committee	9 x no further action & 1 x investigation Original decisions upheld 3 x no failure to comply	No
June	6	07/06/11 - 5 x Assessment Sub-Committee 30/06/11 – 1 x Consideration Sub-Committee	1 x no further action & 4 x investigation 1 x referral to Determination Sub-Committee	No
July	2	13/07/11 – 2 x Assessment Sub-Committee	1 x no further action & 1 x investigation	Yes
August	13	02/08/11 – 3 x Assessment Sub-Committee 09/08/11 – 10 x Assessment Sub-Committee	1 x no further action & 2 x investigation 3 x no further action & 7 x investigation	Yes (3)
September	2	15/09/11 – 1 x Assessment Sub-Committee 15/09/11 – 1 x Review Sub-Committee	1 x no further action (investigation commenced but case referred back to assessment sub-committee following resignation of subject member) Original decision upheld	No
October	7	13/10/11 – 4 x Assessment Sub Committee 13/10/11 – 3 x Review Sub-Committee	2 x investigation & 2 x no further action Original decisions upheld	
November	6	07/11/11 – 6 x Assessment Sub-Committee	1 x investigation & 5 x no further action	

Investigations - closed

Case reference	Date of Assessment hearing	Outcome
WC 06/09	13/05/09	Determination Sub-Committee 13 May 2010 – failure to comply (sanction – training)
WC 14/09	23/06/09	Consideration Sub-Committee 15 April 2010 – no failure to comply
WC 15/09	23/06/09	Consideration Sub-Committee 15 April 2010 – no failure to comply
WC 18/09	13/05/09	Determination Sub-Committee 6 October 2010 – no failure to comply
WC 19/09	13/05/09	Determination Sub-Committee 6 October 2010 - no failure to comply
WC 20/09	23/06/09	Determination Sub-Committee 17 March 2011 – no failure to comply
WC 24/09	07/07/09	Determination Sub-Committee 12 April 2010 – failure to comply (sanction- censure)
WC 30/09	07/07/09	Determination Sub-Committee 19 May 2011 – no failure to comply
WC 31/09	07/07/09	Determination Sub-Committee 19 May 2011 – no failure to comply
WC 32/09	07/07/09	Determination Sub-Committee 19 May 2011 – no failure to comply
WC 33/09	07/07/09	Determination Sub-Committee 14 October 2010 – 1 no failure to comply & 1 failure to comply (sanction – training)
WC 38/09	19/11/09	Determination Sub-Committee 5 July 2010 – failure to comply (no further action)
WC 42/09	03/02/10 (Review Sub-Ctte)	Consideration Sub-Committee 7 September 2010 – no failure to comply
WC 09/10	25/05/10	Consideration Sub-Committee 14 December 2010 – no failure to comply
WC 10/10	25/05/10	Determination Sub-Committee 30 March 2011 - 1 no failure to comply & 4 failures to comply (no sanction)
WC 12/10	19/08/10	Consideration Sub-Committee 24 February 2011 – no failure to comply
WC 43/09	02/12/09	Determination Sub-Committee 2 September 2011 - no failure to comply
WC 45/09	02/12/09	Determination Sub-Committee 2 September 2011 - no failure to comply
WC 38/11	07/06/11	Investigation concluded 16/09/11 due to resignation of subject member

Investigations – open

Case reference	Date of Assessment hearing	Progress	Estimated date of final report
WC 33/11	13/05/11	Final report issued 10 November 2011	N/A
WC 34/11	07/06/11	Report being drafted	December 2011
WC 36/11	07/06/11	Report being drafted	December 2011
WC 37/11	07/06/11	Report being drafted	December 2011
WC 39/11	13/07/11	Interviews in progress	January 2012
WC 42/11	02/08/11	Interviews in progress	February 2012
WC 43/11	02/08/11	Interviews in progress	February 2012
WC 47/11	09/08/11	Interviews in progress	January 2012
WC 48/11	09/08/11	Interviews in progress	January 2012
WC 49/11	09/08/11	Interviews in progress	January 2012
WC 53/11	09/08/11	Interviews in progress	January 2012
WC 50/11	09/08/11	Interviews completed – awaiting 1 further piece of evidence	January 2012
WC 51/11	09/08/11	Interviews completed – awaiting 1 further piece of evidence	January 2012
WC 52/11	09/08/11	Interviews completed – awaiting 1 further piece of evidence	January 2012
WC 55/11	13/10/11	Investigating officer appointed	March 2012
WC 56/11	13/10/11	Interviews in progress	January 2012
WC 58/11	07/11/11	Investigating Officer to be appointed	Unknown