

Assessment Criteria

Appendix 5

	Question to ask	Answer	Suggested Criterion
1	Is the complaint anonymous	Yes =	Anonymous complaints will only be referred for investigation or other action if they are exceptionally serious or significant.
2	Has the complainant submitted enough information to satisfy the Assessment Sub-Committee that the complaint should be referred for investigation or other positive action? Does the Assessment Sub-Committee want to invite the complainant to submit further information in support of the complaint for the Assessment Sub-Committee to consider afresh? Does the Assessment Sub-Committee want to indicate the information that should be submitted?	Yes =	“The information provided was insufficient to make a decision as to whether the complaint should be referred for investigation so unless, or until, further information (as detailed below) is received, the authority is taking no further action on this complaint. “
3	Would an alternative route to investigation provide a more effective resolution to the matter? Is there scope for: Mediation, Conciliation, Brokering an apology or Training.	Yes=	The Assessment Sub-Committee may wish to refer the matter to the Monitoring Officer to take alternative action. The Assessment Sub-Committee should however be aware that if the alternative action is not successful the case will not be open to investigation at that stage.
4	Is this complaint too trivial to warrant further action?	Yes =	“The matter is not considered to be sufficiently serious to warrant any action.”
5	Is the complaint about something that happened so long ago that there would be little benefit in taking action now?	Yes =	“The period of time that has passed since the alleged conduct occurred was taken into account when deciding whether this matter

			should be referred for investigation or further action. It was decided under the circumstances that an investigation was not warranted.”
6	Does the complaint appear to be malicious, politically motivated or tit-for-tat?	Yes =	“The matter appears to be malicious or politically motivated or tit-for-tat and it was decided that further action was not warranted”.
7	Has the complaint already been the subject of an investigation or other action relating to the Code of Conduct. Or has the complaint been the subject of an investigation by other regulatory authorities. Is there anything more to be gained by further action being taken.	Yes = No=	“The matter complained of has already been subject to previous investigation or other action, or has been subject to investigation by another regulatory authority and there is nothing more to be gained by further action being taken”.
8	Does the Assessment Sub-Committee want, normally, only to deal with complaints if they occurred after the authority adopted the 2007 version of the Code of Conduct?	Yes =	“Except in the most serious of cases, complaints that disclose a potential breach under the 2001 Code of Conduct but would not constitute a breach under the 2007 Code of Conduct are unlikely to be referred for investigation or further action”.
9	Is the complaint about someone who is no longer a member or co-opted member of the authority but is a member or co-opted member of another authority? If so, does the Assessment Sub-Committee wish to refer the complaint to the Monitoring Officer of that other authority?	Yes =	“Where the member is no longer a member of our authority but is a member of another authority, the complaint will be referred to that authority to consider”.

10	Would investigation serve any useful purpose	No=	“Investigation of this matter would serve no useful purpose because (give reason) therefore it has not been referred for Investigation”
11	Is the case suitable for local investigation or should it be referred to the Standards Board for investigation		