



Referrals: Lessons learnt

Chair: Kathy Farrand, Head of Referrals, Standards Board for England

Bridget Beale, Referrals Case Manager, Standards Board for England

Richard Buck, Referrals Case Manager, Standards Board for England

James Harrigan, Referrals Case Manager, Standards Board for England

Session format

- Part 1: Workload and remit
- Part 2: Decision making
- Part 3: Supporting processes and risk management
- Any questions?

Workload and remit

Bridget Beale
Referrals Case Manager

Our workload

- 3,500 complaints per year
- approx 300 per month
- average referral rate = 20%

Triggers for peaks in our workflow

- elections
- post-summer and Christmas
- media interest in ethics
- dysfunction

Jurisdictional issues

- officers
- corporate decisions
- not a member of the authority
- pre-Code
- clearing one's name

Common issues

- making a complaint
- insufficient details
- incomplete complaints
- informal opinion
- FOI/DPA requests

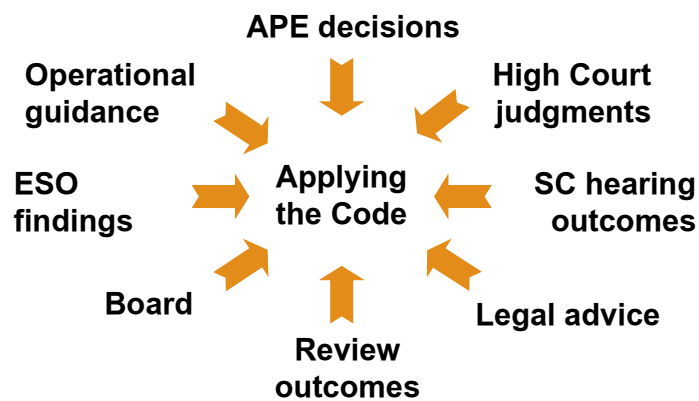
Decision making

Richard Buck
Referrals Case Manager

Decision making

- **Is it a breach?**
- **Is it serious?**
- **Do we have enough information?**

How our decisions are informed



Our discretion and legal guidance

- predetermination
- policy/procedural issues
- employment disputes
- a decision of an authority

Supporting processes and risk management

James Harrigan
Referrals Case Manager

Achieving consistency

- our records management
- our contact management
- our communications

Supporting processes

- preliminary enquiries
- anonymity
- withdrawing a complaint
- reviews

Risk management

- reputational
- legal/judicial
- financial

Sharing our lessons learnt

- provide guidance
- provide a toolkit
- provide support
- any questions?

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