

## **ARRANGEMENTS FOR DEALING WITH CODE OF CONDUCT COMPLAINTS UNDER THE LOCALISM ACT 2011**

### **1. Context**

- 1.1 These Arrangements are made under section 28 of the Localism Act 2011. They set out the process that XXXXX District/Borough Council has adopted for dealing with complaints that an elected or co-opted member or parish/town councillor or co-opted member has failed to comply with the Code of Conduct.

### **2. Interpretation**

- 2.1 District/Borough Council' means XXXX District/Borough Council.
- 2.2 'Code of Conduct' means the Code of Conduct, which the District/Borough [and Parish Council] [has] [have] adopted under section 27(2) of the Localism Act 2011.
- 2.3 'Complainant' means a person who has submitted a complaint in accordance with these Arrangements alleging that a Subject Member has breached the Code of Conduct.
- 2.4 'Disclosable Pecuniary Interest' means those disclosable pecuniary interests that meet the definition prescribed by regulations (as amended from time to time) as set out in Annex 2 to the Code of Conduct.
- 2.5 'Hearing Panel' means the panel appointed by the District/Borough Council to determine the outcome of any complaint alleging a breach of the Code of Conduct by a Subject Member in accordance with these Arrangements.
- 2.6 'Independent Person' means a person or persons appointed by the District/Borough Council under section 28(7) of the Localism Act 2011:
- (a) whose views are to be sought and taken into account by the District/Borough Council before it makes its decision on an allegation that it has decided to investigate and whose views may be sought by the District/Borough Council at any other stage;
  - (b) who may be consulted by the Subject Member about the complaint.
- 2.7 'Investigating Officer' means the person appointed by the Monitoring Officer to undertake a formal investigation of a complaint alleging a breach of the Code of Conduct by a Subject Member. The Investigating Officer may be another senior officer of the District/Borough Council, an officer of another authority or an external investigator.
- 2.8 'Monitoring Officer' is a senior officer of the District/Borough Council who has statutory responsibility for maintaining the Register of Members' Interests and who is responsible for administering the arrangements for dealing with any complaint alleging a breach of the Code of Conduct by a Subject Member. It includes any other officer of the District/Borough Council nominated by the Monitoring Officer to act on their behalf.

- 2.9 'Parish Council' means the relevant parish/town council within the District/Borough of XXXXX.
- 2.10 'Parties' means the Complainant, Subject Member and the Investigating Officer, as appropriate.
- 2.11 'Subject Member' means an elected member or co-opted member of the District/Borough or Parish Council against whom a complaint has been made alleging a breach the Code of Conduct.
- ~~2.12 'Standards (Assessment) Sub Committee' means the Sub Committee established by the Standards Committee of the District Council with responsibility for making recommendations to the Monitoring Officer on whether in relation to a complaint alleging a failure by a Subject Member to comply with the requirements of the Members Code of Conduct no further action should be taken in respect of the complaint or whether the informal disputes resolution procedure should be instigated or whether the complaint should be the subject of an investigation.~~
- ~~2.13 'Standards (Hearings) Sub Committee' means the Sub Committee established by the Standards Committee of the District Council to conduct a hearing in respect of a complaint against a Subject Member referred to it by the Monitoring Officer under these Arrangements and at the conclusion of the hearing and having regard to the opinion of the Independent Person to recommend to the Monitoring Officer whether in the opinion of the Sub Committee there has been a failure by a Subject Member to comply with the Members Code of Conduct and if so, to further recommend what action should be taken in relation to such failure.~~

### **3. Appointment of Independent Person**

- 3.1 The District/Borough Council shall appoint the Independent Person (and any substitute) in accordance with the requirements of section 27 of the Localism Act 2011 upon such terms as to remuneration and expenses as may be determined by the District/Borough Council from time to time.
- 3.2 The Independent Person (and any substitute) shall be treated as if they were a member of the District/Borough Council for the purposes of the District/Borough Council's arrangements for indemnifying and insuring its Members.

### **4. Making a complaint**

- 4.1 A complaint alleging a breach of the Code of Conduct by a Subject Member must be made either:-
- (a) in writing and addressed to the Monitoring Officer using the Complaint Form included within Annex 1 to these Arrangements or,
- (b) via the Council's website using the on-line complaint form provided there.

Complainants who find difficulty in making their complaint in writing (e.g., because of a disability), should inform the Monitoring Officer of any such difficulty and the Monitoring Officer will arrange for assistance to be offered.

- 4.2 The Subject Member will normally be informed of the identity of the Complainant and details of the complaint made against them, but the Complainant's identity and/or

details of their complaint may be withheld at the Complainant's request if it appears to the Monitoring Officer that there are sound reasons for granting such a request (refer to paragraph 5 of Annex 1 to these Arrangements).

- 4.3 The Monitoring Officer will normally acknowledge receipt of a complaint within 15 working days of receiving it. At the same time (and subject to paragraph 4.2 above), the Monitoring Officer will send a copy of the complaint to the Subject Member in accordance with paragraph 1 of Annex 1 to these Arrangements.

## **5. Criminal conduct**

- 5.1 In accordance with section 34 of the Localism Act 2011, it is a criminal offence if, without reasonable excuse, you:
- (a) fail to notify the Monitoring Officer of a Disclosable Pecuniary Interest before the end of 28 days beginning with the day you become, or are re-elected or re-appointed, a Member or Co-opted Member of the authority;
  - (b) fail to notify the Monitoring Officer of a Disclosable Pecuniary Interest before the end of 28 days beginning with the day you become aware of it, where you are acting alone in the course of discharging a function of the authority (including making a decision in relation to the matter) and the interest is not already registered or is not the subject of a pending notification to the Monitoring Officer;
  - (c) fail to disclose a Disclosable Pecuniary Interest at a meeting, where such interest has not already been registered or notified to the Monitoring Officer;
  - (d) fail to notify the Monitoring Officer of a Disclosable Pecuniary Interest before the end of 28 days beginning with the day you disclose it at a meeting, where such interest has not already been registered or notified to the Monitoring Officer;
  - (e) take part in discussions or votes at meetings that relate to the Disclosable Pecuniary Interest, unless a dispensation has been granted;
  - (f) knowingly or recklessly provide false or misleading information in any of the above disclosures or notifications.
- 5.2 Where a complaint against a Subject Member relates to conduct of a criminal nature referred to above, the Monitoring Officer will deal with the complaint in accordance with paragraph 4(4) of Annex 1 to these Arrangements.

## **6. Anonymous complaints**

- 6.1 Complainants must provide their full name and address. An anonymous complaint will only be accepted by the Monitoring Officer, providing it is accompanied by corroborating evidence that indicates to the Monitoring Officer that it is in the public interest to accept the complaint. The Monitoring Officer may consult the Independent Person.

## **7. Role of Independent Person**

- 7.1 The Independent Person must be consulted and have their views taken into account before the District/Borough Council makes a finding as to whether a Member has

failed to comply with the Code or decides on action to be taken in respect of that Member. At any other stage of the complaints process under these Arrangements, the Independent Person may be consulted by the Monitoring Officer and/or the Subject Member.

## **8. Preliminary tests**

- 8.1 The Monitoring Officer will put the complaint through a number of preliminary tests, in accordance with paragraph 2 of Annex 1 to these Arrangements and may do so in consultation with the Independent Person.
- 8.2 In the event that the Independent Person is being consulted and is unavailable or unable to act, the time limits specified in paragraph 2 of Annex 1 may either be extended by the Monitoring Officer or the Monitoring Officer may act alone in taking the decision or action.

## **9. Informal resolution**

- 9.1 The Monitoring Officer may consider that the complaint can be resolved informally at any stage in accordance with paragraph 6 of Annex1 to these Arrangements and may do so in consultation with the Independent Person.

## ~~**9. Standards (Assessment) Sub Committee – Local Assessment Criteria**~~

- ~~9.1 In all cases referred to it by the Monitoring Officer the Standards (Assessment) Sub Committee will consider the complaint by applying the Local Assessment Criteria tests in accordance with Paragraph 1.4 of Annex 2 to these Arrangements. The Sub-Committee will then make a recommendation to the Monitoring Officer for action as follows:-~~
- ~~(a) That No Further Action be taken in respect of the complaint; or~~
- ~~(b) That the Informal Disputes Resolution Procedure be instigated in respect of the complaint; or~~
- ~~(c) That an Investigating Officer be appointed to investigate the complaint~~
- ~~9.2 Within five working days of the date of meeting the Standards Assessment Sub Committee will records it recommendations in writing along with summary reasons for such recommendations and submit them to the Monitoring Officer~~
- ~~9.3 Within three working days of the date of receipt of the recommendations of the Standards (Assessment) Sub Committee the Monitoring Officer will, having regard to the local assessment criteria tests and the recommendations of the Standards (Assessment) Sub Committee, determine whether:~~
- ~~(a) No Further Action be taken in respect of the complaint; or~~
- ~~(b) The Informal Disputes Resolution Procedure be instigated; or~~
- ~~(c) An Investigating Officer be appointed to investigate the complaint.~~
- ~~9.4 The Monitoring Officer will prepare a written Decision Notice within two working days or the date of their determination on the complaint giving the reasons for their decision and a copy will be sent to:~~
- ~~(a) The Complainant;~~
- ~~(b) The Subject Member;~~
- ~~(c) If the Subject Member is a District Councillor and a member of a recognised Political Group, the Group Leader of that Political Group; and~~
- ~~(d) If the Subject Member is a Town or Parish Councillor, the Clerk of the Town or Parish Council in question.~~

## **10. Investigation**

- 10.1 If the Monitoring Officer decides that the complaint merits formal investigation, they will, normally within 30 working days of receiving it, appoint an Investigating Officer to undertake the investigation, and inform the Parties of the appointment.
- 10.2 The Investigating Officer will investigate the complaint in accordance with Annex 2 to these Arrangements.

## **11. Hearing**

- 11.1 If the Monitoring Officer, considers that informal resolution is not appropriate or is unlikely to be achieved, then they will convene a meeting of the Hearing Panel to determine the outcome of the complaint in accordance with Annex 3 to these Arrangements.

## **12. Sanctions**

- 12.1 Where a Subject Member has been found by the Hearing Panel to have breached the Code of Conduct, the Hearing Panel may apply any one or more sanctions in accordance with paragraph 12 of Annex 3 to these Arrangements.

## ~~**12 Investigating Officer's Opinion - 'No Breach'**~~

~~12.1 If the Investigating Officer is of the opinion that the Subject Member has not failed to comply with the requirements of the Members Code of Conduct the Monitoring Officer will consult with the Independent Person and unless the Independent Person considers that the complaint should be referred to the Standards (Hearings) Sub Committee to conduct a hearing the Monitoring Officer will resolve to take No Further Action in respect of the complaint and notify all those persons notified in accordance with Paragraph 9.4 of these Arrangements.~~

~~12.2 The Monitoring Officer will report their decision to take No Further Action to the next ordinary meeting of the Standards Committee as an information item.~~

## ~~**13 Investigating Officer's Opinion - 'Breach'**~~

~~13.1 If the Investigating Officer is of the opinion that the Subject Member has failed to comply with the requirements of the Members Code of Conduct the Monitoring Officer will convene a meeting of the Standards (Hearings) Sub Committee to conduct a hearing into the complaint. The hearing will be conducted in accordance with Annex 4 to these Arrangements~~

~~13.2 The Monitoring Officer will report their decision to refer a complaint to the Standards (Hearings) Sub Committee to the next ordinary meeting of the Standards Committee as an information item.~~

## ~~**14 Decision on a Complaint**~~

~~14.1 At the conclusion of a hearing and, taking into account the opinion of the Independent Person, the Standards (Hearings) Sub Committee will form an opinion on whether the Subject Member has failed to comply with the requirements of the Members Code of Conduct and notify the Monitoring Officer accordingly. In the event~~

~~that the Standards (Hearings) Sub Committee is of the opinion that there has been a failure by the Subject Member to comply with the requirements of the Members Code of Conduct it shall recommend to the Monitoring Officer what action to take (if any) in respect of such failure.~~

~~14.2 The Monitoring Officer will then make a determination on whether the Subject Member has failed to comply with the requirements of the Members Code of Conduct having regard to the opinion and recommendations of the Standards (Hearings) Sub Committee and the opinion of the Independent Person.~~

### **13. Appeal**

13.1 There is no right of appeal for the Complainant or the Subject Member against decisions of either the Monitoring Officer or the Hearing Panel.

### **14. Discontinuance of Action**

14.1 In the event that the Subject Member has died, is seriously ill or has ceased to be an elected member or co-opted member of the District/Borough or Parish Council the Monitoring Officer may determine to end the complaints process.

### **15. Revision of these Arrangements**

15.1 The District/Borough Council may by resolution agree to amend these Arrangements and has delegated to the Monitoring Officer [and the Hearing Panel] the right to depart from these Arrangements, where considered expedient to do so in order to secure the effective and fair consideration of any matter.

## **Annexes**

**Annex 1 - Procedure on Receipt of A Complaint**

**Annex 2 - Procedure For Investigating The Complaint**

**Annex 3 - Hearing Panel Procedure**