

## **Arrangements For Dealing With Complaints Against Members Under The Localism Act 2011**

### **1. Context**

These “Arrangements” set out how you may make a complaint that an elected or co-opted member of this Authority has failed to comply with the Authority’s Code of Conduct, and sets out how the Authority will deal with allegations of a failure to comply with the Authority’s Code of Conduct.

### **2. The Code of Conduct**

The Council has adopted a Code of Conduct for Members [which will be attached when Council have adopted the Code], which is attached as Appendix 1 to these arrangements and available for inspection on the Authority’s website and on request.

### **3. Making a Complaint**

If you wish to make a complaint, please write or email to:

The Monitoring Officer  
Law & Governance  
Oxfordshire County Council  
County Hall  
New Road  
Oxford  
OX1 1ND

or

[standards.monitoringofficer@oxfordshire.gov.uk](mailto:standards.monitoringofficer@oxfordshire.gov.uk)

The Monitoring Officer is a Senior Officer of the Authority who has statutory responsibility for maintaining the Register of Members’ Interests and who is responsible for administering the system in respect of complaints of Member misconduct.

In order to ensure that we have all the information which we need to be able to process your complaint, please complete and send us the complaint form, which can be downloaded from the Authority’s website and is also available on request.

Please provide us with your name and a contact address or email address, so that we can acknowledge receipt of your complaint and keep you informed of its progress. If you want to keep your name and address confidential, please explain your reasons in this space provided on the complaint form. The Authority does not normally investigate anonymous complaints, unless there is a clear public interest in doing so.

The Monitoring Officer will acknowledge receipt of your complaint within 5 working days of receiving it, and will keep you informed of the progress of your complaint.

#### **4. Will Your Complaint Be Investigated?**

The Monitoring Officer will review every complaint received and, after consultation with the Independent Person, take a decision as to whether it merits formal investigation. This decision will normally be taken within 14 days of receipt of your complaint. Where the Monitoring Officer has taken a decision, he/she will inform you of his/her decision and the reasons for that decision.

Where he/she requires additional information in order to come to a decision, he/she may come back to you for such information, and may request information from the Member against whom your complaint is directed.

In appropriate cases, the Monitoring Officer may seek to resolve the complaint informally, without the need for a formal investigation. Such informal resolution may involve the Member accepting that his/her conduct was unacceptable and offering an apology, or other remedial action by the Authority. Where the Member or the Authority make a reasonable offer of local resolution, but you are not willing to accept that offer, the Monitoring Officer will take account of this in deciding whether the complaint merits formal investigation.

If your complaint identifies criminal conduct or breach of other regulation by any person, the Monitoring Officer has the power to call in the Police and other regulatory agencies.

Before taking any decision, the Monitoring Officer will consult the Independent Person.

#### **5. How Is The Investigation Conducted?**

The Monitoring Officer will determine the procedure to be adopted if a decision is taken to undertake a formal investigation. This may involve the appointment of an Investigating Officer, who may be another Senior Officer of the Authority, an Officer of another Authority or an external investigator.

It would be usual to write to the Member against whom you have complained and provide him/her with a copy of your complaint, and ask the Member to provide his/her explanation of events, and to identify what documents he needs to see and who he needs to interview. In exceptional cases, where it is appropriate to keep your identity confidential or disclosure of details of the complaint to the Member might prejudice the investigation, the Monitoring Officer can delete your name and address from the papers given to the Member, or delay notifying the Member until the investigation has progressed sufficiently.

At the end of the investigation, a report will be prepared for the Monitoring Officer to consider and who send copies to the complainant and the Member

concerned.

## **6. What Happens If There Appears To Be No Evidence Of A Failure To Comply With The Code of Conduct?**

The Monitoring Officer will review the Investigating Officer's report (if applicable) and consult the Independent Person. If he/she is satisfied that the report is sufficient and no further action is required, the Monitoring Officer will write to you and the Member giving you both a copy of the final report.

## **7. What Happens If There Appears To Be Evidence Of A Failure To Comply With The Code Of Conduct?**

The Monitoring Officer will review any relevant report and consult the Independent Person. The Monitoring Officer will then either send the matter for local hearing before the Members' Advisory Panel or seek local resolution.

### **7.1. Local Resolution**

The Monitoring Officer may consider that the matter can reasonably be resolved without the need for a hearing. In such a case, he/she will consult with the Independent Person and with you as complainant and seek to agree what you consider to be a fair resolution which also helps to ensure higher standards of conduct for the future. Such resolution may include the Member accepting that his/her conduct was unacceptable and offering an apology, and/or other remedial action by the Authority. If the Member agrees with the suggested resolution, the Monitoring Officer will report the matter to the Audit and Governance Committee for information, but will take no further action.

### **7.2. Local Hearing**

If the Monitoring Officer considers that local resolution is not appropriate, particularly if the allegation relates to serious misconduct, then the Monitoring Officer will report the matter to the Members' Advisory Panel which will conduct a local hearing to consider whether the Member has failed to comply with the Code of Conduct and, if so, whether to recommend action in respect of the Member.

The Monitoring Officer will request that the Member gives his/her response to the Investigating Officer's report, in order to identify what is likely to be agreed and what is likely to be in contention at the hearing, and the Chairman of the Members' Advisory Panel may issue directions as to the manner in which the hearing will be conducted. At the hearing, the Investigating Officer will present his/her report, call such witnesses as he/she considers necessary and make representations to substantiate his/her conclusion that the Member has failed to comply with the Code of Conduct. For this purpose, the Investigating Officer may ask you as the complainant to attend and give evidence at the Members' Advisory Panel. The Member will then have an opportunity to

give his/her evidence, to call witnesses and to make representations to the Members' Advisory Panel as to why he/she considers that he/she did not fail to comply with the Code of Conduct.

**8. What Action Can The Members' Advisory Panel Take Where A Member Has Failed To Comply With The Code Of Conduct?**

The Members' Advisory Panel may recommend the Monitoring Officer to:

- 8.1. Censure or reprimand the member;
- 8.2. Publish its findings in respect of the Member's conduct;
- 8.3. Report its findings to Council for information;
- 8.4. Recommend to the Member's Group Leader (if applicable) that he/she be removed from any or all Committees or Sub-Committees of the Council;
- 8.5. Recommend to the Leader of the Council that the Member be removed from the Cabinet, or removed from particular Portfolio responsibilities;
- 8.6. Recommend to Council that the member be replaced as Executive Leader;
- 8.7. Instruct the Monitoring Officer to offer training for the Member;
- 8.8. Withdraw facilities provided to the Member by the Council, such as a computer, website and/or email and Internet access, or
- 8.9. Exclude the Member from the Council's Offices or other premises, with the exception of meeting rooms as necessary for attending Council, Committee and Sub-Committee meetings.

The Monitoring Officer and the Members' Advisory Panel has no power to suspend or disqualify the Member, to withdraw Members' or special responsibility allowances, or to recommend other outcomes.

**9. What Happens At The End Of The Hearing?**

At the end of the hearing, the Chairman will state the conclusion of the Members' Advisory Panel as to whether the Member failed to comply with the Code of Conduct and as to any actions which the Members' Advisory Panel wishes to recommend to the Monitoring Officer.

Before any recommendation is made, it will provide a further opportunity to the Member to make further representations, hear further from the Independent Person before making a recommendation as to action to the Monitoring Officer.

The Monitoring Officer will take the Panel's recommendation(s) into account in

determining any action to be taken. As soon as reasonably practicable thereafter, the Monitoring Officer shall prepare a formal decision notice and send a copy to you, to the Member, make that decision notice available for public inspection and report the decision to the next convenient meeting of the Audit and Governance Committee.

#### **10. Who Are Members' Advisory Panel?**

The Members' Advisory Panel is a Working Group of the Council's Audit and Governance Committee. The Panel will comprise a maximum of three Members of the Council drawn from at least two different political parties together with the Monitoring Officer and such other Officers as he/she may designate. The Panel may include not more than one Member of the Authority's Cabinet.

The Independent Person is invited to attend all meetings of the Members' Advisory Panel and his/her views are sought and taken into consideration before the Members' Advisory Panel reaches any conclusion on whether the Member's conduct constitutes a failure to comply with the Code of Conduct and as to any recommendations to the Monitoring Officer for action following a finding of failure to comply with the Code of Conduct.

#### **11. Who Is The Independent Person?**

The Independent Person is a person who has applied for the post following advertisement of a vacancy for the post, and is appointed by a positive vote from a majority of all Members' of the Council.

The Council will, so far as is reasonably practicable, appoint two Independent Persons to undertake this role.

#### **12. Revision Of These Arrangements**

The Council may by resolution agree to amend these arrangements, and has delegated to the Monitoring Officer the right to depart from these arrangements where he/she considers that it is expedient to do so in order to secure the effective and fair consideration of any matter.

#### **13. Appeals**

There is no right of appeal for you as complainant or for the Member against a decision of the Monitoring Officer or the recommendation of the Members' Advisory Panel.

If you feel that the Authority has failed to deal with your complaint properly, you may make a complaint to the Local Government Ombudsman.

Peter G Clark  
County Solicitor and Monitoring Officer

Date: April 2012