

Oxford City Council

Arrangements for Dealing with Allegations of Breaches of the
Code of Conduct for Members

1. Context

These arrangements set out how you may make a complaint that an elected or co-opted member of this authority or of a parish council within our area 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.

Under Section 28(6) and (7) of the Localism Act 2011, the Council must have in place "arrangements" under which allegations that a member or co-opted member of the authority or of a parish council within the authority's area or of a Committee or Sub-Committee of the authority, has failed to comply with that authority's Code of Conduct can be investigated and decisions made on such allegations.

Such arrangements must provide for the authority to appoint at least one Independent Person, whose views must be sought by the authority before it takes a decision on an allegation which it has decided shall be investigated, and whose views can be sought by the authority at any other stage, or by a member or a member or co-opted member of a parish council against whom an allegation has been made.

2. The Code of Conduct

The Council has adopted a Code of Conduct for members, which is attached as Appendix One to these arrangements and which is available for inspection on the authority's website and at the Town Hall.

Each parish council is also required to adopt a Code of Conduct. If you wish to inspect a Parish Council's Code of Conduct, you should inspect any website operated by the parish council and request the parish clerk to allow you to inspect the parish council's Code of Conduct.

3. Making a complaint

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

The Monitoring Officer
Law & Governance
Oxford City Council
St Aldates Chambers
109-113 St Aldates
Oxford OX1 1DS

Or – Standards_monitoringofficer@oxford.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 model complaint form, which can be downloaded from the authority's website, next to the Code of Conduct, and is available on request from Reception at the Town Hall.

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 indicate this in the 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 an Independent Person(s), take a decision as to whether it merits formal investigation. This decision will normally be taken within 21 working 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 the Monitoring Officer 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. *Where your complaint relates to a Parish Councillor, the Monitoring Officer may also inform the Parish Council of your complaint and seek the views of the Parish Council before deciding whether the complaint merits formal investigation.*

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 makes 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 or any other officer will refer the complaint to the Police or other regulatory agencies. If you consider there has been criminal conduct then you may go directly to the Police or other regulatory agency.

5. How is the investigation conducted?

If the Monitoring Officer decides that a complaint merits formal investigation, he/she will appoint an Investigating Officer, who may be another officer of the authority, an officer of another authority or an external investigator. The Investigating Officer will decide whether he/she needs to meet or speak to you to understand the nature of your complaint and so that you can explain your understanding of events and suggest what documents the Investigating Officer needs to see, and who the Investigating Officer needs to interview.

The Investigating Officer would normally 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/she needs to see and who he/she 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 his/her investigation, the Investigating Officer will produce a draft report and will send copies of that draft report, in confidence, to you and to the member concerned, to give you both an opportunity to identify any matter in that draft report which you disagree with or which you consider requires more consideration.

Having received and taken account of any comments which you may make on the draft report, the Investigating Officer will send his/her final report to the Monitoring Officer.

6. What happens if the Investigating Officer concludes that there is no evidence of a failure to comply with the Code of Conduct?

The Monitoring Officer will review the Investigating Officer's report and, if he/she is satisfied that the Investigating Officer's report is sufficient, the Monitoring Officer will write to you and to the member concerned *[and to the Parish Council, where your complaint relates to a Parish Councillor]*, notifying you that he/she is satisfied that no further action is required, and give you both a copy of the Investigating Officer's final

report. If the Monitoring Officer is not satisfied that the investigation has been conducted properly, he/she may ask the Investigating Officer to reconsider his/her report. In considering the report, the Monitoring Officer may consult with an Independent Person(s) if he/she considers it appropriate to do so.

7. What happens if the Investigating Officer concludes that there is evidence of a failure to comply with the Code of Conduct?

The Monitoring Officer will review the Investigating Officer's report and will then either send the matter for local hearing before the Standards Committee or after consulting an Independent Person(s) 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 an Independent Person(s) and with you as a complainant and seek to agree a fair resolution of the complaint 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 complies with the suggested resolution, the Monitoring Officer will report the matter to the Standards Committee *and the Parish Council* for information, but will take no further action.

7.2 Local Hearing

If the Monitoring Officer considers that local resolution is not appropriate (which may be because you are not satisfied by the proposed resolution) or the member concerned is not prepared to undertake any proposed remedial action, such as giving an apology, then the Monitoring Officer will report the Investigating Officer's report to the Standards Committee which will conduct a local hearing before deciding whether the member has failed to comply with the Code of Conduct and, if so, whether to take any action in respect of the member.

The Monitoring Officer will conduct a "pre-hearing process" requiring the member to give 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 Chair of the Standards Committee 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 to the Standards Committee. The member will then have an opportunity to give his/her evidence, to call witnesses and to make representations to the Standards Committee as to why he/she considers that he/she did not fail to comply with the Code of Conduct.

The Standards Committee, with the benefit of any advice from an Independent Person(s), may conclude that the member did not fail to comply with the Code of Conduct, and so dismiss the complaint.

If the Standards Committee concludes that the member did fail to comply with the Code of Conduct, the Chair will inform the member of this finding and the Standards Committee will then consider what action, if any, it should take as a result of the member's failure to comply with the Code of Conduct. In doing this, the Committee will give the member an opportunity to make representations and will consult an Independent Person(s).

8. What action can the Standards Committee take where a member has failed to comply with the Code of Conduct?

The Council has delegated to the Standards Committee such of its powers to take action in respect of individual members as may be necessary to promote and maintain high standards of conduct. Accordingly the Standards Committee may –

1. Censure or reprimand the member;
2. Publish its findings in respect of the member's conduct;
3. Report its findings to Council *or to Parish Council* for information;
4. Recommend to the member's group Leader (or in the case of un-grouped members, recommend to Council or to Committees) that he/she be removed from any or all Committee or Sub-Committees of the Council;
5. Recommend to the Leader of the Council that the member be removed from the Cabinet, or removed from particular Portfolio responsibilities;
6. Recommend to Council that the member be replaced as Executive Leader;
7. Instruct the Monitoring Officer to *or recommend that the Parish Council* arrange training for the member.

The Standards Committee has no power to suspend or disqualify the member or to withdraw or suspend allowances or restrict access to or use of Council facilities.

9. What happens at the end of the Hearing?

At the end of the hearing, the Chair will state the decision of the Standards Committee as to whether the member failed to comply with the Code of Conduct and as to any actions which the Standards Committee resolves to take.

As soon as reasonably practicable thereafter, the Monitoring Officer shall prepare a formal decision notice in consultation with the Chair of the Committee, and send a copy to you, to the member (*and to the Parish Council if appropriate*), make that decision notice available for public inspection and, if so directed, report the decision to the next convenient meeting of the Council.

10. Appeals

There is no right of appeal for you as complainant or for the member against a decision of the Monitoring Officer or of the Standards Committee.

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

11. What is the Standards Committee?

The Standards Committee is a politically balanced Committee of Council. It is comprised of seven members of the Council, including not more than one member of the authority's Executive and comprising members drawn from at least 2 different political parties. Subject to those requirements, it is appointed on the nomination of party group leaders in proportion to the strengths of each party group on the Council. The Parish Councils within the city will also be invited to nominate one representative to the Committee.

The Independent Persons are invited to attend all meetings of the Committee and their views are sought and taken into consideration before the Committee takes any decision on whether the member's conduct constitutes a failure to comply with the Code of Conduct and as to any action to be taken following a finding of failure to comply with the Code of Conduct. The Independent persons and the Parish Council representative do not, however, have voting rights on the Committee. Their role is an advisory one.

12. Who are the Independent Persons?

Independent Persons are persons who have applied for the post following advertisement of a vacancy, they are appointed by a majority of all the members of Council.

A person cannot be “independent” if he/she –

1. Is, or has been within the past 5 years, a member, co-opted member or officer of the authority;
2. Is, or has been within the past 5 years, a member, co-opted member or officer of a parish council within the authority’s area, or;
3. Is a relative, or close friend, of a person within paragraph 1. or 2 above. For this purpose, “relative” means –
 - 3.1 Spouse or civil partner;
 - 3.2 Living with the other person as husband and wife or as if they were civil partners;
 - 3.3 Grandparent of the other person;
 - 3.4 A lineal descendent of a grandparent of the other person;
 - 3.5 A parent, sibling or child of a person within paragraphs.3.1 or 3.2
 - 3.6 A spouse or civil partner of a person within paragraphs.3.3, .3.4 or.3.5; or
 - 3.7 Living with a person within paragraphs.3.3, 3.4, 3.5 as husband and wife or as if they were civil partners.

13. Revision of these arrangements

The Council may by resolution agree to amend these arrangements. The Standards Committee, on the advice of the Monitoring Officer, may depart from these arrangements where it is necessary to do so in order to secure the effective and fair consideration of any matter.

COMPLAINT FORM

If you have any questions or difficulties filling in this form or if for any reason you are in need of support in completing this form, please telephone 01865 252191

You can also e-mail us on **standards_monitoringofficer@oxford.gov.uk**

Please note

- a. Complaints can only be accepted in writing;
- b. An officer from the Council may contact you personally to go through the details of your complaint;
- c. The Council is unlikely to be able to keep your identity or the information you have provided confidential. If you have serious concerns about disclosure of your name and a summary of your complaint, please complete Section 4 on confidential information;
- d. Please read the leaflet *How to make a complaint* prior to completing this form.

Section 1: Your contact details

Title:	
First Name:	
Surname:	
House Number/Name	
Road/Street	
Town/City:	
Postcode:	
Telephone/Mobile:	
E-mail address:	

Please tick the box which complainant type best describes you:-

- Member of the Public
- Elected/Co-opted Member of the Authority
- Independent Member of the Standards Committee
- Member of Parliament
- Local authority Monitoring Officer
- Other Local Authority Officer/Employee
- Other (Please specify)

Section 2: Your complaint

Who are you complaining about?

Please give the name of the Councillor/s, Member/s Independent or Co-opted Member/s of Oxford City Council or Parish Council within the City that you consider has broken the Code of Conduct.

Name of individual/s (include both first and last names)

1.
2.
3.
4.
5.

Section 3: What are you complaining about?

Please provide us with as much information as you can about your complaint to help us decide whether or not it should be investigated. Include the date and details of the alleged misconduct, and any information that supports the allegation. If you are complaining about more than one member you should clearly explain what each individual member has done that you believe has breached the Code of Conduct.

We can only investigate complaints that a member has broken the Code of Conduct for members (please see the document **How to make a complaint** referred to above). You can continue on a separate sheet if there is not enough space on this form.

Evidence (if this applies)

Please attach to this form copies of any correspondence, documents, names and details of witnesses, and any other evidence that you feel is relevant to your complaint. Please avoid sending us large amounts of background information that only relate indirectly to your complaint.

Please briefly describe the *documents* you will be enclosing:-

1.
2.
3.
4.
5.
6.

Tick this box if you would like us to return the evidence to you.

Section 4: Confidential information (this part only applies if you are asking for your identity to be kept confidential)

In the interests of fairness and natural justice, we believe Members who are complained about have a right to know who has made the complaint. We also believe that they have a right to be provided with a summary of the complaint. We are unlikely therefore to withhold your identity or the details of your complaint unless there is a good reason. For example, where the disclosure of personal details may result in the evidence being compromised or destroyed by the subject member or if there is a real possibility of intimidation of the complainant or witnesses by the subject member.

Please note that requests for confidentiality or requests for suppression of complaint details will not automatically be granted. The assessment of your request will be undertaken by the Panel who will carry out the initial assessment of your complaint. We will then contact you with the decision. If your request is not granted, we will allow you the option of withdrawing your complaint. It is important to understand that in certain exceptional circumstances where the matter complained of is very serious, we can proceed with an investigation or other action and disclose your name even if you have asked us not to.

Please provide details of why you believe we should withhold your name/details of your complaint below:-

Please consider the complaint I have described above and the evidence attached. I understand and accept that the details will normally be disclosed to the Member and any parties involved in the complaints procedure or outside authorities required to monitor the Council's complaints procedure by law. It may also be shared with the police in the prevention or detection of crime.

Signature: _____

Date: _____

Please send this form together with any attachments to:-

**The Monitoring Officer
Oxford City Council
St Aldate's Chamber
St Aldate's
Oxford OX1 1DS.**

Or by e-mail to standards_monitoringofficer@oxford.gov.uk