

**Harborough District Council’s “Arrangements”
for dealing with Ethical Governance allegations under the Localism Act 2011**

1. Context

These “Arrangements” set out how to make a complaint that an elected or co-opted Member of this Council or of a Parish or Town Council in the area has failed to comply with the Code of Conduct, and sets out how the Council will deal with allegations of a failure to comply with the Code of Conduct.

Under Sections 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 Council or of a Parish or Town Council in the area has failed to comply with the Code of Conduct can be investigated and decisions made on such allegations.

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

2. The Code of Conduct

The Council has adopted a Code of Conduct for its Members, which is attached at Appendix 2 to these arrangements and is available for inspection on the Council’s Website and on request from Reception at the Council Offices.

Each Parish and Town Council is also required to adopt a Code of Conduct. This is a matter for each individual authority to consider.

3. Making a complaint

If you wish to make a complaint, please complete the Model Complaint Form at Appendix 1.

At this stage, please do not submit any additional documents. If further information is thought necessary to enable your complaint to be processed, you will be asked to produce it.

Please send your completed form to:
“The Monitoring Officer”
Harborough District Council
The Symington Building, Adam and Eve Street
Market Harborough
LE16 7AG
[Or \[add email address\]](#)

The Monitoring Officer is a Senior Officer of the Council who has statutory responsibility for maintaining the Register of Members' Interests and is responsible for administering the system in respect of complaints of Member misconduct and is the Council's Proper Officer for such matters.

In order to ensure that we have all the relevant information which we need to be able to process your complaint, please complete the Model Complaint Form at Appendix 1, which can be downloaded from the Council's Website, next to the Code of Conduct, and is available on request from Reception at the Council Offices.

At this stage, we would ask that you confine your comments to the Model Complaint Form and do not submit any additional documents. If, on consideration of your complaint, further information/documentation is thought necessary, you will be asked to provide it and, if your complaint is the subject of investigation, the Investigating Officer will afford you the opportunity to provide further information/documentation in support of your complaint.

Please provide us with your name and a contact address or email address so 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 and the reason why, in the space provided on the Model Complaint Form.

As a matter of fairness and natural justice, a Member should usually be told who has complained about them. However, there may be exceptional circumstances where a complainant's identity should be withheld from disclosure such as where the complainant has reasonable grounds for believing they will be at risk of physical harm if their identity is disclosed or their employment may be placed at risk or there is a risk that any investigation may be impeded or interfered with. In such cases, the Monitoring Officer will refer the issue of disclosure to the [Ethical Governance Committee Assessment Panel](#) who, in reaching a decision on the issue, will carefully balance the public interest in ensuring that the Member complained of is aware of who has complained against them against the complainant's wish that their identity be withheld. The Council does not normally investigate anonymous complaints save where it considers the provisions in the Assessment Criteria at Appendix 3 on such complaints are met.

The Monitoring Officer will acknowledge receipt of your complaint within 5 working days of receiving it. A full copy of your complaint will, subject to any ruling on disclosure, ordinarily be sent to the Member complained of inviting their written comments within 10 working days. Thereafter, arrangements will be made for your complaint to be assessed as soon as practicable in accordance with the procedures detailed in paragraph 4.

It should be noted that complaints which allege that Members may have committed a criminal offence in breaching the "disclosable pecuniary interest" provisions under Section 34 of the Localism Act 2011, will be referred by the Monitoring Officer to Leicestershire Police for consideration, in accordance with the Protocol at Appendix 8.

4. Will your complaint be investigated?

For complaints concerning Members of Parish and Town Councils, where those Members are not also Members of Harborough District Council, ordinarily the Monitoring Officer will assess such complaints against the Assessment Criteria at Appendix 3 and, after consultation with the Independent Person, take a decision as to whether a formal investigation is merited.

The Monitoring Officer may, however, in his discretion refer complaints to [the Ethical Governance Committee](#) ~~an Assessment Panel~~ to assess where he feels it reasonable and appropriate to do so such as where the Monitoring Officer has had prior involvement in the complaint.

For complaints concerning Members of Harborough District Council (or where the Monitoring Officer has exercised his discretion to refer a Parish and Town Council related complaint) either in their capacity as Parish or Town Council Members or as Members of the Council, ~~the Ethical Governance Committee~~ ~~Assessment Panel~~ will ~~be convened to~~ assess whether the complaint should be investigated. In considering the matter, the [Ethical Governance Assessment Panel](#) shall consult and consider the views of the Independent Person and apply the Assessment Criteria.

Decisions on whether a complaint will be investigated will normally be taken within 28 days of receipt of the complaint, [except in exceptional circumstances](#). A formal notice of decision will be issued in each case. The decision of the Monitoring Officer or [Ethical Governance Committee](#) ~~Assessment Panel~~ is final and is not subject to a right of appeal.

Where the Monitoring Officer or the [Ethical Governance Committee](#) ~~Assessment Panel~~ requires additional information in order to come to a decision, you may be contacted to provide such further information, as may the Member against whom your complaint is directed.

Where your complaint relates to a Member of a Parish or Town Council, the Monitoring Officer may also inform the Clerk of the Parish or Town Council concerned of your complaint and seek the views of the Parish or Town Council before deciding whether the complaint merits formal investigation.

In appropriate cases, the Monitoring Officer or [Ethical Governance Committee](#) ~~Assessment Panel~~ 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 the complaint maybe considered suitable for mediation or such other remedial action by the Council on the recommendation of the Monitoring Officer. Where the Member concerned makes a reasonable offer of informal resolution such as an apology or agrees for the complaint to be mediated but you are not willing to accept that offer, the Monitoring Officer or the Assessment Panel will take this into account in deciding whether the complaint merits formal

investigation.

5. How is the investigation conducted?

If the Monitoring Officer or [Ethical Governance Committee–Assessment–Panel](#) decides that a complaint merits formal investigation, the Monitoring Officer will appoint an Investigating Officer, who may be another Senior Officer of the Council, an Officer of another Council or an external investigator.

Ordinarily the Council would hope that investigations will take no more than 6 months to complete from the date the decision to investigate is taken. This will very much depend on the facts of each complaint and some investigations may be concluded earlier and others may take longer.

It is vital to the timely completion of investigations that you, as the complainant, and the subject Member under investigation, comply with the reasonable requirements of the Investigating Officer in terms of interview attendance and supplying relevant documents. If you, as the complainant, do not, the Investigating Officer may deem that you no longer wish to proceed with the complaint and refer the matter back to the Monitoring Officer or [Ethical Governance Committee–Assessment–Panel](#) for direction as to whether the investigation should be terminated. Similarly if the subject Member does not comply, the Investigating Officer will proceed to determine the investigation in the absence of their contribution and may draw an adverse inference from their non-cooperation.

As an initial step, and subject to any ruling on disclosure, the Investigating Officer may write to the subject Member at the beginning of the investigation to see if the subject Member still wishes to contest the complaint.

At the end of the investigation, the Investigating Officer will produce a draft report and will send copies of the 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.

It should be noted that at any time during an investigation, the Investigating Officer may, following consultation with the Independent Person, refer the matter back to [the Ethical Governance Committee and Assessment Panel](#) for re-consideration as to whether the investigation should proceed if the Investigating Officer considers that the Re-consideration Criteria in Appendix 3 are satisfied.

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 consult with the Independent Person thereon. If having done so the Monitoring Officer 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 or Town Council on which the Member serves, notifying you that he 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 may ask the Investigating Officer to re-consider his/her report.

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 after consulting the Independent Person will consider whether Local Resolution should be attempted or the matter proceed direct to hearing before the [Ethical Governance CommitteeHearings Panel](#).

7.1 Local Resolution

The Monitoring Officer will consult with the Independent Person and with you as complainant and seek to resolve the complaint in a way that helps to ensure higher Ethical Governance of conduct for the future. Such resolution may include the Member accepting that his/her conduct was unacceptable and offering an apology or the complaint being referred for mediation or such other remedial action as is considered appropriate in the circumstances. If the Member complies with the suggested resolution, the Monitoring Officer will report the matter to the Ethical Governance Committee and the Member's Council for information but will take no further action.

However, if the Member concerned does not accept that the matter should be resolved in such a manner, the Monitoring Officer will refer the matter for a hearing before the [Ethical Governance CommitteeHearings Panel](#).

7.2 [Ethical Governance Committee sitting as Hearings CommitteeHearings Panel](#)

If the Monitoring Officer considers that Local Resolution is not appropriate or the Member concerned does not accept that the matter should be resolved in such a manner, then the Monitoring Officer will report the Investigating Officer's report to the [Ethical Governance Committee Hearings Panel](#) which will conduct a 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 failure.

In readiness for the convening of the [Ethical Governance Committee Hearings Panel](#), the Monitoring Officer will conduct a written “pre-hearing process”, requiring the Member concerned to give their 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.

If, through the “pre-hearing process”, the Member concerned accepts the Investigating Officer’s report, they will be given the opportunity to provide a statement of mitigation which they may invite the [Ethical Governance Hearings Panel to Committee to](#) consider in their absence. Alternatively, they may elect to attend an [Ethical Governance Committee Hearings Panel](#) to present their mitigation. In either case, the “uncontested” hearing procedure will be followed as set out at Appendix 5.

Where, following the “pre-hearing process”, the Investigating Officer’s report remains in contention, the matter will be set down for a “contested” hearing before the [Ethical Governance Committee Hearings Panel](#). The “contested” hearing procedure will be followed as set out at Appendix 6. In essence, 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 [Ethical Governance Committee Hearings Panel](#). Unless called to do so by the Investigating Officer, you do not have the right to address the [Ethical Governance Committee Hearings Panel](#) of your own volition. The Member will then have an opportunity to give his/her evidence, to call witnesses and to make representations to the [Ethical Governance Committee Hearings Panel](#) as to why he/she considers that he/she did not fail to comply with the Code of Conduct. The Member may be represented legally or otherwise at the [Ethical Governance Committee Hearings Panel](#).

The [Ethical Governance Committee Hearings Panel](#), with the benefit of any advice from the Independent Person, may conclude that the Member did not fail to comply with the Code of Conduct and so dismiss the complaint. If the [Ethical Governance Committee Hearings Panel](#) concludes that the Member did fail to comply with the Code of Conduct, the Chair will inform the Member of this finding and the [Ethical Governance Committee Hearings Panel](#) will then consider what action, if any, the [Ethical Governance Committee Hearings Panel](#) should recommend as a result of the Member’s failure to comply with the Code of Conduct. In doing this, the [Ethical Governance Committee Hearings Panel](#) will give the Member an opportunity to make representations to the [Committee Panel](#) and will consult the Independent Person but will then decide what action, if any, to take in respect of the matter.

8.8. What action can the Ethical Governance Committee~~Hearings Panel~~ take where a Member has failed to comply with the Code of Conduct ?

The Council has delegated to the Ethical Governance Committee~~Hearings Panel~~ such of its powers to take action in respect of individual Members as may be necessary to promote and maintain high standards of ethical governance~~Ethical Governance of conduct~~. Accordingly, the Ethical Governance Committee~~Hearings Panel~~ may –

8.1 Write to the Member over their conduct;

8.2 Publish its findings in the local media in respect of the Member's conduct;

8.3 Report its findings to the Council or to the Parish or Town Council concerned;

8.4 Recommend to the Member's Group Leader (or in the case of ungrouped Members, recommend to the Council or to Committees) 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 Executive Cabinet or removed from particular Portfolio responsibilities;

8.6 Instruct the Monitoring Officer to, or recommend to the Parish or Town Council concerned that it, arrange training for the Member;

8.7 Recommend removal, or recommend to the Parish or Town Council concerned removal, of the Member from all outside appointments to which he/she has been appointed or nominated by the Council or the Parish or Town Council;

8.8 Withdraw, or recommend to the Parish or Town Council concerned that it withdraws, facilities provided to the Member by the Council, such as a computer, website and/or email and Internet access; or

8.9 Recommend that any aspects of the complaint that are considered suitable be referred for mediation between the parties; or

8.10 Exclude, or recommend to the Parish or Town Council concerned that it excludes, 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 Ethical Governance Committee~~Hearings Panel~~ has no power to suspend or disqualify the Member or to withdraw a Member's basic allowance or any special responsibility

allowances.

9. What happens at the end of the Hearing ?

At the end of the Hearing, the Chair will state the decision of the [Ethical Governance Committee Hearings Panel](#) as to whether the Member has failed to comply with the Code of Conduct and as to any action which the Hearings Panel 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 [Ethical Governance Committee Hearings Panel](#) and send a copy to you, to the Member and to any Parish and Town Council concerned and make such decision notice available for public inspection. ~~if the matter relates to a Town or Parish Councillor the decision will be referred as a recommendation to the relevant Town or Parish Council. and report the decision to the next convenient Meeting of the Ethical Governance Committee.~~

The decision of the [Ethical Governance Committee Hearings Panel](#) is final and is not subject to a right of appeal.

~~10. Who are the Assessment and Hearings Panel ?~~

~~The Assessment Panel and the Hearings Panel are Sub-Committees of the Council's Ethical Governance Committee. The Ethical Governance Committee has decided that each of those Panels will comprise a maximum of 3 elected Members of the Council's Ethical Governance Committee drawn from at least 2 different political Parties. Subject to those requirements, they are appointed on the nomination of Party Group Leaders in proportion to the strengths of each Party Group on the Council. Co-opted, non-voting Members of the Ethical Governance Committee may be asked to sit on such Panels.~~

The Independent Person's views are sought and taken into consideration before the Monitoring Officer or [Ethical Governance Committee Assessment Panel](#) takes any decision on whether a complaint should be investigated. The [Ethical Governance Committee Hearings Panel](#) will seek the Independent Person's views on whether a 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.

~~11-10. 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 then appointed by a positive vote from a majority of all the Members of the Council.

A person cannot be "independent" if he/she –

11.1 Is, or has been within the past 5 years, a Member, co-opted Member or Officer of the Council;

11.2 Is, or has been within the past 5 years, a Member, co-opted Member or Officer of a Parish or Town Council within the Council's area; or

11.3 Is a relative or close friend of a person defined at paragraph 11.1 or 11.2 above. For this purpose, "relative" means –

11.1.1 Spouse or civil partner;

11.1.2 Living with the other person as husband and wife or as if they were civil partners;

11.1.3 Grandparent of the other person;

11.1.4 A lineal descendent of a grandparent of the other person;

11.1.5 A parent, sibling or child of a person defined at paragraphs 11.3.1 or 11.3.2;

11.1.6 A spouse or civil partner of a person defined at paragraphs 11.3.3, 11.3.4 or 11.3.5; or

11.1.7 Living with a person defined at paragraphs 11.3.3, 11.3.4 or 11.3.5 as husband and wife or as if they were civil partners.

12.11. Revision of these arrangements

The Ethical Governance Committee may amend these arrangements.

The Chair of [the Ethical Governance any Assessment Panel or Hearings Panel may Committee may](#), following consultation with the Independent Person, depart from the procedures detailed herein where he/she considers it is expedient to do so in order to secure the effective and fair consideration of any matter, including the convention of an external panel where Members are conflicted.

~~For the avoidance of doubt, Members who have sat on an Assessment Panel are not precluded from sitting on a subsequent Hearings Panel called to determine the same complaint as considered by the Assessment Panel.~~

If the Monitoring Officer considers that he may be conflicted in the discharge of these arrangements, he may delegate such matters to a Deputy Monitoring Officer to discharge.

13.12. Appeals

There is no right of appeal for you as complainant or for the Member against a decision of the Monitoring Officer [or the Ethical Governance Committee, the Assessment Panel or the Hearings Panel.](#)

If you feel that the Council has failed to deal with your complaint in accordance with these arrangements, you may make a complaint to the Local Government Ombudsman.

Appendix 1 Model Complaint Form

Appendix 2 The Council's Code of Conduct

Appendix 3 Assessment Criteria

Appendix 4 Procedure for Investigations

Appendix 5 "Uncontested" hearing procedure

Appendix 6 "Contested" hearing procedure

Appendix 7 Overview of process

Appendix 8 Protocol reporting potential criminal offences

Verina Wenham
Monitoring Officer
January 2019

COMPLAINT FORM MEMBER(S) CONDUCT

Your details

1. Please provide us with your name and contact details:

Title:	
First name:	
Last name:	
Address:	
Daytime telephone:	
Evening telephone:	
Mobile telephone:	
Email address:	

Your address and contact details will not usually be released unless necessary or to deal with your complaint.

However, we will tell the following people that you have made this complaint:

- the member(s) you are complaining about
- the monitoring officer of the authority
- the parish or town clerk (if applicable)
- the council's Independent Person (if required)
- members of the [Ethical Governance Committee Assessment Panel or Hearings Panel](#) convened to consider your complaint
- **officers involved in mediation (if applicable)**

We will tell them your name and give them a summary of your complaint. We will give them full details of your complaint where necessary or appropriate to be able to deal with it. If you have serious concerns about your name and a summary, or details of your complaint being released, please complete section 5 of this form.

2. Please tell us which complainant type best describes you:

- Member of the public
- An elected or co-opted member of an authority
- Member of Parliament
- Local authority monitoring officer
- Other council officer or authority employee
- Other, please specify

Equality Monitoring

The Council’s Equality Monitoring Questionnaire is attached. The completion of this form is voluntary and any information will be treated as confidential, and will not be disclosed when your complaint is considered.

Making your complaint

3. Please provide us with the name of the member(s) you believe have breached the Code of Conduct and the name of their authority:

Title	First name	Last name	Council or authority name

4. Please explain in this section (or on separate sheets) what the member has done that you believe breaches the Code of Conduct. If you are complaining about more than one member you should clearly explain what each individual person has done that you believe breaches the Code of Conduct.

It is important that you provide all the information you wish to have taken into account by ~~the~~ [the Ethical Governance Committee -assessment sub-committee](#) when it decides whether to take any action on your complaint. For example:

- You should be specific, wherever possible, about exactly what you are alleging the member said or did. For instance, instead of writing that the member insulted you, you should state what it was they said.
- You should provide the dates of the alleged incidents wherever possible. If you cannot provide exact dates it is important to give a general timeframe.
- You should confirm whether there are any witnesses to the alleged conduct and provide their names and contact details if possible.
- You should provide any relevant background information.

Please indicate which paragraphs of the Code of Conduct you consider the member(s) to have breached by ticking the appropriate box(es).

Please provide us with details of your complaint. Continue on a separate sheet if there is not enough space on this form.

5. Additional Help

Complaints must be submitted in writing. This includes electronic submissions. However, in line with the requirements of the Disability Discrimination Act 2000, we can make reasonable adjustments to assist you if you have a disability that prevents you from making your complaint in writing.

The Council has access to a language line and can assist you to complete this form if English is not your first language. If you require any assistance please contact [check contact details].

If you require any general queries about the completion of this form, please contact Verina Wenham, Monitoring Officer on 01858 821259.

Only complete this next section if you are requesting that your identity is kept confidential.

6. 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 they have a right to be provided with a summary of the complaint. We are unlikely to withhold your identity or the details of your complaint unless you have good reasons to believe that it falls within the Council's criteria for considering such requests as set out in the Council's Arrangements for dealing with standard's allegations under the Localism Act 2011 which is available on the Council's website.

Please note that requests for confidentiality or requests for suppression of complaint details will not automatically be granted. If your request for confidentiality is not granted, we will usually allow you the option of withdrawing your complaint.

However, it is important to understand that in certain exceptional circumstances where the matter complained about is very serious, we can proceed with an investigation or other action and disclose your name even if you have expressly asked us not to.

Please provide us with details of why you believe we should withhold your name and/or the details of your complaint:

MEMBERS' CODE OF CONDUCT

CODE OF CONDUCT FOR ELECTED AND CO-OPTED MEMBERS OF

The Members' Code of Conduct is intended to promote high standards of behaviour amongst the elected and co-opted members of the council.

Part 1 – General Provisions

Introduction

- 1.1 This Code applies to **you** as a member of ('the Authority').
- 1.2 You should read this Code in conjunction with the Procedure Rules as detailed in the Constitution.
- 1.3 It is your responsibility to comply with the provisions of this Code and ensure all obligations with this are met.

Interpretation

- 1.4 In this Code:
 - 1.4.1 "**Co-opted member**" means those members who are not elected members of the Authority, but who are co-opted and have voting powers.
 - 1.4.2 "**meeting**" means any meeting of:
 - (a) the Authority;
 - (b) the executive of the Authority;
 - (c) any of the Authority's or its executive's committees, subcommittees, joint committees, joint subcommittees, or area committees.
 - 1.4.3 "**member**" means any person being an elected or co-opted member of the Authority.

Scope

- 1.5 You must comply with this Code whenever you:
 - 1.5.1 act in your capacity as a member or co-opted member of the Authority;

- 1.5.2 conduct the business of the Authority (which, in this Code, includes the business of the office to which you are elected or appointed).
- 1.6 Where you act as a representative of the Authority:
 - 1.6.1 on another relevant authority, you must, when acting for that other authority, comply with that other authority's code of conduct; or
 - 1.6.2 on any other body, you must, when acting for that other body, comply with this Code of Conduct, except and insofar as it conflicts with any other lawful obligations to which that other body may be subject.

Part 2 – The Principles

- 2.1 In accordance with the requirements of the Localism Act 2011, you must have regard to the following principles and observe the following rules of behaviour:-

Principle 1 - Selflessness

Holders of public office should act solely in terms of the public interest.

Principle 2 - Integrity

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

Principle 3 - Objectivity

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

Principle 4 - Accountability

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

Principle 5 - Openness

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

Principle 6 - Honesty

Holders of public officer should be truthful.

Principle 7 - Leadership

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

- 2.2. The above principles articulate the fundamental values of public service that underpin the conduct of members. The following provisions contained in

this Code are derived from these principles and provide a set of enforceable minimum standards for the conduct that is expected of members and co-opted members of the Authority when they are acting in that capacity.

Part 3 – General Obligations

Respect

3.1 You must treat others with respect.

3.2 You must not:

- 3.2.1 do anything which may cause the Authority to breach any of the equality enactments;
- 3.2.2 bully any person;
- 3.2.3 intimidate or attempt to intimidate any person who is or is likely to be:
 - (i) a complainant;
 - (ii) a witness; or
 - (iii) involved in the administration of any investigation or proceedings;in relation to an allegation that a member (including yourself) has failed to comply with his or her authority's code of conduct;
- 3.2.4 do anything which compromises or is likely to compromise the impartiality of those who work for, or on behalf of, the Authority.

Confidentiality

3.3 You must not disclose information given to you in confidence by anyone, or information acquired by you which you believe, or ought reasonably to be aware, is of a confidential nature, except where:

- 3.3.1 you have the consent of a person authorised to give it;
- 3.3.2 you are required by law to do so;
- 3.3.3 the disclosure is made to a third party for the purpose of obtaining professional advice provided that the third party agrees not to disclose the information to any other person; or
- 3.3.4 the disclosure is:
 - (i) reasonable and in the public interest; and
 - (ii) made in good faith and in compliance with the reasonable requirements of the Authority.

3.4 You must not prevent another person from gaining access to information to which that person is entitled by law.

Reputation of the Authority

3.5 You must not conduct yourself in a manner which could reasonably be regarded as bringing your office or the Authority into disrepute.

Use of your position and the Authority's resources

- 3.6 You must not use or attempt to use your position as a member improperly to confer on or secure for yourself or any other person, an advantage or disadvantage.
- 3.7 You must, when using or authorising the use by others of the resources of the Authority:
- 3.7.1 act in accordance with the Authority's reasonable requirements;
 - 3.7.2 ensure that such resources are not used improperly, (including use for political and party political purposes).

Publicity

- 3.8 You must have regard to any applicable Local Authority Code of Publicity made under the relevant legislation in existence at the time.

Decision making

- 3.9 When reaching decisions on any matter you must have regard to any relevant advice provided to you by officers of the Authority acting pursuant to their statutory responsibilities (including a proper officer designated by the Authority), or advisors to the Authority.
- 3.10 You must give reasons for all decisions in accordance with any statutory requirements and any reasonable additional requirements imposed.
- 3.11 You must follow the adopted corporate operational policies of the Authority.

Part 4 – Interests

A. Disclosable Pecuniary Interests

Definition

- 4.1 You have a Disclosable Pecuniary Interest in any business of the Authority if it is of a description specified in regulations made by the Secretary of State and the interest is:
- (a) yours;
 - (b) your spouse's or civil partner's;
 - (c) somebody with whom you are living as husband and wife or as if you are civil partners;
- and you are aware, in the case of paragraphs (b) and (c) that that other person has the interest.

[Note 2: the regulations currently in force are attached but do not form part of the Constitution determined by the Authority, as they may be amended by the Government at any time. These regulations are clearly defined in the Register of Interest Forms that every Member must sign]

Declaring at and participation in meetings

- 4.2 If you are present at any meeting of the Authority, and you have a Disclosable Pecuniary Interest in any matter to be considered or being considered, and the interest is not a 'sensitive interest' (as defined in 4.18) at the meeting:
- 4.2.1 you must disclose the interest to the meeting whether or not it has been registered;
 - 4.2.2 unless a dispensation has been given, you may not participate in any discussion of the matter at the meeting;
 - 4.2.3 unless a dispensation has been given, you may not participate in any vote taken on the matter at the meeting.
- 4.3 Where you have a Disclosable Pecuniary Interest in any business of your authority, you may attend a meeting but only for the purpose of making representations, answering questions or giving evidence relating to the business, provided that the public are also allowed to attend the meeting for the same purpose, whether under a statutory right or otherwise, and you leave the room where the meeting is held immediately after making representations, answering questions or giving evidence.
- 4.4 Following any disclosure of a Disclosable Pecuniary Interest at a meeting which is not on the Authority's register or the subject of a pending notification, you must notify the Monitoring Officer in writing of the interest within 28 days beginning with the date of disclosure.

[Note: In addition you are required to leave the room where the meeting is held while any discussion or voting takes place.]

- 4.5 Where an executive member may discharge functions alone and becomes aware of a Disclosable Pecuniary Interest in a matter being dealt with or to be dealt with by him/her, the executive member must notify the Monitoring Officer of the interest and must not take any steps or further steps in the matter.

B. Personal Interests

Definition

- 4.6 You have a personal interest in any business of the Authority where either:
- 4.6.1 it relates to or is likely to affect:
 - 4.6.1.1 any body of which you are a member or in a position of general control or management and to which you are appointed or nominated by the Authority;

- 4.6.1.2 any body:
- (i) exercising functions of a public nature;
 - (ii) directed to charitable purposes; or
 - (iii) one of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union);
- of which you are a member or in a position of general control or management.
- 4.6.1.3 the interests of any person from whom you have received a gift or hospitality with an estimated value of at least £50 within the last 12 months.

or

4.6.2 a decision in relation to that business might reasonably be regarded as affecting your wellbeing or financial position or the wellbeing or financial position of a relevant person to a greater extent than the majority of other council tax payers, ratepayers, or inhabitants of the electoral division or ward, as the case may be, affected by the decision.

4.7 For the purposes of paragraph 4.6, a 'relevant person' is:

- 1.1 4.7.1 a member of your family (parents, children, siblings, aunts, uncles, grandparents) or any person with whom you have a close association; or
- 4.7.2 any person or body who employs or has appointed such persons, any firm in which they are a partner, or any company of which they are directors; or
- 4.7.3 any person or body in whom such persons have a beneficial interest and a class of securities exceeding the nominal value of £25,000 or one hundredth of the total issued share capital of that body; or
- 4.7.4 any body of a type described in sub-paragraph 4.6.1.1 or 4.6.1.2.

Declaring at and participation in meetings

- 4.8 Subject to paragraph 4.10 below, where you have a Personal Interest in any business of the Authority and where you are aware or ought reasonably to be aware of the existence of the Personal Interest and you attend a meeting of the Authority where such business is considered, you must disclose to that meeting the existence and nature of that interest at the commencement of the meeting and prior to any discussion of the relevant item, or as soon as the interest becomes apparent to you.
- 4.9 Where you have a Personal Interest you may remain in the meeting, speak and vote on the matter unless to do so would compromise your impartiality obligations or any other obligations set out in this Code.
- 4.10 Where you have a Personal Interest, but, by virtue of paragraph 4.17, sensitive information relating to it is not registered in the Authority's Register of Members Interests, you must indicate to the meeting that you have a

Personal Interest, but need not disclose the sensitive information to the meeting.

C. Personal Interests which might lead to bias

Definition

4.11 In addition to the requirements in relation to Disclosable Pecuniary Interests referred to in Section A of Part 4 of this Code, you have a Personal Interest which might lead to bias in any business of the Authority where:

4.11.1 you have a 'Personal Interest' as defined in paragraph 4.6 and 4.7 above; **and**

4.11.2 that 'Personal Interest' is one which a member of the public with knowledge of the relevant facts, would reasonably regard as so significant that it is likely to prejudice your judgement of the public interest.

4.12 The provisions of paragraph 4.11 shall be applied in such a manner as to recognise that this Code should not obstruct a members' service on more than one local authority. For the avoidance of doubt, participation in discussion and decision making at one local authority will not by itself normally prevent you from taking part in discussion and decision making on the same matter at another local authority. This is on the basis that a reasonable member of the public will see no objection in principle to such service or regard it as prejudicing a member's judgement of the public interest and will only regard a matter as giving rise to a Personal Interest which might lead to bias in exceptional circumstances.

Declaring at and participation in meetings

4.13 If you are present at any meeting of the Authority, and you have a Personal Interest which might lead to bias in any matter to be considered or being considered, and the interest is not a 'sensitive interest', subject to paragraphs 4.14 and 4.15 below, at the meeting:

4.13.1 you must disclose the interest to the meeting (whether or not it is registered);

4.13.2 unless a dispensation has been given, you may not participate in any discussion of the matter at the meeting;

4.13.3 unless a dispensation has been given, you may not participate in any vote taken on the matter at the meeting.

4.14 Where you have a Personal Interest which might lead to bias in any business of your authority, you may attend a meeting but only for the purpose of making representations, answering questions or giving evidence relating to the business, provided that the public are also allowed to attend the meeting for the same purpose, whether under a statutory right or otherwise, and you

must leave the room where the meeting is held immediately after making representations, answering questions or giving evidence.

4.15 Subject to you disclosing the interest at the meeting, you may attend a meeting and vote on a matter where you have a Personal Interest which might lead to bias, if the matter relates to:

4.15.1 housing, where you are a tenant of the Authority provided that those functions do not relate particularly to your tenancy or lease;

4.15.2 school meals or school transport and travelling expenses, where you are a parent or guardian of a child in full time education, or are a parent governor of a school, unless it relates particularly to the school which the child attends;

4.15.3 an allowance, payment or indemnity given to members;

4.15.4 any ceremonial honour given to members; or

4.15.5 setting council tax or precept under the Local Government Finance Act 1992.

D. Registration of interests

4.16 Subject to paragraph 4.18 (Sensitive Interests), you must within 28 days of:

(a) the adoption of this Code; or

(b) your election or appointment to office as a member (where that is later);

notify the Monitoring Officer in writing of :

(i) any Disclosable Pecuniary Interest, as defined in paragraph 4.1 above; and

(ii) details of your Personal Interests where they fall within the category mentioned in paragraph 4.6.1 above.

4.17 Subject to paragraph 4.18 (Sensitive Interests), you must, within 28 days of becoming aware of any new Disclosable Pecuniary Interest or Personal Interest as referred to in paragraph 4.6.1, or any change to any such interest, notify the Monitoring Officer in writing of the details of that new interest or change.

E. Sensitive Interests

4.18 Where you consider that disclosure of the details of an interest could lead to you, or a person connected with you, being the subject of violence or intimidation, and the Monitoring Officer agrees, if the interest is entered on the Register, copies of the Register that are made available for inspection and any published version of the Register will exclude details of the interest but may state that you have an interest, the details of which are withheld.

F. Dispensations

- 4.19 To enable you to participate and vote on a matter in which you have a Disclosable Pecuniary Interest or a Personal Interest that might lead to bias, the Monitoring Officer may grant you a dispensation in accordance with rules and procedures established by the Authority.

(Note: Members' attention is drawn to The relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012. ("The Regulations")

The Regulations specify the pecuniary interests which members and co-opted members are required to include in the Register of Interests maintained by the Council. Failure to declare a Disclosable Pecuniary Interest and to take part in any discussion in, or vote on any matter in which the member has a pecuniary interest is a criminal offence, which is punishable by a fine of up to £5,000 and disqualification.

ASSESSMENT CRITERIA

Stage 1 Criteria

Before the assessment of a complaint begins, the Monitoring Officer or Assessment Panel must be satisfied that the complaint meets the following requirements:-

- (i) It is a complaint against one or more named Members of the Council or a Parish or Town Council within the area;
- (ii) The named Member or Members were in Office at the time of the alleged conduct and acting in their official capacity; and
- (iii) The complaint, if proven, would be a breach of the Council's Code of Conduct in force at the relevant time.

If the complaint fails any one of these tests, it cannot be investigated as a breach of the Council's Code of Conduct and the complainant must be informed that no further action can be taken in relation to the complaint. If it passes all three tests then it can be assessed according to the criteria set out below.

Stage 2 Criteria

The Monitoring Officer or [Ethical Governance Committee](#)~~Assessment Panel~~ is/are unlikely to refer a complaint for investigation where it falls into any of the following categories:-

- (a) The complaint appears to be vexatious, malicious, politically motivated, relatively minor, insufficiently serious, tit-for-tat, or there are other reasons why an investigation may not be in the public interest.
- (b) The same, or substantially similar, complaint has already been the subject of assessment or investigation and there is nothing more to be gained by further action being taken.
- (c) It appears that the complaint concerns or is really about dissatisfaction with a Council decision or policy rather than a breach of the Code of Conduct.
- (d) There is not enough information currently available to justify a decision to refer the matter for investigation.
- (e) The complaint is about someone who has died, resigned, is seriously ill or is no longer a Member of the Council concerned and therefore it is not in the public interest to pursue.

(f) Where the allegation is anonymous, unless it includes documentary or photographic evidence indicating an exceptionally serious or significant matter and it is considered in the public interest that it be investigated.

(g) Where the event/s or incident/s took place more than 6 months prior to the date of complaint being received or where those involved are unlikely to remember the event/s or incident/s clearly enough to provide credible evidence.

(h) The complaint is such that it is unlikely that an investigation will be able to come to a firm conclusion on the matter and where independent evidence is likely to be difficult or impossible to obtain.

(i) If it is considered that the subject Member has **offered** a satisfactory remedy to the complainant (for example by apologising) or the complaint is capable of other informal resolution **such as mediation** and the Member complained of is amenable to such approach.

(j) If it is satisfied that having regard to the nature of the complaint and the level of its potential seriousness, the public interest in conducting an investigation does not justify the cost of such an investigation.

(k) Where the allegation discloses a potential breach of the Code of Conduct but it is considered that the complaint is not serious enough to warrant any further action and:

- the Member and Officer resource needed to investigate and determine the complaint is wholly disproportionate to the matter complained about; or

- **in** all the circumstances there is no overriding public benefit or interest in carrying out an investigation.

RE-CONSIDERATION CRITERIA

The Investigating Officer may, following consultation with the Independent Person, refer an investigation to [the Ethical Governance Committee](#)~~an Assessment Panel~~ for re-consideration as to whether the investigation should proceed where:

- As a result of new evidence or information, the Investigating Officer is of the opinion that the matter is materially less serious than may have seemed apparent to the Monitoring Officer or [Ethical Governance Committee](#)~~Assessment Panel~~ when the decision was made to refer the complaint for investigation, and a different decision may have been made had either the Monitoring Officer or [Ethical Governance Committee](#)~~Assessment Panel~~ been aware of the new evidence or information;
- The Member who is the subject of the allegation has died, is seriously ill or has resigned from the Council concerned and in the circumstances the Investigating Officer is of the opinion that it is no longer appropriate to proceed with the investigation; or
- Other circumstances arise, which in the reasonable opinion of the Investigating Officer, render it appropriate for the investigation to be referred to [the Ethical Governance Committee](#)~~an Assessment Panel~~ for re-consideration.

ETHICAL GOVERNANCE COMMITTEE
OUTLINE PROCEDURE FOR HEARINGS ~~PANEL~~ (UNCONTESTED)

Preliminary Procedural Issues

1. Introductions.
2. Declarations of Interest (if any).
3. To consider any request for the exclusion of Press and Public.

Breach of the Code of Conduct

4. Monitoring Officer (or his/her representative) to present summary report, including the findings of fact made by the Investigating Officer, and refer to outcome of pre-hearing process.
5. Views of the Independent Person sought.
6. Members of the Panel to raise/clarify issues.
7. The Panel will retire, along with the Monitoring Officer, to determine whether there has been a breach of the Code of Conduct. The Panel's decision will be reported back to the meeting by the Head of Democratic Services.

Action to be taken

8. Monitoring Officer (or his/her representative) to outline possible sanctions.
9. Investigating officer to make submissions on appropriate sanction, if any.
10. Member or (his/her representative) to present statement of, or provide oral, mitigation, including on what sanction, if any, should be imposed.
11. Views of the Independent Person sought.
12. Members of the panel to raise/clarify issues.
13. The Panel will retire, along with the Monitoring Officer, to consider what sanction, if any, should be imposed. The Panel's decision will be reported back to the meeting by the Head of Democratic Services.

Close of Hearing

**ETHICAL GOVERNANCE COMMITTEE
OUTLINE PROCEDURE FOR HEARINGS ~~PANEL~~-(CONTESTED)**

Preliminary Procedural Issues

1. Introductions.
2. Declarations of Interest (if any).
3. To consider any request for the exclusion of Press and Public.

Findings of Fact

4. Monitoring Officer (or his/her representative) to present summary report and refer to outcome of pre-hearing process.
5. Investigating Officer to present report and call such witnesses as he/she considers necessary to substantiate his/her conclusion(s) within the report.
6. Member (or his/her representative) to raise/clarify issues with the Investigating Officer, including the questioning of the Investigating Officer's witnesses.
7. Members of the Panel to raise/clarify issues with the Investigating Officer, including the questioning of the Investigating Officer's witnesses.
8. Member (or his/her representative) to present their case and call such witnesses as he/she considers necessary.
9. Investigating Officer to raise/clarify issues with the Member (or his/her representative), including the questioning of the Member's witnesses.
10. Members of the Panel to raise/clarify issues with the Member (or his/her representative), including the questioning of the Member's witnesses.
11. Views of the Independent Person sought.
12. Members of the Panel to raise/clarify issues with the Independent Person.
13. The Panel will retire, along with the Monitoring Officer, to determine its findings of fact. The Panel's decision will be reported back to the meeting by the Head of Democratic Services.

Breach of the Code of Conduct

14. The Panel will need to consider whether or not, based on the facts it has found, the Member has breached the Code of Conduct.

15. Investigating Officer to address the Panel on whether the facts found constitute a breach of the Code of Conduct.

16. Member (or his/her representative) to address the Panel as to why the facts found do not constitute a breach of the Code of Conduct.

17. Views of the Independent Person sought.

18. Members of the Panel to raise/clarify issues.

19. The Panel will retire, along with the Monitoring Officer, to determine whether there has been a breach of the Code of Conduct. The Panel's decision will be reported back to the meeting by the Head of Democratic Services.

(If the Panel determine that there has been no breach of the Code of Conduct, the complaint will be dismissed. If, however, the Panel determine that there has been a breach of the Code of Conduct, the procedure at paragraph 20 will apply).

Action to be taken

20. The Panel will need to determine what sanction, if any, should be imposed as a result of the Member's breach of the Code of Conduct.

21. Monitoring Officer (or his/her representative) to outline possible sanctions.

22. Investigating officer to make submissions on appropriate sanction, if any.

23. Member (or his/her representative) to make submissions on whether any sanction should be imposed.

24. Views of the Independent Person sought.

25. Members of the panel to raise /clarify issues.

26. The Panel will retire, along with the Monitoring Officer, to consider what sanction, if any, should be imposed. The Panel's decision will be reported back to the meeting by the Head of Democratic Services.

Close of Hearing

OVERVIEW OF HDC PROCESS

