
Standards Committee

MONDAY, 7TH JULY, 2014 at 19:30 HRS or on the rise of the Standards Assessment Sub-Committee (whichever is the later) – CIVIC CENTRE, HIGH ROAD, WOOD GREEN, LONDON N22

MEMBERS: Councillors C Bull, Rice (Chair), Ryan, Weston and Morris

AGENDA

1. APOLOGIES FOR ABSENCE

2. URGENT BUSINESS

The Chair will consider the admission of any late items of urgent business. (late items will be considered under the agenda items where they appear). New items which are non-exempt will be dealt with at item 8, and those which are exempt will be dealt with at item 12.

3. DECLARATIONS OF INTEREST

A member with a disclosable pecuniary interest or a prejudicial interest in a matter who attends a meeting of the authority at which the matter is considered:

(i) must disclose the interest at the start of the meeting or when the interest becomes apparent, and

(ii) may not participate in any discussion or vote on the matter and must withdraw from the meeting room.

A member who discloses at a meeting a disclosable pecuniary interest which is not registered in the Register of Members' Interests or the subject of a pending notification must notify the Monitoring Officer of the interest within 28 days of the disclosure.

Disclosable pecuniary interests, personal interests and prejudicial interests are defined at Paragraphs 5-7 and Appendix A of the Members' Code of Conduct.

4. MINUTES (PAGES 1 - 2)

To confirm and sign the unrestricted minutes of the special meeting of the Standards Committee held on 20 March 2014.

5. UPDATE ON COMPLAINTS RECEIVED DURING THE PAST 12 MONTHS. (PAGES 3 - 6)

Report of the Assistant Director Corporate Governance and Monitoring Officer - To receive an update on the number of complaints received during the past 12 months.

6. CODE OF CONDUCT - PROPOSED AMENDMENTS (PAGES 7 - 26)

Report of the Assistant Director Corporate Governance and Monitoring Officer - To consider a report detailing proposed amendments to the Members Code of Conduct.

7. ARRANGEMENTS FOR DEALING WITH COMPLAINTS AGAINST MEMBERS FOR FAILURE TO COMPLY WITH THE MEMBERS' CODE OF CONDUCT-PROPOSED AMENDMENTS - PROPOSED AMENDMENTS (PAGES 27 - 44)

Report of the Assistant Director Corporate Governance and Monitoring Officer - To consider the proposed amendments to the system of complaints against members.

8. NEW ITEMS OF URGENT BUSINESS

9. DATES OF NEXT MEETINGS

3 November 2014
2 March 2015

10. EXCLUSION OF THE PUBLIC AND PRESS

The following item is likely to be subject of a motion to exclude the press and public from the meeting as it contains exempt information as defined in Section 100a of the Local Government Act 1972; Paras 1 & 2 - namely information relating to any individual, and information which is likely to reveal the identity of an individual.

11. MINUTES (PAGES 45 - 46)

To confirm and sign the exempt minutes of the special meeting of the Standards Committee held on 20 March 2014.

12. NEW ITEMS OF EXEMPT URGENT BUSINESS

Bernie Ryan
Assistant Director – Corporate Governance and
Monitoring Officer
River Park House
225 High Road
Wood Green
London N22 8HQ

Clifford Hart
Democratic Services Manager
London Borough of Haringey
Tel: 020 8489 2920
Fax: 020 8489 2660
Email: clifford.hart@haringey.gov.uk

27 June 2014

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**UNRESTRICTED MINUTES OF THE STANDARDS COMMITTEE
THURSDAY, 20 MARCH 2014**

MEMBERS:	Councillors Egan (Chair), Reece, Whyte and Amin
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Apologies

Councillor Reith

MINUTE NO.	SUBJECT/DECISION
STCO88.	<p>APOLOGIES FOR ABSENCE</p> <p>The Chair advised that apologies for absence had been received from Councillor Reith, for whom Councillor Meehan was substituting.</p> <p>NOTED</p>
STCO89.	<p>URGENT BUSINESS</p> <p>There were no items of urgent business.</p> <p>NOTED</p>
STCO90.	<p>DECLARATIONS OF INTEREST</p> <p>There were no declarations of interests.</p> <p>NOTED</p>
STCO91.	<p>EXCLUSION OF THE PUBLIC AND PRESS</p> <p>RESOLVED</p> <p>That the press and public be excluded the from the meeting for consideration of Item 5 as it contains exempt information as defined in Section 100a of the Local Government Act 1972 (as amended by Section 12A of the Local Government Act 1985); para 1; namely information relating to any individual.</p>
STCO92.	<p>CONSIDERATION OF THE OUTCOME OF INVESTIGATIONS IN RESPECT OF STANDARDS ASSESSMENT SUB-COMMITTEE COMPLAINT REFERRAL NO. SC005/1314</p> <p>AGREED THE RECOMMEDATIONS AS PROPOSED</p>

The meeting ended at 18.15hrs.

COUNCILLOR P EGAN

**MINUTES OF THE STANDARDS COMMITTEE
THURSDAY, 20 MARCH 2014**

Chair



Haringey Council

Report for:	Standards Committee	Item Number:	
Title:	Code of Conduct for Members - Complaints 2013-14 Monitoring Report		
Report Authorised by:	Bernie Ryan, Assistant Director of Governance and Monitoring Officer. <i>Bernie Ryan</i>		
Lead Officer:	Bernie Ryan, Assistant Director of Governance and Monitoring Officer.		
Ward(s) affected: N/A	Report for Key/Non Key Decisions: N/A		

1. Describe the issue under consideration

This report sets out summary information about complaints received by the Monitoring Officer that a Member had breached the Members Code of Conduct. The report relates to complaints received during 2013-14.

2. Cabinet Member introduction

N/A

3. Recommendations

That Members note the report.

4. Alternative options considered

N/A

5. Background information



Haringey Council

5.1 The Standards Committee is responsible for promoting and maintaining high standards of conduct, including monitoring the operation of the Members' Code of Conduct.

5.2 In 2013-14 the Monitoring Officer received 8 complaints that a member had breached the Code, 3 of which related to the same councillor arising from the same incident but made by three different people.

5.3 Of the 8 complaints:

- 3 were rejected by the Assessment sub-committee and no further action was taken;
- 4 (including the three arising about one member from the same incident) were referred by the Assessment sub-committee for investigation;
- 1 was withdrawn following an apology by the member

5.4 Of those referred for investigation, one went to a Hearing sub-committee and the Member was found to have breached the Code. The investigation in relation to the member with 3 complaints against them was discontinued following the 2014 local elections when he was not re-elected. One additional hearing took place during the year following an investigation although the original complaint was made in the previous municipal year. The outcome of that Hearing was a finding of breach of the Code of Conduct.

5.5 Where appropriate, any lessons learned from complaints are considered by the Standards Committee and/or Monitoring Officer and any improvements that might assist members are implemented (e.g. in training). Lessons learned from both hearings and other complaints have been incorporated into the proposed changes to the Code of Conduct and arrangements for dealing with complaints against members.

6. Comments of the Chief Finance Officer and financial implications

6.1 There are no financial implications arising from this report

7. Comments of the Assistant Director of Corporate Governance and legal implications

7.1 These are included within the body of the report.

8. Equalities and Community Cohesion Comments

N/A

9. Head of Procurement Comments



Haringey Council

N/A

10. Policy Implications

N/A

11. Reasons for Decision

11.1 The Standards Committee supports the Council in discharging its duty to promote and maintain high standards of conduct by members and co-opted members. It is good practice to periodically review complaints and consider any lessons that may be learned.

12. Use of Appendices

N/A

13. Local Government (Access to Information) Act 1985

The following background papers were used in the preparation of this report:

Legal Services file



Haringey Council

Report for:	Standards Committee	Item Number:	
Title:	Amendments to the Members' Code of Conduct		
Report Authorised by:	Bernie Ryan, Assistant Director of Governance and Monitoring Officer. <i>Bernie Ryan</i>		
Lead Officer:	Bernie Ryan, Assistant Director of Governance and Monitoring Officer.		
Ward(s) affected: N/A	Report for Key/Non Key Decisions: N/A		

1. Describe the issue under consideration

This report recommends some amendments to the Members' Code of Conduct.

2. Cabinet Member introduction

N/A

3. Recommendations

- (a) That Members consider the proposed amendments to the Members Code of Conduct and recommend their adoption by full Council.

4. Alternative options considered

- 4.1 No significant amendments to the Code are required, however some minor changes are required to improve clarity and include additional definitions.

5. Background information

- 5.1 S27 of the Localism Act 2011 imposes a duty on councils to promote and maintain high standards of conduct by members and co-opted members of



Haringey Council

the authority. In discharging this duty councils are required to adopt a code dealing with the conduct which is expected of members and co-opted members of the authority when they are acting in that capacity.

- 5.2 Section 28 of the Localism Act 2011 requires that codes of conduct adopted by councils are consistent, when viewed as a whole, with the principles of selflessness, integrity, objectivity, accountability, openness, honesty and leadership. Codes must also include appropriate provisions in relation to the registration and disclosure of pecuniary interests and interests other than pecuniary interests.
- 5.3 Section 29 of the Localism Act 20012 requires the Monitoring officer to establish and maintain a register of interests of members and co-opted members of the authority. The register must be available for inspection at a place in the authority's area and on the council's website.
- 5.4 Section 30 of the Localism Act 2011 requires a member or co-opted member of the council, before the end of 28 days from the day when the person becomes a member or co-opted member, to notify the Monitoring Officer of any disclosable pecuniary interests which they have at the time the notice is given. Disclosable pecuniary interests are specified by the Secretary of State in Regulations and are included in the Code at Appendix A. Section 31 of the Localism Act 2011 includes provisions relating to actions members must take at meetings where they have a disclosable pecuniary interest and these are included in the Code at paragraph 9 of the Code.
- 5.5 Section 34 of the Localism Act makes it a criminal offence if a member or co-opted member fails, without reasonable excuse, to comply with requirements under section 30 or 31 to register or declare disclosable pecuniary interests. It is also a criminal offence to take part in council business at meetings, or act alone on behalf of the council, when prevented from doing so by a conflict caused by disclosable pecuniary interests.
- 5.6 Councils can amend their code as they see fit provided they comply with these requirements.
- 5.7 Haringey Council Members Code of Conduct was adopted by full Council on 16th July 2012. The Code has now been reviewed in light of its use over the past two years and some minor amendments and clarifications are now proposed.
- 5.8 The proposed changes are:
- (a) Explanatory Note (page 1) – addition of 'co-opted members' to make clear that the register contains their interests as well as elected members.



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- (b) Application of the code para 2.6 – amended to make clear that members are acting in their capacity as a member when they claim to or give the impression they are acting as a representative of the authority.
- (c) Application of the code para 2.9 – a definition of ‘relevant authority’ is added for clarity.
- (d) Personal interests para 5.3 – definition of family member added for clarity.

5.9 Changes to the Code of Conduct must be approved by full Council. Standards Committee is requested to consider and then make recommendations for changes to full Council.

6. Comments of the Chief Finance Officer and financial implications

6.1 There are no financial implications arising from this report

7. Comments of the Assistant Director of Corporate Governance and legal implications

7.1 These are included within the body of the report.

8. Equalities and Community Cohesion Comments

N/A

9. Head of Procurement Comments

N/A

10. Policy Implications

N/A

11. Reasons for Decision

11.1 The Standards Committee supports the Council in discharging its duty to promote and maintain high standards of conduct by members and co-opted members. It is good practice to periodically review and amend (if needed), the Code of Conduct.

12. Use of Appendices

Appendix A – Members’ Code of Conduct

13. Local Government (Access to Information) Act 1985

Background papers used in the preparation of this report – current version of the Members Code of Conduct



PART FIVE – CODES AND PROTOCOLS
Section A– Member Code of Conduct

Part Five, Section A

Members' Code of Conduct

MEMBERS' CODE OF CONDUCT

Explanatory Note

This Code of Conduct, is adopted under powers contained in the Localism Act 2011 ("the 2011 Act"), and contributes towards the discharge of the Council's duty under the 2011 Act to promote and maintain high standards of conduct by elected and co-opted members of Haringey Council. It is consistent with the principles of public life which are prescribed in the 2011 Act and which are included in the Code at paragraphs 1.1 - 1.7 below.

The 2011 Act requires the Council's Monitoring Officer to establish and maintain a register of interests of the members and co-opted members of the Council. It is a legal requirement that members must notify the Monitoring Officer of all their disclosable pecuniary interests within 28 days of becoming a member. Disclosable pecuniary interests are the member's interests, those of the member's spouse or civil partner, or person the member is living with as spouse or as if they were civil partners, and falling within categories specified in Regulations by the Secretary of State as set out at Appendix A. The Register of Members' Interests will be available for inspection by the public at all reasonable hours and will be published on the Council's website.

The 2011 Act has created a number of criminal offences for failure to comply with requirements relating to disclosable pecuniary interests. A summary of the offences is attached at Appendix B.

In addition to disclosable pecuniary interests personal interests as specified in the Code must be notified to the Monitoring Officer and declared at meetings if prejudicial in the manner described in the Code.

PART FIVE – CODES AND PROTOCOLS
Section A– Member Code of Conduct

Part 1: GENERAL PROVISIONS

1. The General Principles

1.1 Selflessness

Members should serve only the public interest and should never improperly confer an advantage or disadvantage on any person.

1.2 Integrity

Members should not place themselves in situations where their integrity may be questioned, should not behave improperly and should on all occasions avoid the appearance of such behaviour.

1.3 Objectivity

Members should make decisions on merit, including when making appointments, awarding contracts, or recommending individuals for rewards or benefits.

1.4 Accountability

Members should be accountable to the public for their actions and the manner in which they carry out their responsibilities, and should co-operate fully and honestly with any scrutiny appropriate to their particular office.

1.5 Openness

Members should be as open as possible about their actions and those of their authority, and should be prepared to give reasons for those actions.

1.6 Honesty

Members should not place themselves in situations where their honesty may be questioned, should not behave improperly and should on all occasions avoid the appearance of such behaviour.

1.7 Leadership

Members should promote and support these principles by Leadership, and by example, and should act in a way that secures or preserves public confidence.

PART FIVE – CODES AND PROTOCOLS
Section A– Member Code of Conduct

2. Application of the Code

- 2.1 This Code applies to you as a member of Haringey Council.
- 2.2 In your capacity as a member you should at all times adhere to the general principles set out at paragraphs 1.1 – 1.7 above.
- 2.3 It is your responsibility to comply with the provisions of this Code.
- 2.4 In this Code "meeting" means any meeting of
- (a) the Council; or
 - (b) the executive of the Council; or
 - (c) any of the Council's or its executive's committees, sub-committees, joint committees, joint sub-committees, or area committees;

"member" means an elected member and a co-opted member

"co-opted member" means a person who is not an elected member of the Council but who has been appointed to a committee or sub-committee of the Council or represents the Council on a joint committee or joint sub-committee of the Council and who is entitled to vote on any question that falls to be decided at any meeting of that committee or sub-committee.

- 2.5 You must comply with this Code whenever you are acting in your capacity as a member
- 2.6 This Code regards you as acting in your capacity as a member when you
- (a) conduct the business of your authority (which in this Code includes the business of the office to which you are elected or appointed); or
 - (b) act as a representative of your authority; or
 - (c) act, claim to act or give the impression you are acting as a representative of your authority.
- 2.7 This Code does not have effect in relation to your conduct other than where you are acting in your capacity as a member.
- 2.8 Where you act as a representative of your authority
- (a) on another relevant authority, you must, when acting for that other authority, comply with that other authority's code of conduct; or
 - (b) on any other body, you must, when acting for that other body, comply with your authority's code of conduct, except and insofar as it

PART FIVE – CODES AND PROTOCOLS
Section A– Member Code of Conduct

conflicts with any other lawful obligations to which that other body may be subject.

2.9 “Relevant authority” as referred to in-in paragraph 2.8(a) above is as for the time being defined in section 43 Localism Act 2011 and currently means –

- (a) a county council,
- (b) a county borough council,
- (c) a district council,
- (d) a London borough council,
- (e) the Common Council of the City of London in its capacity as a local authority,
- (f) the Council of the Isles of Scilly,
- (g) the London Fire and Emergency Planning Authority,
- (h) a metropolitan county fire and rescue authority, or
- (i) a fire and rescue authority constituted by a scheme under section 2 of the Fire and Rescue Services Act 2004 or a scheme to which section 4 of the Act applies.

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PART FIVE – CODES AND PROTOCOLS
Section A– Member Code of Conduct

3. General Obligations

3.1 You must treat others with respect.

3.2 You must not

- (a) do anything which may cause your authority to breach any of its equality duties;
- (b) bully any person;
- (c) 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 this Members' Code of Conduct; or
- (d) do anything which compromises or is likely to compromise the impartiality of those who work for, or on behalf of, your authority.

3.3 You must not

- (a) 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
 - (i) you have the consent of a person authorised to give it;
 - (ii) you are required by law to do so;
 - (iii) 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
 - (iv) the disclosure is
 - (aa) reasonable and in the public interest; and
 - (bb) made in good faith and in compliance with the reasonable requirements of the Council; or
- (b) prevent another person from gaining access to information to which that person is entitled by law.

3.4 You must not conduct yourself in a manner which could reasonably be regarded as bringing your office or your authority into disrepute

3.5 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.

3.6 You must when using or authorising the use by others of the resources of your authority

PART FIVE – CODES AND PROTOCOLS

Section A– Member Code of Conduct

- (a) act in accordance with your authority's reasonable requirements;
- (b) ensure that such resources are not used improperly for political purposes (including party political purposes);
- (c) have regard to any applicable Local Authority Code of Publicity made under the Local Government Act 1986.

3.7 When reaching decisions on any matter you must have regard to any relevant advice provided to you by

- (a) the Council's Chief Finance Officer; or
- (b) the Council's Monitoring Officer,

where that officer is acting pursuant to his/her statutory duties.

3.8 You must give reasons for all decisions you make in accordance with any statutory requirements and any reasonable additional requirements imposed by your authority.

PART FIVE – CODES AND PROTOCOLS
Section A– Member Code of Conduct

PART 2: MEMBERS INTERESTS

4. Disclosable Pecuniary Interests

4.1 You have a disclosable pecuniary interest in any matter to be considered or being considered by your authority if it is of a description set out at Appendix A and either:

- (a) it is an interest of yours, or
- (b) it is an interest of
 - (i) your spouse or civil partner
 - (ii) a person with whom you are living as husband and wife, or
 - (iii) a person with whom you are living as if you were civil partners

and you are aware that that other person has the interest.

4.2 You must comply with the statutory requirements to register, disclose and withdraw from participating and voting in respect of any matter in which you have a disclosable pecuniary interest

5. Personal Interests

5.1 You have a personal interest in any matter to be considered or being considered by your authority where your interest is not a disclosable pecuniary interest in that matter and either

- (a) the matter relates to or is likely to affect
 - (i) 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 your authority;
 - (ii) any body
 - (aa) exercising functions of a public nature;
 - (bb) directed to charitable purposes; or
 - (cc) 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;

- (iii) the interests of a person from whom you have received a gift or hospitality with an estimated value of at least £50 or

PART FIVE – CODES AND PROTOCOLS
Section A– Member Code of Conduct

- (b) a decision in relation to that matter might reasonably be regarded as affecting your well-being or financial position or the well-being 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;

5.2 For the purpose of Paragraph 5.1(b) a “relevant person” is

- (a) a member of your family or any person with whom you have a close association; or
- (b) 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
- (c) any person or body in whom such persons have a beneficial interest in a class of securities exceeding the nominal value of £25,000; or
- (d) any body of a type described in Paragraph 5.1(a)(i) and (ii) above of which such persons are members or in a position of general control or management.

5.3 “Family member” as referred to in paragraph 5.2(a) above is for the time being defined as –

A spouse, partner, parent, parent in law, son, daughter, step son, stepdaughter, child of a partner, brother, sister, grandparent, grandchild, uncle, aunt, nephew, niece, or the spouse or partner of any of the preceding persons; and partner means a member of a couple who live together.

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6. Prejudicial Interests

6.1 Where you have a **personal interest** in any matter to be considered or being considered by your authority you also have a prejudicial interest in that matter where the 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 judgment of the public interest and where that matter

- (a) affects your financial position or the financial position of a person or body described in Paragraph 5 above, or
- (b) relates to the determining of any approval, consent, licence, permission, or registration in relation to you or any person or body described in Paragraph 5 above.

6.2 A personal interest in any matter to be considered or being considered by your authority is not a prejudicial interest where that matter relates to the functions of your authority in respect of

PART FIVE – CODES AND PROTOCOLS

Section A– Member Code of Conduct

- (i) housing, where you are a tenant of your authority provided that those functions do not relate particularly to your tenancy or lease;
- (ii) 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;
- (iii) statutory sick pay under Part XI of the Social Security Contributions and Benefits Act 1992, where you are in receipt of, or are entitled to the receipt of, such pay;
- (iv) an allowance, payment or indemnity given to members;
- (v) any ceremonial honour given to members;
- (vi) setting council tax or a precept under the Local Government Finance Act 1992

PART FIVE – CODES AND PROTOCOLS
Section A– Member Code of Conduct

PART 3: REGISTRATION OF MEMBERS' INTERESTS

7. Notification and Registration of Members' Interests

- 7.1 You must, within 28 days of adoption of this code or of becoming a member notify the Monitoring Officer of any disclosable pecuniary interest, or personal interest as set out in Paragraph 5 (1)(a) above, which you have, and the Monitoring Officer shall, subject to Paragraph 8 (Sensitive Interests) below, enter the interest(s) notified in the Council's Register of Members' Interests maintained under the Localism Act 2011.
- 7.2 You must, within 28 days of becoming aware of any new interest or change to any interest registered under Paragraph 7.1 above, register details of that new interest or change by providing written notification to the Monitoring Officer who shall, subject to Paragraph 8 (Sensitive Interests) enter the interests notified in the Register of Members' Interests.
- 7.3 You must observe the notification provisions relating to disclosable pecuniary interests which arise at meetings or when a member is acting alone which are set out at Paragraphs 9.4 and 9.6. respectively.

8. Sensitive Interests

- 8.1 Where you have an interest (whether or not a disclosable pecuniary interest) and the nature of it is such that you and the Monitoring Officer consider that disclosure of the details of the interest could lead to you or a person connected with you being subject to violence and intimidation if the interest is entered in the Register of Members' Interests then copies of the register available for inspection and any published version of the register must not include details of the interest but may state that you have an interest the details of which are withheld under section 32(2) of the Localism Act 2011.
- 8.2 If Paragraph 8.1 above refers to the entry of the interest in the Register of Members' Interests that provision is to be read as requiring you to disclose not the interest but merely the fact that the you have a disclosable pecuniary interest in the matter concerned.
- 8.3 You must, within 28 days of becoming aware of any change of circumstances which means that information excluded under Paragraph 8.1 above is no longer sensitive information, notify the Monitoring Officer asking that the information be included in the Register of Members' Interests.

PART FIVE – CODES AND PROTOCOLS
Section A– Member Code of Conduct

PART 4: DISCLOSURE OF MEMBERS' INTERESTS AND EFFECT UPON PARTICIPATION AT MEETINGS

9. Disclosure of Interests

- 9.1 Subject to paragraphs 9.3 to 9.6 below, where you have a disclosable pecuniary interest or a prejudicial interest in any matter being considered by your authority and you are present at a meeting of the authority or of any committee, sub-committee, joint committee, or joint sub-committee of the authority at which the matter is considered, you must disclose to that meeting the existence and nature of that interest whether or not such interest is registered in the Register of Members' Interests or for which you have made a pending notification.
- 9.2 Where you have a personal interest in any matter being considered by your authority which is not a disclosable pecuniary interest nor a prejudicial interest and you are present at a meeting of the authority or of any committee, sub-committee, joint committee, or joint sub-committee of the authority, at which the matter is considered, you are under no obligation to make a disclosure to the meeting but you may do so if you wish.
- 9.3 Paragraphs 9.1 - 9.2 above only apply where you are aware or ought reasonably to be aware of the existence of the interest.
- 9.4 Where you have disclosed a disclosable pecuniary interest pursuant to Paragraph 9.1 above, and that interest is not registered in the Register of Members' Interests and is not the subject of a pending notification, you must notify the Monitoring Officer of the interest before the end of 28 days beginning with the date of the disclosure.
- 9.5 Where you have an interest in any matter to be considered or being considered by your authority which would be disclosable by virtue of Paragraph 9.1 but by virtue of Paragraph 9 (Sensitive Interests) details of the interest are not registered in the Council's published Register of Members' Interests, at a meeting at which you are present you must disclose the fact that you have a disclosable interest in the matter concerned but details of that interest need not be disclosed.
- 9.6 If a function of the Council may be discharged by a **member acting alone** and you have a disclosable pecuniary interest or a prejudicial interest in any matter to be dealt with or being dealt with in the course of discharging that function:
- (a) if the interest is a **disclosable pecuniary interest** and is not registered in the Register of Members' Interests and is not the subject of a pending notification, you must notify the Monitoring Officer of the interest before the end of 28 days beginning with the date upon which you first became aware of having the interest in relation to the matter;

PART FIVE – CODES AND PROTOCOLS
Section A– Member Code of Conduct

- (b) you must not take any steps or any further steps in relation to the matter (except for the purpose of enabling the matter to be dealt with otherwise than by yourself).

10. **Effect of Disclosable Pecuniary Interest or Prejudicial Interest on participation at meetings**

10.1 Subject to Paragraph 10.3, if you are present at a meeting and you have a **disclosable pecuniary interest or a prejudicial interest** in any matter to be considered, or being considered at the meeting;

- (a) You may not participate, or participate further, in any discussion of the matter at the meeting, or
- (b) participate in any vote, or further vote, taken on the matter at the meeting, and
- (c) You must withdraw from the room or chamber where the meeting considering the matter is being held,

unless you have obtained a dispensation from your authority's Standards Committee.

10.2 Subject to Paragraph 10.3, if you are present at a meeting and you have a **disclosable pecuniary interest or a prejudicial interest** in any matter to be considered, or being considered at the meeting;

- (a) You may not exercise executive functions in relation to that matter, or
- (b) seek improperly to influence a decision about that matter.

10.3 Where you have a **prejudicial interest** in any matter to be considered or being considered at a meeting of your authority, you may attend a meeting (including a meeting of the overview and scrutiny committee of your authority or of a sub-committee of such a committee) but only for the purpose of making representations, answering questions or giving evidence relating to the matter, provided that the public are also allowed to attend the meeting for the same purpose, whether under a statutory right or otherwise.

PART FIVE – CODES AND PROTOCOLS
Section A– Member Code of Conduct

Appendix A

Disclosable Pecuniary Interests

In the extract from the Regulations * below, 'M' means the member and 'relevant person' means the member, the member's spouse or civil partner or a person with whom the member is living with as spouse or as if they were civil partners.

<u>Subject</u>	<u>Prescribed description</u>
Employment, office, trade, profession or vocation	Any employment, office, trade, profession or vocation carried on for profit or gain.
Sponsorship	Any payment or provision of any other financial benefit (other than from the relevant authority) made or provided within the relevant period in respect of any expenses incurred by M in carrying out duties as a member, or towards the election expenses of M. This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992
Contracts	Any contract which is made between the relevant person (or a body in which the relevant person has a beneficial interest) and the relevant authority— (a) under which goods or services are to be provided or works are to be executed; and (b) which has not been fully discharged.
Land	Any beneficial interest in land which is within the area of the relevant authority.
Licences	Any licence (alone or jointly with others) to occupy land in the area of the relevant authority for a month or longer.

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Corporate tenancies

Any tenancy where (to M's knowledge)—

- (a) the landlord is the relevant authority; and
- (b) the tenant is a body in which the relevant person has a beneficial interest.

Securities

Any beneficial interest in securities of a body where—

- (a) that body (to M's knowledge) has a place of business or land in the area of the relevant authority; and
- (b) either—

- (i) the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body; or

- (ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the relevant person has a beneficial interest exceeds one hundredth of the total issued share capital of that class.

*The Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012 specify the interests above as disclosable pecuniary interests for the purposes of Chapter 7 of Part 1 of the Localism Act 2011.

The Regulations provide the following definitions of terms used in the specification of disclosable pecuniary interests:

“the Act” means the Localism Act 2011;

“body in which the relevant person has a beneficial interest” means a firm in which the relevant person is a partner or a body corporate of which the relevant person is a director, or in the securities of which the relevant person has a beneficial interest;

“director” includes a member of the committee of management of an industrial and provident society;

“land” excludes an easement, servitude, interest or right in or over land which does not carry with it a right for the relevant person (alone or jointly with another) to occupy the land or to receive income;

“M” means a member of a relevant authority.

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“member” includes a co-opted member;

“relevant authority” means the authority of which M is a member;

“relevant period” means the period of 12 months ending with the day on which M gives a notification for the purposes of section 30(1) or 31(7), as the case may be, of the Act;

“relevant person” means M or any other person referred to in section 30(3)(b) of the Act;

“securities” means shares, debentures, debenture stock, loan stock, bonds, units of a collective investment scheme within the meaning of the Financial Services and Markets Act 2000 and other securities of any description, other than money deposited with a building society.

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Appendix B

Offences

It is a criminal offence to

- Fail to notify the Monitoring Officer of any disclosable pecuniary interest within 28 days of election
- Fail to disclose a disclosable pecuniary interest at a meeting if it is not on the register
- Fail to notify the Monitoring Officer within 28 days of a disclosable pecuniary interest that is not on the register that you have disclosed to a meeting
- Participate in any discussion or vote on a matter in which you have a disclosable pecuniary interest
- As an executive member discharging a function acting alone, and having a disclosable pecuniary interest in such a matter, failing to notify the Monitoring Officer within 28 days of becoming aware of the interest.
- Knowingly or recklessly providing information that is false or misleading in notifying the Monitoring Officer of a disclosable pecuniary interest or in disclosing such interest to a meeting
- As an executive member discharging a function alone, takes steps or further steps in relation to the matter (except for the purpose of enabling the matter to be dealt with otherwise than by the member)

The criminal penalties available to a court are to impose a fine not exceeding level 5 on the standard scale and disqualification from being a councillor for up to 5 years.



Haringey Council

Report for:	Standards Committee	Item Number:	
Title:	Amendments to the 'Arrangements for dealing with allegations that a member or co-opted member of Haringey Council has failed to comply with the Members' Code of Conduct'		
Report Authorised by:	Bernie Ryan, Assistant Director of Governance and Monitoring Officer. <i>Bernie Ryan</i>		
Lead Officer:	Bernie Ryan, Assistant Director of Governance and Monitoring Officer.		
Ward(s) affected: N/A	Report for Key/Non Key Decisions: N/A		

1. Describe the issue under consideration

This report recommends some amendments to the procedure for dealing with alleged breaches of the Members' Code of Conduct, known as the 'Arrangements for dealing with allegations that a member or co-opted member of Haringey Council has failed to comply with the Members' Code of Conduct' (the Arrangements)

2. Cabinet Member introduction

N/A

3. Recommendations

That Members consider and approve the proposed amendments to the 'Arrangements' procedure.

4. Alternative options considered

- 4.1 Experience of using the procedure in recent cases has identified some inconsistencies and areas for improvement in the Arrangements procedure,



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which, if left unamended, may impact on the ability of Members to deal effectively with complaints about alleged breaches of the Code.

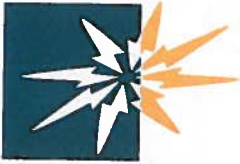
5. Background information

5.1 S27 of the Localism Act 2011 imposes a duty on councils to promote and maintain high standards of conduct by members and co-opted members of the authority. In discharging this duty councils are required to adopt a code dealing with the conduct which is expected of members and co-opted members of the authority when they are acting in that capacity. Section 28 of the Localism Act 2011 provides that local authorities must have in place arrangements under which allegations against members may be investigated and arrangements under which decisions on allegations can be made.

5.2 It is also important to have a procedure for dealing with complaints that the Council receives about breaches of the Code of Conduct, not only for the use of Members determining such complaints, but also for complainants and their representatives, so that they are clear about what the process is.

5.3 The current version of the Arrangements has been reviewed in light of recent experience of its use, including during the preparation for Hearing sub-committee meetings, and the proposed changes:

- (a) 4.1 Adding wording to encourage complaints to be made in writing on the standard complaints form.
- (b) New para 4.5 making clear that the Monitoring Officer will advise the member about whom a complaint is made the nature of it and the remedy sought by the complainant, unless to do so would risk the investigation being prejudiced or frustrated in some way.
- (c) Additional wording to para 5.3 making clear that the Monitoring Officer may use a number of criteria for assessing complaints and determining whether or not to refer them to the Assessment sub-committee. The assessment may include consultation with the Independent Person and may include discussion with the Party Whips/Leaders.
- (d) Additional wording to 5.3.(a) to make clear that dissatisfaction with Council services are not considered to be breach of the Code.
- (e) Additional word 'or' inserted into para 5.3(c) which was inadvertently omitted previously.
- (f) Additional para 5.3(f) enabling complaints from vexatious complainants to be rejected.
- (g) Additional wording to 5.4 clarifying that the Monitoring Officer will promptly notify the member and the complainant where he decides a complaint will not be referred to the Assessment sub-committee, and that he will give reasons for his decision.
- (h) Removal of reference in paras 5.7 and 5.8 to the referral of investigation reports to the Standards Committee. The proposal is to streamline the



process and in future it is recommended that investigation reports are referred straight to a Hearing sub-committee in cases where a breach of the Code is found.

- (i) Additional wording to 6.4 making clear that the Investigating Officer has discretion about the appropriate witnesses and documents to consider during the investigation so that it is effective and provides the relevant information for a Hearing sub-committee to consider.
- (j) Amendment to para 6.5 and 6.6 to streamline the process and remove the additional step of referring an investigation report to the Standards Committee prior to it being referred to a Hearing sub-committee.
- (k) Additional wording to paragraph 7.1 making it clear that a finding of no breach after an investigation will be referred to the Standards Committee for consideration.
- (l) Amendment to para 8.2 to streamline the process and remove the additional step of referring an investigation report to the Standards Committee prior to it being referred to a Hearing sub-committee.
- (m) Additional wording in the heading of para 9 to include the pre-hearing process
- (n) New para at 9.1 to set out information about the pre-hearing process, since this has been an issue of some dispute in recent cases.
- (o) New para 9.4 to make clear that in the absence at a Hearing of a member about whom a complaint has been made, the sub-committee has the discretion to adjourn or to carry on with proceedings.
- (p) Additional point in para 10(1)(j) to add the ability to take no further action to the suite of outcomes available to the Hearing sub-committee.
- (q) Some minor additional amendments made in consequence of the above.

6. Comments of the Chief Finance Officer and financial implications

6.1 There are no financial implications arising from this report

7. Comments of the Assistant Director of Corporate Governance and legal implications

7.1 These are included within the body of the report.

8. Equalities and Community Cohesion Comments

N/A

9. Head of Procurement Comments

N/A

10. Policy Implications

N/A



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11. Reasons for Decision

- 11.1 The Standards Committee supports the Council in discharging its duty to promote and maintain high standards of conduct by members and co-opted members. It is good practice to periodically review and amend (if needed), the arrangements for dealing with complaints about breaches of the Code of Conduct. In addition, the Hearing sub-committee has in the past year dealt with two investigation reports and some issues of clarity have arisen in relation to the procedure. These are being addressed in this review to ensure all parties to complaints are clear about the process.

12. Use of Appendices

Appendix A – ‘Arrangements for dealing with allegations that a member or co-opted member of Haringey Council has failed to comply with the Members’ Code of Conduct’

13. Local Government (Access to Information) Act 1985

The following background papers were used in the preparation of this report:

Current version of ‘Arrangements for dealing with allegations that a member or co-opted member of Haringey Council has failed to comply with the Members’ Code of Conduct’

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Arrangements for dealing with allegations that a member or co-opted member of Haringey Council has failed to comply with the Members' Code of Conduct

1. Introduction

1.1 These arrangements set out how an allegation may be made that an elected member or a co-opted member of Haringey Council has failed to comply with the Members' Code of Conduct and how the Council will deal with such allegations.

1.2 Under Section 28 of the Localism Act 2011 the Council must have arrangements in place whereby allegations can be investigated and decisions upon them can be made. In addition the arrangements must provide for the Council to appoint at least one Independent Person whose views must be sought and taken into account by the Council before it makes a decision and who may be consulted by the Council at other stages in the process or by the member or co-opted member against whom an allegation has been made. These arrangements fulfil the Council's statutory obligations.

1.3 In these Arrangements a number of terms are used which have the following meanings:

Member	An elected Councillor
Co-opted Member	A person who is not an elected member of the Council but has been appointed to a committee or sub-committee of the Council.
Monitoring Officer	A officer of the Council designated under section 5 of the Local Government and Housing Act 1989 to undertake the statutory duties prescribed which include ensuring that the Council and its members and officers act lawfully at all times. Under Section 29 of the Localism Act 2011 the Monitoring Officer must establish and maintain a register of interests of members and co-opted members.
Investigating Officer	An appropriate person appointed by the Monitoring Officer to conduct an investigation into an allegation.
Independent Person	A person appointed by the Council pursuant to Section 28 of the

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Localism Act 2011, whose views are sought and taken into account before decisions upon allegations against members are taken and who may be consulted by a member who is the subject of allegations or the Council, generally.

Standards Committee

A committee of members responsible for promoting and maintaining high standards of member conduct within the Council.

Assessment Committee

Sub-

A Sub-Committee of Standards Committee established to decide whether allegations against members are worthy of being investigated.

Hearing Sub-Committee

A Sub-Committee of Standards Committee established to conduct hearings which ~~Standards Committee may require~~ into allegations against members and to determine such allegations following a hearing.

2. The Members' Code of Conduct

2.1 The Council has adopted a Members' Code of Conduct which is available for inspection on the Council's website and on request from the Monitoring Officer.

3. The Independent Person

3.1 Pursuant to Section 28 of the Localism Act 2011, the Council shall appoint an Independent Person. The person appointed shall have responded to a public advertisement for the vacancy and submitted an application for the post. The appointment of the successful applicant shall be approved by a majority of the members of the Council.

3.2 The views of the Independent Person shall be sought and taken into account by the ~~Standards Committee~~/Hearing Sub-Committee before it makes its decision on an allegation which it has decided to investigate.

3.3 The views of the Independent Person may be sought:

- (i) by the Standards Committee/Assessment Sub-Committee/Hearing Sub-Committee or by the Monitoring Officer/Investigating Officer in relation to an allegation in circumstances not within paragraph 3.2, above.

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- (ii) by a member or co-opted member of the Council if that person's behaviour is the subject of an allegation.

4. **Making an allegation**

- 4.1 An allegation that a member or a co-opted member of Haringey Council has failed to comply with the Members' Code of Conduct should be made in writing, wherever possible, using the Complaint Form on the Council's website to:

Bernie Ryan
Monitoring Officer
Haringey Council
7th Floor
Alexandra House
10 Station Road
London
N22 7TR

Tel: 0208 489 3974

or email:

bernie.ryan@haringey.gov.uk

- 4.2 It is important that a person making an allegation provides his/her name and a contact address or email address, so that the Council can acknowledge receipt of the allegation and keep the person informed of its progress. The person must indicate if he/she wants to keep his/her name and address confidential and the Monitoring Officer will consider any such requests.
- 4.3 The Council does not normally investigate anonymous allegations unless there is a clear public interest in doing so.
- 4.4 The Monitoring Officer will acknowledge receipt of an allegation within five clear working days of receiving it and will keep the person making the allegation informed of progress.
- 4.5 The Monitoring officer will inform the councillor against whom an allegation has been made and will give the details of the complaint and remedy sought to them. In exceptional circumstances the Monitoring Officer has the discretion not to inform the Councillor if, in his opinion, to do so would risk an investigation being frustrated or prejudiced in some other way.

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5. Assessment of an allegation

- 5.1 The Monitoring Officer will review every allegation received and may consult the Independent Person before taking a decision as to whether or not it merits reference to the Assessment Sub-Committee of the Standards Committee.
- 5.2 If the Monitoring Officer requires additional information in order to reach a decision, he/she may revert to the person making the allegation for such information and may request information from the member against whom the complaint is directed. If the person making the allegation fails to provide the additional information requested the allegation may be dismissed by the Monitoring Officer pursuant to paragraph 5.3 (c), below.
- 5.3 The Monitoring Officer will use a number of criteria for assessing complaints, and may consult with the Independent Person and if necessary the appropriate party group Whips and party Leaders. The decision whether to investigate a complaint will be a proportionate response to the issues raised and likely outcomes. The Monitoring Officer may determine that an allegation does not merit any further action, where:
- (a) The allegation does not demonstrate a breach of the Members' Code of Conduct; for example it relates to a member's private life to which the Code does not apply or it is about dissatisfaction with a Council decision or service, or
 - (b) It is about someone who is no longer a member or a co-opted member of the Council, or
 - (c) There is insufficient evidence upon which to investigate and/or the person making the allegation has failed to co-operate with the Monitoring Officer to specify the allegation sufficiently, or
 - (d) The same or a similar allegation has been investigated and determined, or
 - (e) It is an anonymous allegation which does not include sufficient documentary evidence to indicate a significant breach of the Member's Code of Conduct, or
 - (f) the complainant is vexatious.
- 5.4 If the complaint is dealt with under 5.3 above, the Monitoring Officer will promptly notify the complainant and the member of the outcome, giving reasons for the decision. Except as provided for in Paragraph 5.3 above, the Monitoring Officer shall refer all allegations to the Assessment Sub-Committee for consideration.

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- 5.5 The Assessment Sub-Committee shall determine whether the allegation:
- (a) merits no further investigation and is dismissed, or
 - (b) merits further investigation.
- 5.6 The Assessment Sub-Committee may determine that an allegation merits no further investigation for whatever reasons it thinks fit, but it may have regard to the criteria set out in Paragraph 5.3 above and to the following additional criteria:
- (a) The allegation is not considered sufficiently serious to warrant investigation, or
 - (b) The allegation appears to be motivated by malice or is 'tit-for-tat', or
 - (c) The allegation appears to be politically motivated, or
 - (d) The matter about which the allegation is made took place more than three months prior to receipt of the allegation unless there are exceptional circumstances or it is otherwise appropriate to investigate.
- 5.7 Where the Assessment Sub-Committee considers that an allegation merits further investigation, the Monitoring Officer shall undertake such investigation ~~and report to the Standards Committee.~~
- 5.8 The decision as to whether or not an allegation *should* be investigated will normally be taken within thirty clear working days from receipt. The Monitoring Officer will inform the person making the allegation of that decision and if the allegation is to be investigated, an indication of the timescale for the investigation. ~~and the likely meeting of the Standards Committee to which the report will be submitted.~~ The Monitoring Officer will keep the person informed if the initial timetable changes substantially,
- 6. The Investigation**
- 6.1 The Monitoring Officer may conduct the investigation personally or may appoint an Investigating Officer, who may be another senior officer of the Council, an officer of another authority or an external investigator.
- 6.2 The Monitoring Officer/Investigating Officer will decide if he/she needs to meet or speak to the person making the allegation to understand the nature of the allegation and so that the person can explain his/her understanding of events and identify what documents he/she considers the Monitoring Officer/Investigating Officer needs to see and who

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he/she considers the Monitoring Officer/Investigating Officer needs to interview.

- 6.3 The Monitoring Officer/Investigating Officer will normally write to the member against whom the complaint is made and provide him/her with a copy of the complaint and ask the member to provide his/her explanation of events and to identify what documents he/she considers the Monitoring Officer/Investigating Officer needs to see and who he/she considers the Monitoring Officer/Investigating Officer needs to interview. Where it is appropriate to keep confidential the identity of the person making the allegation the Monitoring Officer/Investigating Officer will delete the person's name and address from the papers given to the member. Where disclosure of details of the allegation to the member might prejudice the investigation, the Monitoring Officer/Investigating Officer may delay notifying the member until the investigation has progressed sufficiently.
- 6.4 The Monitoring Officer/Investigating Officer has absolute discretion about which are the appropriate witnesses to interview and documents to consider but will follow best practice in conducting investigations. Having considered all relevant documentation identified and having interviewed all relevant witnesses, at the end of the investigation the Monitoring Officer/Investigating Officer will produce a draft report and may where appropriate send copies of that draft report, in confidence, to the person making the allegation and to the member concerned, to give both them an opportunity to identify any matter in that report with which there is disagreement or which is considered to require more consideration.
- 6.5 Where an Investigating Officer has been appointed, having received and taken account of any comments which the person making the allegation and/or the member have made on the draft report, the Investigating Officer will send his/her final report (the Investigation Report) to the Monitoring Officer for the latter's consideration prior to onward transmission to the Hearing Sub-Standards Committee where appropriate. If the Monitoring Officer is not satisfied that the investigation has been conducted properly, he/she may ask the Investigating Officer to reconsider the report or may appoint a new Investigating Officer.
- 6.6 Where the Monitoring Officer has undertaken the investigation personally, having received and taken account of any comments which the person making the allegation and/or the member have made on the draft report, and, where appropriate, having sought to achieve an informal resolution pursuant to paragraph 8.1 below, the Monitoring Officer shall submit the Investigation Report to the Hearing Sub-Standards Committee and the Independent Person.

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7. **Where the Monitoring Officer/Investigating Officer concludes that there is no evidence of a failure to comply with the Code of Conduct.**

7.1 In these circumstances the Monitoring Officer will refer the matter to the Standards Committee. When the Standards Committee receives an Investigation report which recommends that there is no evidence of failure to comply with the Members' Code of Conduct, the Committee may:

- (a) accept the recommendation resolve that no further action is required and dismiss the allegation, or
- (b) remit the report to the Monitoring Officer for further consideration, or
- (b) remit the complaint to the Hearing Sub-Committee to conduct a hearing for the consideration of the allegation and the Investigation Report and to determine the allegation.

7.2 Prior to making a determination under Paragraph 7.1 above, the Standards Committee shall seek and shall take into account the views of the Independent Person.

8. **Where the Monitoring Officer/Investigating Officer concludes that there is evidence of failure to comply with the Code of Conduct.**

8.1 Where an Investigation Report concludes that there is evidence of failure to comply with the Code of Conduct 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 the Independent Person and the person making the allegation and seek to agree what the person considers 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 Council. If the member complies with the suggested resolution, the Monitoring Officer will report the matter to the Standards Committee which will note the outcome but take no further action.

8.2 If the Monitoring Officer considers that an informal resolution is not appropriate, or the member concerned is not prepared to undertake any proposed remedial action, such as giving an apology, then the Monitoring Officer will submit the Investigation Report to the Hearing Sub-Committee. ~~The Committee may:~~

- ~~(a) note the recommendation and remit the allegation to the Hearing Sub-Committee to conduct a hearing for the consideration of the~~

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allegation and the Investigation Report and to determine the allegation.

- ~~(b) remit the report to the Monitoring Officer for further action including, where the Committee considers it appropriate, to pursue an alternative informal resolution. If the further action does not achieve a resolution, the Monitoring Officer may refer the allegation and the Investigation Report to the Hearing Sub-Committee.~~

9. The Pre Hearing Process and Hearing

- 9.1 In advance of the Hearing the Monitoring Officer (and/or his nominees) will:
- (a) agree a date for the hearing with all the relevant parties;
 - (b) provide a timetable for the member to provide details about whether they wish to give evidence (and whether orally or in writing) at the hearing and any witnesses they intend to call, and additional papers they may wish to provide in time for inclusion in the committee papers;
 - (c) establish whether the member will be represented or accompanied at the hearing;
 - (d) establish whether the member wishes any part of the Investigation Report to be kept confidential or the Hearing itself to be held in private, and the reasons for this;
 - (e) provide information about the procedure to be used at the hearing;
 - (f) establish whether the member disagrees with any of the findings of fact in the Investigation Report;
 - (g) establish whether the Investigating Officer intends to call any witnesses.
- 9.2 Wherever possible hearings conducted by the Hearing Sub-Committee shall take place within three calendar months of the referral to the Hearing Sub-Committee.
- 9.3 At the hearing, the Monitoring Officer/Investigating Officer will present the Investigation 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 Monitoring Officer/Investigating Officer may request the person making the allegation to attend and give evidence to the Standards Committee.
- 9.4 If a member fails to attend the hearing, the Hearing Sub-Committee may decide to proceed in the members absence and make a determination, or to adjourn the hearing to a later date
- 9.5 Full details of the process to be undertaken at the hearing are contained in the Hearing Procedure note comprising Appendix A to these arrangements.

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9.6 The Hearing Sub-Committee, having sought and taken into account the views of the Independent Person may conclude:

- (a) that the member did not fail to comply with the Members' Code of Conduct, and dismiss the complaint, or
- (b) that the member did fail to comply with the Members' Code of Conduct.

9.7 In the event of a finding under Paragraph 9.6 (b) above, the Chair will inform the member of this finding and the Hearing Sub-Committee will then consider what action, if any, it should take as a result of the member's failure to comply with the Members' Code of Conduct. In doing this, the Hearing Sub-Committee will give the member an opportunity to make representations to the Sub-Committee as to whether any action should be taken and what form any action should take and will seek and take into account the views of the Independent Person. It will then decide what action, if any, to take in respect of the matter.

10. Action which may be taken where a member has failed to comply with the Code of Conduct

10.1 Having determined that a member has failed to comply with the Members' Code of Conduct, the Hearing Sub-Committee may:

- (a) Publish its findings in respect of the member's conduct;
- (b) Report its findings to Council for information;
- (c) Issue the member with a formal censure or be reprimanded, a report of which may be submitted to Council
- (d) Recommend to the member's Group Leader (or in the case of ungrouped members, recommend to Council or to Committees) that he/she be removed from any or all Committees or Sub-Committees of the Council;
- (e) Recommend to the Leader of the Council that the member be removed from the Cabinet, or removed from particular Portfolio responsibilities;
- (f) Instruct the Monitoring Officer to arrange training for the member;
- (g) Recommend to Council or Cabinet (as appropriate) that

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the member be removed from outside appointments to which he/she has been appointed or nominated by the Council/Cabinet

(h) Withdraw facilities provided to the member by the Council, such as a computer, website and/or email and internet access; or

(i) Exclude the member from the Council's Offices or other premises, with the exception of meeting rooms as necessary for attending Council, Cabinet, Committee and Sub-Committee meetings.

(j) Take no further action

(k) Any other appropriate sanction which may be available to the Sub-Committee.

10.2 The Hearing Sub-Committee has no power to suspend or disqualify the member or to withdraw members' or special responsibility allowances.

10.3 At the end of the hearing, the Chair shall state the decision of the Hearing Sub-Committee as to whether the member failed to comply with the Code of Conduct and as to any action which the Sub-Committee has resolved to take.

10.4 As soon as reasonably practicable thereafter, the Monitoring Officer shall prepare a formal decision notice after consultation with the Chair of the Hearing Sub-Committee, and send a copy to the person making the allegation; to the member concerned; make that decision notice available for public inspection and report the decision to the next convenient meeting of the Council.

11. Appeals

11.1 There is no right of appeal for either the person making the allegation or for the member against whom the allegation is made, against a decision of the Monitoring Officer or of the Standards Committee/Assessment Sub-Committee/Hearing Sub-Committee

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- 11.2 If a person making the allegation considers that the Council has failed to deal with an allegation properly, he/she may make a complaint to the Local Government Ombudsman.
-

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Appendix A

Hearing Procedure

The model procedure which follows comprises good and equitable practice and should be followed closely wherever possible. There may be occasions when circumstances require variations and subject to the maintenance of the principles of natural justice these may be effected at the discretion of the Hearing Sub-Committee and advised to the parties

1. The Chair shall facilitate introductions and explain the procedure for the hearing.
2. The Monitoring Officer/Investigating Officer shall be invited to present his/her Investigation Report including any documentary evidence or other material and to call witnesses as required. This report and documentary and witness evidence must be based on the allegation made to the Council; no new or additional matters will be allowed.
3. The Member against whom the allegation has been made or his/her representative may question the Monitoring Officer/Investigating Officer upon the content of the Investigation Report and any witnesses called by the Monitoring Officer/Investigating Officer. This is the Member's opportunity to ask questions arising from the Investigation Report and the direct evidence and not to make a statement.
5. Members of the Sub-Committee may question the Monitoring Officer/Investigating Officer upon the content of the Investigation Report and any witnesses called by the Monitoring Officer/Investigating Officer
6. The Member against whom the allegation has been made or his/her representative may present his/her case and call witnesses as required.
7. The Monitoring Officer/Investigating Officer may question the Member and any witnesses
8. Members of the Sub-Committee may question the Member and any witnesses.
9. The Monitoring Officer/Investigating Officer may sum up the investigation into the allegation and make a closing speech.
10. The Member or his/her representative may sum up his/her case and make a closing speech.
11. The Chair shall invite the parties to withdraw to enable the Sub-Committee to deliberate upon the allegation. Prior to reaching a determination the

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Sub-Committee shall seek and take into account the views of the Independent Person.

12. The parties shall be invited to return and the Chair shall announce the Sub-Committee's decision in the following terms:-

- (a) The Sub-Committee has determined that the Member has failed to comply with the Code of Conduct, or
- (b) The Sub-Committee has determined that the Member has not failed to comply with the Code of Conduct and the allegation is dismissed.

The Sub-Committee will give reasons for its decision.

13. If the Sub-Committee has determined that the Member has failed to comply with the Code of Conduct it shall consider any representations from the Member as to whether any action should be taken and what form any action should take.

14. The Chair shall invite the parties to withdraw to enable the Sub-Committee to deliberate upon what action if any should be taken. Prior to reaching a determination the Sub-Committee shall seek and take into account the views of the Independent Person.

15. In addition to any action upon the current matter, the Sub-Committee shall consider whether in consequence it should make recommendations to the Council with a view to promoting high standards of conduct amongst Members.

16. The parties shall be invited to return and the Chair shall announce the Sub-Committee's decision

17. A full written decision shall be issued to the Complainant and the Member within ten clear working days following the hearing and shall be published.

By virtue of paragraph(s) 1, 2 of Part 1 of Schedule 12A
of the Local Government Act 1972.

Document is exempt

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