

BASILDON BOROUGH COUNCIL JOINT STANDARDS COMMITTEE

MEMBER CODE OF CONDUCT COMPLAINTS PROCEDURE

1. Context

- 1.1 These “Arrangements” set out how you may make a complaint that an elected or co-opted member (with voting rights) of this authority (‘Basildon Borough Council’ or of a Local Council within its area (see 1.3 below) has failed to comply with the Member Code of Conduct, and sets out how the authority will deal with allegations of a failure to comply with the Member Code of Conduct.
- 1.2 Under Section 28(6) and (7) of the Localism Act 2011, the Council must have in place “arrangements” under which allegations that a member or co-opted member of the authority (*or of a Local Council within the authority’s area*), or of a Committee or Sub-Committee of the authority, has failed to comply with the Code of Conduct can be investigated and decisions made on such allegations.
- 1.3 Local Councils within the Basildon Borough are set out on the Council’s website.
- 1.4 Such arrangements must provide for the authority to appoint at least one Independent Person, whose views must be sought by the authority before it takes a decision on an allegation which it has decided shall be investigated, and whose views can be sought by the authority at any other stage, or by a member or a co-opted member with voting rights (*or a member or co-opted member (with voting rights) of a Local Council*) against whom an allegation has been made.

2. The Member Code of Conduct

- 2.1 The Council has adopted a Code of Conduct for Councillors, which is available for inspection on the authority’s website and on request from reception at the Council offices.
- 2.2 *Each Local Council in the Borough has adopted the same Code of Conduct. If you wish to inspect a Local Council’s Code of Conduct, you should contact the Local Council clerk (contact details can be found on the Basildon Borough Council website).*

3. Making a complaint

How to make a complaint

- 3.1 If you wish to make a complaint, please complete the formal complaints form and send or email it to:

The Monitoring Officer
Basildon Borough Council
The Basildon Centre
St. Martin's Square
Basildon
Essex
SS14 1DL standards@basildon.gov.uk

Alternatively you can complete the electronic version of the form on Basildon Borough Council's website www.basildon.gov.uk

- 3.2 The Monitoring Officer is a senior officer of the authority who has statutory responsibility for maintaining the Register of Members' Interests and who is responsible for administering the system in respect of complaints of member misconduct.
- 3.3 In order to ensure that we have all the information which we need to be able to process your complaint, please complete and send us the complaint form, which can be downloaded from the authority's website, next to the Code of Conduct, and is available on request from the reception at the Council Offices. You must also include all relevant information relating to the complaint which you have to enable it to be fully considered. Alternatively you can complete the electronic version of the form which is available on the same page of the website.

Personal Information

- 3.4 Please provide us with your name and a contact address or email address, so that we can acknowledge receipt of your complaint and keep you informed of its progress. The name (but not contact details) of a complainant will normally be provided to the Member that is the subject of the complaint. In exceptional cases, we may agree to withhold your name from the Member. If you want to keep your name confidential, please indicate this in the space provided on the complaint form along with the reasons why you feel it is necessary for your name to be withheld. The Monitoring Officer will consider your request and if granted we will not disclose your name to the Member against whom you make the complaint, without your prior consent.
- 3.5 The authority does not normally investigate anonymous complaints, unless it includes sufficient documentary evidence to show a significant breach of the Code of Conduct and there is a clear public interest in doing so.
- 3.6 Where a complaint is made against more than one Councillor it might be necessary for documents to be redacted so that each councillor will only receive details of the complaint(s) which are being made against them individually. Should redaction be necessary then, the Monitoring Officer will extend the timeframes below to allow this process to take place in accordance with Data Protection laws.

4 What happens when we receive your complaint

- 4.1 Following receipt of your complaint, the Monitoring Officer will:

- (a) acknowledge receipt of your complaint within 5 working days of receiving it;
- (b) notify, within 5 working days of the receipt of the complaint, the Member that is the subject of the complaint that you have made a complaint about them and provide them with the information set out on the complaint form (excluding any personal information but including your name, unless this is to be withheld in accordance with section 3.3 above) and invite the Member to make a formal written representation within 10 working days of such notification from the Monitoring Officer if they so wish (in appropriate circumstances the Monitoring Officer may extend the timeframe for the member subject to a complaint to respond by up to a further 10 working days);
- (c) Once the timeframe for the Member subject to the complaint has expired or representations have been received from the Councillor the Monitoring Officer will aim to undertake the initial consideration of the complaint within 15 working days.
- (d) keep you and the Member that is the subject of the complaint informed of the progress of your complaint.
- (e) Your complaint will be given a reference number which will appear on complaint documentation to preserve the privacy of the complainant and the subject Member until the complaint outcome is determined.

4.2 The complaints procedure flowchart is attached at **Appendix A** for your assistance.

4.3 In exceptional cases, where the Monitoring Officer feels it is appropriate to keep your identity confidential or disclosure of details of the complaint to the Member might prejudice the investigation, the Monitoring Officer may withhold your name and address from the Member, or delay notifying the Member until the investigation has progressed sufficiently.

5. Will your complaint be investigated?

5.1 The Monitoring Officer will review every complaint received and will consult with one of the Independent Persons before taking one of the following decisions:

5.1.1 No further action

5.1.2 Merits other action (eg early informal conciliation)

5.1.3 Should be referred to the Joint Standards Committee to consider whether the complaint merits further investigation.

5.2 In reaching a decision in respect of how to progress the complaint the Monitoring Officer will take into account the following factors where appropriate:

- Was the Member acting in their official capacity?
- Was the Member in office at the time of the alleged misconduct?

- Is the complaint of a very minor or trivial nature or tit-for-tat?
- Is the complaint vexatious or malicious?
- Is the complaint politically motivated?
- Are there historical matters?
- Is there a potential breach of the Code?
- Assessment of public interest?
- Is additional information required prior to making a decision?
- Any representations from the Member subject to the complaint

5.3 The public interest test to be used by the Monitoring Officer in assessing complaints is attached at **Appendix B**.

5.4 This decision as to how the complaint is to be progressed will normally be taken within 30 working days of receipt of your complaint. Your complaint will be considered in accordance with the Assessment Criteria annexed at **Appendix C**. Where the Monitoring Officer has taken a decision, you will be informed of the decision and the reasons for that decision. The Monitoring Officer may require additional information in order to come to a decision, and may come back to you for such information. In the absence of a response from you within 15 working days the Monitoring Officer may close the complaint. As referred to in 3.6(b) above, the Member that is the subject of the complaint will be given the opportunity to provide information from their perspective to assist the Monitoring Officer in reaching a decision. In the absence of the subject Member's response within the specified timescale, the Monitoring Officer may progress the complaint. *(Where your complaint relates to a Local Councillor, the Monitoring Officer may also inform the Local Council of your complaint and seek the views of the Local Council before deciding whether the complaint merits formal investigation).*

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

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

6. Referral to the Joint Standards Committee and how is an investigation conducted?

6.1 The Council has adopted a procedure for the investigation of misconduct complaints a summary of which is attached as **Appendix D** to these arrangements.

6.2 If the Monitoring Officer decides that a complaint merits further investigation, he/she will refer the matter to the Joint Standards Committee, together with any information received from either the complainant or Member who is the subject of the complaint. The Committee, upon consideration of this early

information, may decide that the complaint merits no further action or other action (eg conciliation, training or similar resolution).

- 6.3 If the Joint Standards Committee agree further investigation is required, an Investigating Officer will be appointed, who may be another senior officer of the authority, an officer of another authority or an external investigator. The decision on who will be appointed Investigating Officer will be made by the Monitoring Officer in consultation with the Chairman of the Joint Standards Committee. The Investigating Officer or Monitoring Officer will decide whether he/she needs to meet you or speak to you to understand the nature of your complaint and so that you can explain your understanding of events and suggest what documents need to be seen and who needs to be interviewed.
- 6.4 As referred to in section 3.8, upon receipt of your complaint the Member that is the subject of the complaint will ordinarily be informed that you have made a complaint about them, will be provided with details of the complaint and will be invited to submit their views on the matter. If an investigation is to be undertaken, the Investigating Officer or Monitoring Officer will normally write again to the Member against whom you have complained and formally ask the Member to provide his/her explanation of events and to identify what documents he/she needs to see and who he/she needs to interview. In exceptional cases, where it is felt appropriate to continue to keep your identity confidential or where disclosure of details of the complaint to the Member might prejudice the investigation, the Monitoring Officer can delete your name and address from the papers given to the Member, or delay providing full details of the complaint to the Member until the investigation has progressed sufficiently.
- 6.5 At the end of his/her investigation, the Investigating Officer or Monitoring Officer will produce a draft report ("the Investigation Report") and will, in all cases, send copies of that draft report, in confidence, to you and to the Member concerned, to give you both an opportunity to identify any matters in that draft report which you disagree with or which you consider requires more consideration.
- 6.6 Having received and taken account of any comments which you, or the Member that is the subject of the complaint, may make on the draft Investigation Report, the report will be finalised. Where an Investigating Officer has been appointed the Investigating Officer will send his/her final report to the Monitoring Officer.

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

- 7.1 If an Investigating Officer has been appointed the Monitoring Officer will review the Investigating Officer's report and may consult with the Independent Person(s). If he/she is satisfied that the Investigating Officer's report is sufficient, the Monitoring Officer will write to you and to the Member concerned (*and to the Local Council, where your complaint relates to a Local Councillor*), notifying you that he/she is satisfied that no further action is required, and give you both a copy of the investigation final report. The Monitoring Officer will also notify the Joint Standards Committee and the Independent Persons.

7.2 If an Investigating Officer has been appointed and if the Monitoring Officer is not satisfied that the investigation has been conducted properly, he/she may ask the Investigating Officer to reconsider his/her report.

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

8.1 If an Investigating Officer has been appointed the Monitoring Officer will review the Investigating Officer's report and will then either send the matter for a hearing before the Joint Standards Committee or in consultation with one of the Independent Persons, seek an informal resolution.

8.1.1 Informal Resolution

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

8.1.2 Hearing

If the Monitoring Officer considers that informal resolution is not appropriate, or the councillor concerned is not prepared to undertake any proposed remedial action, such as giving an apology, then the Monitoring Officer will report the investigation report to the Joint Standards Committee 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 Member.

At the hearing, the Investigating Officer or the Monitoring 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 or Monitoring Officer may ask you as the complainant to attend and give evidence to the Joint Standards Committee. The Member will then have an opportunity to give his/her evidence, to call witnesses and to make representations to the Joint Standards Committee as to why he/she considers that he/she did not fail to comply with the Code of Conduct.

The Joint Standards Committee, with the benefit of any advice from one of the Independent Persons, may conclude that the Member did not fail to comply with the Code of Conduct, and dismiss the complaint. If the Joint Standards Committee concludes that the Member did fail to comply with the Code of Conduct, the Chairman will inform the Member

of this finding and the Joint Standards Committee will then consider what action, if any, the Committee should take as a result of the Member's failure to comply with the Code of Conduct. In doing this, the Joint Standards Committee will give the Member an opportunity to make representations to the complaint hearing and will consult the Independent Person, but will then decide what action, if any, to take in respect of the matter.

9. What action might the Joint Standards Committee take where a Member has failed to comply with the Code of Conduct?

9.1 The Joint Standards Committee has the power to take action in respect of individual Members as may be necessary to promote and maintain high standards of conduct. Accordingly the Joint Standards Committee may:-

9.1.1 Publish its findings in respect of the Member's conduct;

9.1.2 Report its findings to Council (*or to the Local Council*) for information;

9.1.3 Recommend to the Member's Group Leader (or in the case of ungrouped Members, recommend to Council or to Committee) that he/she be removed from any or all Committees or Sub-Committees of the Council;

9.1.4 Recommend to Council that the Member be removed from any chairmanship;

9.1.5 Instruct the Monitoring Officer to (*or recommend that the Local Council*) arrange training for the Member;

9.1.6 Recommend to relevant Group Leader that the Member be removed (*or recommend to the Local Council that the Member be removed*) from all outside appointments to which he/she has been appointed or nominated by the authority (*or by the Local Council*);

9.1.7 Recommend to relevant Group Leader the withdrawal of (*or recommend to the Local Council that it withdraws*) facilities provided to the Member by the Council, such as a computer, website and/or email and internet access; or

9.1.8 Recommend to relevant Group Leader the exclusion of (*or recommend that the Local Council exclude*) the Member from the Council's Offices or other premises, with the exception of meeting rooms as necessary for attending Council, Committee and Sub-Committee meetings.

9.2 In each circumstance, where the Joint Standards Committee recommend the Group Leaders take action, it is expected that the Group Leader will within three months of the referral to them, or as soon as reasonably practicable thereafter, submit a report back to the Joint Standards Committee giving details of the action taken or proposed to comply with the Committee's direction.

9.3 The Joint Standards Committee has no power to suspend or disqualify the Member or to withdraw the Member's special responsibility allowances.

10. What happens at the end of the hearing?

- 10.1 At the end of the hearing, the Chairman will state the decision of the Joint Standards Committee as to whether the Member failed to comply with the Code of Conduct and as to any actions which the Joint Standards Committee resolves to take.
- 10.2 As soon as reasonably practicable thereafter, the Monitoring Officer shall prepare a formal decision notice in consultation with the Chairman of the Standards Committee, and send a copy to you and to the Member (*and to the Local Council if appropriate*), make that decision notice available for public inspection and, where appropriate, report the decision to the next convenient meeting of the Council for information.
- 10.3 Should a police investigation result in a Member being convicted of a criminal offence the Monitoring Officer / Independent Person / Group Leader determine whether it is in the public interest for the matter to be reported to Council for information.

11. Who are the Joint Standards Committee?

- 11.1 The Council has established a Joint Standards Committee with Local Councils in the Borough. The Committee comprises three Basildon Borough Councillors*; two Local Councillors (nominated by the Association of Basildon Local Councils) and four Independent Persons. (*Political proportionality rules will apply in respect of the appointment of the Basildon Borough Councillors)
- 11.2 At least one of the four Independent Persons must be present at each meeting of the Joint Standards Committee (although all four Independent Persons will be invited to attend the Joint Standards Committee meetings) and their views must be sought and taken into consideration before the Committee takes any decision on whether the Member's conduct constitutes a failure to comply with the Code of Conduct and as to any action to be taken following a finding of failure to comply with the Code of Conduct.

12. Who are the Independent Persons?

- 12.1 The Council has appointed Independent Persons to the Joint Standards Committee.
- 12.2 An Independent Person is a person who has applied for the post following advertisement of a vacancy for the post, and is appointed by a positive vote from a majority of all the Members of the Council.
- 12.3 A person cannot be "independent" if he/she:
 - 12.3.1 Is, or has been within the past 5 years, a member, co-opted member or officer of the authority;
 - 12.3.2 (*Is or has been within the past 5 years, a member, co-opted member or officer of a Local Council within the authority's area*), or
 - 12.3.3 Is a relative or close friend, of a person within paragraph 12.3.1 or 12.3.2 above. For this purpose, a "relative" means:

- 12.3.3.1 Spouse or civil partner;
- 12.3.3.2 Living with the other person as husband and wife or as if they were civil partners;
- 12.3.3.3 Grandparent of the other person;
- 12.3.3.4 A lineal descendent of a grandparent of the other person;
- 12.3.3.5 A parent, sibling or child of a person within paragraphs 12.3.3.1 or 12.3.3.2; or
- 12.3.3.6 A spouse or civil partner of a person within paragraphs 12.3.3.3, 12.3.3.4 or 12.3.3.5; or
- 12.3.3.7 Living with a person within paragraphs 12.3.3.3, 12.3.3.4 or 12.3.3.5 as husband and wife or as if they were civil partners.

13. Revision of these arrangements

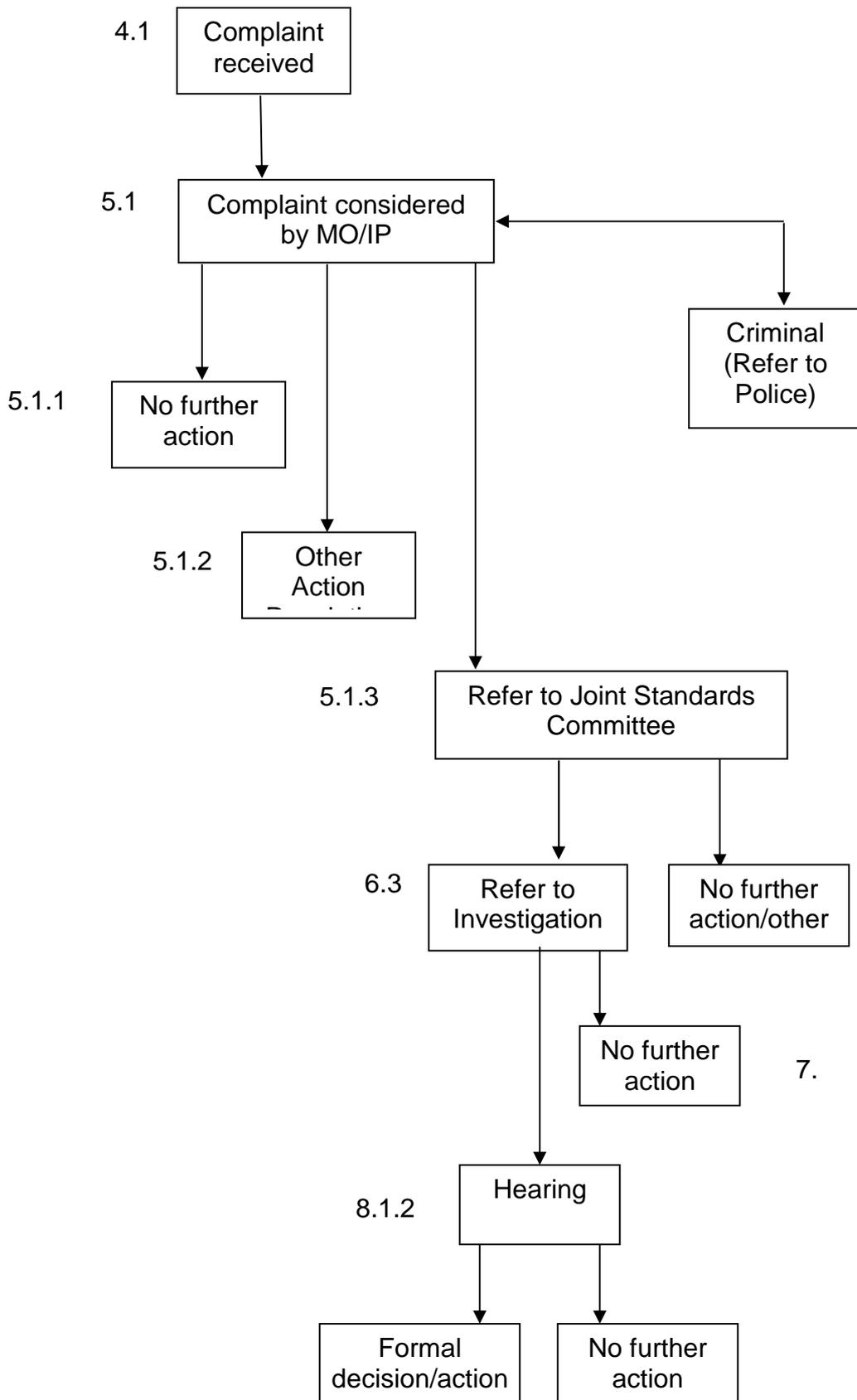
The Joint Standards Committee may by resolution agree to amend these arrangements, and has delegated to the Chairman of the Joint Standards Committee the right to depart from these arrangements where he/she considers that it is expedient to do so in order to secure the effective and fair consideration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

14. Appeals

- 14.1 There is no right of appeal for you as complainant or for the Member against a decision of the Monitoring Officer or of the Joint Standards Committee.
- 14.2 If you feel that the authority has failed to deal with your complaint properly, you may make a complaint to the Local Government and Social Care Ombudsman at www.lgo.co.uk.

January 2020

APPENDIX A



PUBLIC INTEREST CONSIDERATIONS

Introduction

The public interest should be considered in deciding (i) whether a complaint against a councillor can and should be investigated, or (ii) whether an investigation should continue.

There is no widely accepted definition of the public interest but it can be described as *something which is of serious concern and benefit to the public*. The public interest therefore relates to something which has an impact on the public and it is not merely a matter that the public find to be of interest or a matter that impacts solely on an individual (although an individual may be more directly impacted by the matter than the wider public). The public in this context may refer to a distinct section of the public such as a small community or interest group as well as the wider public.

1. Seriousness

The more serious the alleged breach, the more likely it is that it will be investigated. Investigators should consider whether the alleged breach is so serious that an investigation is in the public interest.

When deciding the level of seriousness of the allegation, relevant considerations are: the extent to which the councillor was responsible for or was to blame for the alleged breach; the circumstances of the complainant; and whether the alleged conduct caused harm to any person.

(a) To what extent was the councillor responsible for or to blame for the conduct complained of?

Questions of responsibility or blame are likely to be determined by the councillor's level of involvement; the extent to which the alleged breach was premeditated and/or planned; whether they have previously been investigated on a similar matter, or have been sanctioned for a previous breach; whether the conduct complained of is ongoing, repeated or has escalated; the councillor's length of service; and level of experience/knowledge of the councillor in relation to the issue in question.

(b) What are the relevant circumstances of any person affected by the alleged breach and has the alleged breach caused harm to any person?

Although a breach of the Code may affect the public at large, it can also cause harm to individuals or to specific groups or bodies. In considering the seriousness of a breach, the circumstances of any person affected by the breach are relevant and these should be taken into consideration. Investigators should also have regard to whether the alleged breach was motivated by any form of discrimination against a person's ethnic or national origin, sex (male, female), disability, age, religion or belief, sexual orientation or gender identity; or the councillor demonstrated hostility towards a person based on any of those characteristics. In deciding whether an investigation is required in the public interest, investigators should take into account any views expressed by the complainant, or any other person affected, about the impact that the alleged breach has had on them.

2. Proportionality

The cost of the investigation should be considered, especially where it could be regarded as excessive *when weighed against any likely sanction*. The public interest should not be decided on the basis of cost alone, but it is a relevant consideration when making an overall assessment of the public interest. In determining whether an investigation would be in the public interest, it should be considered whether it would be more appropriate for the Monitoring Officer to exercise his powers in relation to “other action” instead of an investigation.

These considerations will assist the Monitoring Officer and Investigators in identifying the public interest, but they are not exhaustive and not all are relevant in each case. In any event, consideration of the public interest is only one of a number of criteria which must be met in deciding whether to investigate a complaint: crucially the complaint must also be supported by evidence of a breach of the Code.

STANDARDS COMPLAINTS ASSESSMENT CRITERIA

Complaints which would not normally be referred to the Joint Standards Committee for consideration of investigation

1. The allegation is or appears to be malicious, politically motivated, tit-for-tat or otherwise submitted with an improper motive and is not considered to disclose sufficiently serious breaches of the Code of Conduct to merit further consideration; or
4. It appears that there can be no breach of the Code of Conduct; for example, that it relates to the Councillor's private life or is about dissatisfaction with a Council decision; or
5. It is about someone who is no longer a Councillor; or
6. There is insufficient information available for a referral; or
7. The complaint has not been received within 3 months of the alleged misconduct unless there are exceptional circumstances e.g. allegation of bullying, harassment etc; or
8. The matter occurred so long ago that it would be difficult for a fair investigation to be carried out; or
9. The same, or similar, complaint has already been investigated and there is nothing further to be gained by seeking the sanctions available to the Joint Standards Committee; or
10. It is an anonymous complaint, unless it includes sufficient documentary evidence to show a significant breach of the Code of Conduct and there is a clear public interest to do so; or
11. Where the Member complained of has apologised and/or admitted making an error and the matter would not warrant a more serious sanction.
12. Where the complaint relates to alleged failure to respond to correspondence

Complaints which may be referred to the Joint Standards Committee

1. It is serious enough, if proven, to justifying the range of sanctions available to the Joint Standards Committee; or
2. There are individual acts of minor misconduct which appear to be a part of a continuing pattern of behaviour that is unreasonably disrupting the business of the Council and there is no other avenue left to deal with it other than by way of an investigation; or
3. When the complaint comes from a senior officer of the Council (such as a Chief Officer) and it would be difficult for the Monitoring Officer to consider; or
4. The complaint is about a high profile Member and it would be difficult for the Monitoring Officer to consider; or
5. Such other complaints as the Monitoring Officer considers it would not be appropriate for him/her to consider.

Whilst complainants must be confident that complaints are taken seriously and dealt with appropriately, deciding to investigate a complaint or to take further action will cost both public money and officers' and Members' time. This is an important consideration where the complaint is relatively minor.

STANDARDS COMPLAINTS INVESTIGATION PROCEDURE

1. Planning Stage

Upon receipt of an instruction to carry out an investigation the Investigator should:

- Acknowledge receipt of the instruction to conduct the investigation.
- Maintain a written record throughout the investigation.
- Assess whether any additional information is required from the complainant.
- Identify the paragraph(s) of the Member Code of Conduct that are alleged to have been breached.
- Identify the facts which will need to be determined to establish if the Member has breached the Member Code of Conduct.
- Identify the evidence that is needed to determine the issues.
- Consider how to undertake the evidence gathering.
- Identify how long it is likely to take to conduct the investigation.

2. Evidence Gathering Stage

- Contact the complainant to request any supporting or documentary evidence relating to the complaint.
- Contact the subject Member with details of the complaint and seek an explanation.

3. Interview Stage

- Identify witnesses.
- Arrange interview dates.
- Conduct interviews (with complaint, subject Member and witnesses).

4. Report Stage

- Review evidence from interviews and any documentary evidence provided.
- Draft the report to contain:
 - Agreed facts
 - Facts not agreed and corresponding conflicting evidence
 - Conclusions as to whether a breach has occurred.

Where a draft report is issued this will be supplied to both the complainant and subject Member for comment.

In all cases the Investigator will issue a final report and the Monitoring Officer will then determine appropriate action to be taken in line with the report conclusion.

Further details can be found in the full Investigation Procedure.