

# AGENDA

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**Meeting:** Standards Assessment Sub-Committee

**Place:** Council Chamber - County Hall, Bythesea Road, Trowbridge, BA14 8JN

**Date:** Thursday 29 September 2022

**Time:** 2.00 pm

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Please direct any enquiries on this Agenda to Kieran Elliott of Democratic Services, County Hall, Bythesea Road, Trowbridge, direct line 01225 718504 or email [kiera.elliott@wiltshire.gov.uk](mailto:kiera.elliott@wiltshire.gov.uk)

Press enquiries to Communications on direct lines (01225) 713114/713115.

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## Membership:

Cllr Ruth Hopkinson (Chairman)  
Cllr Ernie Clark (Vice-Chairman)  
Cllr Richard Britton  
Cllr Gordon King

Cllr Sam Pearce-Kearney  
Gordon Ball (Non-Voting)  
Kathy Barnes (Non-Voting)

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## Substitutes:

Cllr Allison Bucknell  
Cllr Trevor Carbin  
Cllr Andrew Davis  
Cllr Matthew Dean  
Cllr Howard Greenman  
Cllr Jon Hubbard  
Cllr Mel Jacob  
Cllr Kathryn Macdermid

Cllr Dr Nick Murry  
Cllr Paul Oatway QPM  
Cllr Bill Parks  
Cllr Pip Ridout  
Cllr Mike Sankey  
Cllr Iain Wallis  
Cllr Derek Walters  
Cllr Graham Wright

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## **Public Participation**

Please see the agenda list on following pages for details of deadlines for submission of questions and statements for this meeting.

For extended details on meeting procedure, submission and scope of questions and other matters, please consult [Part 4 of the council's constitution](#).

The full constitution can be found at [this link](#).

For assistance on these and other matters please contact the officer named above for details

# AGENDA

## Part I

*Items to be considered when the meeting is open to the public*

1 **Apologies**

To receive any apologies or substitutions for the meeting.

2 **Minutes of the Previous Meeting** (Pages 5 - 12)

To approve the minutes of the meeting held on

3 **Declarations of Interest**

To receive any declarations of disclosable interests, or dispensations granted by the Standards Committee.

4 **Meeting Procedure and Assessment Criteria** (Pages 13 - 22)

To note the procedure and assessment criteria for the meeting.

5 **Exclusion of the Public**

To consider passing the following resolution:

To agree that in accordance with Section 100A(4) of the Local Government Act 1972 to exclude the public from the meeting for the business specified in Agenda Item Numbers 6 onwards, because it is likely that if members of the public were present there would be disclosure to them of exempt information as defined in Paragraph 1 of Part I of Schedule 12A to the Act and the public interest in withholding the information outweighs the public interest in disclosing the information to the public.

*Paragraph 1 - information relating to an individual*

## Part II

*Items during consideration of which it is recommended that the public should be excluded because of the likelihood that exempt information would be disclosed.*

6 **Assessment of Complaints: COC141444, COC141442, COC141443 and one part of COC141392** (Pages 23 - 84)

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## Standards Assessment Sub-Committee

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### MINUTES OF THE STANDARDS ASSESSMENT SUB-COMMITTEE MEETING HELD ON 24 AUGUST 2022 AT COUNCIL CHAMBER - COUNTY HALL, BYTHESEA ROAD, TROWBRIDGE, BA14 8JN.

#### **Present:**

Cllr Ruth Hopkinson (Chairman), Cllr Ernie Clark (Vice-Chairman), Cllr Trevor Carbin (Substitute), Cllr Derek Walters (Substitute), Gordon Ball and Julie Phillips (non-voting)

#### **Also Present:**

Tony Drew (Independent Person), Pat Bunche (Independent Person), Frank Cain (Head of Legal Services), Lisa Alexander (Senior Democratic Services Officer), Sarah Marshall (Principal Solicitor).

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#### 64 **Apologies**

Apologies were received from:

Cllr Gordon King - who was substituted by Cllr Trevor Carbin  
Cllr Sam Pearce Kearney – who was substituted by Cllr Derek Walters  
Cllr Richard Britton

#### 65 **Minutes of the Previous Meeting**

The minutes of the meeting held on 20 July 2022 were presented for consideration, and it was,

#### **Resolved:**

**To approve and sign the minutes as a true and correct record.**

#### 66 **Declarations of Interest**

There were no declarations.

#### 67 **Meeting Procedure and Assessment Criteria**

The procedure and criteria were noted.

#### 68 **Exclusion of the Public**

It was,

**Resolved:**

**To agree that in accordance with Section 100A(4) of the Local Government Act 1972 to exclude the public from the meeting for the business specified in Minute Numbers 53 onwards, because it is likely that if members of the public were present there would be disclosure to them of exempt information as defined in Paragraph 1 of Part I of Schedule 12A to the Act and the public interest in withholding the information outweighs the public interest in disclosing the information to the public.**

***Paragraph 1 -information relating to an individual***

69 **Assessment of Complaint: COC140291**

A complaint was submitted by Richard Culverhouse (the clerk) on the behalf of Heywood Parish Council (the Complainant), which related to the conduct of Councillor Frances Morland (the Subject Member) who is a member of Heywood Parish council.

Preamble

The Sub-Committee considered a request made in writing by the Subject Member to defer the consideration of the complaint and noted the guidance, as set out in the Meeting Procedure, paras 4.3 and 4.2 on pages 12 of the agenda pack and agreed to proceed with the assessment.

The Sub-Committee was satisfied that the initial tests of the assessment criteria had been met, in that the Subject Member was and remained a member of Heywood Parish Council and that a copy of the relevant Codes of Conduct had been provided for the assessment.

The Sub-Committee therefore had to decide whether the alleged behaviour would, if proven, amount to a breach of the Code of Conduct. If the Sub-Committee concluded that the alleged behaviour would amount to a breach, then it would have to go on to decide whether it was appropriate under the assessment criteria to refer the matter for investigation.

In reaching its decision, the Sub-Committee took into account the original complaint and supporting information, and the report of the Monitoring Officer.

Discussion

The complaint relates to allegations that the Subject Member had not fulfilled the actions which were agreed by way of an alternative resolution to three previous, linked complaints against him.

After receiving legal advice, the Sub-Committee noted that, if the allegations were proved, it would be difficult to establish on the balance of probabilities, that a breach had occurred for the following reasons:

- a) It would be hard to establish evidentially that the undertaking was given for or on behalf of either the Parish Council or for constituents.
- b) Therefore, there is a very high probability if the matter progressed that in law the undertakings given would be determined to be personal undertakings.
- c) In judicial or quasi- judicial processes any undertakings should be accompanied by identified sanctions/consequences for non-compliance rather than being subject to a further complaint.
- d) Alternative resolution was incorporated within the light touch model adopted by the Council with a view to resolution by concession rather than sanction.
- e) The original decision did not have any sanctions for non-compliance. This is consistent with the light touch process adopted.
- f) In respect of the three original complaints the Sub-committee had made a final determination of no future action based on the personal undertakings given and the expectation that the member would maintain an integrity in upholding the personal undertakings he had given.
- g) There is no justifiable legal basis for setting aside that earlier determination and obliging the Subject Member to face the original complaints without running the risk of that decision being successfully challenged.
- h) Any failure by a member to abide by a personal undertaking in such a situation would fall to be determined by the electors and whether they wished to be represented by a person who had failed to abide by their own personal undertakings.

The Sub-Committee noted that a response from the Subject Member had not been received at the point of publication of the report and considered advice of the Legal Officer in relation to paras 18 – 20 of the report.

The Sub-Committee discussed the current process with regards to sanctions for a breach in compliance with an agreed alternative resolution and noted its disappointment with the options available to them.

#### Conclusion

The complaint had arisen due to the report from the Parish Council of the Subject Member's current non-compliance to agreed actions under an alternative resolution, relating to the decision of three linked complaints against

the Subject Member, which had been considered by the Sub-Committee on 16 September 2020

The Sub-Committee noted extreme displeasure in the allegations that the Subject Member having not made the apology directly to the former clerk or taken part in the training both, which had been agreed by the Member.

However, it further noted the gaps set out within the alternative resolution arrangements agreed and the legal implications of this, and therefore with hindsight the Sub-Committee felt that this had left the process open to exploitation/failure.

The Sub-Committee therefore requested that the process of alternative resolution be reviewed and tightened up for future assessments.

In summary, the Sub-Committee therefore resolved to take no further action in respect of the complaint.

**Resolved:**

**In accordance with the approved arrangements for resolving standards complaints adopted by Council on 9 July 2019, which came into effect on 1 January 2020, and after hearing from the Independent Person, the Assessment Sub-Committee determined to take no further action in respect of the complaint.**

70 **Assessment of Complaint: COC141113**

A complaint was submitted by Mr Nigel Valentine and Mr Jason Abbott (the Complainants), regarding the conduct of Councillor Tony Trotman (the Subject Member), a member of Wiltshire Council and Calne Town Council.

**Preamble**

The Sub-Committee was satisfied that the initial tests of the assessment criteria had been met, in that the Subject Member was and remains a member of Wiltshire Council and Calne Town Council and that a copy of the relevant Codes of Conduct had been provided for the assessment.

The Sub-Committee therefore had to decide whether the alleged behaviour would, if proven, amount to a breach of the Code of Conduct. If the Sub-Committee concluded that the alleged behaviour would amount to a breach, then it would have to go on to decide whether it was appropriate under the assessment criteria to refer the matter for investigation.

In reaching its decision, the Sub-Committee took into account the original complaint and supporting and additional information, and the report of the Monitoring Officer.



The Sub-Committee also considered the written statements of the Subject Member and the Complainants who were not in attendance at the meeting.

### Discussion

The complaint concerns an incident on 21 June 2022 where the Complainants state that the Subject Member made a visit to their property following a complaint he had received by a neighbour, regarding the Complainants use of an area of land in front of their property, owned by Green Square.

The complaint was accompanied by a video recording of the visit on 21 June 2022 and further information regarding a subsequent matter of an alleged complaint to Green Square in respect of the Complainants, made by the Subject Member following his visit.

The Complainants allege that the Subject Member, during his visit:

- a) Incorrectly stated that some wood placed on their driveway had been there for two years, rather than two days;
- b) Dismissed their allegations of receiving “homophobic spurious vexatious complaints every year” when they fly the Pride flag;
- c) Told them the name of the person who had submitted a complaint about them, which they consider to be a potential data breach;
- d) Visited them with the purpose of intimidating them on behalf of their neighbours, whom the Subject Member described as personal friends of his. The Complainants also allege the visit to have been inappropriate and amounting to harassment.

The Subject Member contends that he visited the Complainants to resolve neighbours’ concerns regarding the use of the outside space owned by Green Square and that he acted without malice and did not instigate harassment at any time.

The Subject Member confirms that at the time of his visit, he was not aware of the actions of some of the neighbours, as subsequently seen on the video later provided by the Complainants and furthermore states that he had no personal relationship with the Complainants’ neighbours.

The Subject Member further contends that he had never discussed flying the Pride flag with the Complainants and had not contacted Green Square regarding the Complainants at any time.

### Conclusion

The Complaint relates to a visit by the Subject Member to the Complainants’ property, following complaints from neighbours about the use of the land on or adjacent to their property.

The Sub-Committee noted that there appeared to be a history of disputes involving the surrounding neighbours and the Complainants as relayed during the video recording.

The Sub-Committee felt that this had escalated into a complaint to the Subject Member by a neighbour and as such had subsequently led to his visit to the Complainants' address to attempt to resolve the dispute, which the Sub Committee agreed was an action regularly carried out by elected members as part of their role.

The Sub-Committee noted the manner of the Subject Member as polite and respectful during the visit to ascertain further information and that he had maintained his composure throughout.

The Sub-Committee considered the Subject Member's use of the term 'Traditional' and felt that whilst it could be regarded in different ways and that some may be upset by this use, but as it was possible that he had been referring to the neighbours of the Complainants as having resided on the estate for many years it would be difficult for the use of this term on its own to amount to a breach of the code..

The Sub-Committee felt that it was possible that the Complainants had been subjected to poor behaviour as a result of neighbourly disputes which may have amounted to a matter to be reported to the Police.

However, the Sub-Committee considered that it appeared that the Subject Member had unknowingly been drawn into the dispute whilst acting as a constituent member trying to resolve an issue reported to them involving constituents. The Sub-Committee recognised that attempting to resolve such disputes between constituents is something that elected members are likely to see as part of their role as community leaders and that it would be unfortunate if taking that community leadership role was misconstrued as taking sides in any dispute.

In summary, the Sub-Committee therefore resolved to take no further action in respect of the complaint.

**Resolved:**

**In accordance with the approved arrangements for resolving standards complaints adopted by Council on 9 July 2019, which came into effect on 1 January 2020, and after hearing from the Independent Person, the Assessment Sub-Committee determined to take no further action in respect of the complaint.**

(Duration of meeting: 1.30 - 2.30 pm)

The Officer who has produced these minutes is Lisa Alexander of Democratic Services, direct line 01722 434560, e-mail [lisa.alexander@wiltshire.gov.uk](mailto:lisa.alexander@wiltshire.gov.uk)

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## STANDARDS COMMITTEE

### PROCEDURAL RULES FOR THE ASSESSMENT SUB-COMMITTEE

#### 1 Purpose

- 1.1. These rules have been prepared to facilitate proper consideration by the Standards Committee's Assessment Sub-Committee, when making assessment decisions in respect of Code of Conduct complaints ('the Assessment') and receiving details of completed investigations.
- 1.2. The rules set out a framework for how Assessments are to be conducted and explain the role of the participants at the Assessment.

#### 2. Definitions

- 2.1 The following definitions describe the participants at and the subject matter of a Review:
  - **'Subject Member/Member'** means a member of Wiltshire Council, or of a parish, town or city council within the Wiltshire Local Authority area, against whom a complaint has been made under the Code of Conduct.
  - **'Complainant'** means the person(s) who have lodged a complaint against the conduct of a Member
  - **'Council'** means Wiltshire Council.
  - **'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 arrangements for dealing with complaints of member misconduct. It includes any officer nominated by the Monitoring Officer to act on his or her behalf in that capacity.
  - **'Democratic Services Officer'** means the Council's Officer who is present at an Assessment Sub-Committee meeting to take minutes and advise on procedure.
  - **'Independent Person'** means a person appointed under Section 28(7) of the Localism Act:
    - a) whose views must be sought and taken into account before a decision is made on an allegation of member misconduct under these arrangements;
    - b) who may be consulted by the Member about the complaint.
  - **Assessment** means a review of the complaint and any written response by the subject member to consider whether on the papers the complaint merits a formal investigation as set out in paragraph 4.1 and the following provisions of Protocol 12 of the Wiltshire Council Constitution (Arrangements for dealing with Code of Conduct Complaints).
  - **'Code of Conduct'** means the code of conduct for members which the Council and Parish Councils are required to adopt under Section 27 of the Localism Act 2011.
  - **'Local Assessment Criteria'** are the arrangements made under Section 28 of the Localism Act 2011. They set out the process for dealing with a

complaint that an elected or co-opted member of Wiltshire Council or of a parish, town or city council within its area has failed to comply with their Code of Conduct.

- **'Party'** means the Subject Member and the Complainant
- The **'Hearing Sub-Committee'** is a sub-committee of the Council's Standards Committee appointed to determine complaints of member misconduct under the arrangements in Protocol 12 of the Constitution..
- The **'Assessment Sub-Committee'** is a sub-committee of the Council's Standards Committee appointed to make determinations under sections 4 and 6 of the arrangements in Protocol 12 of the Constitution. This can include voting and co-opted non-voting members of the Standards Committee.
- The **'Constitution'** means the Constitution of Wiltshire Council, which includes rules on public participation at committees and the code of conduct complaints procedure.

### 3. The Assessment

- 3.1. The Assessment is dealt with on the papers and is not to be treated as a hearing of the complaint itself, which can only be convened after an investigation has been concluded and a decision has been made under paragraph 6.1 of the arrangements for dealing with Code of Conduct Complaints referring the matter for hearing.

### 4. Attendance at Meetings

- 4.1. The Assessment Sub-Committee is a committee of the Council and as such the meeting shall take place in public, However, the Sub-Committee may exclude the public from all or part of the Assessment, by passing a resolution in accordance with Section 100A(4) of the Local Government Act 1972, where it considers that there is likely to be disclosure of exempt information and that it is in the public interest to do so . Given the nature of the issues to be considered by the Sub-Committee it is very likely that such a resolution would normally be appropriate at this stage in the process.
- 4.2. The Complainant and the Subject Member, as parties to the Review, would not be covered by such a resolution to exclude the public and press and may attend the Assessment Sub-Committee. However, the Sub-Committee will normally retire to consider their decision and return to inform the parties of their decision.
- 4.3. If a party has informed the Council that they do not intend to attend the Sub-Committee meeting, or have not given any indication as to whether or not they intend to attend, the Assessment will proceed in their absence. As it is an assessment on the papers, no adverse inference will be drawn from any parties' non-attendance at a meeting.
- 4.4. If a party has indicated an intention to attend the meeting, but is not present at the start of the meeting, the Assessment will proceed in the absence of that party, unless the Sub-Committee considers it necessary to adjourn the meeting to enable the party to attend and make their representations.

- 4.5. If a party does not intend to attend and speak to the meeting, they may submit a short written representation that will be taken into account by the Sub-Committee in reaching their decision.
- 4.6. In addition to the Sub-Committee members and any co-opted member, the meeting may be attended by one or more Independent Persons, Democratic Services Officer(s) and the Monitoring Officer.

## **5. Procedure**

- 5.1. The Complainant and the Subject Member (or their representative) will be permitted up to three minutes to make any statement. If there is more than one complainant or subject member present, then, subject to the discretion of the Chairman, the maximum total time for statements by all complainants shall be three minutes. Any statements made should relate to the specific issues being considered by the Assessment Sub-Committee and should not raise any new issues or allegations.
- 5.2. Complainants and subject members for each complaint will be brought before the sub-committee to make a statement separate from any other complaint, except in the case of the same complaint submitted against multiple members
- 5.3. The Monitoring Officer will provide reports on any complaint that is to be assessed.
- 5.4. The report shall contain a summary of the complaint, supporting evidence, and response of the subject member, which aspects of a relevant code are alleged to have been breached, and options on whether to refer the complaint for investigation, dismiss the complaint, refer for alternative resolution, with reasoning for any recommended outcome.
- 5.5. The reports will also include in full any relevant material and supporting evidence provided by the complainant or subject member
- 5.6. No new documentation is to be introduced at the Sub-Committee meeting without the agreement of the Sub-Committee. New documentation should only be admitted if is considered by the Sub-Committee to be essential to its consideration of the issues in the Assessment
- 5.7. The Sub-Committee may take into account written representations made by, or correspondence from, a party that have been received since the publication of the agenda, where it is considered that this will assist the Assessment.
- 5.8. No questioning of the parties will be permitted, other than by the Sub-Committee with the agreement of the Chairman, to seek clarification of any point that has been made
- 5.9. Following any statements by the parties, the Assessment Sub-Committee will normally withdraw, with the Independent Person(s) if in attendance, and relevant officers, to consider the case.
- 5.10. Taking into consideration the documents provided, namely the original complaint, response of the Subject Member and any relevant additional material, the Sub-Committee will apply the tests required under paragraph 3 of the local assessment criteria, namely whether:
  - a) the complaint is about the conduct of a member of a council within the area of Wiltshire Council;

- b) the member was a member at the time of the incident giving rise to the complaint;
- c) the member remains a member of the relevant council; or, if not, that there are exceptional circumstances to justify a decision that it is in the public interest to continue to consider the complaint;
- d) a Code of Conduct is in force for the relevant council and provided;
- e) the matters giving rise to the complaint would, if proven, be capable of breaching that Code.

5.11. If the Sub-Committee are not satisfied that the criteria in a-e above are met, the complaint will be assessed as requiring no further action.

5.12. If the Sub -Committee are satisfied that a-e in para 5.7 above are met, they shall consider whether, under the rest of the local assessment criteria, the complaint should proceed to investigation. The Sub-Committee may also recommend any other suitable action, including mediation.

5.13. Before making any decision, the sub-committee will have regard to the views of an Independent Person. The Independent Person, if in attendance, may contribute to the discussion of the Sub-Committee at any time

## **6. Decision**

6.1. The parties will be informed of the Sub-Committee's decision once it has been made and a full decision with written reasons shall be sent to the Complainant and Subject Member as soon as practicable thereafter.

## **7. Post-Investigation**

7.1. If , following an investigation, the outcome of that investigation is a finding of no breach, the Monitoring Officer will prepare a report and recommendation to the Assessment Sub-Committee. This will be considered using the same procedure as detailed above.



## Assessment Sub-Committee Meeting Procedure Summary

1. If appropriate, the Chairman invites those present to introduce themselves.
2. The Chairman outlines the Assessment Procedure as set out in the Agenda, makes any relevant announcements and asks for any declarations of interest.
3. The Sub-Committee determines whether to pass a resolution to exclude the press and the public from the rest of the meeting.
4. Each complainant and subject member will be given the opportunity to make a statement to the Sub-Committee of up to three minutes for each party. In the interests of confidentiality the subject members and complainants for separate complaints will be brought before the assessment sub-committee separately. A complaint made multiple members may be considered together.
5. The Monitoring Officer presents a report for each complaint requiring assessment.
6. Taking into consideration the evidence, namely the original complaint, response of the Subject Member and any relevant additional material submitted in the request for a review of the initial assessment, the Sub-Committee will then apply the tests required under paragraph 3 of the local assessment criteria, namely whether:
  - a) The complaint is about the conduct of a member of a council within the area of Wiltshire Council;
  - b) That the member was a member at the time of the incident giving rise to the complaint;
  - c) That the member remains a member of the relevant council, or, if not, that there are exceptional circumstances to justify a decision that it is in the public interest to continue to consider the complaint;
  - d) That a Code of Conduct for the relevant council is in force and has been provided;
  - e) That the matters giving rise to the complaint would, if proven, be capable of breaching that Code.
7. If the criteria in 6 a) to e) are met, the Sub-committee will consider whether, under the local assessment criteria, they feel the complaint should be referred for investigation or other suitable action, including mediation, or whether the complaint should be dismissed or no further action should be taken.
8. The Sub-Committee will request and receive the views of an Independent person in person or in writing at the beginning of their discussion.

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## **STANDARDS COMPLAINTS ASSESSMENT CRITERIA**

The Monitoring Officer and Assessment Sub-Committee will adopt the approach and apply the criteria set out below in the assessment of complaints under locally adopted Codes of Conduct for Members.

### **1. Relevance**

1.1 The criteria and procedures set out in this document only apply to complaints made against individual members that fall within the relevant code of conduct. It is likely that complaints will be received by the Monitoring Officer which do not relate to local codes of conduct for members. These might include complaints relating to the provision of services by councils; matters relating to the council as a corporate body (including decisions made by the council); or matters which should be dealt with under a council's complaints procedure. They may be complaints relating to council employees, other authorities or matters relating to a member's private life which do not fall within the remit of the Standards Committee.

1.2 Where complaints are received that are outside the scope of these procedures, the Monitoring Officer will advise the complainant that they cannot proceed under local codes of conduct, but that the complainant should contact the relevant council in order to bring a complaint under the appropriate alternative complaints procedure, where available.

### **2. Alternative resolution**

2.1 The Monitoring Officer or Assessment Sub-Committee will always consider whether an alternative means of resolving the complaint would be appropriate.

### **3. Initial Tests**

3.1 Before the assessment of a complaint begins, the Assessment Sub-Committee should be satisfied that:

- a) The complaint is about the conduct of a member of a council within the area of Wiltshire Council;
- b) That the member was a member at the time of the incident giving rise to the complaint;
- c) That the member remains a member of the relevant council, or, if not, that there are exceptional circumstances to justify a decision that it is in the public interest to continue to consider the complaint;

- d) That a Code of Conduct for the relevant council is in force and has been provided;
- e) That the matters giving rise to the complaint would, if proven, be capable of breaching that Code.

3.2 If the complaint fails one or more of these tests it cannot be investigated and no further action will be taken.

#### **4. Sufficiency of information**

4.1 As any assessment will be conducted solely on the papers provided, it is essential that the complainant provide sufficient information to enable the subject member and those responsible for assessing the complaint to understand the substance of the complaint. If insufficient information is provided, the Monitoring Officer will not normally proceed with consideration of the complaint. It is the responsibility of the complainant to provide any supporting evidence for their complaint to justify a full investigation.

4.2 If the complaint meets the criteria set out in 3. a-e above, and the complainant has provided sufficient information to enable the issues complained of to be understood, the Monitoring Officer will send a copy of the complaint to the subject member and ask for the subject member's comments. When these have been received, the Monitoring Officer will consider the complaint and provide a report and recommendation on it to the Assessment Sub-Committee, together with copies of the original complaint ( and any supporting documentation) and the Subject Member's response.

4.3 At this assessment stage, the Assessment Sub-Committee will not normally consider any further representations or correspondence from either the complainant or subject member.

#### **5. Seriousness of the Complaint**

5.1 A complaint will not be referred for investigation if, on the available information, it appears to the Assessment Sub-Committee to be trivial, vexatious, malicious, politically motivated or 'tit for tat'.

5.2 A complaint will not normally be referred for investigation if the subject member has offered an apology, a reasonable explanation of the issues, or if the Assessment Sub-Committee takes the view that the complaint can reasonably be addressed by other means.

5.3 Bearing in mind the public interest in the efficient use of resources, referral for investigation is generally reserved for serious complaints where alternative options for resolution are not considered by the Monitoring Officer or Assessment Sub-Committee to be appropriate, particularly in

cases where a subject member is no longer a member of a relevant council.

## **6. Length of Time Elapsed**

6.1 A complaint will not be referred for assessment when it is made more than 20 working days from the date upon which the complainant became, or ought reasonably to have become, aware of the matter giving rise to the complaint. Any such complaint will be dismissed by the Monitoring Officer, and will not be referred to the Assessment Sub-Committee, although the Monitoring Officer retains the discretion to refer a complaint for assessment that would otherwise be out of time, in exceptional circumstances.

6.2 In any event, the Assessment Sub-Committee may decide not to refer a complaint for investigation where, in their opinion, the length of time that has elapsed since the matter giving rise to the complaint means that it would not be in the interests of justice to proceed.

## **7. Anonymous Complaints**

7.1 Anonymous complaints will not be accepted for consideration unless the Monitoring Officer is satisfied that there would otherwise be a serious risk to the complainant's personal safety, in which case the Monitoring Officer will decide how the complaint should be taken forward.

## **8. Multiple Complaints**

8.1 A single event may give rise to similar complaints from a number of complainants. Where possible these complaints will be considered by the Assessment Sub-Committee at the same time. Each complaint will, however, be considered separately. If an investigation is deemed to be appropriate the Monitoring Officer may determine that, in the interests of efficiency, only one complaint should go forward for investigation, with the other complainants being treated as potential witnesses in that investigation.

## **9. Confidentiality**

9.1 All information regarding the complaint will remain confidential to the parties until determined otherwise by the Monitoring Officer, Assessment Sub-Committee or Hearing Sub-Committee.

## **10. Withdrawing Complaints**

10.1 A complainant may ask to withdraw their complaint before it has been assessed.

10.2 In deciding whether to agree the request the Monitoring Officer will consider:

- a) the complainant's reasons for withdrawal;
- b) whether the public interest in taking some action on the complaint outweighs the complainant's wish to withdraw it;
- c) whether action, such as an investigation, may be taken without the complainant's participation.

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