

## Monitoring Officer Protocol

### Guidance to the Monitoring Officer on the discharge of functions in relation to the initial assessment and review of allegation that a member of the Authority has failed to comply with the Code of Conduct

#### 1. Receipt of Allegations

- 1.1 The Monitoring Officer shall set up arrangements within the Authority to secure that any allegation made in writing that a member of the Authority has or may have failed to comply with the Authority's Code of Conduct is referred to her immediately upon receipt by the Authority.
- 1.2 The Monitoring Officer shall maintain a register of such allegations to ensure that the Authority can comply with its obligations under the relevant legislation.
- 1.3 Complaints shall only be considered where they are signed by the complainant, but the Monitoring Officer is authorised to maintain the confidentiality of the identity of the complainant where and for so long as in her opinion that would be in the public interest.

#### 2. Notification of Receipt of Allegations

- 2.1 All relevant allegations must be assessed by the Assessments Sub-Committee, so the Monitoring Officer has no authority to deal with an allegation which appears to be an allegation of failure by a relevant member to observe the Code of Conduct other than by reporting it to the Assessments Sub-Committee. The Monitoring Officer shall therefore determine whether the allegation appears to be a substantive allegation of misconduct. Where it appears not to be, she shall ensure that the matter is dealt with under a more appropriate procedure, for example where it is really a request for service from the Authority, a statement of policy disagreement, a legal claim against the Authority or a complaint against an officer of the Authority.
- 2.2 Following receipt of the allegation, and where the allegation appears to be a complaint of misconduct against a relevant member, the Monitoring Officer will promptly, and in any case in advance of the relevant meeting:
  - (a) acknowledge to the complainant receipt of the allegation and confirm that the allegation will be assessed by the Assessments Sub-Committee at its next convenient meeting;
  - (b) notify the member against whom the allegation is made of receipt of the complaint, together with a written summary of the allegation, and state that the allegation will be assessed at the next convenient meeting of the Assessments Sub-Committee. However, where the Monitoring Officer is of the opinion that such notification would be contrary to the public interest or would prejudice any person's ability to investigate the allegation, she shall consult the Chairman of the Assessments Sub-Committee, or in her absence the Chairman of the

Standards Committee, and may then decide that no such advance notification shall be given;

- (c) collect such information as is readily available and would assist the Assessments Sub-Committee in its function of assessing the allegation;
- (d) seek local resolution of the matter where practicable, in accordance with Paragraph 3 below;
- (e) place a report, including a copy of the allegation, such readily available information and her recommendation as to whether the allegation discloses an apparent failure to observe the Code of Conduct, on the agenda for the next convenient meeting of the Assessments Sub-Committee.

### **3. Local Resolution**

- 3.1 Local resolution is not an alternative to reporting the allegation to the Assessments Sub-Committee, but should be regarded as a means of avoid the necessity of a formal local investigation.
- 3.2 Where the Monitoring Officer is of the opinion that there is the potential for local resolution, she shall approach the member against whom the allegation has been made and ask whether she is prepared to acknowledge that her conduct was inappropriate, and whether she would be prepared to offer an apology or undertake other appropriate remedial action. With the consent of the member concerned, the Monitoring Officer may then approach the complainant and ask whether the complainant is satisfied by such apology or other remedial action.
- 3.3 The Monitoring Officer should then report to the Assessments Sub-Committee as required, and at the same time report the response of the member concerned and of the complainant. The idea is that, where the member has acknowledged that her conduct was inappropriate, and particularly where the complainant is satisfied with the proffered apology or remedial action, the Assessments Sub-Committee might take that into account when considering whether the matter merits investigation.

### **4. Review of Decisions not to Investigate**

- 4.1 Where the Assessments Sub-Committee has decided that no action be taken on a particular matter, the Monitoring Officer shall promptly advise the complainant of the decision, and the complainant may then within 30 days of receipt of such notification request that the Reviews Sub-Committee review that decision.
- 4.2 Whilst the review shall normally be a review of the reasonableness of the original decision rather than a reconsideration, the Monitoring Officer shall report to the Reviews Sub-Committee the information which was provided to the Assessments Sub-Committee in respect of the matter, the summary of the Assessments Sub-Committee and any additional relevant information which has become available prior to the meeting of the Reviews Sub-Committee.

## **5. Local Investigation**

- 5.1 The Monitoring Officer will not personally conduct a formal local investigation.
- 5.2 It will be for the Monitoring Officer, where appropriate after consultation with the Chairman of the Assessments Sub-Committee, to determine who to instruct to conduct a formal local investigation, and this may include, the Deputy Monitoring Officer, another senior officer of the Authority, a senior officer of another authority or an appropriately experienced consultant.