

Code of Conduct Behaviour Complaints Management Policy



11 May 2022

This policy was adopted by Council to set governing principles in place that align the strategic direction of the organisation with key result area 5: Effective leadership and governance.

Objectives

1. Complaints of alleged breaches of the Councillor behaviour requirements in Division 3 of the Code of Conduct are dealt with in an effective, transparent, fair and accessible manner that supports high standards of behaviour of Councillors, Committee Members and Candidates.
2. The mechanism for dealing with complaints is established under clause 15(2) *Local Government (Model Code of Conduct) Regulations 2021*.

Application

This Policy applies to complaints made in accordance with Clause 11 of the Shire's Code of Conduct for Councillors, Committee Members and Candidates (Code of Conduct).

This Policy applies to Council Members, Committee Members, Candidates and any person who submits a complaint in accordance with this Policy.

Definitions

In this Policy –

Behaviour Complaints Committee means the Committee established by the Council in accordance with s.5.8 of the Act for the purpose of dealing with Complaints. The role of the Behaviour Complaints Committee is outlined in Part 2.3 of this Policy.

Behaviour Complaints Officer means a person authorised in writing by Council resolution or by the CEO exercising delegated authority under clause 11(3) of the Code of Conduct to receive complaints and withdrawals of complaints. The role of the Behaviour Complaints Officer is addressed in Part 2.1 of this Policy.

Breach means a breach of Division 3 of the Shire's Code of Conduct for Council Members, Committee Members and Candidates.

Candidate means a candidate for election as a Council Member, whose nomination has been accepted by the Returning Officer under s.4.49 *Local Government Act 1995*, but does not include a Council Member who has nominated for re-election. A person is a Candidate from the

CODE OF CONDUCT BEHAVIOUR COMPLAINTS MANAGEMENT POLICY

date on which their nomination is accepted, until the Returning Officer declares the election result in accordance with s.4.77 of the Act.

Candidate Complaint means a Complaint alleging a Breach by a Candidate. Candidate Complaints are dealt with in Part 3.2 of this Policy.

Committee Member means a Council Member, employee of the Shire or other person who has been appointed by the Council to be a member of a Committee, in accordance with s.5.10(1) of the Act. A person is a Committee Member from the date on which they are appointed, until their appointment expires or is terminated by Council resolution.

Complaint means a complaint submitted under Clause 11 of the Code of Conduct.

Complainant means a person who has submitted a Complaint in accordance with this Policy.

Complaint Assessor means a person appointed by the Behaviour Complaints Officer in accordance with Part 2.2 and Part 3.9 of this Policy.

Complaint Documents means the Complaint Form and any supporting information, evidence, or attachments provided by the Complainant.

Complaint Form means the form approved under clause 11(2)(a) of the Code of Conduct [*by Council resolution or by the CEO exercising delegated authority*].

Council or Committee Meeting means a formal meeting of the Council or a Committee that is called and convened in accordance with the Act. It does not include informal meetings, such as workshops or briefings.

Council Member means a person who is currently serving a term of office as an elected member of the Council in accordance with the Act.

Finding means a finding made in accordance with clause 12(1) of the Code of Conduct as to whether the alleged Breach has or has not occurred.

Plan means a Plan that may be prepared and implemented under clause 12(4)(b) of the Code of Conduct, to address the behaviour of the person to whom the complaint relates (the Respondent), if a Finding has been made that a Breach has occurred.

Response Documents means the response provided by the Respondent to the Complaint, and includes any supporting information or evidence that is supplied.

Other terms used in this Policy that are also used in the LG Act have the same meanings as they have in the Act unless the contrary intention appears.

Policy

1. Principles

1.1. Procedural fairness

The principles of procedural fairness, or natural justice, will apply when dealing with a Complaint under this Policy. In particular:

- a) the Respondent will be afforded a reasonable opportunity to be heard before any findings are made, or a plan implemented;
- b) the decision maker should be objective and impartial, with an absence of bias or the perception of bias; and

- c) any findings made will be based on proper and genuine consideration of the evidence.

1.2. Consistency

The application of this Policy should lead to consistency in process and outcomes. While each Complainant and Respondent will be dealt with according to their circumstances, and each Complaint considered and determined on its merits, similar circumstances will result in similar decisions.

1.3. Confidentiality

- a) The Shire will take all reasonable steps to maintain confidentiality when dealing with the Complaint, in order to protect both the Complainant and Respondent.
- b) Council Members, Local Government employees and contractors who have a role in handling a specific complaint will be provided with sufficient information to fulfil their role. They must manage this information securely, and must not disclose or inappropriately use this information.
- c) Complainants will be advised of the level of confidentiality they can expect, and that breaches of confidentiality on their part may prejudice the progress of their Complaint.
- d) In order to allow the Respondent to understand and respond to the complaint against them, the name of the Complainant will be provided to the Respondent, unless the Complainant provides reasons this should not occur. The Complainant's contact information will not be provided to the Respondent.
- e) The Complainant's name and contact information is to be excluded from any publicly available documents such as meeting agenda or minutes.
- f) The Respondent's name and contact information is to be excluded from any publicly available documents such as meeting agenda or minutes, where:
 - (i) The Complainant has requested that their identity be kept confidential under subclause (d) of this clause; and
 - (ii) It is determined at the complaints committee meeting that it is the best interest of the Shire for the identity of the respondent to be kept confidential.
- g) The Complainant will be advised that Complaint Documents may be subject to an FOI request, noting that they must be consulted before any documents are released, and exemptions may apply.

1.4. Accessibility

The Shire will ensure that information on how to make a complaint, including this Policy, is available at the Shire's Administration Building and on the Shire's website. The Shire will make information available in alternative formats if requested.

Any person wishing to make a complaint may contact the Behaviour Complaints Officer if they require assistance in completing the complaint form or otherwise navigating the complaints process.

2. Roles

2.1. Behaviour Complaints Officer

- a) The Behaviour Complaints Officer is authorised in accordance with clause 11(3) of the Code of Conduct to accept complaints and withdrawal of complaints.
- b) The Behaviour Complaints Officer is not an advocate for the complainant or the respondent. The Behaviour Complaints Officer provides procedural information and assistance to both Complainant and Respondent.

- c) The Behaviour Complaints Officer will liaise with and provide administrative support to a Complaint Assessor appointed under this Policy.
- d) The Behaviour Complaints Officer will liaise with the Local Government to facilitate the calling and convening of Council or Behaviour Complaints Committee meetings if required.
- e) In undertaking their functions, the Behaviour Complaints Officer will apply the Principles of this Policy.

2.2. Complaint Assessor

- a) The Complaint Assessor is appointed by the Behaviour Complaints Officer in accordance with Part 3.8 of this Policy.
- b) The Complaint Assessor is an impartial third party who will undertake the functions specified in this Policy. In undertaking their functions, the Complaint Assessor will apply the Principles of this Policy.
- c) The Complaint Assessor will liaise with the Behaviour Complaints Officer to manage the administrative requirements of dealing with the Complaint in accordance with this Policy.

2.3. Behaviour Complaints Committee

The Behaviour Complaints Committee is a Committee of Council established in accordance with s.5.8 of the Act for the purpose of dealing with Complaints.

The Behaviour Complaints Committee is a Committee of Council Members only. The membership and purpose of the Behaviour Complaints Committee is outlined in the Shire of Augusta Margaret River Behaviour Complaints Committee Terms of Reference.

3. Complaint process

3.1. Making a complaint

- a) Any person may make a Complaint alleging that a Council Member, Committee Member or Candidate has behaved in a way that constitutes a breach of Division 3 of the Code of Conduct [*clause 11(1) of the Code of Conduct*].
- b) A Complaint must be made within one (1) month after the alleged Breach [*clause 11(2)(c) of the Code of Conduct*].
- c) A Complaint must be made by completing the Behaviour Complaint Form in full and providing the completed forms to the Behaviour Complaints Officer.
- d) A Complaint must be made in accordance with the Behaviour Complaint Form and specify which requirement(s) of the Code of Conduct is alleged to have been breached.
- e) A Complaint is required to include the name and contact details of the Complainant therefore anonymous complaints cannot be accepted.
- f) Where a Complaint Form omits required details, the Behaviour Complaints Officer will invite the Complainant to provide this information in order for the Complaint to be progressed.
- g) Where a Complaint is made more than 1 month after the alleged breach, the Behaviour Complaints Officer will give the Complainant written notice that the Complaint cannot be made [*clause 11(2)(c) of the Code of Conduct*].

3.2. Candidate Complaints

- a) A Complaint in relation to a Candidate must be made in accordance with 3.1, above, but cannot be dealt with unless the Candidate is subsequently declared elected as a Council Member.
- b) Within 7 days after receiving a Candidate Complaint, the Behaviour Complaints Officer will provide written notice:

- i. To the Complainant confirming receipt, and advising of the procedure for candidate complaints; and
 - ii. To the Respondent, including a summary of the complaint, and advising of the procedure for candidate complaints.
- c) No action will be taken until the results of the election are declared by the Returning Officer. If the respondent is elected, then the complaint will be dealt with in accordance with this Policy. Timeframes that would otherwise commence on the receipt of a Complaint will be taken to commence on the election date.
- d) If the Respondent is not elected, the Behaviour Complaints Officer will provide the Complainant with notice that the Respondent has not been elected and that the Complaint cannot be dealt with *[clause 15(1) of the Code of Conduct]*.

3.3. Withdrawing a Complaint

- a) A Complainant may withdraw their Complaint at any time before a Finding has been made in relation to the Complaint *[clause 14 of the Code of Conduct]*.
- b) A Complainant may withdraw a Complaint by advising the Behaviour Complaints Officer in writing that they wish to do so.
- c) After receiving a written withdrawal of the Complaint, the Behaviour Complaints Officer will take all necessary steps to terminate the process commenced under this Policy.

3.4. Notice to Complainant

Within 7 days after receiving a Complaint, the Behaviour Complaints Officer will provide written notice to the Complainant that:

- a) confirms receipt of the Complaint;
- b) outlines the process that will be followed and possible outcomes;
- c) explains the application of confidentiality to the complaint;
- d) includes a copy of this Policy; and
- e) if necessary, seeks clarifications or additional information.

If the Complaint Form indicates that the Complainant agrees to participate in Alternative Dispute Resolution, the Behaviour Complaints Officer will advise the Complainant of the process in accordance with Part 3.7 of this Policy.

3.5. Notice to Respondent

Within 14 days after receiving a Complaint, the Behaviour Complaints Officer will provide written notice to the Respondent that:

- a) advises that a Complaint has been made in accordance with the Code of Conduct and this Policy;
- b) includes a copy of the Complaint Documents;
- c) outlines the process that will be followed, the opportunities that will be afforded to the Respondent to be heard and the possible outcomes;
- d) includes a copy of this Policy; and
- e) if applicable, advises that further information has been requested from the Complainant and will be provided in due course.

If the Complainant has agreed to participate in Alternative Dispute Resolution, the Behaviour Complaints Officer will ask the Respondent if they are also willing to participate in accordance with Part 3.7 of this Policy.

3.6. Preliminary review of initial evidence

The Behaviour Complaints Officer will conduct a preliminary review of the complaint:

- a) If there is no breach established on the face of the complaint and:
 - i. No further information can be obtained by the complainant; or

- ii. No further information establishing a breach has been provided by the complainant after opportunity has been given;

then the complaint shall not be progressed.

- b) If the alleged breach relates to Division 3 of the Shire's Code of Conduct, the Behaviour Complaints Officer will proceed to part 3.7 of this Policy.
- c) If the alleged breach is a minor breach or serious breach as defined under the Local Government Act, then the Shire should follow the procedure set out in Part 5 Division 9 of the Act.

3.7. Alternative Dispute Resolution

- a) The Shire recognises that Alternative Dispute Resolution may support both parties reach a mutually satisfactory outcome that resolves the issues giving rise to the Complaint. Alternative Dispute Resolution requires the consent of both parties to the Complaint and may not be appropriate in all circumstances.
- b) To commence the process, the Behaviour Complaints Officer will, as the first course of action upon receiving a complaint, offer the Complainant and the Respondent the option of Alternative Dispute Resolution. If both parties agree to participate in Alternative Dispute Resolution, the Behaviour Complaints Officer will pause the formal process.
- c) The objective of Alternative Dispute Resolution will be to reach an agreed resolution that satisfies the Complainant that the formal process is no longer required, allowing them to withdraw the Complaint, in accordance with Part 3.3 of this Policy. For example, an offer by a Respondent to issue a voluntary apology in response to a Complaint, even in the absence of a request from the Complainant, qualifies for consideration as Alternative Dispute Resolution.
- d) The Behaviour Complaints Officer will offer, at his or her discretion, either of the following options for Alternative Dispute Resolution:
 - a. negotiation with the assistance of the Behaviour Complaints Officer or other appropriate person as intermediary;
 - b. facilitation with a suitably qualified and experienced mediator, appointed by the Behaviour Complaints Officer in accordance with the Shire's Purchasing Policy.
- e) If Alternative Dispute Resolution is commenced, both the Complainant and Respondent may decline to proceed with the process at any time. The process may also be terminated on the advice of a third party who is providing assistance to the Local Government, such as a facilitator or mediator.
- f) If Alternative Dispute Resolution is terminated or does not achieve an agreed outcome that results in the withdrawal of the Complaint, the Behaviour Complaints Officer will resume the formal process required under this Policy.

3.8. Order of Complaints

Complaints will normally be dealt with in the order in which they are received.

If more than one Complaint is received that relates to the same alleged behaviour, the Behaviour Complaints Officer may decide to progress those Complaints concurrently.

3.9. Appointment of Complaints Assessor

If Alternative Dispute Resolution is not commenced, is terminated or does not achieve an agreed outcome resulting in the withdrawal of the Complaint, the Behaviour Complaints Officer will appoint a suitably qualified and experienced Complaint Assessor, in accordance with the Shire's Purchasing Policy. The Behaviour Complaints Officer will endeavour to appoint a Complaint Assessor within a reasonable period and provide written notice of the appointment to the Complainant and the Respondent.

The Behaviour Complaints Officer will set out the scope of the investigation within the procurement documents.

3.10. Search of Local Government Records

The Complaint Assessor may request the Behaviour Complaints Officer to search for any relevant records in the Shire's Record Management System.

In particular, if the behaviour is alleged to have occurred at a Council or Committee Meeting, the Behaviour Complaints Officer will be requested to identify any Local Government records that provide evidence that may support a decision as to whether:

- a) the behaviour occurred at a Council or Committee Meeting,
- b) the behaviour was dealt with by the person presiding at the meeting, and/or
- c) the Respondent has taken remedial action in accordance with the Shire of Augusta Margaret River Standing Orders Local Law 2011.

The Complaints Assessor must provide the Respondent with a copy of any records that are identified. In addition, where a clarification or additional information has been sought from the Complainant by either the Behaviour Complaints Officer or the Complaint Assessor, copies must also be provided to the Respondent.

3.11. Assessment of the Complaint

The Complaint Assessor will undertake an assessment of the Complaint in accordance with the process outlined in the Notices given under Part 3.4 and Part 3.5 of this Policy.

The Complaint Assessor must ensure that the Respondent is provided with a reasonable opportunity to be heard before forming any opinions, or drafting the Complaint Report or recommendations. The Complaint Assessor must not make an adverse finding against a respondent unless, *at a minimum*, they have provided the Respondent with an opportunity to provide a written response to the complaint.

3.12. Complaint Report

- a) The Complaint Assessor will prepare a Complaint Report that will:
 - i. outline the process followed, including how the Respondent was provided with an opportunity to be heard;
 - ii. include the Complaint Documents, the Response Documents and any relevant Local Government Records as attachments; and
 - iii. include recommendations on each decision that may be made by the Complaints Committee; and
 - iv. include reasons for each recommendation, with reference to Part 4 of this Policy.
- b) If the Complaint Report recommends that a Plan is prepared and implemented in accordance with clause 12(4)(b) of the Code of Conduct and Part 4.4 of this Policy, the Complaint Report must include a Proposed Plan.
- c) The Complaint Assessor will liaise with the Behaviour Complaints Officer to include the Complaint Report in the Agenda for a meeting of the Complaints Committee. The Behaviour Complaints Officer will be responsible for preparation of an Officer Report with the Complaint Report provided as a confidential attachment. The recommendations of the Complaint Report will be provided as the Officer Recommendations.

- d) The Respondent must be provided with a draft copy of the Complaint Report, and an opportunity to make a submission prior to the Complaint Assessor finalising the Complaint Report.

3.13. Complaints Committee Meeting

- a) The Agenda will be prepared on the basis that the part of the meeting that deals with the Complaint Report will be held behind closed doors in accordance with s.5.23(2) of the Act.
- b) The Behaviour Complaints Committee will consider the Complaint Report and attachments and give due regard to the recommendations.
- c) In accordance with Regulation 11(d)(a) of the *Local Government (Administration) Regulations 1996*, reasons for any decision that is significantly different from the Officer Recommendation must be recorded in the meeting minutes.
- d) If the behaviour that is the subject of the Complaint is alleged to have occurred at a Council or Committee Meeting, the Behaviour Complaints Committee will determine whether or not to dismiss the Complaint in accordance with Clause 13 of the Code of Conduct and Part 4.2 of this Policy.
- e) If the Behaviour Complaints Committee dismisses a Complaint, the Behaviour Complaints Officer must give the Complainant and the Respondent written notice of the decision and the reasons for the decision in accordance with clause 13(2) of the Code of Conduct. This concludes the process for this Complaint.
- f) If the Complaint is not dismissed, the Behaviour Complaints Committee will consider the Complaint and make a Finding as to whether the alleged Breach that is the subject of the Complaint has or has not occurred, in accordance with clause 12 of the Code of Conduct and Part 4.3 of this Policy.
- g) If the Behaviour Complaints Committee finds that the alleged Breach **did not** occur, the Behaviour Complaints Officer must give the Complainant and the Respondent written notice of the Finding and the reasons for the Finding in accordance with clause 12(7)(a) of the Code of Conduct. This concludes the process for this Complaint.
- h) If the Behaviour Complaints Committee finds that the alleged breach **did** occur, the Committee will decide whether to take no further action in accordance with clause 12(4)(a) of the Code of Conduct or prepare a plan to address the behaviour in accordance with clause 12(4)(b) of the Code of Conduct and Part 4.4 of this Policy.
- i) If the Behaviour Complaints Committee decides to take no further action, the Behaviour Complaints Officer must give the Complainant and the Respondent written notice of this decision and the reasons for the Finding in accordance with clause 12(7)(a) of the Code of Conduct. This concludes the process for this Complaint.
- j) If the Behaviour Complaints Committee decides to prepare a Plan, the Committee will first consult with the Respondent in accordance with clause 12(5) of the Code of

Conduct. The Behaviour Complaints Committee will consider any submissions made by the Respondent before preparing and implementing a Plan.

3.14. Compliance with Plan Requirement

The Behaviour Complaints Officer will monitor the actions in timeframes set out in a Plan.

Failure to comply with a requirement included in a Plan is a minor breach under section 5.105(1) of the Act and clause 23 of the Code of Conduct.

The Behaviour Complaints Officer must provide a report advising Council of any failure to comply with a requirement included in a Plan.

4. Decision Making

4.1. Objective and Principles

All decisions made under this Policy will reflect the Policy Objectives and the Principles included in Part 1 of this Policy.

4.2. Dismissal

The Behaviour Complaints Committee must dismiss a Complaint in accordance with clause 13(1)(a) and (b) of the Code of Conduct if it is satisfied that -

- (a) the behaviour to which the Complaint relates occurred at a Council or Committee Meeting; and
- (b) either —
 - (i) the behaviour was dealt with by the person presiding at the meeting; or
 - (ii) the Respondent has taken remedial action in accordance with the Shire of Augusta Margaret River Standing Orders Local Law 2011.

4.3. Finding

A Finding that the alleged breach has occurred must be based on evidence from which it may be concluded that it is more likely that the breach occurred than that it did not occur [*clause 12(3) of the Code of Conduct*].

This may involve first considering whether the behaviour occurred, on the balance of probabilities, and then whether that behaviour constituted a breach of a requirement of Division 3 of the Code of Conduct.

4.4. Action

In deciding whether to take no further action, or prepare and implement a Plan, the Complaints Committee may consider:

- a) the nature and seriousness of the breach(es);
- b) the Respondent's submission in relation to the contravention;
- c) whether the Respondent has breached the Code of Conduct knowingly or carelessly;
- d) whether the Respondent has breached the Code of Conduct on previous occasions;
- e) likelihood or not of the Respondent committing further breaches of the Code of Conduct;
- f) personal circumstances at the time of conduct;
- g) need to protect the public through general deterrence and maintain public confidence in Local Government; and
- h) any other matters which may be regarded as contributing to or the conduct or mitigating its seriousness.

4.5. Plan Requirements

- a) The Proposed Plan may include requirements for the Respondent to do one (1) or more of the following:
 - i. engage in mediation;
 - ii. undertake counselling;
 - iii. undertake training;
 - iv. take other action the Complaints Committee considers appropriate (e.g. an apology).
- b) The Proposed Plan should be designed to provide the Respondent with the opportunity and support to demonstrate the professional and ethical behaviour expected of elected representatives expressed in the Code of Conduct.
- c) The Proposed Plan may also outline:
 - i. the actions to be taken to address the behaviour(s);
 - ii. who is responsible for the actions;
 - iii. any assistance the Local Government will provide to assist achieve the intent of the Plan; and
 - iv. a reasonable timeframe for the Plan action(s) to be addressed by the Respondent.

Legislation

Section 5.104 *Local Government Act 1995*: Adoption of model code of conduct
Section 5.105 *Local Government Act 1995*: Breaches by council members.
Local Government (Model Code of Conduct) Regulations 2021

Relevant documents

Code of Conduct for Councillors, Committee Members and Candidates
Behaviour Complaints Committee Terms of Reference
Delegation 44 Behaviour Complaints Committee
Behaviour complaint form

Document and version control table			
Responsible Directorate		CEO	
Contact officer		Emma Rogers, Governance (Legal, Risk) Officer	
Adopted / approved by:		Council	
Date of adoption / approval:		11.05.2022	Decision Ref: OM2022/74
Date of next review		August 2025	
Document No.	N225674	File No.	GOV/38, GOV/67
Version	Date	Decision Ref.	Brief description
1.0	25/8/2021	OM2021/172	Initial Issue

CODE OF CONDUCT BEHAVIOUR COMPLAINTS MANAGEMENT POLICY

1.1	11.05.20 22	OM2022/7 4	Ful review
-----	----------------	---------------	------------
