

## Code of Conduct Complaint Protocol for Members of Council

### PART A - INFORMAL COMPLAINT PROCEDURE

1. Any individual who identifies or witnesses behaviour or activity by a Member that they believe contravenes the *Code of Conduct* may seek to address the prohibited behaviour or activity themselves in the following manner by following the Informal Complaint Procedure:
  - (a) document the incident(s) where the Member may have contravened the *Code of Conduct* including dates, times, locations, other persons present, and any other relevant information;
  - (b) advise another person about the concerns regarding the Member's actions, to corroborate the incident;
  - (c) advise the Member that the behaviour or activity appears to contravene the *Code of Conduct*;
  - (d) identify to the Member the specific provision(s) of the *Code of Conduct* that may have been contravened;
  - (e) encourage the Member to acknowledge and agree to stop the prohibited behaviour or activity and to undertake to refrain from future occurrences of the prohibited behaviour or activity;
  - (f) if applicable:
    - (i) confirm to the Member that his or her response is satisfactory, or
    - (ii) advise the Member that his or her response is unsatisfactory;
  - (g) consider the need to pursue the matter in accordance with the Formal Complaint Procedure set out in Part B, or in accordance with any other applicable judicial or quasi-judicial process or complaint procedure.
2. Individuals are encouraged to pursue the Informal Complaint Procedure as the first means of remedying behaviour or activity of a Member that they believe contravenes the *Code of Conduct*.
3. The Integrity Commissioner may be requested to assist in an attempt to settle or resolve the issue with the Member and the individual but will participate only if both parties have consented.
4. The Informal Complaint Procedure is not a precondition or a prerequisite to pursuing the Formal Complaint Procedure related to the *Code of Conduct* set out in Part B.

## PART B - FORMAL COMPLAINT PROCEDURE

### Formal Complaints

- 5.(1) Any individual who has reasonable grounds to believe that a Member has contravened a provision of the *Code of Conduct* may file a formal complaint (“Complaint”) to request an inquiry by the Integrity Commissioner as to whether a Member has contravened the *Code of Conduct* in accordance with the following requirements:
  - (a) a Complaint shall be in writing on the prescribed form (Formal Complaint Form # 1 attached hereto) and shall be dated and signed by an identifiable individual (the “complainant”);
  - (b) a Complaint must set out reasonable grounds for the allegation that the Member has contravened the *Code of Conduct* and must be accompanied by a supporting sworn affidavit setting out the evidence in full in support of the allegation; and
  - (c) Council may also file a Complaint against any of its Members of an alleged contravention of the *Code of Conduct* by passing a resolution requesting the Integrity Commissioner to undertake an inquiry.
  - (d) All complainants filing a complaint will execute a confidentiality agreement.
- (2) An elector, as defined in section 1 of the *Municipal Conflict of Interest Act*, or a person demonstrably acting in the public interest (collectively, a “complainant”) may file a formal application requesting that the Integrity Commissioner carry out an inquiry concerning an alleged contravention of section 5, 5.1 or 5.2 of that statute by a Member in accordance with the following requirements:
  - (a) an application (also referred to as a “Complaint” herein) shall be in writing on the prescribed form (Complaint Form # 2 attached hereto), dated and signed by an identifiable individual;
  - (b) the application shall include a statutory declaration attesting to the fact that:
    - (i) the complainant became aware of the contravention not more than six (6) weeks before the date of the application, or
    - (ii) in the case where the complainant became aware of the alleged contravention during the period of time described in paragraph 1 of subsection 223.4.1(5) of the *Municipal Act, 2001*, that the complainant became aware of the alleged contravention during that period of time;
  - (c) Council may also pass a resolution requesting the Integrity Commissioner to undertake an inquiry respecting an alleged contravention of sections 5, 5.1 or 5.2 of the *Municipal Conflict of Interest Act* by a Member and provide a statutory declaration as required by Section 5(2) to be sworn by a Member of Council.
- (3) Complainants who file a formal Complaint under Sections 5(1) or 5(2) must provide a full and complete record of evidence to substantiate or support the allegations set out in the Complaint to the Integrity Commissioner who is under no obligation whatsoever to, but may, seek additional information.

### **Filing of Complaint and Classification by Integrity Commissioner**

6.(1) The Complaint may be filed either with the Clerk or with the Integrity Commissioner by hard copy or by e-mail at the following mailing or email addresses:

(a) to the Clerk (who will provide a copy to the Integrity Commissioner):

Yvonne Aubichon  
Clerk  
148 Line 7 South  
Oro-Medonte, ON L0L2E0  
  
Email: yaubichon@oro-medonte.ca  
Tel: (705) 487-2171

or

(b) directly with the Integrity Commissioner:

John Ewart  
Ewart O'Dwyer  
311 George Street North, Suite 103  
Peterborough, ON K9J 3H3  
  
Email: jewart@ewartodwyer.com  
Tel: 705-874-0404

(2) The Integrity Commissioner shall initially classify the Complaint to determine if the matter is, on its face, a Complaint with respect to a contravention of the *Code of Conduct* and not covered by other legislation or other Council procedures, policies or rules as set out in Section 7 or whether it is a Complaint with respect to an alleged contravention of section 5, 5.1 or 5.2 of the *Municipal Conflict of Interest Act*.

### **Complaints Outside Integrity Commissioner's Jurisdiction or Not for Investigation**

7.(1) If the Complaint, including the supporting affidavit or the statutory declaration, is not, on its face, a Complaint with respect to a contravention of the *Code of Conduct* or the Complaint relates to matters addressed by other legislation under another procedure, policy or rule of the Township or whether it is a Complaint with respect to an alleged contravention of section 5, 5.1 or 5.2 of the *Municipal Conflict of Interest Act*, the Integrity Commissioner shall advise the complainant in writing as follows:

#### ***Criminal Matter***

(a) if the Complaint is, on its face, an allegation of a criminal nature consistent with the *Criminal Code*, the complainant shall be advised that:

- (i) the Integrity Commissioner will refer it to the appropriate police service, or
- (ii) the complainant may pursue it with the appropriate police service if the complainant wishes to pursue any such allegation;

***Municipal Freedom of Information and Protection of Privacy Act***

- (b) if the Complaint is more appropriately addressed under the *Municipal Freedom of Information and Protection of Privacy Act*, the complainant shall be advised that the matter must be referred to the Clerk to deal with under any access and privacy policies of the Township under that statute;

***Other Procedure, Policy or Rule Applies***

- (c) if the Complaint appears to fall within the scope of another procedure, policy or rule of the Township, the complainant shall be advised to pursue the matter under such procedure, policy or rule with the appropriate municipal official or staff member; and

***Lack of Jurisdiction***

- (d) if the Complaint is, for any other reason not within the jurisdiction of the Integrity Commissioner (for example, it relates to a decision of Council as a whole and not one or more individual Members), the complainant shall be so advised and provided with any additional reasons and referrals, if any, as the Integrity Commissioner considers appropriate.
- (2) If it becomes apparent to the Integrity Commissioner at any time that the Complaint with respect to a contravention of the *Code of Conduct* or with respect to an alleged contravention of section 5, 5.1 or 5.2 of the *Municipal Conflict of Interest Act*, relates to any of the following matters, the Integrity Commissioner shall advise the complainant in writing as follows:

***Matter Already Pending***

- (a) if the Complaint is in relation to a matter which is subject to an outstanding complaint under another process such as a court proceeding, a human rights or workplace harassment complaint or similar process, or to a civil matter that is pending before the courts, the Integrity Commissioner may, in his/her sole discretion, suspend any investigation, in whole or in part, pending the result of the other process;

***Similar Matter Already Pending***

- (b) if the Complaint is in relation to a similar matter which is subject to an outstanding Complaint before the Integrity Commissioner, the Integrity Commissioner may, in his/her sole discretion, consider the matter in conjunction with the similar matter or deal with it separately, including not undertaking an inquiry if the matter can be adequately addressed in any report and/or recommendations made with respect to the Complaint in the similar matter; and

### **Other Ethical Code or Policy Applies**

- (c) if the Complaint is in relation to a matter which is governed by a code of conduct, ethical code or similar procedure or policy of another body or entity which also governs the Members (for example, another board, body or committee to which the Member has been appointed), the Integrity Commissioner shall consider the most appropriate forum for the Complaint and may, in his/her sole discretion, defer consideration of the matter pending any determination made by the other body or entity and shall so advise the complainant and, if necessary, the Member.
- (3) Nothing in Section 7 precludes the Integrity Commissioner from reporting to Council on any matter that is suspended, summarily dismissed, terminated or not otherwise investigated.

### **Limitation Period**

- 8.(1) The Integrity Commissioner shall not accept a Complaint under the *Code of Conduct* for which the event giving rise to the Complaint came to the attention of the complainant more than six (6) weeks prior to the date of the filing of the Complaint, and, in any event, no more than six (6) months after the event in question occurred. The complainant must establish that the event giving rise to the Complaint came to the complainant's attention within six (6) weeks of, and occurred no more than six (6) months prior to, the Complaint being filed.
- (2) The Integrity Commissioner shall not accept an application with respect to an alleged contravention of section 5, 5.1 or 5.2 of the *Municipal Conflict of Interest Act* except in accordance with the requirements of subsections 8(2)-(7) of that statute and section 223.4.1 of the *Municipal Act, 2001*.

### **Refusal to Conduct Investigation**

- 9. The Integrity Commissioner has a discretion as to whether to carry out an investigation. If the Integrity Commissioner is satisfied at any time, after considering the information contained in the Complaint, that it is:
  - (a) is frivolous or vexatious,
  - (b) is not made in good faith,
  - (c) constitutes an abuse of process,
  - (d) discloses no grounds or insufficient grounds for an investigation,
  - (e) does not warrant a full investigation, or
  - (f) is not otherwise in the public interest,

the Integrity Commissioner shall not be required to conduct an investigation and may summarily dismiss the Complaint, and, where this becomes apparent during the course of an investigation, the Integrity Commissioner shall terminate the investigation and provide notice to the complainant and, if necessary, to the Member. The Integrity Commissioner is under no obligation to report the refusal to conduct an investigation to Council.

## Opportunities for Resolution

10. Following receipt and review of a formal Complaint or at any time during an investigation where the Integrity Commissioner, in his or her discretion, believes that an opportunity to resolve the matter may be successfully pursued without a formal investigation, and both the complainant and the Member agree, efforts may be pursued to achieve an informal resolution.

## Investigation

- 11.(1) The Integrity Commissioner may proceed as follows, except where the Integrity Commissioner has a full factual record and believes, in his or her sole discretion, that no additional information is required, or where otherwise required by the *Public Inquiries Act, 2009*, or where the Integrity Commissioner has not otherwise terminated the inquiry:
  - (a) provide the Member with a copy of the Complaint but not disclose:
    - (i) the identity of the complainant, or
    - (ii) the identity of any witnesses set out in the Complaint or persons that are to be questioned/interviewed by the Integrity Commissioner,unless it is essential for the Member to adequately respond to the Complaint, which determination shall be made by the Integrity Commissioner, in his/her sole and absolute discretion;
  - (b) request that the Member provide a written response to the allegations in the Complaint to the Integrity Commissioner within ten (10) calendar days;
  - (c) provide a copy of the Member's response to the complainant with a request that any written reply be provided by the complainant to the Integrity Commissioner within ten (10) calendar days.
- (2) If necessary, after reviewing the submitted materials, the Integrity Commissioner may contact and speak to or correspond with any other persons, access and examine any other documents or electronic materials, including any materials on the Township's computers and servers, and may enter any municipal work location relevant to the Complaint for the purpose of investigation and potential resolution.
- (3) Preliminary or proposed finding(s) may be provided to a Member if the Integrity Commissioner considers that the Member may have contravened the *Code of Conduct*.
- (4) The Integrity Commissioner may, but is under no obligation, to provide the Member and the complainant with a draft of the proposed final report on the Complaint.
- (5) The Integrity Commissioner may make interim reports to Council where the Integrity Commissioner considers it necessary or required to address any instances of interference, obstruction, intimidation, delay, reprisal or retaliation by the Member or by any other person encountered during the formal investigation, and may also disclose such information as is necessary in the Integrity Commissioner's opinion for the purposes of the interim report(s).

- (6) The Integrity Commissioner is entitled to make such additional inquiries and provide such additional reports to Council where necessary and as required to address any instances of non-compliance with any decision of Council including the failure to comply with any penalties or corrective measure or actions imposed by Council or any matters that the Integrity Commissioner considers necessary.
- (7) The Integrity Commissioner shall retain all records related to the Complaint and investigation but may provide copies of certain records, in confidence, to the Township's administrative staff who are required to ensure that any such records are securely and confidentially retained.

### **No Complaint Prior to Municipal Election**

- 12.(1) Notwithstanding any other provision of this Complaint Protocol, no Complaint may be filed with the Integrity Commissioner, nor shall any report shall be made by the Integrity Commissioner to Council during the period of time starting on nomination day for a regular municipal election year, as set out in section 31 of the *Municipal Elections Act, 1996* and ending on the voting day in a regular election as set out in section 5 of the *Municipal Elections Act, 1996*.
- (2) If the Integrity Commissioner has received a Complaint and has commenced an inquiry but has not completed the inquiry before nomination day in a regular municipal election year, the Integrity Commissioner shall terminate the inquiry on nomination day but may commence an inquiry in respect of the same Complaint if within six (6) weeks after the voting day in a regular municipal election the individual who made the request makes a written request to the Integrity Commissioner in accordance with subsection 223.4(8) of the *Municipal Act, 2001*.

### **Advice Provided to Member by Integrity Commissioner**

- 13.(1) Subject to Section 13(2), a Member is entitled to rely upon any written advice given by the Integrity Commissioner to the Member respecting the *Code of Conduct* in any subsequent consideration of the conduct of the Member in the same matter provided that the Member fully disclosed in writing all relevant facts known to him or her to the Integrity Commissioner and acted in accordance with the written advice provided by the Integrity Commissioner.
- (2) If the Integrity Commissioner applies to a judge under section 8 of the *Municipal Conflict of Interest Act* for a determination as to whether the Member contravened section 5, 5.1 or 5.2 of the *Municipal Conflict of Interest Act*, the Member is entitled to advise the judge of any written advice given by the Integrity Commissioner provided that the Member fully disclosed in writing all relevant facts known to him or her to the Integrity Commissioner and acted in accordance with the written advice provided by the Integrity Commissioner.
- (3) A Member under investigation by the Integrity Commissioner shall not request advice from the Integrity Commissioner as to the Member's rights under the *Code of Conduct*, the *Municipal Conflict of Interest Act* or generally at law with respect to any specific matter that the Integrity Commissioner is investigating or reviewing with respect to the Member, nor is the Member entitled to rely upon any statement(s) made by the Integrity Commissioner during the course of any investigation or review that may impact the Member's rights under the *Code of Conduct*, the *Municipal Conflict of Interest Act* or generally at law.

- (4) If a Member under investigation by the Integrity Commissioner requests advice, such request shall be delegated in writing to any person, other than another Member, that the Integrity Commissioner, in consultation with the Township, considers capable of providing informed advice to the Member.

### **Authority to Abridge or Extend**

- 14.(1) Notwithstanding any timeline or time limit set out in the *Code of Conduct* or this Complaint Protocol, the Integrity Commissioner shall retain the right to abridge or extend any timeline or time limit therein if the Integrity Commissioner considers it, in his/her sole and absolute discretion, to be in the public interest to do so.

### **Investigation Report**

- 15.(1) The Integrity Commissioner shall report to the complainant and the Member no later than ninety (90) days after the official receipt of any Complaint under the *Code of Conduct*. If the investigation process is anticipated to or takes more than ninety (90) days, the Integrity Commissioner shall provide a brief interim report to Council and advise the parties of the approximate date the report will be available. The Integrity Commissioner may also, at his/her discretion, advise any witnesses or other persons of the approximate date the report will be available.
- (2) Where the Complaint is sustained in whole or in part, the Integrity Commissioner shall report to Council outlining the findings, the terms of any settlement and/or any recommended penalty or remedial or corrective measure or action.
- (3) The Integrity Commissioner may provide a copy of the report to the complainant and the Member whose conduct has been investigated in advance of the public release of the report, in strict confidence until the report is publicly released. The Member shall have the right to address the recommendations in the report if it is considered by Council.
- (4) Where the Complaint is not sustained, the Integrity Commissioner is not obligated to report to Council on the result of the investigation or any findings but may do so at his/her discretion and may also include such information as he/she deems necessary in a report or as part of an annual or other periodic report by the Integrity Commissioner.
- (5) The Integrity Commissioner shall complete the investigation under the *Municipal Conflict of Interest Act* no later than one hundred and eighty (180) days after the official receipt of any application validly made under Section 5(2) of this Part.

### **Findings**

- 16.(1) If the Integrity Commissioner determines that:
  - (a) there has been no contravention of the *Code of Conduct*, or section 5, 5.1 or 5.2 of the *Municipal Conflict of Interest Act*, or
  - (b) a contravention occurred but:
    - (i) the Member took all reasonable measures to prevent it, including having sought and followed the advice of the Integrity Commissioner,



- (ii) it was trivial,
- (iii) it was committed through inadvertence, or
- (iv) it resulted from an error in judgment made in good faith,

the Integrity Commissioner may so state in the report and may make appropriate recommendations pursuant to the *Municipal Act, 2001*, including but not limited to, a recommendation of no penalty and no imposition of remedial measures or corrective actions.

- (2) If the Integrity Commissioner:
  - (a) considers it appropriate, once the investigation under Section 5(2) has concluded, to apply to a judge under section 8 of the *Municipal Conflict of Interest Act* for a determination as to whether the Member has contravened section 5, 5.1 or 5.2 of that statute; or
  - (b) does not proceed with an application to the judge, the complainant and the Member shall be advised in writing.
- (3) The Integrity Commissioner shall provide a written report to Council providing the reasons for its decision under Section 16(2).

### **Report to Council**

- 17. (1) Upon receipt of a report from the Integrity Commissioner with respect to the *Code of Conduct*, the Clerk shall place the report on the next regular agenda of Council for consideration by Council.
- (2) A report from the Integrity Commissioner may also be considered by Council in advance of its next regular meeting should Council agree to hold a special or other meeting before its next regular meeting to consider the report.

### **Duty of Council**

- 18. Council shall consider and make a determination on the Integrity Commissioner's report under Section 17 at the same meeting at which the report is tabled.

### **Confidentiality and Public Disclosure**

- 19. (1) In order to maintain the integrity of any process of inquiry or investigation, every person interacting with the Integrity Commissioner, including the complainant, the respondent Member, any witness or any other person, shall preserve confidentiality with respect to all matters as directed by the Integrity Commissioner and not disclose any information to any other person.
- (2) The Integrity Commissioner shall retain all records related to the Complaint and investigation although copies may be provided to the Township's administrative staff, subject to the duty of confidentiality under subsection 223.5 of the *Municipal Act, 2001*.

- (3) The identity of the Member who is the subject of the Complaint shall not be treated as confidential information in the Integrity Commissioner's report to Council. The identity of the complainant and of any other person, including any witnesses, may be disclosed if deemed appropriate and necessary by the Integrity Commissioner, if consented to by the complainant or any other person, or such information has already been publicly disclosed.
- (4) All reports from the Integrity Commissioner to Council shall be made available to the public by the Clerk.

#### **Delegation by Integrity Commissioner**

20. The Integrity Commissioner, in consultation with the Township, may delegate in writing to any person, other than a Member, any of the Integrity Commissioner's powers and duties under Part V.1 of the *Municipal Act, 2001*.



**Code of Conduct — Formal Complaint Form # 1**

**AFFIDAVIT – A signed Confidentiality Form is required.**

I, \_\_\_\_\_ (first and last name),  
of the \_\_\_\_\_ in the Province of Ontario.

**MAKE OATH AND SAY (or AFFIRM):**

1. I reside at: \_\_\_\_\_ (full address)  
and may be contacted at telephone: \_\_\_\_\_ and email: \_\_\_\_\_.

2. I have reasonable grounds to believe that:  
\_\_\_\_\_ (name of Member),

a member of the Council or a local board of The Corporation of the Township of Oro-Medonte,  
has contravened the following section(s) of the Code of Conduct of the Township of Oro-Medonte  
\_\_\_\_\_. The particulars of which are attached hereto.

3. Facts constituting the alleged contravention (use separate page if required)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

This affidavit is made for the purpose of requesting that this matter be reviewed and/or investigated by the Township of Oro-Medonte’s Integrity Commissioner and for no other purpose.

SWORN (or AFFIRMED) before me at )  
the \_\_\_\_\_ of \_\_\_\_\_ on )  
\_\_\_\_\_ (date) )  
\_\_\_\_\_ )

(Signature)

A Commissioner for taking affidavits etc.

Please note that signing a false affidavit may expose you to prosecution under ss. 131 and 132 or 134 of the *Criminal Code*, R.S.C. 1985, c. C-46 and also to civil liability for defamation.

**Municipal Conflict of Interest Act – Complaint Form # 2**

**STATUTORY DECLARATION**

I, \_\_\_\_\_ (first and last name),  
of the \_\_\_\_\_ in the Province of Ontario.

**I SOLEMNLY DECLARE THAT:**

1. I reside at: \_\_\_\_\_ (full address)  
and may be contacted at telephone: \_\_\_\_\_ and email: \_\_\_\_\_.

2. I have reasonable and probable grounds to believe that:

\_\_\_\_\_ (specify name of Member),  
a member of the Council or a local board of The Corporation of the Township of Oro-Medonte,  
has contravened section(s) \_\_\_\_\_ of the *Municipal Conflict of Interest Act*, R.S.O. 1990, c. M.50.

3. I became aware of the facts constituting the alleged contravention not more than six (6) weeks ago and they comprise the following: (use separate page if required)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

This declaration is made for the purpose of requesting that this matter be investigated by the Township of Oro-Medonte's Integrity Commissioner and for no other purpose.

DECLARED before me at \_\_\_\_\_ )  
the \_\_\_\_\_ of \_\_\_\_\_ )  
on \_\_\_\_\_ (date) )  
\_\_\_\_\_ )

\_\_\_\_\_

(Signature)

A Commissioner for taking affidavits etc.

Please note that signing a false declaration may expose you to prosecution under ss. 131 and 132 or 134 of the *Criminal Code*, R.S.C. 1985, c. C-46 and also to civil liability for defamation.