

SPONSOR: Rep. Schwartzkopf & Rep. Longhurst & Rep. Mitchell & Rep. D. Short & Rep. Dukes

## HOUSE OF REPRESENTATIVES 150th GENERAL ASSEMBLY

## HOUSE RESOLUTION NO. 4

RELATING TO PERMANENT PROCEDURES OF THE HOUSE OF REPRESENTATIVES OF THE 150TH GENERAL ASSEMBLY OF THE STATE OF DELAWARE FOR ETHICS VIOLATIONS.

1	BE IT RESOLVED by the House of Representatives of the 150th General Assembly of the State of Delaware that the
2	Permanent Rules of Procedure of the House of Representatives for ethics violations shall be as follows:
3	TABLE OF CONTENTS
4	RULES OF PROCEDURE, ETHICS VIOLATIONS
5	1 Scope and Authority
6	2 Meetings and Quorum
7	3 Committee Records
8	4 Special Procedures
9	5 Changes in Committee Rules
10	6 Complaints
11	7 Processing Complaints
12	8 Preliminary Inquiry and Statement of Alleged Violations
13	9 Answers and Motions and Committee Action
14	10 Disciplinary Hearings before the Committee
15	11 Committee Recommendations
16	12 Disclosure of Evidence
17	13 Exculpatory Information
18	14 Admissibility of Evidence
19	15 Witnesses
20	16 Records of House Proceedings
21	17 Special Procedures
22	18 Consideration of Complaints by the House

Page 1 of 16

HD: NSW: TEH 1031500008

19. - Disciplinary Hearings

24	20 Findings; Sanctions
25	21 Disclosure of Evidence
26	22 Exculpatory Information
27	23 Admissibility of Evidence
28	24 Witnesses
29	RULES OF PROCEDURE, ETHICS VIOLATIONS.
30	Rule 1 - Scope and Authority.
31	These rules govern the procedures to be followed by the Ethics Committee and by the House in
32	proceedings involving allegations of violations of the Rules of Legislative Conduct. So far as applicable, these rules
33	and the Rules of the House of Representatives shall be the rules of the Ethics Committee which may prescribe
34	additional rules not inconsistent therewith.
35	PROCEEDINGS BEFORE THE ETHICS COMMITTEE.
36	Rule 2 - Meetings and Quorum.
37	(a)The Committee shall meet at the call of the Chair. Notice of a Committee meeting shall be given
38	pursuant to the Rules of the House of Representatives.
39	(b) A quorum of the Committee consists of a majority of the members of the Committee.
40	Rule 3 - Committee Records.
41	(a) The Chair of the Committee shall, with the approval of the Committee, establish such procedures as
42	in the Chair's judgment may be necessary to prevent the unauthorized disclosure of any testimony or other information
43	received by the Committee or its staff.
44	(b)(1) Unless otherwise authorized by the Committee, no information received by the Committee
45	respecting any alleged violation by a member of the House of Representatives of any Rule of Legislative
46	Conduct shall be disclosed to the public before the transmittal, under Rule 8 of these rules, to such member of
47	a statement of alleged violation in connection with such violation. After the service of such a statement on the
48	member:
49	(2) the statement and any other paper filed pursuant to Rule 8 respecting such violation shall be made
50	available for public inspection at reasonable hours; and
51	(3) any other paper filed with the Committee respecting such violation shall be made available as

Page 2 of 16

authorized by the Committee, except that no paper shall be made available if its disclosure would violate any

Released: 01/07/2019 08:32 PM HD: NSW: TEH

law or regulation.

52

54	Rule 4 - Special Procedures.
55	The Committee may adopt, by Resolution, any special procedures deemed necessary to a particular
56	matter before the Committee. Copies of such special procedures shall be furnished to all parties and witnesses in the
57	matter.
58	Rule 5 - <u>Changes in Committee Rules</u> .
59	The rules of the Committee other than these rules may be modified, amended or repealed by a vote of a
60	majority of the Committee.
61	COMMITTEE INVESTIGATIVE AUTHORITY.
62	Rule 6 - Complaints.
63	(a) A complaint may be submitted to the Committee pursuant to subsection (c) of this rule and shall be in
64	writing and under oath, setting forth in simple, concise and direct statements the following:
65	(1) the name and address of the party filing the complaint (hereinafter referred to as the
66	'complainant');
67	(2) the name of the member of the House of Representatives alleged to be in violation of a Rule
68	of Legislative Conduct (hereinafter referred to as the 'respondent');
69	(3) a statement of each violation, identifying the Rule of Legislative Conduct alleged to have
70	been violated, divided into counts with each violation representing a separate count; and
71	(4) the facts alleged to give rise to the violation. The facts supporting the complaint may be
72	sworn to by any person. When facts are alleged upon the information and belief of the
73	complainant, the complaint shall so state and set forth the basis for such information and belief.
74	(b) All documents in the possession of the complainant that are relevant to and in support of the
75	allegations shall be appended to the complaint.
76	(c) A complaint may be filed only by a member of the House of Representatives (including a member of
77	the Committee) and shall be transmitted directly to the Committee.
78	Rule 7 - <u>Processing Complaints</u> .
79	(a)(1) The Staff of the Committee shall examine each complaint submitted to the Committee for
80	compliance with the Rules of the House of Representatives and any other applicable Committee rules.

(2) If the staff determines that a complaint does not comply with House and Committee rules, the complaint shall be returned to the complainant with a general statement that the complaint is not in compliance with such rules and a copy of such rules. A complainant may resubmit a complaint.

Released: 01/07/2019 08:32 PM

81

82

84	(3) If the staff determines that a complaint is in compliance with House and Committee rules, the
85	complaint shall be filed with the Committee and a copy shall be transmitted to each member of the Committee.
86	(4) The Chair shall place the complaint on the Committee agenda for consideration, and shall schedule
87	a Committee meeting as soon as practical thereafter.
88	A. The Committee shall consider the complaint and determine if the complaint should be
89	dismissed because it fails to allege facts which constitute a violation of a Rule of Legislative
90	Conduct or if the complaint merits further inquiry.
91	B. The decision under subparagraph A of this paragraph shall be transmitted in writing to the
92	complainant and respondent.
93	(b)(1) If the Committee determines that the complaint fails to allege facts which constitute a violation of
94	a Rule of Legislative Conduct, the Committee shall deliver to the House a report of the action taken and a brief
95	statement of the reasons therefor.
96	(2) If there are no dissenting votes to the determination in paragraph (b)(1) of this rule the complaint
97	shall be considered dismissed, and neither the Committee nor the House shall take any further action with
98	respect thereto.
99	(3) If there are any dissenting votes to the determination in paragraph (b)(1) of this rule, the complaint
100	shall be considered dismissed and neither the Committee nor the House shall take any further action with
101	respect thereto provided that the Committee's determination shall be considered reversed and the
102	investigation shall be pursued by the Committee upon the written petition of any member of the House
103	filed with the Speaker and approved by the majority vote of the elected members of the House.
104	Rule 8 - Preliminary Inquiry and Statement of Alleged Violation.
105	(a)(1) If the Committee determines under Rule 7 that the allegation of a violation in a complaint filed
106	with the Committee merits further inquiry, or if the Committee's determination in that regard is reversed by the
107	House, the Committee shall conduct a preliminary inquiry to determine whether such violation occurred.
108	(2) In the preliminary inquiry:
109	A. the respondent shall have an opportunity to present to the Committee, orally or in writing, a
110	statement respecting the allegations with respect to which the inquiry is being held;
111	B. the staff may interview witnesses and examine documents and other evidentiary matter;

HD: NSW: TEH 1031500008

112	C. the Committee may order the testimony of witnesses to be taken under oath, in which event
113	the oath may be administered by a member of the Committee or by any person authorized by a
114	member of the Committee or any person authorized by law to administer oaths;
115	D. the Committee may require, by subpoena or otherwise, the attendance and testimony of
116	witnesses and the production of such books, records, correspondence, memoranda, papers,
117	documents and other things as it deems necessary to the conduct of the inquiry; and
118	E. any probative evidence may be used.
119	(3) Upon the completion of the preliminary inquiry, the staff of the Committee shall prepare and
120	transmit to the Committee a report containing a comprehensive summary of the information received in
121	the inquiry; and may include in the report a recommendation for action by the Committee respecting the
122	alleged violations which was the subject of the inquiry.
123	(b) If the Committee determines on the basis of the report of the Committee staff on the preliminary
124	inquiry respecting an alleged violation that there is reason to believe that the violation occurred, the Committee
125	shall direct the staff to transmit to the respondent a statement of alleged violation. A statement shall be divided
126	into counts and each count shall relate to a separate violation and shall contain a plain and concise statement of the
127	alleged facts of such violation, and include a reference to the provision of the Rule of Legislative Conduct alleged
128	to have been violated.
129	(c)(1) If the Committee determines on the basis of the report of the Committee staff on the preliminary
130	inquiry that there is no reason to believe that the violation occurred, the Committee shall deliver to the
131	House a report of the action taken together with a statement of the reasons therefore.
132	(2) If there are no dissenting votes to the determination in paragraph (c)(1) of this rule, the complaint
133	shall be considered dismissed and neither the Committee nor the House shall take any further action with
134	respect thereto.
135	(3) If there are any dissenting votes to the determination in paragraph (c)(1) of this rule, the complain
136	shall be considered dismissed and neither the Committee nor the House shall take any further action with
137	respect to the matter provided that the House shall consider the matter upon the written petition of any
138	member of the House filed with the Speaker and approved by the majority vote of the members of the
139	House.
140	(d) If any such proceeding is initiated in the House, the matter shall be prosecuted by the members of the

Committee who dissented from the vote to dismiss the complaint. In such case, the dissenting members shall

Released: 01/07/2019 08:32 PM

direct the Committee staff to transmit to the House and to the respondent, a statement of alleged violation as described in subsection (b) which shall be the basis of the House's consideration of the matter.

Rule 9 - Answers and Motions and Committee Action.

- (a) If a statement of alleged violation is transmitted under Rule 8(b), the respondent shall have twenty (20) calendar days in which to respond. The response shall be by way of answer or motion, shall be in writing and signed by the respondent or his counsel, and shall be limited to the following:
  - (1) An admission or denial of, under oath, each count set forth in the statement plus any supportive evidence and any other relevant information which the respondent may desire to submit.
  - (2) An objection to any count in the statement on the grounds that it fails to state a fact which constitutes a violation of a Rule of Legislative Conduct.
  - (3) An objection to the jurisdiction of the Committee to consider the allegations contained in the statement.
  - (4) A motion for a bill of particulars.
  - (5) An objection to the participation of any member of the Committee in the consideration of the allegations contained in the statement on the grounds that such member cannot render an impartial or unbiased decision. The Committee member against whom the objection is made shall be the sole judge of his qualifications. A motion under this paragraph is not in lieu of an answer. Any motion submitted pursuant to this rule shall be accompanied by a memorandum of points and authorities. Except for good cause shown, no pleading or motion not described in paragraphs (1) through (5) of this subsection will be considered by the Committee and the Committee will not consider any answer or motion in such paragraphs which is submitted under this rule after the expiration of such twenty (20) calendar days.
- (b) Within ten (10) calendar days after the receipt of any motion under subsection (a) of this rule, the Committee shall consider such motion. Notice of the decision of the Committee respecting such motion shall be furnished the respondent. When the Committee has acted on all motions submitted under paragraphs (2), (3) and (4) of subsection (a) of this rule, the respondent shall, in accordance with paragraph (a)(1) of this rule, submit, within ten (10) calendar days of the date of the last Committee action, an answer to each count in the statement not dismissed by the Committee.

HD: NSW: TEH 1031500008

171	(c) Failure to submit, within the applicable time period, an answer to a count of a statement which has
172	not been dismissed by the Committee, shall constitute an admission to the violation alleged in the count.
173	(d) The Chair, in his discretion, may extend or shorten any time limitations imposed by this rule if he or
174	she determines that the extension would facilitate a fair and complete inquiry or the shorter time is required because of
175	special circumstances.
176	(e)(1) As soon as practical after the expiration of all applicable time limitations for action under
177	subsections (a) and (b) of this rule, the Committee shall act, by the vote of a majority of the members of the
178	Committee, to:
179	A. hold a disciplinary hearing on the violation charged in the statement;
180	B. defer action on the statement, but only if there is a grand jury or judicial proceeding
181	pending; or
182	C. dismiss the statement.
183	(2) The respondent shall be notified in writing of action taken under paragraph (1) of this
184	Subsection.
185	(f)(1) If the Committee votes to dismiss the statement, the Committee shall deliver to the House a report
186	of the action taken together with a statement of the reasons therefor.
187	(2) If there are no dissenting votes to the decision in paragraph (f)(1) of this rule, the statement shall be
188	considered dismissed and neither the Committee nor the House shall take any further action with respect
189	thereto.
190	(3) If there are any dissenting votes to the decision in paragraph (f)(1) of this rule, the statement shall
191	be considered dismissed and neither the Committee nor the House shall take any further action with
192	respect to the matter provided that the House shall consider the matter upon the written petition of any
193	member of the House filed with the Speaker and approved by a majority vote of the members of the
194	House. If any such proceeding is initiated in the House, the matter shall be prosecuted by the members of
195	the Committee who dissented from the vote to dismiss the statement. The statement shall be the basis of
196	the House's consideration of the matter and the dissenting members shall cause a copy of the statement to
197	be delivered to the House and served upon the respondent.
198	Rule 10 - <u>Disciplinary Hearings before the Committee</u> .
199	(a) A disciplinary hearing respecting a violation charged in a Statement of Alleged Violation shall be
200	held by the Committee to receive evidence upon which to base findings of fact and recommendations, if any, to the

Page 7 of 16

HD: NSW: TEH Released: 01/07/2019 08:32 PM

201	House respecting such violation. A disciplinary hearing shall consist of two phases. The first phase shall be for
202	the purpose of determining whether or not the count in the statement has been proved. The second phase shall be
203	for the purpose of determining what action to recommend to the House with respect to any count found to have
204	been proved.
205	(b) At a disciplinary hearing the Committee may require, by subpoena or otherwise, the attendance and
206	testimony of such witnesses and the production of such books, records, correspondence, memoranda, papers,
207	documents and any other things as it deems necessary. Depositions, interrogatories and sworn statements taken
208	under Committee direction may be accepted into the Committee record.
209	(c) Prior to setting a date for a disciplinary hearing and issuing subpoenas for witnesses, the Committee
210	shall resolve the scope and purpose of the hearing. A copy of this statement of scope and purpose shall be
211	furnished to all witnesses. During the course of the hearing the Committee may expand or contract the scope in
212	light of evidence received.
213	(d)(1) The order of phase one of a disciplinary hearing shall be as follows:
214	A. The Chair shall open the hearing by stating the Committee's authority to conduct the hearing, the
215	purpose of the hearing and its scope.
216	B. Testimony from witnesses and other evidence pertinent to the subject of the hearing shall be
217	received in the following order whenever possible, (i) witnesses and other evidence offered by the
218	Committee staff, (ii) witnesses and other evidence offered by the respondent, and (iii) rebuttal
219	witnesses.
220	C. Witnesses at a hearing shall be examined first by the Committee counsel or authorized staff
221	member. The Committee members may then question the witnesses. The respondent or his counse
222	may then cross-examine the witnesses. Redirect and recross may be permitted in the Chair's
223	discretion. With respect to witnesses offered by the respondent, a witness shall be examined first by
224	the respondent or his counsel, and then may be cross examined by Committee counsel or authorized
225	staff member. Committee members may then question the witness. Redirect and recross may be
226	permitted in the Chair's discretion.
227	(2) Testimony of all witnesses shall be taken under oath. The oath shall be administered by the
228	Chair or Committee member designated by him to administer oaths.
229	(e) At a disciplinary hearing the burden of proof rests on the staff with respect to each count to establish

Released: 01/07/2019 08:32 PM

the facts alleged therein clearly and convincingly by the evidence that it introduces.

231 (f) The second phase of a disciplinary hearing shall consist of oral and/or written submission by counsel 232 for the Committee and counsel for the respondent as to the sanction the Committee should recommend to the 233 House with respect to any count of the Statement of Alleged Violation which has been proved. Testimony by 234 witnesses will not be heard at phase two except by a vote of a majority of the Committee. 235 Rule 11 - Committee Recommendations. 236 (a)(1) As soon as practicable after the completion of the first phase of a disciplinary hearing respecting a 237 Statement of Alleged Violation, the Committee shall consider each count contained in the statement and 238 with respect to each count as originally drawn or as amended shall vote either to find that the count has 239 been proved or to dismiss the count. A count shall not be proved unless at least a majority of the 240 Committee vote for a motion that the count has been proved. 241 (2) If the Committee votes that a count has been proved, the Committee may, upon completion of the 242 second phase of the disciplinary hearing, by a majority vote of the Committee, consider and vote on a 243 motion that a recommendation be made to the House for appropriate action respecting the violation 244 charged in such count. 245 (b) With respect to any violation with which a member of the House was charged in a count which the 246 Committee has voted as proved, the Committee may include in its recommendations to the House one or more of the 247 following sanctions: 248 (1) Suspension or expulsion from the House. 249 (2) Censure. 250 (3) Reprimand. 251 (4) Fine. 252 (5) Any other sanction determined by the Committee to be appropriate. 253 (c) The Committee report accompanying a recommendation to the House adopted by the Committee 254 under paragraph (a)(2) respecting a violation charged in a count shall contain a statement of the evidence which 255 supported the finding as to that count and a statement of the Committee's reasons for the recommendation as well as a 256 statement of the Committee's reasons for finding that any count was not proved. The Committee shall cause a copy of 257 the Committee's report and the Statement of Alleged Violation to be served upon the respondent. The statement shall

Released: 01/07/2019 08:32 PM

be the basis of the House's consideration of the matter.

(d)(1) If the Committee votes to dismiss all counts of a statement and there are no dissenting votes, the
statement shall be considered dismissed and neither the Committee nor the House shall take any further
action with respect thereto.

(2) If there are any dissenting votes to the determination in paragraph (d)(1) of this subsection, the statement shall be considered dismissed and neither the Committee nor the House shall take any further action with respect thereto provided that the House shall consider the matter upon the written petition of any member of the House filed with the Speaker and approved by a majority vote of all members of the House. If any such proceeding is initiated in the House, the matter shall be prosecuted by the members of the Committee who dissented from the vote to dismiss. The statement shall be the basis of the House's consideration of the matter and the dissenting members of the Committee shall cause a copy of the statement to be delivered to the House and served upon the respondent.

### Rule 12 - Disclosure of Evidence.

Upon the request of a respondent, the Committee may permit the respondent to inspect, copy or photograph books, papers, documents, photographs or other tangible objects which the Committee intends to use as evidence against the respondent in a disciplinary hearing and which are material to the preparation of the defense of the respondent.

# Rule 13 - Exculpatory Information.

If the Committee at any time receives any exculpatory information respecting a Statement of Alleged Violation against a member of the House of any law, rule, regulation or other standard of conduct, it shall forthwith make such information available to such member.

#### Rule 14 - Admissibility of Evidence.

- (a) Any evidence that is relevant and probative shall be admissible in any hearing of the Committee, unless the evidence is privileged or unless the Constitution otherwise requires its exclusion. Objections going only to the weight that should be given to evidence will not justify its exclusion.
- (b) The Chair or other member presiding at a hearing shall rule upon any question of admissibility at the hearing of testimony or evidence presented to the Committee. The Chair or other member presiding may limit the presentation of repetitious evidence. Rulings shall be final unless reversed or modified by a majority vote of the Committee members present.
- Rule 15 Witnesses.

288	(a) A subpoena to a witness to appear at a hearing shall be served sufficiently in advance of his
289	scheduled appearance to allow him a reasonable period of time, as determined by the Committee, to prepare for the
290	hearing and to employ counsel should he so desire.
291	(b) Except as otherwise specifically authorized by the Chair, no member of the Committee or staff shall
292	make public the name of any witness subpoenaed by the Committee before the date of his scheduled appearance.
293	(c) Witnesses at hearings may be accompanied by their counsel for the purpose of advising them
294	concerning their constitutional rights and to raise objections to the admissibility of testimony and evidence. Counsel
295	for a witness other than the respondent shall not be permitted to engage in oral argument with the Committee. After a
296	witness has testified, his counsel may submit to the Committee, in writing, any questions he wishes propounded to his
297	client and any request for additional witnesses or other evidence. Such request may be granted at the Committee's
298	discretion.
299	(d) The respondent may apply to the Committee for the issuance of subpoenas for the appearance of
300	witnesses or the production of documents on his behalf. The application shall be granted upon a concise showing by
301	the respondent that the proposed testimony or evidence is relevant and not otherwise available. The application shall
302	be denied if not made at a reasonable time or if the testimony or evidence would be merely cumulative.
303	(e) Each witness appearing before the Committee shall be furnished a printed copy of the rules of the
304	Committee.
305	PROCEEDINGS BEFORE THE HOUSE
306	Rule 16 - Records of House Proceedings.
307	All papers filed in the House with respect to a proceeding involving an allegation of a violation of a Rule
308	of Legislative Conduct shall be made available for public inspection at reasonable hours except that no paper shall be
309	made available if its disclosure would violate any law or regulation.
310	Rule 17 - <u>Special Procedures</u> .
311	The House may adopt by Resolution any special procedures deemed necessary to a particular matter
312	before the House. Copies of such special procedures shall be furnished to all parties and witnesses in the matter.
313	Rule 18 - Consideration of Complaints by the House.
314	(a) If a Statement of Alleged Violation is served upon a respondent pursuant to Rules 8(c)(3), 9(f)(3),
315	11(c) or 11(d)(2), the respondent shall have twenty (20) calendar days in which to respond. The response shall be by

Page 11 of 16

Released: 01/07/2019 08:32 PM

way of answer or motion, shall be in writing and signed by the respondent or his counsel, and shall be limited to the

HD: NSW: TEH 1031500008

following:

316

318	(1) An admission or denial of, under oath, each count set forth in the Statement plus any supportive
319	evidence and any other relevant information which the respondent may desire to submit.
320	(2) An objection to any count in the Statement on the grounds that it fails to state a fact which
321	constitutes a violation of a Rule of Legislative Conduct.
322	(3) An objection to the jurisdiction of the House to consider the allegations contained in the
323	Statement.
324	(4) A motion for a bill of particulars.
325	(5) An objection to the participation of any member of the House in the consideration of the
326	allegations contained in the Statement on the grounds that the member cannot render an
327	impartial or unbiased decision. The member of the House against whom the objection is made
328	shall be the sole judge of his qualifications. A motion under this paragraph is not in lieu of an
329	answer.
330	Any motion submitted pursuant to this rule shall be accompanied by a memorandum of points
331	and authorities. Except for good cause shown, no pleading of motion not described in paragraphs (1)
332	through (5) will be considered by the House and the House will not consider any answer or motion in
333	such paragraphs which is submitted under this rule after the expiration of such 20 calendar days.
334	(b) As soon as practical after the receipt of any motion under subsection (a) of this rule, the House shall
335	consider such motion. Notice of the decision of the House respecting such motion shall be furnished the respondent.
336	When the House has acted on all motions submitted under paragraphs (2), (3) and (4) of subsection (a) of this rule, the
337	respondent shall in accordance with paragraph (a)(1) of this rule, submit, within ten (10) calendar days of the date of
338	the last House action, an answer to each count in the statement not dismissed by the House.
339	(c) Failure to submit, within the applicable time period, an answer to a count of a statement which has
340	not been dismissed by the House shall constitute an admission to the violation alleged in the count.
341	(d) The Speaker, in his discretion, may extend or shorten any time limitations imposed by this rule if he
342	determines that the extension would facilitate a fair and complete inquiry or the shorter time is required because of
343	special circumstances.
344	(e)(1) As soon as practical after the expiration of all applicable time limitations for action under
345	subsections (a) and (b) of this rule, the House shall act, by the vote of the majority of the members, to:
346	A. hold a disciplinary hearing on the violation charged in the statement;

Released: 01/07/2019 08:32 PM

347	B. defer action on the statement but only if there is a grand jury or judicial proceeding pending;
348	or
349	C. dismiss the statement or any counts thereof.
350	(2) The respondent shall be notified in writing of action taken under paragraph (1) of this subsection.
351	Rule 19 - <u>Disciplinary Hearings</u> .
352	(a) A disciplinary hearing respecting a violation charged in a Statement of Alleged Violation shall be
353	held by the House to receive evidence respecting such violation. A disciplinary hearing shall consist of two (2) phases
354	The first phase shall be for the purpose of determining whether or not the counts in the statement have been proved.
355	The second phase shall be for the purpose of determining what disciplinary action to take with respect to any count
356	found to have been proved.
357	(b) At a disciplinary hearing the House may require, by subpoena or otherwise, the attendance and
358	testimony of such witnesses and the production of such books, records, correspondence, memoranda, papers,
359	documents and any other things as it deems necessary. Depositions, interrogatories and sworn statements taken under
360	House direction may be accepted into the House record
361	(c) Prior to setting a date for a disciplinary hearing and issuing subpoenas for witnesses, the House shall
362	resolve the scope and purpose of the hearing. A copy of this statement of scope and purpose shall be furnished to
363	all witnesses. During the course of the hearing the House may expand or contract the scope in light of evidence
364	received.
365	(d)(1) The order of phase one of a disciplinary hearing shall be as follows:
366	A. The Speaker shall open the hearing by stating the House's authority to conduct the hearing,
367	the purpose of the hearing and its scope.
368	B. Testimony from witnesses and other evidence pertinent to the subject of the hearing shall be
369	received in the following order whenever possible, (i) witnesses and other evidence offered by
370	the committee staff, (ii) witnesses and other evidence offered by the respondent, and (iii) rebutta
371	witnesses.
372	C. Witnesses at a hearing shall be examined first by the committee counsel or authorized staff
373	member. Members of the committee may then question the witnesses. The respondent or his
374	counsel may then cross-examine the witnesses. Redirect and recross may be permitted in the
375	Speaker's discretion. With respect to witnesses offered by the respondent, a witness shall be
376	examined first by the respondent or his counsel and then may be cross-examined by committee

Released: 01/07/2019 08:32 PM

377	counsel or authorized staff member. Committee members may then question the witness.
378	Redirect and recross may be permitted in the Speaker's discretion.
379	(2) Testimony of all witnesses shall be taken under oath. The oath shall be administered by the
380	committee member designated by the Speaker to administer oaths.
381	(e) At a disciplinary hearing the burden of proof rests on the committee with respect to each count to
382	establish the facts alleged therein clearly and convincingly by the evidence that it introduces.
383	(f) Phase two of a disciplinary hearing shall consist of oral and/or written submission by counsel for the
384	committee and counsel for the respondent as to the sanction the House should impose with respect to any count of the
385	Statement which has been proved. Testimony by witnesses will not be heard at phase two except by a vote of a
386	majority of the House.
387	(g) The House by Resolution may establish rules by which members of the House other than members of
388	the Ethics Committee may participate in a disciplinary proceeding before the House.
389	Rule 20 - Findings; Sanctions.
390	(a)(1) As soon as practicable after the completion of the first phase of a disciplinary hearing respecting a
391	Statement, the House shall consider each count contained in the Statement and with respect to each count as
392	originally drawn or as amended shall vote on a motion that the count has been proved. A count shall not be proved
393	unless at least a majority of the House vote for a motion that the count has been proved. A count which is not
394	proved shall be considered as dismissed by the House.
395	(2) If the House votes that a count has been proved, the House may upon completion of the second
396	phase of the disciplinary hearing, by a majority vote consider and vote on a motion that any of the following
397	sanctions be imposed respecting the violation charged in such count;
398	A. Suspension or expulsion from the House.
399	B. Censure.
400	C. Reprimand.
401	D. Fine.
402	E. Any other sanction determined by the committee to be appropriate.
403	A member of the House may not be suspended or expelled from the House unless by a vote concurred in
404	by two-thirds of the members.
405	Rule 21 - <u>Disclosure of Evidence</u> .

Page 14 of 16

HD: NSW: TEH 1031500008 Upon the request of a respondent, the committee may permit the respondent to inspect, copy or photograph books, papers, documents, photographs or other tangible objects which the committee intends to use as evidence against the respondent in a disciplinary hearing before the House and which are material to the preparation of the defense of the respondent.

#### Rule 22 - Exculpatory Information.

If the Committee at any time receives any exculpatory information respecting a Statement of Alleged Violation against a member of the House of any law, rule, regulation, or other standard of conduct, it shall forthwith make such information available to such member.

### Rule 23 - Admissibility of Evidence.

- (a) Any evidence that is relevant and probative shall be admissible in any hearing before the House, unless the evidence is privileged or unless the Constitution otherwise requires its exclusion. Objections going only to the weight that should be given to evidence will not justify its exclusion.
- (b) The Speaker or other member presiding at a hearing shall rule upon any question of admissibility at the hearing of testimony or evidence presented to the House. The Speaker or other member presiding may limit the presentation of repetitious evidence.

#### Rule 24 - Witnesses.

- (a) A subpoena to a witness to appear at a hearing shall be served sufficiently in advance of his scheduled appearance to allow him a reasonable period of time, as determined by the Speaker, to prepare for the hearing and to employ counsel should he or she so desire.
- (b) Except as otherwise specifically authorized by the Speaker, no member of the Committee or staff shall make public the name of any witness subpoenaed by the Committee before the date of his scheduled appearance.
- (c) Witnesses at hearings may be accompanied by their counsel for the purpose of advising them concerning their constitutional rights and to raise objections to the admissibility of testimony and evidence. Counsel for a witness other than the respondent shall not be permitted to engage in oral argument before the House. After a witness has testified, his counsel may submit to the Speaker in writing, any questions he wishes propounded to his client and any request for additional witnesses or other evidence. Such request may be granted at the Speaker's discretion.
- (d) The respondent may apply to the Speaker for the issuance of subpoenas for the appearance of witnesses or the production of documents on his behalf. The application shall be granted upon a concise showing

by the respondent that the proposed testimony or evidence is relevant and not otherwise available. The application 436 437 shall be denied if not made at a reasonable time or if the testimony or evidence would be merely cumulative.

(e) Each witness appearing before the House shall be furnished a printed copy of the Rules of the House.

Page 16 of 16 HD: NSW: TEH Released: 01/07/2019 08:32 PM 1031500008