

## SECTION 7 – RESPONSIBILITIES OF THE AUDIT AND STANDARDS COMMITTEE

Function	Statutory Reference
<p>1 Oversight of internal and external audit matters, the council's arrangements for corporate governance and risk management and any other arrangements for the maintenance of probity, including:</p> <ul style="list-style-type: none"> <li>• Approval of the internal audit strategy/plan;</li> <li>• Review of financial statements, the annual accounts, the statement of internal control, and any opinions/reports of external or internal audit or inspection agencies;</li> <li>• Assessing the effectiveness of the council's control environment, risk management and corporate governance arrangements;</li> <li>• Seeking any required assurances to ensure appropriate action is taken;</li> <li>• Monitoring performance in relation to any action required; and</li> <li>• Making recommendations to cabinet and/or council as appropriate where executive action is required.</li> </ul>	Section 27, Localism Act 2011
2 Promoting and maintaining high standards of conduct by councillors, co-opted members and church/parent governor representatives and officers.	Section 27, Localism Act 2011
3 Assisting councillors, co-opted members and church/parent governor representatives to observe the Members' Code of Conduct.	Section 27, Localism Act 2011
4 Advising the council on the adoption or revision of the Members' Code of Conduct.	Section 27, Localism Act 2011
5 Monitoring the operation of the Members' Code of Conduct.	Section 27, Localism Act 2011
6 Advising, training or arranging to train councillors, co-opted members and church/parent governor representatives on matters relating to the Members' Code of Conduct.	Section 27, Localism Act 2011
7 Considering the outcomes of investigations into complaints about members under the Code of Conduct in accordance with the complaint process agreed by the council.	Section 28, Localism Act 2011; Hearing Sub-Committee
8 Granting dispensations to councillors, co-opted members and church/parent governor representatives from requirements relating to disclosable pecuniary interests.	Section 33, Localism Act 2011; Dispensations Sub-Committee
9 Dealing with the grant and supervision of exemptions from political restriction.	Section 3A, Local Government and Housing Act 1989; Political Restriction Sub-Committee

## **7.1 TERMS OF REFERENCE AND COMPOSITION OF CERTAIN SUB-COMMITTEES**

The following standing arrangements apply to Hearing, Dispensation and Political Restriction Sub-Committees.

### **7.1.1 COMPOSITION**

Any three or more elected members from the Audit and Standards Committee to sit, as and when required. Where possible the sub-committee will include representation from at least two of the political groups represented on the council. The selection of members to form a sub-committee to deal with a particular matter or matters shall be made by the chief executive.

## **7.2 TERMS OF REFERENCE**

### **7.2.1 Hearing Sub-Committee**

To consider complaints about members in relation to the Code of Conduct and determine whether or not there has been a failure to comply with the Code of Conduct.

Where there has been a failure to comply with the Code of Conduct it may impose sanctions with the agreement of the member concerned or make recommendations to council on the imposition of sanctions.

### **7.2.2 Dispensations Sub-Committee**

To grant dispensations from either or both of the restrictions in section 31(4) of the Localism Act 2011 i.e. restrictions on participation and voting in relation to matters in which a member has a disclosable pecuniary interest, if in all the circumstances it considers:

- a. that without the dispensation the number of persons prohibited from participating in any particular business would be so great a proportion of the body transacting the business as to impede the transaction of the business;
- b. that without the dispensation the representation of different political groups on the body transacting any particular business would be so upset as to alter the likely outcome of any vote relating to the business;
- c. that granting the dispensation is in the interests of persons living in the authority's area;
- d. if it is an authority to which Part 1A of the Local Government Act 2000 applies and is operating executive arrangements, considers that without the dispensation each member of the authority's executive would be prohibited from participating in any particular business to be transacted by the authority's executive; or
- e. that it is otherwise appropriate to grant a dispensation.

### **7.2.3 Political Restriction Sub-Committee**

To deal with any particular matter relating to political restrictions and whether or not an exemption should be granted.