

Extract from the Constitution, Part 2, Chapter 13**Audit and Standards Committee****2. Responsibility for Functions:**

2.1 The Audit and Standards Committee shall have the following roles and functions:

2.1.1 Audit functions**Internal Audit**

- i) Considering regular update reports concerning the work of Internal Audit, including progress on delivering the annual programme of work, emerging themes, risks and issues, and officer responsiveness in implementing recommendations and responding to Internal Audit.
 - ***16/01/19: Internal Audit 2018/19 Quarter 2 and Counter Fraud 2018/19 Quarter 2***
 - ***03/04/19: Internal Audit 2018/19 Quarter 3 and Counter Fraud 2018/19 Quarter 3***
 - ***28/10/19: Internal Audit 2019/20 Quarters 1 &2 and Counter Fraud 2019/20 Quarters 1 &2***
 - ***03/02/20: Internal Audit 2019/20 Quarter 3 and Counter Fraud 2019/20 Quarter 3***
- ii) Considering and agreeing an Annual Audit Report from the Chief Financial Officer and a summary of Internal Audit activity (actual and proposed), and the level of assurance it can give over the Council's corporate governance, internal control, and risk management arrangements.
 - ***23/07/19: Internal Audit Annual report 2018/19***
 - ***23/07/19: Counter Fraud Annual report 2018/19***
 - ***03/04/19: Draft Internal Audit Charter, Strategy and Plan 2019/20***
 - ***27/04/20: Internal Audit Charter, Strategy and Plan 2020/21***
- iii) Considering summaries of specific Internal Audit reports as requested.
- iv) Considering reports dealing with the management and performance of the providers of Internal Audit services.

Statutory and External Audit Functions

- v) Considering the Annual Governance Report (both main and pension) and other relevant reports.
 - **03/02/20: Annual Governance Statement: update on progress**
- vi) Considering the Annual Audit Letter, and other relevant reports.
 - **16/01/19: Annual Audit Letter 2017/18**
 - **16/01/19: External Audit Plan 2018/19**
 - **03/04/19: External Audit Plan Interim Report**
 - **23/07/19: External Audit report 2018/19**
 - **28/10/19: Progress Update on External Audit of 2018/19 Accounts**
 - **28/10/19: External Audit 2018/19 Progress update**
 - **03/02/20: Preparation of the External Audit 2019/20**
 - **03/02/20: External Audit Plan 2020/21**
- vii) Considering the Summary of Grant Certifications.
 - **Report on 03/04/20**
 - **Report on 03/02/20**
- viii) Considering other specific reports as agreed with the external auditor.

Governance

- ix) Receiving reports and making appropriate recommendations concerning corporate governance, risk management, decision-making and information governance and ensuring compliance with best practice.
 - **16/01/19: Information Governance Annual Report**
 - **28/10/19: Risk Management Framework Update**
 - **03/02/20: Information Governance Annual Report**
 - **27/04/20: Risk Management Framework – end of year report**
- x) Receiving reports and making appropriate recommendations concerning customer complaints and Local Government Ombudsman enquiries.
- xi) Considering regular updates concerning Council policies relating to internal governance (including whistleblowing, bribery and anti-fraud) and ensuring the implementation of relevant legislation relating to governance, fraud and corruption.
 - **28/10/19: Review of Key Counter Fraud Policies and Strategy)**
- xii) Considering proposed changes to the Council's Financial Regulations and Rules, as they relate to audit functions.

- xiii) Approving the Council's Annual Governance Statement which accompanies the Annual Statement of Accounts.

- **23/07/19: Annual Governance Statement 2018/19**

Finance

- xiv) Considering and approving the Annual Statement of Accounts and all related documents.

- **16/01/19: Preparation of 2018/19 Annual Accounts and External Audit**
- **23/07/19: Approval of the Statement of Accounts 2018/19**
- **23/07/19: External Audit report 2018/19**
- **28/10/19: Progress Update on External Audit of 2018/19 Accounts**
- **28/10/19: External Audit 2018/19 Progress update**
- **03/02/20: Preparation of the External Audit 2019/20**

2.1.2 Standards functions

- i) Promoting and maintaining high standards of conduct by Members and Co-Opted Members of the authority;
- ii) Appointment of a Hearing Sub-Committee to hear and make recommendations to the Monitoring Officer concerning complaints about Members and Co-opted Members referred to it by the Monitoring Officer (the composition, Terms of Reference and responsibility of functions for the Sub-Committee are referred to in paragraphs 3 and 4 below);
- iii) Receiving periodic reports from the Monitoring Officer on dispensations granted / refused, complaints received against Members, complaints resolved informally, complaints resolved after an investigation by the Hearing Sub-Committee and assessing the operation and effectiveness of the Members' Code of Conduct;
- **16/01/19: Complaints against Members update**
 - **16/01/19: Review of Gifts and Hospitality**
 - **23/07/19: Complaints against Members update**
 - **03/02/20: Standards Complaints update (including Gifts and Hospitality)**
- iv) Advising on training or arranging to train Councillors and Co-opted Members on matters relating to the Councillors' Code of Conduct;
- v) Assisting Councillors and Co-opted Members to observe the Councillors' Code of Conduct;
- vi) Receiving referrals from the Monitoring Officer into allegations of misconduct, in accordance with the Council's assessment criteria;

APPENDIX A

- vii) Advising on the contents of and requirements for codes / protocols / other procedures relating to standards of conduct throughout the Council;
- viii) Maintaining oversight of the Council's arrangements for dealing with complaints;
- ix) Informing the Assembly and the Chief Executive of relevant issues arising from the determination of Code of Conduct complaints;
- x) On referral by the Monitoring Officer, granting dispensations pursuant to S33(2) (b), (c) and (e) of the Localism Act 2011 to enable a Councillor or Co-opted Member to participate in a meeting of the Authority;
- xi) Hear and determine appeals against refusal to grant dispensations by the Monitoring Officer pursuant to S33(2)(a) and (d) of the Localism Act 2011.