

APPENDIX 1

Role Description: Audit and Standards Committee Member

Role	Actions	Skills/Behaviour
<p>1. Monitoring the effectiveness of the Council's internal control environment including:</p> <ul style="list-style-type: none"> • the Annual Governance Statement • Arrangements for ensuring value for money • Monitoring the Council's exposure to the risk of fraud and corruption 	<p>By:</p> <ul style="list-style-type: none"> • receiving regular reports from internal and external audit at committee • reviewing Risk registers • making sound judgements based on a wide range of factual information and advice from the Monitoring Officer, Chief Finance Officer and Chief Internal Auditor • reviewing Counter Fraud Policy, Whistleblowing Policy and Statement on the Prevention of Bribery 	<p>These include:</p> <ul style="list-style-type: none"> • understanding of the governance structures and decision-making processes • understanding of the organisational objectives and major functions of the Council • awareness of governance framework • knowledge of the Local Code of Governance • understanding of the main areas of fraud risk the Council is exposed to • knowledge of the Council's arrangements for tackling fraud • ability to question and challenge
<p>2. In relation to Internal Audit:</p> <ul style="list-style-type: none"> • overseeing its independence, objectivity, performance and professionalism • supporting the effectiveness of the internal audit process • promoting the effective use of internal audit within the assurance framework 	<p>By:</p> <ul style="list-style-type: none"> • reviewing and approving the Internal Audit Strategy and Risk Based Audit Plan • reviewing Internal Audit annual report • ensuring professional internal audit standards are being followed • reviewing benchmarking data 	<p>These include:</p> <ul style="list-style-type: none"> • awareness of Internal Audit Charter • awareness of Public Sector Internal Audit Standards • knowledge of how the Council meets the requirements of the role of the Chief Financial Officer and Chief Internal Auditor • ability to question and challenge
<p>3. Considering the effectiveness of the Council's risk management arrangements. Reviewing the risk profile of the Council and receiving assurances that action is being taken on risk-related issues, including partnerships with other bodies.</p>	<p>By:</p> <ul style="list-style-type: none"> • monitoring the major risks facing the Council • reviewing and approving the Internal Audit Strategy and Risk Based Audit Plan 	<p>These include:</p> <ul style="list-style-type: none"> • knowledge of Corporate Risk Management Policy • ability to question and challenge

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4. Reviewing and monitoring treasury management arrangements	By: <ul style="list-style-type: none"> • reviewing the Treasury Management Policy and Strategy • monitoring treasury management performance 	These include: <ul style="list-style-type: none"> • understanding of treasury management principles • ability to question and challenge
5. Financial management and accounting	By: <ul style="list-style-type: none"> • reviewing the financial statements prior to publication • Receiving the external audit report and opinion on the financial audit 	These include: <ul style="list-style-type: none"> • understanding of good financial management principles • knowledge of how the Council meets the requirements of the role of the Chief Financial Officer • ability to question and challenge
6. Assisting councillors and independent/co-opted members to observe the Councillors' Code of Conduct.	By: <ul style="list-style-type: none"> • ensuring that training is provided for councillors, co-opted members and church and parent governor representatives on matters relating to the Councillors' Code of Conduct; • assessing the effectiveness of such training; • promoting and maintaining high standards of conduct for councillors, co-opted members and church and parent governor representatives. 	These include: <ul style="list-style-type: none"> • awareness of the Code of Conduct; • awareness of current legislation; Standards Board guidance and relevant Council policies; • understanding of the context within which councillors work.
7. Monitoring the effectiveness of the Councillors' Code of Conduct.	By: <ul style="list-style-type: none"> • receiving regular reports at Committee, including information on the way the Code of Conduct is applied in practice 	These include: <ul style="list-style-type: none"> • awareness of the Code of Conduct; • awareness of current legislation; • ability to question and challenge.
8. Dealing with any other issues relating to standards of conduct.	By: <ul style="list-style-type: none"> • participating in discussions of issues that are brought to the Committee's attention • identifying issues that could be relevant to the Committee 	These include: <ul style="list-style-type: none"> • ability to take a broad view of matters relating to ethical behaviour; • ability to question and challenge.

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<p>9. Granting dispensations to councillors, co-opted members and church and parent governor representatives, from requirements relating to interests set out in the Code of Conduct.</p>	<p>By:</p> <ul style="list-style-type: none"> • making sound judgements based on the information presented and advice from the Monitoring Officer 	<p>These include:</p> <ul style="list-style-type: none"> • awareness of the Code of Conduct; • awareness of the environment within which the Council works; • ability to question and challenge.
<p>10. Participating in hearings on allegations of misconduct.</p>	<p>By:</p> <ul style="list-style-type: none"> • making sound judgements based on a wide range of factual information and advice from the Monitoring Officer • not allowing personal or political prejudices or biases to influence decisions • exploring and challenging the evidence presented in order to arrive at a proper understanding of the issues • explaining reasons for views and findings 	<p>These include:</p> <ul style="list-style-type: none"> • awareness of the Code of Conduct • understanding of the context within which councillors work • probity and fairness • openness • ability to question and challenge