



**CYNULLIAD CENEDLAETHOL CYMRU**

**NATIONAL ASSEMBLY FOR WALES**

**OFFERYNNAU STATUDOL**

**STATUTORY INSTRUMENTS**

**2001 Rhif 2281 (Cy. 171 )**

**2001 No. 2281 (W. 171 )**

**LLYWODRAETH LEOL,  
CYMRU**

**LOCAL GOVERNMENT,  
WALES**

**Rheoliadau Ymchwiliadau  
Llywodraeth Leol (Swyddogaethau  
Swyddogion Monitro a  
Phwyllgorau Safonau) (Cymru)  
2001**

**Local Government Investigations  
(Functions of Monitoring Officers  
and Standards Committees)(Wales)  
Regulations 2001**

**NODYN ESBONIADOL**

**EXPLANATORY NOTE**

*(Nid yw'r nodyn hwn yn rhan o'r Rheoliadau.)*

*(This note is not part of the Regulations.)*

Mae adran 51 o Ddeddf Llywodraeth Leol 2000 ("Deddf 2000") yn gosod dyletswydd ar awdurdodau lleol i fabwysiadu codau ynghylch yr ymddygiad a ddisgwylir oddi wrth eu haelodau a'u haelodau cyfetholedig.

Section 51 of the Local Government Act 2000 ("the 2000 Act") imposes a duty upon local authorities to adopt codes of the conduct which is expected of their members and co-opted members.

O dan adran 69 o Ddeddf 2000 caiff Comisiynydd Lleol yng Nghymru ymchwilio i unrhyw doriad honedig gan aelodau neu aelodau cyfetholedig (neu gyn-aelodau neu gyn-aelodau cyfetholedig) o god ymddygiad awdurdod lleol yng Nghymru.

Under section 69 of the 2000 Act a Local Commissioner in Wales may investigate any alleged breach by members or co-opted members (or former members or co-opted members) of the code of conduct of a local authority in Wales.

Pan fydd Comisiynydd Lleol yng Nghymru yn rhoi'r gorau i ymchwiliad o'r fath cyn iddo gael ei gwblhau (o dan adran 70(4) o Ddeddf 2000) gall gyfeirio'r mater sy'n destun yr ymchwiliad at swyddog monitro'r awdurdod lleol perthnasol.

Where a Local Commissioner in Wales ceases such an investigation before it is completed (under section 70(4) of the 2000 Act) he or she may refer the matter subject to the investigation to the monitoring officer of the relevant local authority.

Fel arall, pan fydd Comisiynydd Lleol yng Nghymru yn dyfarnu ar ôl ymchwiliad (o dan adran 71(2) o Ddeddf 2000) ei bod yn briodol, rhaid iddo gyfeirio'r mater at swyddog monitro'r awdurdod perthnasol, llunio adroddiad ar ganlyniad yr ymchwiliad a'i anfon at y swyddog monitro a Phwyllgor Safonau'r awdurdod.

Alternatively, where a Local Commissioner in Wales determines after investigating (under section 71(2) of the 2000 Act) that it is appropriate, he or she shall refer the matter to the monitoring officer of the relevant authority, produce a report on the outcome of the investigation and send it to the monitoring officer and the authority's Standards Committee.

Mae adran 73 o Ddeddf 2000 yn galluogi Cynulliad Cenedlaethol Cymru i wneud rheoliadau sy'n pennu sut y dylid ymdrin â materion o'r fath sy'n cael eu cyfeirio.

Section 73 of the 2000 Act enables the National Assembly for Wales to make regulations specifying how such referred matters are to be dealt with.

Mae'r Rheoliadau hyn yn darparu y bydd swyddog monitro'r awdurdod perthnasol:

These Regulations provide that the monitoring officer of the relevant authority:

- (a) yn ymchwilio i'r materion a gyfeirir o dan adran 70(4) cyn cyflwyno adroddiad ac, os yw'n briodol, gwneud argymhellion i Bwyllgor Safonau'r awdurdod perthnasol, neu
- (b) os bydd mater wedi'i gyfeirio o dan adran 71(2), bydd yn ystyried adroddiad y Comisiynydd Lleol yng Nghymru cyn gwneud argymhellion, os yw'n briodol, i Bwyllgor Safonau'r awdurdod perthnasol.

- (a) will investigate matters referred under section 70(4) before reporting and, if appropriate, making recommendations, to the relevant authority's Standards Committee, or
- (b) where a matter has been referred under section 71(2), he or she will consider the report of the Local Commissioner in Wales, before, if appropriate, making recommendations to the relevant authority's Standards Committee.

Bydd y Pwyllgor Safonau yn gwneud dyfarniad cychwynnol wedyn naill ai:

The Standards Committee will then make an initial determination either:

- (a) nad oes dim tystiolaeth o fethu â chydymffurfio â'r cod ymddygiad, neu
- (b) bod rhaid rhoi cyfle i unrhyw berson sy'n destun yr ymchwiliad ymateb, naill ai ar lafar neu'n ysgrifenedig.

- (a) that there is no evidence of a failure to comply with the code of conduct, or
- (b) that any person who is the subject of the investigation must be given an opportunity to respond, either orally or in writing.

Ar ôl ystyried unrhyw ymateb a wneir gan unrhyw berson o'r fath rhaid i'r Pwyllgor Safonau ddod i'r casgliad:

After considering any response made by any such person the Standards Committee must conclude that:

- (a) nad oes dim tystiolaeth o fethu â chydymffurfio â'r cod ymddygiad ac na ddylid cymryd dim camau pellach,
- (b) bod yna dystiolaeth o fethu â chydymffurfio â'r cod ymddygiad ond na ddylid cymryd dim camau pellach, neu
- (c) bod yna dystiolaeth o fethu â chydymffurfio â'r cod ymddygiad ac y dylai aelod neu aelod cyfetholedig (neu gyn-aelod neu gyn-aelod cyfetholedig) gael ei geryddu neu ei atal,

- (a) there is no evidence of a failure to comply with the code of conduct and no further action should be taken,
- (b) there is evidence of a failure to comply with the code of conduct but no further action should be taken, or
- (c) there is evidence of a failure to comply with the code of conduct and a member or co-opted member (or former member or co-opted member) should be censured or suspended,

a chymryd unrhyw gamau o'r fath yn unol â hynny.

and take any such action accordingly.

Mae penderfyniad y Pwyllgor Safonau yn ddarostyngedig i hawl i apelio i dribiwnlys apelau a dynnir o blith Panel Dyfarnu Cymru.

The decision of the Standards Committee is subject to a right of appeal to an appeals tribunal drawn from the Adjudication Panel for Wales.

Caiff tribiwnlys apelau gadarnhau dyfarniad y Pwyllgor Safonau, cyfeirio mater yn ôl iddo gan argymhell y dylai osod cosb wahanol, neu wrth-droi'r dyfarniad.

An appeals tribunal may endorse the determination of the Standards Committee, refer a matter back to it recommending it impose a different penalty, or overturn the determination.

Mae'r Rheoliadau yn darparu hefyd fod adroddiad ar ganlyniad yr ymchwiliad yn cael ei lunio a'i gyhoeddi.

The Regulations also provide for a report upon the outcome of the investigation to be produced and published.

**2001 Rhif 2281 (Cy. 171 )**

**LLYWODRAETH LEOL,  
CYMRU**

Rheoliadau Ymchwiliadau  
Llywodraeth Leol (Swyddogaethau  
Swyddogion Monitro a  
Phwyllgorau Safonau) (Cymru)  
2001

*Wedi'u gwneud* 21 Mehefin 2001

*Yn dod i rym* 28 Gorffennaf 2001

Mae Cynulliad Cenedlaethol Cymru, drwy arfer y swyddogaethau a roddwyd iddo gan adran 73(1) o Ddeddf Llywodraeth Leol 2000(a) yn gwneud y Rheoliadau canlynol:

**Enw, cychwyn a chymhwyso**

1.-(1) Enw'r Rheoliadau hyn yw Rheoliadau Ymchwiliadau Llywodraeth Leol (Swyddogaethau Swyddogion Monitro a Phwyllgorau Safonau) (Cymru) 2001 a deuant i rym ar 28 Gorffennaf 2001.

(2) Mae'r Rheoliadau yn gymwys i awdurdodau perthnasol yng Nghymru yn unig.

**Dehongli**

2. Yn y Rheoliadau hyn:

ystyr "awdurdod perthnasol" ("*relevant authority*") yw:

- cyngor sir,
- cyngor bwrdeistref sirol,
- cyngor cymuned(b),

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(a) 2000 p.22.

(b) Yn rhinwedd adran 56(7) o Ddeddf Llywodraeth Leol 2000 mae unrhyw swyddogaeth sy'n arferadwy yn rhinwedd darpariaethau'r Rheoliadau hyn gan Bwyllgor Safonau awdurdod perthnasol neu mewn perthynas ag ef, sef awdurdod perthnasol sy'n gyngor cymuned i gael ei harfer gan neu mewn perthynas â'r canlynol; pwyllgor safonau'r cyngor sir neu'r cyngor bwrdeistref sirol y mae'r cyngor cymuned wedi'i leoli yn ei ardal; neu pan fydd pwyllgor safonau'r cyngor sir neu'r cyngor bwrdeistref sirol hwnnw wedi penodi is-bwyllgor, yr is-bwyllgor hwnnw.

**2001 No. 2281 (W. 171 )**

**LOCAL GOVERNMENT,  
WALES**

Local Government Investigations  
(Functions of Monitoring Officers  
and Standards Committees)(Wales)  
Regulations 2001

*Made* 21st June 2001

*Coming into force* 28th July 2001

The National Assembly for Wales, in exercise of the functions given to it by section 73(1) of the Local Government Act 2000(a) makes the following Regulations:

**Name, commencement and application**

1.-(1) These Regulations are called the Local Government Investigations (Functions of Monitoring Officers and Standards Committees)(Wales) Regulations 2001 and they come into force on the 28th July 2001.

(2) The regulations apply to relevant authorities in Wales only.

**Interpretation**

2. In these Regulations:

"relevant authority" ("*awdurdod perthnasol*") means:

- a county council,
- a county borough council,
- a community council(b),

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(a) 2000 c.22.

(b) By virtue of section 56(7) of the Local Government Act 2000 any function which by virtue of provisions of these Regulations is exercisable by or in relation to the Standards Committee of a relevant authority which is a community council is to be exercisable by or in relation to; the standards committee of the county council or county borough council in whose area the community council is situated; or where that county council or county borough council's standards committee has appointed a sub-committee, that sub-committee.

- awdurdod tân a gyfansoddwyd gan gynllun cyfuno o dan Ddeddf Gwasanaethau Tân 1947(a), ac
- awdurdod Parc Cenedlaethol a sefydlwyd o dan adran 63 o Ddeddf yr Amgylchedd 1995(b); ac

ystyr "Deddf 2000" ("the 2000 Act") yw Deddf Llywodraeth Leol 2000.

### Swyddogaethau swyddogion monitro

3.-(1) Pan fydd unrhyw fater yn cael ei gyfeirio at swyddog monitro awdurdod perthnasol o dan adran 70(4) o Ddeddf 2000, rhaid i'r swyddog monitro mewn perthynas â'r mater hwnnw:

- (a) cynnal ymchwiliad; a
- (b) cyflwyno adroddiad ac, os yw'n briodol, gwneud argymhellion i Bwyllgor Safonau'r awdurdod perthnasol.

(2) Pan fydd unrhyw fater yn cael ei gyfeirio at swyddog monitro awdurdod perthnasol o dan adran 71(2) o Ddeddf 2000, rhaid i'r swyddog monitro ystyried unrhyw adroddiad sy'n cael ei anfon ato gan Gomisiynydd Lleol yng Nghymru ac, os yw'n briodol, gwneud argymhellion i Bwyllgor Safonau'r awdurdod perthnasol.

### Ymchwiliadau

4.-(1) Wrth gynnal ymchwiliad o dan Reoliad 3(1)(a) uchod caiff y swyddog monitro ddilyn unrhyw weithdrefnau y mae'n barnu eu bod yn briodol yn amgylchiadau'r achos ac yn benodol fe gaiff:

- (a) holi unrhyw berson ynghylch unrhyw beth y mae'n credu ei fod yn angenrheidiol er mwyn cyflawni'r ymchwiliad,
- (b) ei gwneud yn ofynnol i unrhyw berson roi unrhyw wybodaeth, esboniad neu ddogfennau iddo y mae'n barnu eu bod yn angenrheidiol,
- (c) ei gwneud yn ofynnol i unrhyw aelod neu aelod cyfetholedig neu swyddog awdurdod perthnasol ymddangos ger ei fron at ddibenion paragraff (a) a (b) uchod.

(2) Wrth gynnal yr ymchwiliad, gall y swyddog monitro gael ei gynorthwyo gan unrhyw berson.

(3) Caiff y swyddog monitro sicrhau cyngor arbenigol neu gyngor arall hefyd pan fydd eu hangen oddi wrth unrhyw berson sy'n arbennig o gymwys ym marn y swyddog i'w gynorthwyo wrth gynnal yr ymchwiliad.

- a fire authority constituted by a combination scheme under the Fire Services Act 1947(a), and
- a National Park authority established under section 63 of the Environment Act 1995(b); and

"the 2000 Act" ("Deddf 2000") means the Local Government Act 2000.

### Functions of monitoring officers

3.-(1) Where any matter is referred to the monitoring officer of a relevant authority under section 70(4) of the 2000 Act, the monitoring officer must in respect of that matter:

- (a) conduct an investigation; and
- (b) report, and if appropriate make recommendations, to the Standards Committee of the relevant authority. (2) Where any matter is referred to the monitoring officer of a relevant authority under section 71

(2) of the 2000 Act, the monitoring officer must consider any report sent to him or her by a Local Commissioner in Wales and, if appropriate, make recommendations to the Standards Committee of the relevant authority.

### Investigations

4.-(1) When conducting an investigation under Regulation 3(1)(a) above the monitoring officer may follow such procedures as he or she considers appropriate in the circumstances of the case and in particular may:

- (a) make such enquiries of any person as he or she thinks necessary for the purposes of carrying out the investigation,
- (b) require any person to provide him or her with such information, explanation or documents as he or she considers necessary,
- (c) require any member or co-opted member or officer of a relevant authority to appear before him or her for the purposes of paragraph (a) and (b) above.

(2) In conducting the investigation, the monitoring officer may be assisted by any person.

(3) The monitoring officer may also where necessary obtain expert or other advice from any person who is in his or her opinion particularly qualified to assist in conducting the investigation.

(4) Where a person has attended before the monitoring officer or provided information or

(a) 1947 p.41.

(b) 1995 p.25.

(a) 1947 c.41.

(b) 1995 c.25.

(4) Pan fydd person wedi dod gerbron y swyddog monitro neu wedi rhoi gwybodaeth neu gymorth at ddibenion yr ymchwiliad yn unol â pharagraffau (1) neu (2) uchod, caiff y swyddog monitro, yn ddarostyngedig i awdurdodiad y Pwyllgor Safonau, dalu i'r person hwnnw:

- (a) unrhyw symiau ar gyfer treuliau a dynnwyd yn briodol ganddo, a
- (b) unrhyw lwfansau i'w ddigolledu am ei golled amser,

a bennir gan Gynulliad Cenedlaethol Cymru.

(5) Pan fydd person wedi rhoi cyngor yn unol â pharagraff (3) uchod, caiff y swyddog monitro dalu unrhyw ffioedd neu lwfansau a dynnwyd i'r person hwnnw yn ddarostyngedig i'r uchafsymiau a nodir yng nghynllun lwfansau'r awdurdod perthnasol.

### Cyfngiadau ar ddatgelu gwybodaeth

5.-(1) Rhaid peidio â datgelu gwybodaeth a sicrhawyd gan swyddog monitro wrth gynnal ymchwiliad oni bai:

- (a) bod y datgelu yn cael ei wneud er mwyn galluogi swyddog monitro neu bwyllgor safonau i gyflawni eu swyddogaethau o dan y Rheoliadau hyn;
- (b) bod y datgelu yn cael ei wneud er mwyn galluogi Comisiynydd Lleol yng Nghymru i gyflawni ei swyddogaethau;
- (c) bod y person y mae'r wybodaeth yn ymwneud ag ef wedi cydsynio i'w datgelu;
- (ch) bod yr wybodaeth wedi'i datgelu o'r blaen i'r cyhoedd gydag awdurdod cyfreithlon;
- (d) mai datgelu at ddibenion achos troseddol mewn unrhyw ran o'r Deyrnas Unedig yw'r datgelu ac na chafwyd yr wybodaeth o dan sylw o ganlyniad i ymholiadau personol i'r person sy'n destun achos troseddol o dan Reoliad 4 uchod; neu
- (dd) bod y datgelu yn cael ei wneud i'r Comisiwn Archwilio at ddibenion unrhyw swyddogaeth sydd gan Gomisiwn Archwilio neu Archwilydd o dan Ddeddf y Comisiwn Archwilio 1998(a).

(2) Yn y Rheoliad hwn, a Rheoliad 4 uchod, mae unrhyw gyfeiriad at ddogfennau yn cynnwys cyfeiriad at wybodaeth a ddelir trwy gyfrwng cyfrifiadu neu ar unrhyw ffurf electronig arall.

### Adroddiadau

6. Ar ôl cwblhau ymchwiliad, rhaid i'r swyddog monitro:

- (a) lunio adroddiad ar gasgliadau ei ymchwiliad ac, os yw'n briodol, caiff wneud argymhellion i Bwyllgorau Safonau'r awdurdod perthnasol o

assistance for the purposes of the investigation in accordance with paragraphs (1) or (2) above, the monitoring officer may, subject to the Standards Committee's authorisation, pay to that person

- (a) such sums in respect of expenses properly incurred by him or her, and
- (b) such allowances by way of compensation for the loss of his or her time, as may be determined by the National Assembly for Wales.

(5) Where a person has given advice in accordance with paragraph (3) above, the monitoring officer may pay to that person such fees or allowances incurred subject to the maxima set out in the relevant authority's allowances scheme.

### Restrictions on disclosure of information

5.-(1) Information obtained by a monitoring officer when conducting an investigation must not be disclosed unless:

- (a) the disclosure is made for the purposes of enabling a monitoring officer or standards committee to perform their functions under these Regulations;
- (b) the disclosure is made for the purpose of enabling a Local Commissioner in Wales to carry out his or her functions;
- (c) the person to whom the information relates has consented to its disclosure;
- (d) the information has previously been disclosed to the public with lawful authority;
- (e) the disclosure is for the purposes of criminal proceedings in any part of the United Kingdom and the information in question was not obtained as a result of personal enquiries of the person subject to the criminal proceedings under Regulation 4 above; or
- (f) the disclosure is made to the Audit Commission for the purposes of any function of the Audit Commission or an auditor under the Audit Commission Act 1998(a).

(2) In this Regulation and in Regulation 4 above, any reference to documents includes a reference to information held by means of a computer or in any other electronic form.

### Reports

6. After concluding an investigation, the monitoring officer must:

- (a) produce a report on the findings of his or her investigation and, if appropriate, may make recommendations to the Standards Committee of the relevant authority concerned,
- (b) send a copy of the report to any person who is

(a) 1998 p.18.

(a) 1998 c.18.

dan sylw,

- (b) anfon copi o'r adroddiad at unrhyw berson sy'n destun yr ymchwiliad, ac
- (c) cymryd camau rhesymol i anfon copi o'r adroddiad at unrhyw berson a wnaeth unrhyw honiad a arweiniodd at yr ymchwiliad.

### Swyddogaethau'r Pwyllgor Safonau

7. Ar ôl cael adroddiad ac unrhyw argymhellion oddi wrth y swyddog monitro, neu adroddiad oddi wrth Gomisiynydd Lleol yng Nghymru ynghyd ag unrhyw argymhellion gan y swyddog monitro, rhaid i'r Pwyllgor Safonau ddyfarnu naill ai:

- (a) nad oes dim tystiolaeth o unrhyw fethu â chydymffurfio â chod ymddygiad yr awdurdod perthnasol o dan sylw a rhaid iddo hysbysu unrhyw berson sy'n destun yr ymchwiliad, unrhyw berson a wnaeth unrhyw honiad a arweiniodd at yr ymchwiliad a'r Comisiynydd Lleol yng Nghymru yn unol â hyn; neu
- (b) bod unrhyw berson sy'n destun yr ymchwiliad yn cael cyfle i gyflwyno sylwadau, naill ai ar lafar neu'n ysgrifenedig, mewn perthynas â chasgliadau'r ymchwiliad ac unrhyw honiad ei fod wedi methu, neu y gallai fod wedi methu, â chydymffurfio â chod ymddygiad yr awdurdod perthnasol.

### Gweithdrefn a Phwerau Pwyllgorau Safonau

8.-(1) Yn ddarostyngedig i unrhyw ddarpariaeth bendant yn y Rheoliadau hyn neu yn Rheoliadau Pwyllgorau Safonau (Cymru) 2001(a), mater i Bwyllgor Safonau'r awdurdod perthnasol fydd penderfynu ar yr arferion a'r weithdrefn sydd i'w dilyn wrth arfer ei swyddogaethau o dan y Rheoliadau hyn.

(2) Caiff Pwyllgor Safonau'r awdurdod perthnasol ei gwneud yn ofynnol i'r swyddog ymchwilio ddod ger ei fron pan fydd yn ystyried unrhyw sylwadau a gyflwynir gan unrhyw berson sy'n destun yr ymchwiliad (neu os na chyflwynir unrhyw sylwadau o'r fath, ar unrhyw adeg resymol), er mwyn cyflwyno ei adroddiad neu esbonio unrhyw un o'r materion sydd wedi'i gynnwys ynddo (ond nid fel arall).

(3) Ym mharagraff (2) uchod, ystyr "swyddog ymchwilio" yw:

- (a) yn achos ymchwiliad a wnaed gan Gomisiynydd Lleol yng Nghymru neu ar ei ran ac a gyfeiriwyd at swyddog monitro'r awdurdod perthnasol o dan adran 71(2) o Ddeddf 2000, y person a gynhaliodd yr ymchwiliad; neu
- (b) yn achos ymchwiliad a gyfeiriwyd ato o dan adran 70 (4) o Ddeddf 2000, swyddog monitro'r awdurdod perthnasol.

the subject of the investigation, and

- (c) take reasonable steps to send a copy of the report to any person who made any allegation which gave rise to the investigation.

### Functions of the Standards Committee

7. After receiving a report and any recommendations from the monitoring officer, or a report from a Local Commissioner in Wales together with any recommendations of the monitoring officer, the Standards Committee must determine either:

- (a) that there is no evidence of any failure to comply with the code of conduct of the relevant authority concerned and must notify any person who is the subject of the investigation, any person who made any allegation which gave rise to the investigation and the Local Commissioner in Wales accordingly; or
- (b) that any person who is the subject of the investigation should be given the opportunity to make representations, either orally or in writing in respect of the findings of the investigation and any allegation that he or she has failed, or may have failed, to comply with the relevant authority's code of conduct.

### Procedure and Powers of Standards Committees

8. -(1) Subject to any express provision in these Regulations or in the Standards Committees (Wales) Regulations 2001(a), the practice and procedure to be followed in exercising its functions under these Regulations shall be for the Standards Committee of the relevant authority to decide.

(2) The Standards Committee of the relevant authority may require the investigating officer to attend before it when considering any representations made by any person who is the subject of the investigation (or if no such representations are made, at any reasonable time), for the purpose of the presenting his or her report or explaining any of the matters contained in it (but not otherwise).

(3) In paragraph (2) above, "investigating officer" means:

- (a) in the case of an investigation undertaken by or on behalf of a Local Commissioner in Wales and referred to the monitoring officer of the relevant authority under section 71(2) of the 2000 Act, the person who conducted the investigation; or
- (b) in the case of an investigation referred to him or her under section 70 (4) of the 2000 Act, the monitoring officer of the relevant authority.

(4) If any person who is the subject of the investigation fails to make representations in accordance with Regulation 7(b) above, the Standards

(a) OS 2001/2283 (Cy.172).

(a) SI 2001/2283 (W.172).

(4) Os nad yw unrhyw berson sy'n destun yr ymchwiliad yn cyflwyno sylwadau yn unol â Rheoliad 7(b) uchod, fe all y Pwyllgor Safonau:

- (a) oni bai ei fod wedi'i fodloni bod rheswm digonol dros y methiant hwnnw, ystyried adroddiad y swyddog monitro a gwneud dyfarniad yn absenoldeb y person hwnnw; neu
- (b) rhoi cyfle ychwanegol i'r person hwnnw gyflwyno sylwadau.

(5) Pan fo'n briodol, ac yn unol â darpariaethau'r Rheoliadau hyn, mae gan y Pwyllgor Safonau bŵer i geryddu unrhyw aelod neu aelod cyfetholedig (neu gyn-aelod neu gyn-aelod cyfetholedig) o'r awdurdod perthnasol, neu i atal neu i atal yn rhannol aelod neu aelod cyfetholedig am gyfnod heb fod yn fwy na chwe mis.

(6) Rhaid i unrhyw gyfnod atal neu atal yn rhannol ddechrau ar y diwrnod:

- (a) ar ôl i'r amser a ganiateir i gyflwyno hysbysiad apêl o dan Rheoliad 10(2) isod ddod i ben,
- (b) ar ôl i hysbysiad ynghylch casgliad unrhyw apêl yn unol â Rheoliad 12(a)(i) neu (b) isod ddod i law, neu
- (c) ar ôl dyfarniad pellach gan y Pwyllgor Safonau a wnaed ar ôl cael argymhelliad gan dribiwnlys apelau o dan Rheoliad 12(a)(ii) isod,

p'un bynnag sy'n digwydd olaf.

### **Dyfarniadau'r Pwyllgor Safonau**

9.-(1) Ar ôl ystyried unrhyw sylwadau, rhaid i Bwyllgor Safonau ddyfarnu:

- (a) nad oes dim tystiolaeth o unrhyw fethu â chydymffurfio â chod ymddygiad yr awdurdod perthnasol ac felly nad oes angen cymryd dim camau mewn perthynas â'r materion sy'n destun yr ymchwiliad;
- (b) bod aelod neu aelod cyfetholedig (neu gyn-aelod neu gyn-aelod cyfetholedig) o awdurdod perthnasol wedi methu â chydymffurfio â chod ymddygiad yr awdurdod perthnasol ond nad oes angen cymryd dim camau mewn perthynas â'r methiant hwnnw;
- (c) bod aelod neu aelod cyfetholedig (neu gyn-aelod neu gyn-aelod cyfetholedig) o'r awdurdod perthnasol wedi methu â chydymffurfio â chod ymddygiad yr awdurdod ac y dylai gael ei geryddu; neu
- (ch) bod aelod neu aelod cyfetholedig o awdurdod perthnasol wedi methu â chydymffurfio â chod ymddygiad yr awdurdod ac y dylai gael ei atal neu ei atal yn rhannol rhag bod yn aelod neu'n aelod cyfetholedig o'r awdurdod hwnnw am gyfnod heb fod yn fwy na chwe mis.

Committee may:

- (a) unless it is satisfied that there is sufficient reason for such failure, consider the monitoring officer's report and make a determination in that person's absence; or
- (b) give that person a further opportunity to make representations.

(5) Where appropriate, and in accordance with the provisions of these Regulations, the Standards Committee has power to censure any member or co-opted member (or former member or co-opted member) of the relevant authority, or suspend or partially suspend a member or co-opted member for a period not exceeding 6 months.

(6) Any period of suspension or partial suspension shall commence on the day after:

- (a) the expiry of the time allowed to lodge a notice of appeal under Regulation 10(2) below,
- (b) receipt of notification of the conclusion of any appeal in accordance with Regulation 12(a)(i) or (b) below, or
- (c) a further determination by the Standards Committee made after receiving a recommendation from an appeals tribunal under Regulation 12(a)(ii) below,

whichever occurs last.

### **Determinations of the Standards Committee**

9.-(1) After considering any representations, a Standards Committee must determine:

- (a) that there is no evidence of any failure to comply with the code of conduct of the relevant authority and that therefore no action needs to be taken in respect of the matters which are the subject of the investigation;
- (b) that a member or co-opted member (or former member or co-opted member) of a relevant authority has failed to comply with the relevant authority's code of conduct but that no action needs to be taken in respect of that failure;
- (c) that a member or co-opted member (or former member or co-opted member) of the relevant authority has failed to comply with the authority's code of conduct and should be censured, or
- (d) that a member or co-opted member of a relevant authority has failed to comply with the authority's code of conduct and should be suspended or partially suspended from being a member or co-opted member of that authority for a period not exceeding six months.

(2) Where an appeals tribunal drawn from the Adjudication Panel for Wales makes a recommendation in accordance with Regulation 12

(2) Pan fydd tribiwnlys apelau a dynnir o blith aelodau Panel Dyfarnu Cymru yn gwneud argymhelliad yn unol â Rheoliad 12(a)(ii) isod y dylid gosod cosb wahanol, rhaid i'r Pwyllgor Safonau ddyfarnu hefyd a ddylai gadarnhau ei ddyfarniad gwreiddiol neu beidio, neu dderbyn yr argymhelliad.

(3) Ar ôl gwneud dyfarniad yn unol â pharagraff (1) neu (2) uchod rhaid i'r Pwyllgor Safonau hysbysu unrhyw berson sy'n destun yr ymchwiliad, unrhyw berson a wnaeth unrhyw honiad a arweiniodd at yr ymchwiliad a'r Comisiynydd Lleol yng Nghymru yn unol â hynny, gan roi'r rhesymau dros y penderfyniad.

(4) Ar ôl gwneud dyfarniad yn unol â pharagraff (2) uchod rhaid i'r Pwyllgor Safonau hefyd hysbysu llywydd Panel Dyfarnu Cymru.

### Yr hawl i apelio

**10.**-(1) Pan fydd Pwyllgor Safonau yn dyfarnu o dan Reoliad 9(1) uchod fod person wedi methu â chydymffurfio â chod ymddygiad yr awdurdod perthnasol o dan sylw, caiff y person hwnnw apelio yn erbyn y dyfarniad i dribiwnlys a dynnir o blith aelodau Panel Dyfarnu Cymru

(2) Rhaid cychwyn yr apêl drwy gyflwyno hysbysiad ysgrifenedig cyn pen 21 diwrnod ar ôl cael hysbysiad am ddyfarniad y Pwyllgor Safonau i'r cyfeiriad hwn:

Yr Is-adran Moderneiddio Llywodraeth Leol  
Cynulliad Cenedlaethol Cymru  
Parc Cathays  
Caerdydd  
CF10 3NQ

(3) Rhaid i'r hysbysiad apêl nodi:

- (a) y seiliau dros yr apêl; a
- (b) a yw'r person sy'n rhoi'r hysbysiad apêl yn cydsynio neu beidio i'r apêl gael ei chynnal drwy gyfrwng sylwadau ysgrifenedig.

### Apelau

**11.**-(1) Bydd apelau sy'n deillio o ddyfarniad Pwyllgor Safonau yn cael eu cynnal:

- (a) gan dribiwnlys apelau sy'n cynnwys o leiaf dri aelod o Banel Dyfarnu Cymru,
- (b) drwy gyfrwng gwrandawriad llafar oni bai bod pob person sydd wedi rhoi hysbysiad apêl yn cydsynio i'r apêl gael ei chynnal drwy gyfrwng sylwadau ysgrifenedig yn unol â Rheoliad 10(3)(b) uchod.

(2) Mae llywydd Panel Dyfarnu Cymru (neu yn ei absenoldeb y dirprwy lywydd) i benodi aelodau unrhyw dribiwnlys apelau, ac fe gaiff y llywydd neu'r

(a)(ii) below that a different penalty should be imposed, the Standards Committee must also determine whether or not it should uphold its original determination or accept the recommendation.

(3) After making a determination in accordance with paragraph (1) or (2) above the Standards Committee must notify any person who is the subject of the investigation, any person who made any allegation which gave rise to the investigation and the Local Commissioner in Wales accordingly, giving reasons for the decision.

(4) After making a determination in accordance with paragraph (2) above the Standards Committee must also notify the president of the Adjudication Panel for Wales.

### Right of appeal

**10.**-(1) Where a Standards Committee determines under Regulation 9(1) above that a person has failed to comply with the code of conduct of the relevant authority concerned, that person may appeal against the determination to an appeals tribunal drawn from the Adjudication Panel for Wales.

(2) The appeal must be instigated by giving notice in writing within 21 days of receiving notification of the Standard Committee's determination to this address:

Local Government Modernisation Division  
National Assembly for Wales  
Cathays Park  
Cardiff  
CF10 3NQ

(3) The notice of appeal must specify:

- (a) the grounds for appeal; and
- (b) whether or not the person giving notice of appeal consents to the appeal being conducted by way of written representations.

### Appeals

**11.**-(1) Appeals from a determination of a Standards Committee will be conducted:

- (a) by an appeals tribunal consisting of not less than three members of the Adjudication Panel for Wales,
- (b) by way of an oral hearing unless every person who has given notice of appeal consents to the appeal being conducted by way of written representations in accordance with Regulation 10(3)(b) above.

(2) The president of the Adjudication Panel for Wales (or in his absence the deputy president) is to appoint the members of any appeals tribunal, and the president or deputy president may be a member of a tribunal.



dirprwy lywydd fod yn aelod o dribiwnlys.

(3) Ni chaiff aelod o Banel Dyfarnu Cymru fod yn aelod o dribiwnlys apelau a dynnwyd o blith y Panel sydd i ddyfarnu ar fater sy'n ymwneud ag aelod neu aelod cyfetholedig (neu gyn-aelod neu gyn-aelod cyfetholedig) o awdurdod perthnasol ar unrhyw adeg, os yw'r aelod o'r Panel o fewn y cyfnod o bum mlynedd sy'n dod i ben bryd hynny, wedi bod yn aelod neu'n swyddog o'r awdurdod neu'n aelod o unrhyw bwyllgor, is-bwyllgor, cyd-bwyllgor neu gyd-is-bwyllgor i'r awdurdod.

(4) Rhaid i aelod o Banel Dyfarnu Cymru y mae ganddo fuddiant uniongyrchol neu anuniongyrchol mewn unrhyw fater sy'n destun apêl sy'n cael ei chynnal gan dribiwnlys apelau, neu'n debyg o fod yn destun apêl o'r fath:

- (a) datgelu natur ei fuddiant i lywydd y Panel, a
- (b) peidio â bod yn aelod o'r tribiwnlys apelau sy'n ystyried apêl mewn perthynas â'r mater hwnnw.

(5) Yn ddarostyngedig i unrhyw ddarpariaeth bendant yn y Rheoliadau hyn, bydd yr arferion a'r weithdrefn sydd i'w dilyn gan dribiwnlysoedd apelau a dynnir o blith aelodau Panel Dyfarnu Cymru yn rhai y bydd llywydd y Panel, ar ôl ymgynghori â Chynulliad Cenedlaethol Cymru, yn penderfynu arnynt.

### Casgliadau tribiwnlys apelau

12. Rhaid i dribiwnlys apelau:

- (a) cadarnhau dyfarniad Pwyllgor Safonau'r awdurdod perthnasol fod unrhyw berson a oedd yn destun yr ymchwiliad wedi torri'r cod ymddygiad a naill ai:
  - (i) cymeradwyo unrhyw gosb a osodwyd, neu
  - (ii) cyfeirio'r mater yn ôl i'r Pwyllgor Safonau gydag argymhelliad bod cosb wahanol yn cael ei gosod;

neu,

- (b) gwrth-droi dyfarniad Pwyllgor Safonau'r awdurdod perthnasol bod unrhyw berson wedi torri'r cod ymddygiad,

a rhaid iddo roi gwybod i unrhyw berson sy'n destun yr ymchwiliad, y Comisiynydd Lleol yng Nghymru a Phwyllgor Safonau'r awdurdod perthnasol yn unol â hyn, gan roi'r rhesymau dros y penderfyniad.

### Cyhoeddi

13.-(1) Rhaid i Bwyllgor Safonau drefnu bod y canlynol yn cael ei wneud o fewn 14 diwrnod:

- (a) ar ôl i'r amser a ganiateir i gyflwyno hysbysiad apêl o dan Reoliad 10(2) uchod ddod i ben,
- (b) ar ôl i hysbysiad o gasgliad unrhyw apêl yn

(3) A member of the Adjudication Panel for Wales may not at any time be a member of an appeals tribunal drawn from the Panel which is to adjudicate on a matter relating to a member or co-opted member (or former member or co-opted member) of a relevant authority if, within the period of five years ending with that time, the member of the Panel has been a member or an officer of the authority or a member of any committee, sub-committee, joint committee or joint sub-committee of the authority.

(4) A member of the Adjudication Panel for Wales who is directly or indirectly interested in any matter which is, or is likely to be, the subject of an appeal conducted by an appeals tribunal:

- (a) must disclose the nature of his interest to the president of the Panel, and
- (b) may not be a member of the appeals tribunal which considers an appeal in relation to that matter.

(5) Subject to any express provision in these Regulations, the practice and procedure to be followed by appeals tribunals drawn from the Adjudication Panel for Wales will be such as the president of the Panel, after consultation with the National Assembly for Wales, will decide.

### Conclusions of an appeals tribunal

12. An appeals tribunal must:

- (a) uphold the determination of the relevant authority's Standards Committee that any person who was subject to the investigation breached the code of conduct and either:
  - (i) endorse any penalty imposed, or
  - (ii) refer the matter back to the Standards Committee with a recommendation that a different penalty be imposed;

or,

- (b) overturn the determination of the relevant authority's Standards Committee that any person has breached the code of conduct,

and must inform any person subject to the investigation, the Local Commissioner for Wales and the Standards Committee of the relevant authority accordingly, giving reasons for the decision.

### Publication

13.-(1) A Standards Committee must cause to be produced within 14 days after:

- (a) the expiry of the time allowed to lodge a notice of appeal under Regulation 10(2) above,
- (b) receipt of notification of the conclusion of any appeal in accordance with Regulation 12(a)(i) or (b) above, or
- (c) a further determination by the Standards

unol â Rheoliad 12(a)(i) neu (b) uchod ddod i law, neu

- (c) ar ôl dyfarniad pellach gan y Pwyllgor Safonau a wnaed ar ôl cael argymhelliad gan driwlynys apelau o dan Reoliad 12(a)(ii) uchod,

p'un bynnag sy'n digwydd olaf, adroddiad ar ganlyniad yr ymchwiliad ac anfon copi at y Comisiynydd Lleol yng Nghymru, swyddog monitro'r awdurdod perthnasol o dan sylw, unrhyw berson sy'n destun yr ymchwiliad a chymryd camau rhesymol i anfon copi at unrhyw berson a wnaeth unrhyw honiad a arweiniodd at yr ymchwiliad.

(2) Ar ôl i adroddiad y Pwyllgor Safonau ddod i law, rhaid i swyddog monitro'r awdurdod perthnasol:

- (a) am gyfnod o 21 diwrnod gyhoeddi'r adroddiad ar wefan yr awdurdod perthnasol a threfnu bod copïau ar gael i'w harchwilio gan y cyhoedd yn ddi-dâl ar bob adeg resymol mewn un neu ragor o swyddfeydd yr awdurdod, lle bydd gan unrhyw berson hawl i gymryd copïau o'r adroddiad pan drefnir iddo fod ar gael felly, neu i gymryd detholiadau ohono,
- (b) darparu copi o'r adroddiad i unrhyw berson ar gais os bydd yn talu unrhyw dâl y bydd yr awdurdod perthnasol yn gofyn yn rhesymol amdano, ac
- (c) erbyn saith diwrnod fan bellaf ar ôl i'r adroddiad dod i law oddi wrth y Pwyllgor Safonau, rhoi hysbysiad cyhoeddus, drwy hysbyseb mewn papurau newydd sy'n cylchredeg yn yr ardal ac mewn unrhyw ffyrdd arall sy'n ymddangos iddo eu bod yn briodol, y bydd copïau o'r adroddiad ar gael fel y darperir ar ei gyfer gan is-baragraffau (a) a (b) uchod, a rhaid iddo bennu'r dyddiad (sef dyddiad nad yw'n fwy na saith diwrnod ar ôl i'r hysbysiad cyhoeddus gael ei roi gyntaf) pan fydd y cyfnod o 21 diwrnod yn dechrau.

### Cynrychiolaeth

14. Caiff person sy'n cyflwyno sylwadau llafar i Bwyllgor Safonau neu sy'n apelio yn erbyn penderfyniad gan Bwyllgor Safonau i driwlynys apelau sy'n cael ei dynnu o blith aelodau Panel Dyfarnu Cymru ymddangos gerbron y Pwyllgor neu'r triwlynys yn bersonol neu gael ei gynrychioli -

- (a) gan gwmsler neu gyfreithiwr, neu
- (b) gan unrhyw berson arall y mae'n ei ddymuno.

### Costau

15.-(1) Ni fydd gan Bwyllgor Safonau awdurdod perthnasol unrhyw bŵer i ddyfarnu unrhyw gostau neu dreuliau sy'n codi o unrhyw un o'i achosion.

(2) Fel rheol rhaid i driwlynys apelau beidio â gwneud gorchymyn yn dyfarnu costau neu dreuliau, ond, yn ddarostyngedig i baragraff (3), caiff wneud

Committee made after receiving a recommendation from an appeals tribunal under Regulation 12(a)(ii) above,

whichever occurs last, a report on the outcome of the investigation and send a copy to the Local Commissioner in Wales, the monitoring officer of the relevant authority concerned, any person subject to the investigation and take reasonable steps to send a copy to any person who made any allegation which gave rise to the investigation.

(2) Upon receipt of the report of the Standards Committee, the monitoring officer of the relevant authority shall:

- (a) for a period of 21 days publish the report on the relevant authority's website and make copies available for inspection by the public without charge at all reasonable hours at one or more of the authority's offices, where any person shall be entitled to take copies of, or extracts from, the report when made so available,
- (b) supply a copy of the report to any person on request if he or she pays such charge as the relevant authority may reasonably require, and
- (c) not later than 7 days after the report is received from by the Standards Committee, give public notice, by advertisement in newspapers circulating in the area and such other ways as appear to him or her to be appropriate, that copies of the report will be available as provided by sub-paragraphs (a) and (b) above, and shall specify the date (being a date not more than seven days after public notice is first given) from which the period of 21 days will begin.

### Representation

14. A person who makes oral representations to a Standards Committee or who appeals against a decision of a Standards Committee to an appeals tribunal drawn from the Adjudication Panel for Wales may appear before the Committee or tribunal in person or be represented by -

- (a) counsel or a solicitor, or
- (b) any other person he or she desires.

### Costs

15.-(1) The Standards Committee of a relevant authority shall have no power to make an award of any costs or expenses arising from any of its proceedings.

(2) An appeals tribunal shall not normally make an order awarding costs or expenses, but may, subject to paragraph (3), make such an order:-

(a) yn erbyn person os yw o'r farn fod y person hwnnw wedi gweithredu'n wacsaw neu'n flinderus, neu fod ei ymddygiad wrth fynd ar drywydd apêl yn hollol afresymol;

(b) oherwydd gohirio gwrandawriad.

(3) Rhaid peidio â gwneud unrhyw orchymyn o dan baragraff (2)(a) uchod yn erbyn person heb roi cyfle i'r person hwnnw gyflwyno sylwadau yn erbyn gwneud gorchymyn o'r fath.

(a) against a person if it is of the opinion that that person has acted frivolously or vexatiously, or that his or her conduct in pursuing an appeal was wholly unreasonable;

(b) as a result of the postponement or adjournment of a hearing.

(3) No order shall be made under paragraph (2)(a) above against a person without that person having been given an opportunity to make representations against the making of such an order.

Llofnodwyd ar ran Cynulliad Cenedlaethol Cymru o dan adran 66(1) o Ddeddf Llywodraeth Cymru 1998(a).

Signed on behalf of the National Assembly for Wales under section 66(1) of the Government of Wales Act 1998(a).

21 Mehefin 2001

21st June 2001

*D. Elis-Thomas*

Llywydd y Cynulliad Cenedlaethol

The Presiding Officer of the National Assembly

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OFFERYNNAUSTATUDOL

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**2001 Rhif 2281 (Cy. 171 )**

**LLYWODRAETH LEOL,  
CYMRU**

Rheoliadau Ymchwiliadau  
Llywodraeth Leol (Swyddogaethau  
Swyddogion Monitro a  
Phwyllgorau Safonau) (Cymru)  
2001

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STATUTORY INSTRUMENTS

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**2001 No. 2281 (W. 171 )**

**LOCAL GOVERNMENT,  
WALES**

Local Government Investigations  
(Functions of Monitoring Officers  
and Standards Committees)(Wales)  
Regulations 2001

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