

ETHICAL GOVERNANCE AUDIT

1. **Desktop Review of Policies**

What policies and processes do we have in place?

The purpose of this report is to determine whether or not the Council has in place the various policies and procedures necessary to ensure a sound ethical framework. A thick ✓ means that the document is in place. A cross X means that the document needs to be produced.

- (i) **Standing Orders**
- (ii) **Terms of Reference**
- (iii) **Contracts Standing Orders**
- (iv) **Financial Standing Orders**
- (v) **Code of Corporate Governance**
- (vi) **Standards Document:-**
 - Code of Conduct for – Members
 - Code of Conduct – Employees
 - Officer/Member Protocol
 - Code of Practice – Whistleblowing
 - Guidance for Members on Outside Bodies
 - Standards Committee Terms of Reference
 - Monitoring Officer Guidance
 - Conflicts of Interest
 - Guidance on Support for Councillors
 - Guidance on Members' Correspondence
 - Dissemination of Local Government Ombudsman Decisions
 - Decision-making and Legal and Financial Advice
 - Audit Reports
 - Audit Code of Conduct
- (vii) **Declarations**
- (viii) **Gifts and Hospitality**
- (ix) **Proper Officer Arrangements**
- (x) **Recording of Decisions**

- (xi) **Induction**
- (xii) **Training**
 - Officers
IIP – Training needs assessed at appraisals
Training plan and bids prepared annually
 - Members
Training plan is prepared annually and under the Leadership Project improvement plan Members will be consulted. Planning training is mandatory in the Constitution. Members receive Standards training regularly. Training on ethical issues is well attended.
- (xiii) **Risk Management Protocol**
- (xiv) **Health and Safety Policy**
- (xv) **IT Security Policy**
- (xvi) **Management Letter**
- (xvii) **Statutory Plans**
- (xviii) **Members Allowance Scheme**
- (xix) **Officer Expense procedures**
- (xx) **Arrangements for Head of Paid Service**
- (xxi) **Arrangements for Monitoring Officer**
- (xxii) **Arrangements for Section 151 Officer**
- (xxiii) **Employment Policies (Including Local Agreements)**
- (xxiv) **Complaints Policy**