

Ethical Audit Desktop Analysis
Matrix of Key Information held by Swindon Borough Council

Appendix 1

	Key Information	Held	Comment:	Possible area of Review
1	(New//Draft) Constitutions/ Current Decision Making Framework (ie the committees and sub-committees)	Yes	Constitution last updated June 2004. Considered fit for purpose, up-to-date and well-communicated by 2004 CGI report, although not well-developed in relation to scrutiny functions.	
2	Procedural Standing Orders (Old And New)	Yes	Updated in Constitution – June 2004	
3	Contracts Standing Orders	Yes	Updated in Constitution – June 2004, adapting CIPFA model.	
4	Employees' Code Of Conduct	No	Existing terms and conditions of employment are in place but a Comprehensive Employee's Code has not been adopted. The Statutory Code has been awaited for some time. A consultation paper 'A Model Code of Conduct for Local Government Employees' was issued in September 2004 by the ODPM to which the Standards Committee responded. The Council adopted an Anti-Fraud and Corruption Strategy in November 2001, and investigations are reported to the Standards Committee.	The Statutory Code has not yet been issued.
5	Members' Code Of Conduct (Current And New Draft Plus Local Variations) plus Local Guidance	Yes	Adopted by the Council in May 2002 and based on the model code from the Secretary of State. The Standards Board is about to consult on a review of the Code and this will be referred to the Standards Committee. No local guidance has been issued but members are kept updated by the Monitoring Officer as to how the Code is being interpreted by the Standards Board and the Adjudication Panel.	Graham Committee has commented on the Code and the Standards Board is about to start a consultation on it. All Councillors have been asked for their views on the operation of the code.
6	Confidential Reporting Procedure	Yes	The Whistleblowing Policy was approved in November 2001. A number of complaints have been	Currently under review by Standards

			received and investigations undertaken which are reported to Standards Committee. Employees are reminded about the procedure via staff communications, including in the Core Brief.	Committee.
7	Terms Of Reference of the Standards Committee	Yes	The Standards Committee has an extended terms of reference, beyond the minimum required by statute, in particular in relation to its monitoring of Anti-Fraud and Corruption Strategy and Whistleblowing Complaints.	
8	Scheme(s) Of Delegation	Yes	Last updated June 2004, in particular to include new delegation of decision-making to Cabinet Members. Internal Audit will shortly be reviewing this process to check its operation after 6 months in place.	
9	Members' Register Of Interests	Yes	Held on file and on the Council's website. Regular reminders are issued. Members can in addition make voluntary declarations in addition to the statutory requirements and these are held on file.	
10	Recorded Declaration Of Interests	Yes	Interests are recorded at meetings and are recorded on the website.	
11	Members' Induction Process	Yes	New councillors provided with induction process. Members are required to carry out training in respect of Planning and Licensing prior to taking part in these regulatory committees.	Review of induction and need for CPD and annual MOTs, and the need for compulsory training.
12	Officers' Induction Process	Yes	Central induction process is in place. Departmental induction processes are in place so far as is known. It could be useful to consider how ethical training and accountability issues are being addressed in that training.	Head of HR could be requested to attend Standards Cttee to explain new procedures.
13	Members' Continuing Development	Yes	A range of development / training opportunities are offered and a record of attendance kept	See (11) – Could be reviewed.
14	Members' Training	Yes	A range of Training is in place and a record of attendance kept. IDeA have funded a Member Development Officer on a short term basis to develop Member Training. The 'infrequent attendance of	See (11) and (13) – Could be reviewed. A standard reporting back procedure

			members at training events' has been criticised in the recent CGI report.	could be introduced for all Members to benefit from training and CPD.
15	Officers' Continuing Development	Yes	A system of annual appraisals are in place, and a new competencies based appraisal is being rolled out across the Council, and has commenced with Chief Officers and 1 st -3 rd Tier Officers.	See (12) above.
16	Officers' Training	Yes	A range of Officer training is available, and training needs are identified as part of the standard and competency appraisal systems.	See (12) above.
17	Other Council Specific Additional Codes And Protocols		<p><u>Monitoring Officer Protocol</u> - Adopted in December 2001 - may need adjustment following the introduction of powers for Monitoring Officers to investigate complaints under the Code of Conduct.</p> <p><u>Guidance to Councillors on Dealing with the Media</u> - adopted February 2002.</p> <p><u>Protocol on Member / Officer Relations</u> - introduced September 2002. The Association of Secretaries and Solicitors (ACSeS) have produced a model code, some of which is based on this Council's protocol, which will be considered as part of the current review.</p> <p><u>Members' Planning Code of Good Practice</u> - adopted February 2004.</p>	All currently under review by Standards Committee and all Councillors have been asked for their views.

19th January 2005