

Appendix 1: Full breakdown of original ethical audit HR action plan

Details of survey findings	Action required to address survey findings	Human Resources update	Status
<p>Officer Awareness of Members' Code of Conduct</p> <p>High proportion of officers don't know that the Council has a Code of Conduct for Members.</p> <p>Concerns about whether complaints may not get forwarded due to lack of awareness</p>	Carry out further analysis of survey results in order to identify any comparisons or contrasts between departments and/or grading groups	See report of 13 March and further staff survey results reported 17 February 2010 and subsequent briefing note of Head of HR referenced in the minutes of 22 April 2010.	● Blue
	Prepare a briefing on the Ethical Framework for presentation to Departmental Management Teams. Seek the view of DMTs as to how relevant parts of the message can be further cascaded to departmental officers.	Briefing prepared in conjunction with corporate governance and piloted. Initial work to transfer to e-learning platform has identified that the time and cash investment required for a full roll-out is not proportional to the issues raised.	● Red
	Include reference to the Members' Code within the induction process for all officers.	Included in the first-month induction checklist.	● Blue
	Identify those officers who have a need for in depth awareness of the Member Code. (For example, those who have responsibility for complaints.) Identify the nature of the information required by these officers and provide appropriate training and supporting documentation.	Specific departmental customer relations officers are in place across the council. The guidance on complaints issued to them is clear on how to deal with complaints about Members and specifically sign-posts the Member Code of Conduct, the Standards Committee Assessment Sub-Committee and the monitoring officer.	● Blue
	Consider the inclusion of an Ethical Governance Module within the Council Training Programme, to make compulsory for identified groups of officers. The module to include reference to the Member Code of Conduct. Ethical Governance will be an identifiable training need in the PDP process.	See item above.	
<p>Officer Awareness of Officer Code of Conduct</p> <p>Large proportion of officers are unaware of the officer code of conduct and whether they have to abide by it.</p> <p>Results show variation between grades and departments.</p>	Include relevant details of the Officer Code of Conduct in Ethical Governance Module of Council Training Programme and Ethical Framework Briefing.	<p>The staff survey 2009 shows fair to good knowledge of the Officer Code of Conduct and very high levels of knowledge about the specific registers (gifts/hospitality and interests).</p> <p>Reminders were sent about declaring gifts in Q3 2010/11. Further action is planned for Q4 2010/11 in regard to the register of interest and the employee code of conduct more generally.</p>	● Blue

<p>Awareness of content of Protocol on Member-Officer Relations including in relation to bullying</p> <p>Problems in relation to showing respect and harassment between Members and officers.</p> <p>Problems seem to be exaggerated in certain departments.</p>	<p>Training in relation to new Members' Code of Conduct to include new provisions in relation to bullying.</p> <p>Carry out more detailed analysis of statistics to show breakdown in relation to departmental and grading groups.</p>	<p>The 2009 staff survey showed a marked increase in awareness following the transfer of responsibility to the Standards Committee.</p> <p>Levels of awareness now appear to be far higher than any estimate of the number of staff who have day to day contact with Members. Further action is not warranted.</p>	<p>● Blue</p>
<p>Members involved in operational matters</p> <p>A high proportion of officers believe that Members involve themselves inappropriately with operational matters. Could show a misunderstanding of the Members' role or may be down to the work of the department.</p>	<p>Seek to identify what elements of statistics relates to perception and/or lack of information in respect of appropriate ward representation role for Members. Use this information to formulate further detailed action to include consideration of:</p> <ul style="list-style-type: none"> • Myth busting • Roleplay representation of appropriate and inappropriate member involvement 	<p>The 2009 staff survey shows that 79% of all staff (across all grades) understand the role of elected members.</p> <p>Leadership and management standards enshrine the need to understand the roles of officers and Members and to work with Members.</p> <p>The leadership and management standards form part of the corporate managers' induction. Evidence from 360 degree feedback demonstrates that this standard has been embedded.</p>	<p>● Blue</p>
<p>Legislation – Human Rights, Freedom of Information, Data Protection, Equalities etc.</p> <p>Evidence suggests that Members and officers are unsure whether the Members' Code is integrated into relevant schemes, policies and procedures.</p> <p>Members and officers of not feel they have received sufficient training.</p>	<p>Corporate HR to be asked to consider the question of officer training and to cascade this appropriately through departmental Human Resources teams.</p>	<p>Human Rights legislation <i>per se</i> has little impact on everyday employment.</p> <p>Issues around Freedom of Information (FOI) and the Data Protection Act (DPA) are now clearly within the remit of the Performance and Improvement Team and the Information Knowledge Management team, respectively.</p> <p>The people management policies in regard to equalities are currently under review.</p>	<p>● Green</p>
<p>Communication between Members and officers</p> <p>Concerns from both Members and officers that communication is not always open and constructive</p>	<p>Include concerns about communications between Members and officers undertake in relation to Member/Officer protocol.</p>	<p>Communication with Members is a key part of the leadership and management standards. Evidence from 360 degree feedback demonstrates that this standard has been embedded.</p> <p>The leadership and management standards form part of the corporate managers' induction.</p>	<p>● Blue</p>

<p>Challenge Culture</p> <p>Survey results indicate that some Members and officer are not sure that decisions can be challenged without fear of reprisal, by Members, officers or the Council's partners.</p> <p>A significant proportion of Members and officers are unsure that the Council's complaints system is clear and accessible.</p>	Human Resources to link with organisational development work undertaken in conjunction with Barkers		-
	Contain within more detailed consideration of the role of strategic Directors and Chief Officers in relation to ethical governance.	<p>Communication with Members is a key part of the leadership and management standards. Evidence from 360 degree feedback demonstrates that this standard has been embedded.</p> <p>The leadership and management standards form part of the corporate managers' induction. The induction documentation also includes a number of scenarios which include examples of (in) appropriate Member involvement in council function.</p> <p>Staff Survey results are fed back to directors as and when they are available.</p>	<p>●</p> <p>Blue</p>
	Human Resources to include issues within competencies and behaviors for managers. Also to include within induction and recruitment procedures. In addition the officer response to the survey is included in Director's appraisal bundles, with an intention that the issues raised will be cascaded further through the management chain.		
	Also work through managerial competencies and behaviors to ensure growth of challenge culture in relation to informal decision making.		
<p>Impact – understanding among Members and officers</p> <p>A significant proportion of officer and Members are unsure whether the Council's approach encourages appropriate behavior or is building confident in local democracy.</p>	Further investigative work with officers can take place through the staff survey.	<p>94% of staff surveyed in 2009 report that they agree that the behavior of staff and Members affects the public perception of the Council.</p> <p>Although there are difficulties in phrasing an "ideal" question that reflects respondents awareness of the impact of the ethical governance, it seems likely that this culture shift has now taken place.</p>	<p>●</p> <p>Blue</p>
<p>Member awareness of Officer Code of Conduct</p> <p>Almost the same proportion of members are unaware of the officer code of conduct</p>	HR to present a report to Standards Committee in relation to the registration of officer interests.	<p>A report has now been made to the Committee in regard to the officer code of conduct, including examination of both registers.</p> <p>The Assistant Chief Executive also issued report, Update: Informed, Transparent Decision Making – Officer Declarations on 5 December 2007 which explored some aspects of the register of interests.</p> <p>Work to raise awareness of the employee code of conduct amongst officers can be focused to also be relevant to Members.</p>	<p>●</p> <p>Green</p>