



AGENDA PAPERS FOR STANDARDS COMMITTEE MEETING

Date: Wednesday, 5 November 2014

Time: 6.30 pm

**Place: Committee Room 2 and 3, Trafford Town Hall, Talbot Road, Stretford M32
0TH**

A G E N D A	PART I	Pages
1. ATTENDANCES		
To note attendances, including officers, and any apologies for absence.		
2. DECLARATIONS OF INTEREST		
Members to give notice of any interest and the nature of that interest relating to any item on the agenda in accordance with the adopted Code of Conduct.		
3. CHAIRMAN AND VICE-CHAIRMAN OF THE COMMITTEE 2014/15		
To note that, at its Annual Meeting on 11 th June 2014, Council appointed Councillors J. Holden and K. Procter as Chairman and Vice-Chairman respectively of this Committee.		
4. MEMBERSHIP OF THE COMMITTEE 2014/14		1 - 2
To note the Membership of the Committee, as determined by Council at its Annual Meeting on 11 th June, 2014.		
5. TERMS OF REFERENCE OF THE COMMITTEE 2014/15		3 - 4
To note the Terms of Reference for the Committee, as determined by Council at its Annual Meeting on 11 th June, 2014.		
6. MINUTES		
To receive and, if so determined, to agree as a correct record the Minutes of the Meetings held on 3 rd June and 5 th September 2013.		

(a) Minutes - 6/3/13 5 - 8

(b) Minutes - 9/5/13 9 - 10

7. COMMITTEE FOR STANDARDS IN PUBLIC LIFE - PUBLICATIONS 11 - 90

To consider a report of the Director of Legal and Democratic Services, giving details of two publications from the Committee for Standards in Public Life.

8. LOCAL STANDARDS UPDATE - ISSUES

To receive an oral update from the Director of Legal & Democratic Services / Monitoring Officer on significant local Standards issues, if any.

9. URGENT BUSINESS (IF ANY)

Any other item or items (not likely to disclose "exempt information") which, by reason of special circumstances (to be specified), the Chairman of the meeting is of the opinion should be considered at this meeting as a matter of urgency.

10. EXCLUSION RESOLUTION (REMAINING ITEMS)

Motion (Which may be amended as Members think fit):

That the public be excluded from this meeting during consideration of the remaining items on the agenda, because of the likelihood of disclosure of "exempt information" which falls within one or more descriptive category or categories of the Local Government Act 1972, Schedule 12A, as amended by The Local Government (Access to Information) (Variation) Order 2006, and specified on the agenda item or report relating to each such item respectively.

THERESA GRANT

Chief Executive

Membership of the Committee

Councillors J. Holden (Chairman), K. Procter (Vice-Chairman), Dr. K. Barclay, R. Bowker, C. Boyes, L. Dagnall, Mrs. L. Evans, M. Freeman, D. Jarman, P. Myers, A. Williams, Mr. D. Goodman, Mrs. S. Royle, Mr. C.E.G. Griffiths and Mr. T Rudden

Further Information

For help, advice and information about this meeting please contact:

J.M.J. Maloney, Senior Democratic Services Officer

Tel: 0161 912 4298

Email: joseph.maloney@trafford.gov.uk

This agenda was issued on **Tuesday, 28 October 2014** by the Legal and Democratic Services Section, Trafford Council, Trafford Town Hall, Talbot Road, Stretford M32 0TH.

TRAFFORD COUNCIL

MEMBERSHIP OF COMMITTEES 2014/15

COMMITTEE		NO. OF MEMBERS
STANDARDS		11
		+ 2 PARISH REPRESENTATIVES + 3 INDEPENDENT MEMBERS
		+ 2 INDEPENDENT PERSONS (of the Hearing Panel)
CONSERVATIVE GROUP	LABOUR GROUP	LIBERAL DEMOCRAT GROUP
Councillors:-	Councillors:-	Councillors:-
Dr. Karen Barclay Chris Boyes Mrs. Laura Evans John Holden CH	Mike Freeman David Jarman Kevin Procter V-CH + 1 to be confirmed – Louise Dagnall	Ray Bowker
Patrick Myers Alex Williams		
TOTAL	6	4
		1

NON-VOTING CO-OPTÉES (5)

2 Parish Representatives: **Mrs. S. Royle** and **Mr. A. Rudden**

3 Independent Members: **Mr. D. Goodman**, **Mr. C. Griffiths** and **1 Vacancy**

INDEPENDENT PERSONS OF THE HEARING PANEL (2)

(under Section 28 of the Localism Act 2011): **Ms. N. Jackson** and **Mr. M. Whiting**

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Terms of Reference, as determined by Annual Meeting of Council on 11/6/14

STANDARDS COMMITTEE

Terms of Reference

1. To promote and maintain high standards of conduct.
2. To make recommendations to Council on the council's code of conduct and its register of interests.
3. To determine by way of its Hearing Panel whether a breach of the code has occurred; if so, whether to take any action and, if so, what action to take.
4. To determine appeals from the Monitoring Officer's decision on dispensations.

Delegation

In exercising the power and duties assigned to the Committee in its terms of reference, the Standards Committee shall have delegated power to resolve and to act on behalf of and in the name of the Council.

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STANDARDS COMMITTEE

6 MARCH 2013

PRESENT

Councillor J. Holden (in the Chair).

Councillors K. Procter (Vice-Chairman), S. Anstee, I. Platt, K. Weston, R. Bowker, M. Freeman, T. Ross, Mr. C.E.G. Griffiths and Mrs. S. Royle

In attendance

Monitoring Officer (Ms. J. Le Fevre).

Senior Democratic Services Officer (Mr. J.M.J. Maloney).

APOLOGIES

Apologies for absence were received from Councillors J. Lamb, Mrs. P. Dixon, D. Higgins, Mr. D. Goodman and Mrs. L. Atkinson

1. MINUTES

Resolved: That the Minutes of the meeting held on 25th October, 2012, be approved as a correct record and signed by the Chairman.

2. HEALTH AND SOCIAL CARE ACT - CONSTITUTIONAL AMENDMENTS

The Acting Director of Legal and Democratic Services submitted a report which advised Members of the changes required to the Council's Constitution required as a result of changes arising from the Health and Social Care Act 2012 which were due to take effect on 1st April 2013. These related in particular to the formal establishment of the Health and Wellbeing Board, the transfer of the Public Health function to the Council and associated Health Scrutiny arrangements. On the Health and Wellbeing Board, the Committee was advised that, since it was to be a statutory committee of the Council, and certain officers would be included within its membership, they would become subject to the Members' Code of Conduct, over which this Committee had an overview. In line with Article 15 of the Constitution, the report was being referred to the Committee for any comments it might wish to make prior to its submission to Council on 13th March 2013.

An opportunity was provided for Members to ask questions, and these concentrated on the potential impact of the transfer of public health on the Council's existing services and key officers.

RESOLVED: That the content of the report, and issues raised by Members, be noted.

3. "STANDARDS MATTER" - REPORT OF THE COMMITTEE ON STANDARDS IN PUBLIC LIFE

The Monitoring Officer introduced a report from the Committee on Standards in Public Life, which presented a broadly-based review of best practice in promoting good behaviour in public life. Members noted in particular the amended arrangements in consequence of the Localism Act, including the streamlined complaints procedure and changes to local sanctions. Whilst noting that Trafford was historically well placed in respect of the ethical framework, Members did express concerns, along the lines set out in the paper, and emphasised both the need to monitor the effectiveness of the revised arrangements and the significance of the Committee's educative role, particularly in the context of developing models of public service delivery. In this context, strong support was expressed for the continuing role of the Independent Members on the Committee, as promoting a mechanism for objective assessment and contributing to the transparency of the Council's arrangements. In discussion it was agreed that Members should review the paper in detail, and identify any issues on which a more detailed report might be helpful to a future meeting.

RESOLVED –

- (1) That the content of the report, and the observations made by Members, be noted.
- (2) That Members review the paper in detail, and identify any issues on which a more detailed report might be helpful to a future meeting.

4. UPDATE ON LOCAL STANDARDS COMMITTEE ISSUES

The Monitoring Officer advised that there were currently no significant issues which needed to be reported to the Committee in relation to specific ethical issues / complaints.

The Committee was advised that, following comments made at a previous meeting, the detailed wording of the Complaints Procedure had been revised to promote clarity with regard to confidentiality aspects of the process; Members reviewed and endorsed the revised text.

The Monitoring Officer briefed the Committee on the current position in relation to Member training on the Code of Conduct / Declarations of Interest. It was agreed that details of the presentation be circulated to Independent and Co-Opted Members, and noted that further training could be made available, including to these Members, in due course.

Members' views were sought on the question of whether Non-voting co-opted members should be invited / required to be bound by the Code of Conduct, which did not statutorily apply to them. In the light of the Monitoring Officer's advice regarding the statutory position and for the avoidance of uncertainty, it was agreed that the Council's approach should remain as currently.

Standards Committee (6.3.13)

The Committee reviewed the current position regarding the completion of Members' Interest forms; and it was agreed that the Monitoring Officer clarify whether forms completed by Parish Councillors should be referred to and held by the Borough Council.

With regard to the Committee's membership, Members were advised that two expressions of interest had been received in respect of the vacancy for a Parish Co-Opted Member. The monitoring Officer and Chairman would agree an appointment process, and the outcome would be reported back to the Committee. It was reported that the resignation had been received of Mrs. L. Atkinson, after her lengthy service as an Independent Co-Opted Member. A similar selection process would be followed as for the Parish Member vacancy; and it was agreed that the Chairman, on behalf of the Committee, send a letter of thanks to Mrs. Atkinson.

RESOLVED -

- (1) That the content of the oral update be noted.
- (2) That the revised wording of the Complaints Procedure be endorsed.
- (3) That details of the Code of Conduct presentation be circulated to Independent and Co-Opted Members, and that further training be made available, including to these Members, in due course.
- (4) That that the Council's approach in respect of non-voting co-opted Members remain as currently.
- (5) That the Monitoring Officer clarify whether Interest forms completed by Parish Councillors should be referred to and held by the Borough Council.
- (6) That the position in relation to current vacancies on the Committee be noted, and that the Chairman, on behalf of the Committee, send a letter of thanks to Mrs. L. Atkinson who had resigned as an Independent Co-Opted Member.

The meeting commenced at 6.30 pm and finished at 7.19 pm.

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STANDARDS COMMITTEE

9 MAY 2013

PRESENT

Councillor J. Holden (in the Chair).

Councillors K. Procter (Vice-Chairman), J. Lamb, S. Anstee, R. Bowker, T. Ross, Mr. D. Goodman and Mr. C.E.G. Griffiths.

In attendance

Monitoring Officer (Ms. J. Le Fevre),

Senior Democratic Services Officer (Mr. J.M.J. Maloney).

APOLOGIES

Apologies for absence were received from Councillors Mrs. P. Dixon, I. Platt, K. Weston, M. Freeman and D. Higgins

6. DECLARATIONS OF INTEREST

No declarations were made by Members.

7. REVIEW OF THE CONSTITUTION - CONSULTATION ON PROPOSED CHANGES

The Acting Director of Legal and Democratic Services and Monitoring Officer submitted a report seeking the Committee's comments on a number of proposed changes to the Constitution, following a full review, prior to their submission to Council, in line with Article 15 of the Constitution, on 22nd May 2013. The Monitoring Officer drew Members' attention to those of the proposed changes which were significant, advising that they were being introduced in the interests of clarity and transparency, and ensuring that the provisions of the Constitution remained consistent with legislative and other changes which had been incorporated within the Council's practices. It was now intended that similar reviews of the Constitution would take place in future on an annual basis.

In discussion of the detailed provisions relating to the operation of the Standards Committee and the Council's ethical framework, attention was drawn to the desirability of consistency in relation to references to the non-voting Parish Co-Opted Members of this Committee; and the Monitoring Officer confirmed that appropriate amendments would be made prior to the report's referral to Council.

RESOLVED –

- (1) That it be noted that Council will be recommended to approve the following:
 - a) That the amendments to Parts 1, 2, 4 and 5 of the Constitution be approved.

- b) That Council notes that Executive functions not covered by the Officers' Scheme of Delegation are delegated by the Leader of the Council as follows:
 - (i) functions are delegated to all individual Executive Members in accordance with the Scheme of Delegation set out in Part 3 of the Constitution;
 - (ii) all other functions are delegated to the Executive.
 - c) That the Scheme of Delegation to Officers as set in Part 3 of the Constitution be confirmed.
 - d) That the Acting Director of Legal and Democratic Services be authorised to amend the Constitution of the Council in accordance with and as a consequence of this report.
- (2) That the proposed changes be noted; and the opportunity for Members' comments, and the proposed regular review of the constitution, be welcomed.
- (3) That the Monitoring Officer ensure consistency in relation to references in the Constitution to the non-voting Parish Co-Opted Members of this Committee prior to the report's referral to Council.

The meeting commenced at 5.45 pm and finished at 6.12 pm.

TRAFFORD COUNCIL

Report to: Standards Committee
Date: 5 November 2014
Report for: Discussion
Report of: Director of Legal and Democratic Services

Report Title

Committee for Standards in Public Life – Publications

Summary

The Committee for Standards in Public Life have published two documents in recent months

- **Ethics in Practice: Promoting Ethical Conduct in Public Life**
- **Annual Report**

The reports are for information and review to assess whether there are improvements that might be put in place in Trafford.

Copies of the documents are appended to the report.

Recommendation(s)

That the Committee consider the key issues identified in the reports and identify any changes in current practice that might be necessary.

Contact person for access to background papers and further information:

Name: Peter Forrester
Extension: 1815

Background Papers

None

Background Information

Relationship to Corporate Priorities	The report refers to governance arrangements which impact on all areas of the Council's work.
Financial	None
Legal Implications	The Council has a duty to ensure that it meets the legislative requirements set out in the Localism Act 2011 relating to standards.

Equality/Diversity Implications	None
Sustainability Implications	None
Resource implications - Staffing/ICT/Asset Management	None
Risk Management Implications	None
Health and Safety Implications	None

1.0 Ethics in Practice: Promoting Ethical Conduct in Public Life

1. The report looks at the role of induction processes in embedding ethical standards in public life. The Committee has reviewed the extent to which the Seven Principles of Public Life, and the codes of conduct which they have generated, are recognised and understood by those to whom they apply. They have looked at a range of induction processes, and subsequent methods to enhance ethical awareness, understanding and capability, in order to establish what works, and where there is room for improvement.
2. The Committee believe that every organisation should take the lead in designing and delivering an induction programme that responds to the challenges and circumstances of their particular area of public life. As a basic minimum, the Committee would expect to see induction cover the relevant code of conduct and the principles on which it is based, with an explanation of any compliance requirements that derive from that code, and reference to the channels for raising and dealing with ethical issues. Ideally, an induction process would relate the code and its principles to the particular role and responsibilities of the individual, demonstrating their practical as well as theoretical relevance, and involve active rather than passive learning. We would also expect attendance at induction to be, if not compulsory, the norm rather than the exception.
3. The Committee surveyed Local Authority Monitoring Officers and elected representatives in England, seeking information on the content, reception and perceived effect of induction for elected members, focusing particularly on the standards element of induction.
 - 90% of those who responded to our survey stated that their Local Authority provided an induction programme for newly elected councillors.
 - When asked if that programme had a session looking at standards in public life, councillor conduct or ethical behaviour:
 - 68% of respondents said induction covered the Seven Principles of Public Life
 - 88% said induction covered the Council's Code of Conduct
 - 73% said induction covered conflicts of interest and expenses
 - 55% said induction covered a range of ethical, conduct and standards issues
 - 88% said that the standards element of their induction looked at both rules and principles

- over 80% of those who responded said that the standards, conduct or ethical behaviour component of the induction programme was delivered by council staff
 - Only 5% said their council's induction programme did not look at standards in public life, councillor conduct or ethical behaviour.
 - 83% of those who responded felt that councillors at their Local Authority were familiar or fairly familiar with the Seven Principles of Public Life.
 - Learning techniques during induction included: presentations, briefings, case studies, and members talking through real life situations.
4. The report states that there is continuing room for improvement in the profile of standards, conduct and ethical behaviour within Local Authority induction programmes. The Committee is concerned that financial constraints may result in less emphasis being placed on induction in future and that changes to the Local Authority standards regime may result in ethical standards becoming less of a priority and less actively monitored. The Committee will therefore continue to monitor provision of Local Authority induction programmes and the profile of standards, conduct and ethical behaviour within those programmes by repeating its snapshot survey in 2015.
 5. New Members in Trafford are offered an induction programme which covers the Standards regime and in 2012, we offered briefings for all Members on Standards issues and about two thirds of Members attended these sessions. The suggested actions for 2015 are:
 - The induction programme for 2015 will be reviewed in light of the report and the good practice highlighted in the report
 - Refresher training will be provided for all Members.

2.0 Annual Report

6. The Annual report provides an overview of the Committee's activities over the course of the past financial year and beyond until July 2014. The Committee has continued this year to maintain a watching brief of the standards regimes in local government and the changes resulting from The Localism Act 2011 implemented in 2012. Having emphasised at the time the need for a mandatory code of conduct, strong local leadership, and effective independent persons and expressed concern at the lack of sanctions, the Committee also recognised the need to allow new arrangements to bed down. The key points in the report are summarised as:
 - A survey carried out by Local Government Lawyer on the implementation of the Localism Act 2011 suggests indications are that the role of the independent person has been generally well received and there is some evidence that the number of vexatious complaints is falling.
 - The effectiveness of the sanctions regime for non-adherence to Local Authority codes of conduct, which apart from criminal prosecution, provides

only for censure or suspension from a particular committee or committees, remains an issue of concern.

- The Local Government Association should provide support strong leadership and use its peer challenge process to offer sector led improvement to ensure that all councils and councillors live up to the public's expectations of high standards of ethical behaviour in those whom they elect.
- The Committee was extremely pleased to learn that 90% of those who responded to the survey stated that their Local Authority provided an induction programme for newly elected councillors. The Committee will therefore continue to monitor provision of Local Authority induction programmes and the profile of standards, conduct and ethical behaviour within those programmes by repeating this survey in 2015.
- The Committee have provided evidence to the Communities and Local Government Select Committee inquiry on local government procurement, highlighting their belief that public sector procurement processes should take account of ethical issues as part of delivering value for money in the broadest sense.
- The Committee welcomes the introduction this year of individual electoral registration (IER) and will keep a watching brief on electoral fraud and the implementation of IER.

Ethics in Practice: Promoting Ethical Conduct in Public Life

Committee on
Standards in
Public Life

July 2014



The Seven Principles of Public Life

The Seven Principles of Public Life apply to anyone who works as a public office-holder. This includes all those who are elected or appointed to public office, nationally and locally, and all people appointed to work in the civil service, local government, the police, courts and probation services, NDPBs, and in the health, education, social and care services. All public office-holders are both servants of the public and stewards of public resources. The Principles also have application to all those in other sectors delivering public services.

SELFLESSNESS

Holders of public office should act solely in terms of the public interest.

INTEGRITY

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

OBJECTIVITY

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

ACCOUNTABILITY

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

OPENNESS

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

HONESTY

Holders of public office should be truthful.

LEADERSHIP

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.



Foreword from the Chair of the Committee on Standards in Public Life

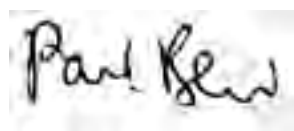
Dear Prime Minister,

The message of this report is very simple. Awareness and understanding of the Seven Principles of Public Life cannot be left to chance. We need to make sure that all of those in public life, whether employed, appointed or elected, are aware of their ethical responsibilities and are prepared to act as ethical leaders. The public expects nothing less.

An important first step in building that ethical awareness and understanding is induction. For most of those in public life, receiving induction is a normal part of taking up post, just as it is for those working in large organisations in the private and voluntary sectors. During the course of this project, we were pleased to note that many areas of public life have established induction programmes in place that referenced ethics – in Local Government and the Civil Service, for example. We were also pleased to note the calls, from Parliament and beyond, for induction to be introduced in areas where it was lacking, for example in relation to Police and Crime Commissioners and Special Advisers.

We did, however, identify areas where improvements could be made and the profile of ethical standards raised. Of particular concern to us was the reported lack of engagement with induction by large numbers of Members of Parliament. With the prospect of a Recall Bill, which will give the public the power to remove MPs who have behaved in ways that fall short of the standards expected of them, the stakes have never been higher. In effect, ethical issues will now be under even greater scrutiny. More than ever, MPs need to be fully aware of the principles and the rules that guide their behaviour; Parliament and the political parties need to provide the opportunities for them to build that awareness and understanding. An induction programme that fully embraces ethical standards should be the first of those opportunities.

The recently-announced Review of the Standards System by the House of Commons Standards Review Sub-Committee will doubtless be examining these issues and taking evidence from a wide range of perspectives. We hope this Report will be a useful contribution to their deliberations. This report is also a reminder to those in public life that the recommendations of Lord Nolan in his First Report continue to apply: *it is essential that more is done to inculcate high ethical standards through guidance, education, and training, particularly induction training*. I commend this Report to you.



Lord Paul Bew
Chair, Committee on Standards in Public Life
July 2014



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Executive Summary

1. When Lord Nolan published the First Report of the Committee on Standards in Public Life in 1995 he not only set out the Seven Principles of Public Life but also three ‘common threads’ for ensuring that those Principles were properly understood and followed – Codes of Conduct, Independent Scrutiny, and Guidance and Education. Lord Nolan was clear that the necessary guidance and education on ethical standards should encompass training and in particular induction training.¹
2. In this report we have revisited the subject of ethics in induction, both to emphasise that the Nolan Principles apply to the full range of organisations and individuals active in public life – a category that continues to expand – and to review provision of induction programmes to embed those Principles. In this report we note good practice, highlight areas where standards are at risk, and identify where improvements could be made to embed ethical standards more effectively. Our conclusions and suggestions for improvement are emboldened in the body of the report.
3. The Committee’s aim in this report has not been to impose a one-size-fits-all model of induction on all those covered by the Seven Principles of Public Life. We believe that every organisation should take the lead in designing and delivering an induction programme that responds to the challenges and circumstances of their particular area of public life. However, as a basic minimum, the Committee would expect to see induction cover the relevant code of conduct and the principles on which it is based, with an explanation of any compliance requirements that derive from that code, and reference to the channels for raising and dealing with ethical issues. Ideally, an induction process would relate the code and its principles to the particular role and responsibilities of the individual, demonstrating their practical as well as theoretical relevance, and involve active rather than passive learning. We would also expect attendance at induction to be, if not compulsory, the norm rather than the exception.
4. In most areas of public life, our expectations are being met. Where they are not, we expect our suggestions for improvement to be taken on board. Throughout this project, we have been alert to the sensitivities attached to ethics in induction, but we do not believe that ethical standards can be an optional extra for those in public life or that the value of induction in embedding ethical standards can be overlooked.
5. The Committee is aware that the subject of ‘ethics training’ for Parliamentarians, whether as part of induction or professional development, is a delicate and controversial issue – constitutionally, politically and practically. That is why we commissioned a paper from the Head of our Research Advisory Board, Professor Mark Philp, to inform our thinking on the subject of ethics in practice for politicians.
6. We agree with Professor Philp’s conclusion that:

the challenge is to heighten awareness of the ethical principles, and to do so across the political system – from the local constituency party, the parliamentary party and the chief whips, the formal bodies such as the Parliamentary Standards Committee and the Parliamentary Ombudsman, and bodies linked to the senior civil service. This requires a degree of cross-party commitment. The Seven Principles are non-partisan in character, so that while the judgments politicians make are usually partisan on some dimensions, the common ethical standards that apply to any given decision need to be acknowledged.²

¹ Committee on Standards in Public Life, *Members of Parliament, Ministers, civil servants and quangos*, Cm 2850, (May 1995), hereafter referred to as ‘First Report.’

² Mark Philp, *Public Ethics and Political Judgment*, July 2014, www.public-standards.gov.uk

7. From the evidence we have seen, induction is an effective means of heightening that awareness and building a real understanding of what the Seven Principle of Public Life and codes of conduct mean in practice, and leadership is key to the effectiveness of induction processes. So, whether they are elected or appointed, office holders or employees, those in public life have an obligation to perform their roles in ways that are consistent with the Seven Principles of Public Life and the rules embodied in the codes that derive from them, and that includes embracing the processes for embedding standards.
8. It is our simple conclusion, then, that induction is essential to ensure that public office holders are aware of the standards expected of them, and therefore that ethical standards need to be included in the induction arrangements for all those in public life.

Chapter 1:

Introduction

- 1.1** This report looks at the role of induction processes in embedding ethical standards in public life. Nearly twenty years after Lord Nolan's First Report, the Committee has reviewed the extent to which the Seven Principles of Public Life, and the codes of conduct which they have generated, are recognised and understood by those to whom they apply. We have looked at a range of induction processes, and subsequent methods to enhance ethical awareness, understanding and capability, in order to establish what works, and where there is room for improvement.

Background

- 1.2** The Committee on Standards in Public Life ('the Committee') was established in 1994 by the then Prime Minister, John Major, to address widespread concerns about declining standards in public life. Amidst concerns about cash for questions, the politicisation of public appointments and relationships between politicians and commercial organisations, the first Committee, chaired by Lord Nolan, was asked to:

*examine current concerns about standards of conduct of all holders of public office, including arrangements relating to financial and commercial activities, and make recommendations as to any changes in present arrangements which might be required to ensure the highest standards of propriety in public life.*³

- 1.3** In response, the Committee's First Report set out Seven Principles to guide the behaviour of those active in public life. The Principles – Selflessness, Integrity, Objectivity, Accountability, Openness, Honesty and Leadership – have been accepted by the public and those active in public life as appropriate determinants of behaviour, and now underpin much of the UK's public sector ethical infrastructure.⁴

Raising and Embedding Ethical Awareness

- 1.4** Since its inception, the Committee has signalled the importance of embedding the Seven Principles of Public Life into the culture and practice of public sector organisations through guidance and education. In addition to enumerating the Seven Principles, the First Report set out three 'common threads' for ensuring that those Principles were properly understood and followed – Codes of Conduct, Independent Scrutiny, and Guidance and Education.⁵ Creating and following those threads would, it was argued,

*maintain, and where necessary restore the standards of conduct in public life which the public are entitled to expect, and to promote a policy of openness which will enable the public to see that their expectations are being met.*⁶

³ Hansard (HC) 25 October 1994, col 758. Details on the current Committee's membership and remit are set out in Appendix 1.

⁴ *Survey of public attitudes towards conduct in public life 2012* (London: Committee on Standards in Public Life, 2013), and copies of previous Public Attitudes Surveys may be found at: <http://www.public-standards.gov.uk/our-work/public-attitude-surveys/>

⁵ First Report, p. 3

⁶ First Report, Letter

1.5 The Committee was of the view, in 1995, that

because of the pace of change, it is essential that more is done to inculcate high ethical standards through guidance, education, and training, particularly induction training, than has been thought necessary in the past.⁷

In the nineteen years since 1995, the Committee has continued to revisit this third strand of guidance and education as a means of embedding the Seven Principles, both to emphasise that it applies to the full range of organisations and individuals active in public life, and to review progress against the particular recommendations it has made in this area. It is notable that, while progress has clearly been made in establishing codes of conduct and independent scrutiny mechanisms, there is less obvious and detailed evidence of comparable progress on guidance and education.

1.6 The Tenth Report of 2003, for example, inquired whether “the Seven Principles of Public Life are being embedded into organisational culture and what steps are being taken to ensure that this involves the appropriate use of training and development and is more than a box-ticking exercise.”⁸ The Committee was of the view that “however intangible the issue of culture appears, ... it is critical to delivering high standards of propriety in public life in a proportionate and effective manner. Learning from good practice must play a central role.”⁹

1.7 Ten years later, in *Standards Matter* (2013) the Committee returned to the topic of embedding ethical principles as a means of ensuring that organisations maintain high ethical standards. In answer to the question “How can organisations embed ethical principles so that they become part of their culture?” the Committee offered induction, training, and leadership as solutions, while recognising that “[p]romotion and reinforcement of standards needs to go well beyond formal training. Organisations need to reflect their principles in all their policies and practices.”¹⁰ As in previous reports, the Committee noted that

in many parts of the public sector there is considerable scope for improvement in this area. The majority of public sector organisations have now established a basic ethical framework, including a code of conduct and perhaps some staff training. Some have gone further by making demonstrable efforts to reflect their ethical principles across their whole organisation. We do not as yet have robust evidence to demonstrate conclusively that these efforts have resulted in higher standards. But we are confident that following best practice in the areas discussed [... including recruitment, induction, training, leadership] will increase the likelihood of organisations achieving and maintaining high standards.¹¹

1.8 More recent reports, *Strengthening Transparency Around Lobbying* and *Ethical Standards for Providers of Public Services* also highlight the need for education and training to address the particular ethical risks arising in Parliament and in new models for delivering public services. The lobbying report made two training-related recommendations:

- *Ethics training should be included in their [MPs’ and Members of the House of Lords’] induction and training programme, and*
- *Scenario based ethics training is recommended as an approach to raising consciousness of and adherence to high ethical standards in lobbying.¹²*

We are not aware that either of these recommendations has been acted upon. **As the induction programme for the 2015 Parliament is being developed the Committee reiterates these recent recommendations.**

⁷ First Report, p. 18

⁸ Committee on Standards in Public Life, *Getting the Balance Right: Implementing Standards of Conduct in Public Life*, Cm 6407, (January 2005), p. 1, hereafter referred to as the ‘Tenth Report.’

⁹ Tenth Report, p. 5

¹⁰ Committee on Standards in Public Life, *Standards Matter: A review of best practice in promoting good behaviour in public life*, Cm 8519, (January 2013), p. 29, hereafter referred to as ‘Standards Matter.’

¹¹ Ibid, p. 29

¹² Committee on Standards in Public Life, *Strengthening Transparency Around Lobbying*, November 2013, p. 9

- 1.9** *Ethical Standards for Providers of Public Services* focuses on the extent to which third party providers of public services adhere to ethical standards in the delivery of those services, and how best to ensure that they do so in future. One of the conclusions of that project is that government should make clear to third party providers that ethical standards, as well as service delivery standards and legal obligations, are an essential part of the delivery of public services and should apply to all those who deliver those services. Ethical awareness should be seen as a “professional commercial capability for those commissioning, procuring or managing government contracts,” and therefore the Crown Commercial Service, Civil Service Learning and the Government’s Commissioning Academy should “arrange training on ethical awareness and disseminate best practice on ethical standards.”¹³
- 1.10** **The Committee will continue to raise these recommendations on ethical training for third party providers as part of our forthcoming discussions with Government on how best to implement the recommendations of our report.**

The Current Project

- 1.11** Against the backdrop of previous reports, and in light of continued standards breaches which have attracted public opprobrium, the Committee decided to revisit Lord Nolan’s third strand of guidance and education, focusing on induction. While *Standards Matters* identified areas of good practice in induction, education and training it did so as part of a broader review of the standards landscape. None of the Committee’s reports thus far have focused solely on induction, although almost all have signalled the importance of awareness raising and learning in embedding the Seven Principles and improving standards in public life.
- 1.12** Ethics education and training is increasingly the subject of attention amongst the professions and those sectors – like banking – emerging from crises of trust.¹⁴ Members of the public have expressed strong support for ethics education for politicians.¹⁵ Yet for all the rhetoric advocating ethics awareness and education, the Committee recognised that it did not possess current information on the extent to which ethics featured in induction for those in public life, the extent of take up of induction provision, and how provision for those in public life compared with practice in other sectors. The current Committee therefore decided to focus on the role of standards in induction and supplemental methods of building and enhancing ethical awareness as part of its 2014 programme of work. The aim of the current project has been to identify what works in terms of building an ethical culture through induction, education and training, capture examples of best practice, and identify areas where more needs to be done or where previous progress may be at risk.

Methodology

- 1.13** In line with the Committee’s post-Triennial Review remit, the methodology for this project departed from the inquiry-led approach used in the past. Instead, the Committee has drawn on evidence provided in response to recent inquiries and reviews (notably *Standards Matters*, *Strengthening Transparency Around Lobbying* and *Ethical Standards for Providers of Public Services*), and reviewed academic and practitioner literature in the fields of ethics and training, both generally and in relation to a selection of individual professions.
- 1.14** In addition, the Committee conducted a snapshot survey of Local Authorities’ approach to induction and training, sending a questionnaire to Local Authority Monitoring Officers in England and asking them to circulate to elected members. Completion of the survey was voluntary and responses were anonymous, although distinguishable in terms of Monitoring Officer or elected member. The list of survey questions is reproduced at Appendix 2 and the results may be found on our website at www.public-standards.gov.uk.

¹³ Committee on Standards in Public Life, *Ethical Standards for Providers of Public Services*, June 2014, p. 9

¹⁴ See, for example the *Salz Review: An Independent Review of Barclays’ Business Practices*, April 2013; the Banking Standards Review (<http://www.bankingstandardsreview.org.uk/>); and the Legal Education and Training Review (<http://www.lettr.org.uk/>)

¹⁵ *Audit of Political Engagement 11: The 2014 Report with a focus on the accountability and conduct of MPs*, Hansard Society, 2014

- 1.15** The Committee also held a seminar with academics active in the fields of neuro-, educational, medical, and political ethics, as well as behavioural insight and the delivery of practitioner to practitioner advice in building ethical capacity in public sector organisations (see Appendix 3 for details). The Committee then conducted a number of face-to-face and telephone interviews with representatives from public, private and third sector organisations to understand how ethical standards are being embedded through induction with a view to building a particular organisational culture and identifying gaps and areas for improvement (see Appendix 3).
- 1.16** Finally, the Committee drew on the expertise of the Chair of its Research Advisory Board, Professor Mark Philp, to explore the particular issues arising from ethics and political practice. Professor Philp's paper *Public Ethics and Political Judgment* is published alongside this report and is available on the Committee's website at www.public-standards.gov.uk. The Committee is especially grateful to Professor Philp for his contribution to the debate on political ethics.

The Framework for Embedding Standards

- 1.17** As our Biennial Surveys have shown, there is now a widespread acceptance and understanding of the value of the Seven Principles of Public Life.¹⁶ There is also a public expectation that these Principles should be taken seriously, and be seen to be taken seriously, by those in public life, including all those who deliver public services. Unsurprisingly, then, the Principles, or similar variants, have formed the bases of codes of conduct that apply in most public sector organisations. Similarly, in the professions, and in the private and third sectors, ethical principles and codes of conduct based on those principles are now normal features of most working environments.
- 1.18** There is also a widespread acceptance that both principles and the codes, with their more detailed rules, need to be actively promoted, integrated into the operational structures of organisations and espoused as important in order to be effective in building an ethical culture and, by implication, reducing the risk of unethical behaviour and combating corruption.¹⁷ A wide range of publications and organisations – national and international – devoted to the topics of preventing corruption, promoting compliance, building ethical knowledge and skills, and shaping and promoting ethical behaviour in the professions and in the workplace has provided a wealth of material on the theory and practice of embedding ethics through induction, guidance, education and training.
- 1.19** Box 1 sets out just a few examples of institutions or publications which investigate, promote or embody ethics in practice.

¹⁶ *Survey of public attitudes towards conduct in public life 2012* (London: Committee on Standards in Public Life, 2013), and copies of previous Public Attitudes Surveys may be found at: <http://www.public-standards.gov.uk/our-work/public-attitude-surveys/>

¹⁷ See, for example: Stuart C. Gilman, *Ethics Codes and Codes of Conduct as Tools for Promoting an Ethical and Professional Public Service: Comparative Successes and Lessons*, prepared for the Prem, the World Bank, Washington, 2005; *Ethics Training for Public Officials*, OECD, 2013; *Promoting Ethics in the Public Service*, Department of Economic and Social Affairs, Division for Public Economics and public Administration, United Nations, New York, 2000.

Box 1

- **The Journal of Business Ethics:** “discusses ethical issues related to business, from a wide variety of methodological and disciplinary perspectives.”¹⁸
- **The Journal of Medical Ethics:** “seeks to promote ethical reflection and conduct in scientific research and medical practice.”¹⁹
- **The Institute of Business Ethics:** “promotes high standards of business practice based on ethical values” and raises “awareness of business ethics through the dissemination of knowledge and good practice.”²⁰
- **The City Values Forum:** deals with research, development and sharing of best practice in relation to trust, integrity, culture and values for businesses in the financial and business services arena,” developing “a series of best practice guides, practical resource materials and training programmes.”²¹
- **U.S. Office of Government Ethics:** a statutory agency to “foster high ethical standards for executive branch employees and strengthen the public’s confidence that the Government’s business is conducted with impartiality and integrity” and provide education and training to officials and employees.²²
- **Harvard University: Kennedy School:** offering degrees and executive education for students, government officials and elected representatives; **Edmund J Safra Center for Ethics** which seeks to advance teaching and research on ethical issues in public life.

- 1.20 Reviewing the range of material has also reaffirmed many of the conclusions that the Committee came to in *Standards Matter* and which were first expounded by Lord Nolan in 1995. Embedding ethical standards “starts with recruitment and induction and should continue with training, contemporaneous prompts and self-assessment” and needs to be supported by “visible incentives for good behaviour and sanctions for bad behaviour.” Most importantly, “robust ethical cultures need to be led from the top by leaders who model the right behaviours.”²³
- 1.21 The focus of this project is on the particulars of induction (Chapter 2) and the means of helping induction to work (Chapter 3). The discussion therefore goes beyond induction into broader issues, such as leadership. Whatever the effectiveness of an individual session in an induction programme, for example, the value and impact of that event will be compromised if, subsequently, unethical behaviour is left unchallenged and leaders are indifferent to ethical standards. On the other hand, where ethical awareness and capability is a necessary step towards progression and reward and fully embraced and promoted by leaders, its impact is likely to be greater.

Political Complications?

- 1.22 Encouragingly, the Committee found that most organisations accepted the principle of induction as a means of embedding ethical standards, and differed mainly in the extent to which they chose different options from a suite of similar teaching and learning methods, or chose to integrate ethics into existing processes rather than institute new standalone processes. The Committee noted, however, that members of the Westminster Parliament, and in particular the House of Commons, appeared to be noticeably behind some other organisations in embracing either the principle or the practice of induction, let alone accepting that there was a role for ethics within it.

18 <http://www.springer.com/social+sciences/applied+ethics/journal/10551>

19 <http://jme.bmj.com>

20 <http://www.ibe.org.uk>

21 http://www.cityvaluesforum.org.uk/about_city_values_forum.html

22 <http://www.oge.gov/About/Mission-and-Responsibilities/Mission---Responsibilities/>

23 *Standards Matter*, p. 39

- 1.23** According to the Hansard Society, “officials estimated that just 19% of new Members [in 2010] had attended at least one session [of the induction programme] and feedback suggested that attendance rarely rose above six Members at any one time.”²⁴ Furthermore, in 2010 the one workshop on dealing with ethical dilemmas was cancelled due to poor take-up.²⁵ Add to this apparent lack of engagement statements like “The executive would love to train members of parliament. It absolutely mustn’t happen” and “Once you’ve seen it [the Code] there’s no need to return to it”, and the ongoing standards breaches by both MPs and members of the House of Lords, and there is, we would argue, some cause for concern.²⁶
- 1.24** The House Authorities, the Commissioner for Standards and the Administration Select Committee are alert to the issue and we understand that steps are being taken to offer an induction programme for 2015 that aims to build on the successes of 2010 and avoid some of its pitfalls. The Committee is also aware, through its discussions with politicians and its review of the academic literature on continuing professional development for politicians, of the complications arising from the issue of ethics in practice within an oppositional political system. The Committee therefore asked itself whether Westminster politics, or the nature of politics itself, were sufficiently different from other areas of public life, including those involving elected representatives, to warrant the lack of other engagement with induction and processes for continuing ethical awareness as currently conceived.
- 1.25** We commissioned Professor Mark Philp, Chair of the Committee on Standards in Public Life’s Research Advisory Board, to consider the issue of professional ethics for politicians in the context of upholding and promoting the Seven Principles of Public Life. His paper has been published alongside this report and its contents have informed both our analysis of the current provisions for elected members, and our thoughts on approaches that might prove more successful in increasing ethical awareness.
- 1.26** The question of success, or what works, remained an open one throughout this project. Systematic, measurable evidence as to the success of induction in terms of reducing unethical behaviour is limited, and evidence of successfully preventing unethical behaviour would need to rely on counterfactuals. There is, however, evidence to suggest that induction and certain types of training and learning methods can enhance awareness and understanding of principles and processes, challenge complacency and established assumptions, and give individuals the skills and confidence to recognise and deal appropriately with ethical dilemmas.²⁷

24 Ruth Fox and Matt Korris, “A Fresh Start? The Orientation and Induction of New MPs at Westminster Following the 2010 General Election,” *Parliamentary Affairs*, 65(2012), p. 567.

25 Ibid, p. 571

26 Katrin Steinack, “Between Apathy and Enthusiasm: An International Comparison of MPs’ Attitudes Towards Parliamentary Training,” *Parliamentary Affairs*, 65(2012), p. 549 and Nicholas Allen, “Voices from the Shop Floor: MPs and the Domestic Effects of Ethics Reforms,” *Parliamentary Affairs*, 62(2009), p. 91

27 Ken Coghill et al, “Professional Development Programmes for Members of Parliament,” *Parliamentary Affairs*, 61(2008), 73-98

Chapter 2

Ethics in Induction

- 2.1** Induction programmes, events and materials are standard features of the modern workplace, whether that is a professional services firm, the Civil Service or a Local Authority. Induction generally occurs at all levels of the organisation, up to and including the boardroom. Clifford Chance, for example, provides a two week induction and training programme for new starters; Microsoft provides a four day induction for interns and apprentices, a weeklong induction for new graduates and up to four weeks for new starters at a more senior level; and the Institute for Government has “provide[d] support to the Cabinet Office in designing and convening the induction for lead NEDs [Non Executive Directors].”²⁸
- 2.2** In other parts of the public sector, the Civil Service has an induction programme for new Fast Streamers, and a Civil Service Learning website with a dedicated ‘New to the Civil Service’ section with “a recommended pathway of key learning to help you orientate yourself and get to grips with a few essentials” accessible to all Civil Servants. 90% of respondents to our local government survey said that their Local Authority provided an induction programme for newly elected councillors.²⁹ The Westminster Parliament, since the 1980s at least, has also offered an induction programme which has enjoyed varying levels of attendance.³⁰
- 2.3** Induction is an example of what Rush and Giddings, in their work on Members of Parliament, call “socialisation by instruction.”³¹ Usually a mix of physical orientation, introduction to key personnel, IT and security measures, and an outline of the policies and procedures of the organisation, as well as the basic components of the job, the individual is introduced to the physical workplace as well as its rules and norms. Insofar as first impressions are key, induction provides the perfect opportunity to set the ethical tone of the organisation and establish the behavioural expectations of the individual.
- 2.4** The Committee believes that a good indication of the ethical climate of any organisation and the extent to which ethics are truly embedded within that organisation is the profile of material on ethical principles and any codes of conduct within an induction programme. The approach taken to the delivery of that material is also pertinent. Certainly, the absence of any formal induction programme should be seen as signifying both an operational and ethical risk to the organisation. The more ‘optional’ the induction programme that contains an ethical component, and the lower the profile of an ethical component within an induction programme, the more we consider there should be cause for concern from a standards point of view. The absence of any ethical component from an induction programme for those in public life indicates a fundamental misunderstanding of what it means to be a public officer.
- 2.5** During the course of this project, the Committee came across a range of different approaches to induction and to the positioning of ethical standards within those approaches. On the whole, we were pleased to note the progress that has been made in embedding standards through induction. What follows is a discussion of examples of good practice and areas where the Committee thinks practice could be improved, on the basis of the range of evidence we have seen. We looked at induction programmes in the private sector, the

28 For Microsoft see: <http://careers.microsoft.com/careers/en/gb/whatsinit.aspx>. For Government Lead NEDs see: <http://www.instituteforgovernment.org.uk/our-work/leadership-government/non-executive-director-development>

29 www.public-standards.gov.uk

30 Michael Rush and Philip Giddings, *Parliamentary Socialisation: Learning the Ropes or Determining Behaviour?* (Basingstoke: Palgrave Macmillan, 2011)

31 Ibid, p. 39

voluntary sector and, within the public sector, at those provided for employed, appointed and elected individuals. We are aware that our approach is not comprehensive.

- 2.6 The Committee's aim is not to impose a single template approach on all those covered by the Seven Principles of Public Life. However, as a basic minimum the Committee would expect to see induction for those in public life cover the relevant code of conduct and the principles on which it is based, with an explanation of any compliance requirements that derive from that code (such as registering gifts and hospitality, for example), and reference to the channels for raising and dealing with ethical issues. Ideally, an induction process would relate the code and its principles to the particular role and responsibilities of the individual, demonstrating their practical as well as theoretical relevance. We would also expect attendance at induction to be, if not compulsory, the norm rather than the exception.**

Recognising the Value of Induction

- 2.7** Unsurprisingly, representatives from the majority of organisations considered as part of this project had an induction programme in place which referenced the relevant code of conduct. Large private sector organisations and professional services firms have rigorous and formal induction programmes which introduce newcomers to the organisation and its values, emphasising that an understanding of and commitment to their code and its principles is core to fulfilling one's role in the organisation.

Box 2

Goldman Sachs

One of the recommendations of Goldman Sachs' Business Standards Committee in 2011 to "strengthen reputational excellence and training and professional development" was to "update and strengthen the Code of Business Conduct and Ethics. Through that process, we will signal its importance and articulate the need for every employee to operate in accordance with the code. The firm should reinforce the importance of the Code of Business Conduct and Ethics by requiring employees to certify their compliance with the Code, highlighting it in orientation and training sessions and posting it more prominently on the firm's external and internal websites."³²

By 2013, Goldman Sachs was reporting that it had "enhanced the content of our orientation and promotion programs" with an "online training program developed and rolled out to all employees."³³

- 2.8** Within the public sector organisations reviewed by the Committee, induction arrangements (where present) were not necessarily as clearly geared towards foregrounding ethical conduct, but there was, in general, a recognition of the need to feature the relevant code of conduct and reference ethical principles. In those cases where formal induction was not provided, or was very poorly attended, or principles and codes were not covered, we believe that standards could be at risk and that measures should be taken to mitigate that risk.

³² Goldman Sachs, *Report of the Business Standards Committee*, January 2011, p. 57

³³ Goldman Sachs, *Business Standards Committee Impact Report*, May 2013, p. 26

Delegating Ethics? – The Civil Service

Box 3

The Civil Service – non Fast Stream

Induction planning and delivery is primarily the responsibility of the Line Manager, whose department or office may or may not have a preferred model for induction. A suite of generic, Civil Service-wide e-learning material is available for the new starter on the internal Civil Service Learning website. The on-line material referenced under the 'New to the Civil Service' heading is:

- Read Joining the Civil Service induction booklet
- Complete Induction: Understanding the Civil Service e-learning
- Complete Finance Foundations e-learning
- Read Surviving your first 100 days in a new job
- Complete the Equality and Diversity Essentials e-learning
- Complete Responsible for information e-learning
- Review your Profession's curriculum

- 2.9** The delegated approach to induction for non-Fast Stream Civil Servants has clear advantages. Departments and offices can design an induction programme which best suits their policy and operational needs and responsibility for induction and for the degree of emphasis on ethical principles and the Civil Service Code rests with the Line Manager, whose leadership and management role should extend to actively promoting and robustly supporting the Seven Principles (in line with the Leadership principle itself). Cabinet Office, for example, has an 'Essential Actions' induction checklist for managers which includes a 'within first month' action point to "check that starter understands their obligations set out in the Civil Service Code."³⁴
- 2.10** The Civil Service Learning approach also gives the new employee control over when to access the on-line material and the ability to return to it when needed. The provision of generic material ensures consistency of message, and the use of e-learning is a cost-efficient model in times of financial constraint. Evidence from the Audit Commission also suggests that on-line training material can be an effective means of building awareness of ethical issues.³⁵
- 2.11** There are, however, some risks attached to this approach to induction both from an institutional capability and a standards point of view. With discretion comes the possibility of a cursory approach, or a non-interactive approach where the new starter is left to 'get on with it' and read (or ignore) the on-line material, leaving knowledge and understanding untested, in the informal sense. The recent report by the Civil Service Policy Profession Board noted that the Civil Service did not compare well with private sector organisations in this respect:

*Time spent on induction compares unfavourably with private sector firms. In particular, management consultancy firms were cited as having a comprehensive approach to induction. Indeed, new recruits to consultancy firms undertake several weeks of intensive training before being able to interact with clients.*³⁶

In the worst case scenario, it is possible that there could be no formal induction whatsoever, or induction could be limited to orientation with no explicit reference to the Civil Service Code and its values.

³⁴ Cabinet Office internal document

³⁵ Audit Commission, *Overall Data Charts, Section 1: Counter Fraud Culture*, 2014, unpublished.

³⁶ *Twelve Actions to Professionalise Policy Making: A Report by the Policy Profession Board*, October 2013, p. 19, <http://www.civilservice.gov.uk/wp-content/uploads/2011/09/Twelve-Actions-Report-Web-Accessible.pdf>

- 2.12** The Committee believes that the lack of a direct link to the Civil Service Code on the ‘New to the Civil Service’ front page is a missed opportunity – after all, this is the first port of call for the new starter. The *Joining the Civil Service induction* online booklet and *Induction: Understanding the Civil Service* do refer to the Civil Service Code, but the full text of the Code is not included in the e-learning programmes, nor is it pointed out that observance of the Code and its values is part of a Civil Servant’s terms and conditions of employment.
- 2.13** Within a discretionary framework, then, with no up-front on-line presence as a learning resource for new starters and with references to rather than inclusion of the Code within the on-line material, there is a risk that the detail and importance of the Code and the Civil Service values could be overlooked by new Civil Servants. The apparent gearing of induction material to more junior level new starters is also an issue, especially as greater interchange at middle and senior management levels is encouraged and steps are taken to recruit those with expertise in areas traditionally outside the Civil Service skill set.³⁷
- 2.14** As we noted in our report *Ethical Standards for Providers of Public Services*, ethical risks arise “when recruiting those with commercial and financial expertise from outside the civil service in that they need to understand the public facing context in which they work.”³⁸ We therefore agree with the First Civil Service Commissioner that

*there is a strong case for better induction for new senior recruits, including in the values of the Civil Service. It is too easy to assume that new recruits will automatically understand and embrace the expectations in the Civil Service Code.*³⁹

- 2.15** Moreover, with a “refresh[ed] introduction to [the] Civil Service course to include awareness of the four new priorities for building the capabilities of the Civil Service,” namely leading and managing change, commercial skills and behaviours, delivering successful projects and programmes, and redesigning services and delivering them digitally, the Committee considers that there is a risk that the ethical principles that should underpin the approach to these priorities will be lost, especially if the Civil Service Code itself is not highlighted as an essential resource for those joining the Civil Service.⁴⁰
- 2.16** We note that the 2014 Annual Refresh of the Civil Service wide Capabilities Plan calls for a new induction offer for all staff by May 2015, and commends the refreshed ‘Introduction to Civil Service’ course which now includes awareness of the four new priorities for building the capability of the Civil Service. The Committee is clear, however, that part of the ‘business’ and ‘capability’ of the Civil Service is knowledge of the Civil Service Code values and the ability to draw on that knowledge in the day-to-day conduct of Civil Service work.
- 2.17** **Civil Service Learning should, therefore, work with the Civil Service Commission, Cabinet Office Propriety and Ethics and the Committee on Standards in Public Life to enhance the provision of material on the Civil Service Code, and its values, in the on-line material offered to those new to the Civil Service, and in the wider induction offer. Further to enhancing the provision, steps should also be taken to ensure that the Code and its values do not remain an optional extra in the induction programme.** At present, although departments are audited by the Civil Service Commission on their inclusion of the Code in their induction programmes through training, in line with the Commission’s best practice checklist of actions for departments to uphold and promote the Code, the audit process rests on departmental self-reporting, with no agreed standard as to what constitutes acceptable ‘training’ on the Code in induction.⁴¹

37 *The Civil Service Reform Plan*, HM Government, June 2012, <http://resources.civilservice.gov.uk/wp-content/uploads/2012/06/Civil-Service-Reform-Plan-acc-final.pdf>

38 Committee on Standards in Public Life, *Ethical Standards for Providers of Public Services*, June 2014, p. 32

39 Civil Service Commission, *Annual Report and Accounts 2013-14*, p. 7, <http://civilservicecommission.independent.gov.uk/wp-content/uploads/2014/06/CSC-Annual-Report-201314.pdf>

40 *Meeting the Challenge of Change: A capabilities plan for the Civil Service*, April 2013, p. 20, https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/307250/Civil_Service_Capabilities_Plan_2013.pdf

41 See the Civil Service Commission website: <http://civilservicecommission.independent.gov.uk/> The Code audit is a non-statutory activity for the Commission, enabled by section 17 of the Constitutional Reform and Governance Act 2010. In line with the Act, the carrying out of these additional functions is agreed between the Commissioner and the Minister for the Cabinet Office.

- 2.18 The Government and the Civil Service Commission should therefore consider how best the Commission can fulfil the additional function agreed between them that the Commission works with departments to help them promote and uphold the Civil Service Code.** This discussion should consider the role of audit, and we consider that the Government could formally request that the Commission continues to audit departments' promotion of the Code, including specifically how departments promote the Code during their induction processes.

Understanding the Principles – the Civil Service Fast Stream

Box 4

Civil Service – Fast Stream

As part of the Fast Stream induction programme, new starters attend a two day Understanding Government course, which contains a session on The Duties and Responsibilities of Civil Servants, delivered by a facilitator external to the Civil Service.

Using a case study, participants are led towards a discussion of the Civil Service Code, as well as the Ministerial Code and the Code of Conduct for Special Advisers. Discussion of the particulars of the case leads participants to explore the Civil Service Code values of Honesty, Impartiality, Integrity and Objectivity and the boundaries between the Civil Service and Special Advisers in the context of a workplace situation that many of them are likely to experience.

- 2.19** As the promotional material for Fast Stream applicants makes clear, joining the Fast Stream is about “Becoming a leader” and involves an induction that will “introduce you both to the Fast Stream and to the Civil Service, and will help set your career in context.”⁴² As with the programmes offered by private sector organisations, induction is “just the first step” in developing the individual.⁴³ The Fast Stream induction does not rely solely on on-line material and includes a face-to-face session covering the Civil Service Code. This enables new Civil Servants to test their understanding of the Code values, challenge their assumptions as to how principles might apply in practice, and highlights the formal requirements of the various codes of conduct for those operating in the Civil Service workplace – Civil Servants, Special Advisers and Ministers.
- 2.20** This is the type of approach to learning that, as Lewis and Gilman have argued, is more conducive to ethical behaviour, and “is more likely to be remembered on the job” than more compliance or rule-based approaches.⁴⁴ Qualitative research commissioned by the Institute of Chartered Accountants in England and Wales (ICAEW) also points to the benefits of a case study approach to ethics. The ICAEW suggests that there are limitations associated with on-line training which is “too simplistic” or general training which is “trying too much to enforce rigid patterns of behaviour” or is “too abstract, or a simple box-ticking exercise,” both of which are features associated with less sophisticated on-line training packages. Simplistic, box-ticking training was found to correlate negatively with “overall organisational integrity.”⁴⁵ As a result, the researchers from the University of Leeds recommended that training

*should be based on real-life case studies, since this both demonstrates the relevance of ethics, and enables participants to improve their ethical decision-making skills through the discussion of scenarios which are qualitatively similar to those they are likely to face in real life.*⁴⁶

- 2.21** While the on-line, or limited face-to-face dissemination of information about the Civil Service Code is valuable in raising awareness of principles and rules, the more interactive case-study approach covered in the Fast Stream induction programme introduces officials to the application of principles and rules in

⁴² <http://faststream.civilservice.gov.uk/about-fast-stream/support-and-training/>

⁴³ Ibid

⁴⁴ Carol W. Lewis and Stuart C. Gilman, *The Ethics Challenge in Public Service: A Problem Solving Guide*, Third Edition (San Francisco: Jossey-Bass, 2012), p. 211

⁴⁵ Jim Baxter, et al, “Real Integrity: Practical solutions for organizations seeking to promote and encourage integrity,” ICAEW, 2012, p. 2

⁴⁶ Ibid, p. 2

context – a practice that is more likely to have a greater impact in embedding ethical standards. We noted the value of case-study material in *Standards Matters*, alongside contemporaneous prompts, as effective means of embedding standards. The research findings published in our *Survey of public attitudes towards conduct in public life 2012* also show that the public values interactive and personalised means of promoting understanding of ethical standards. Our survey showed that there was very wide agreement in all segments of the British general public that the methods seen as most important for ensuring good standards are: the promotion of a culture in which people are not afraid to report wrongdoing; training of staff on a code of conduct; and the setting of a good example by senior managers.⁴⁷

- 2.22** The Committee recognises that there are issues of cost in providing access to externally facilitated face-to-face sessions for all new starters in the Civil Service, but **consideration should be given to using case-study material on the Civil Service Code and the application of its values in practice in induction packages across the Civil Service.** Using Line Managers to develop and deliver the material with new starters would also have the added benefit of reinforcing their own understanding of ethical standards, modelling ethics and promoting the Civil Service values – required behaviours under the new Civil Service Competency Framework.⁴⁸

Increasing Effectiveness (i): Induction for Special Advisers

- 2.23** The induction programme for Fast Stream Civil Servants addresses the need to prepare these individuals for working at the centre of Government in the future, advising Ministers on key policy and operational decisions. Working alongside them during those key decision-making moments will be Special Advisers: Civil Servants also bound by the Seven Principles of Public Life with their own Code of Conduct deriving from those principles.
- 2.24** The extent to which Special Advisers are actively prepared for their role, through a formal, or even an informal, induction process, is variable. In evidence to the Public Administration Select Committee, the Cabinet Office stated that the “induction process for new special advisers is shared by the appointing Minister, the relevant Permanent Secretary and the Propriety and Ethics Team in the Cabinet Office.”⁴⁹ Evidence submitted to a research project conducted by the Constitution Unit, however, casts doubt on the impact of past and recent induction processes – “Many of the special advisers interviewed complained that they had received no training and little guidance, especially when they started.”⁵⁰
- 2.25** There have been calls on a number of fronts for a more professional approach to the induction and training of Special Advisers in order to provide them with a collective and individual understanding of their responsibilities in post – responsibilities which we would argue are both ethical and practical. Nick Hillman, a Special Adviser under the Coalition Government, for example, has argued in favour of an early, concentrated induction process:

If all special advisers had been whisked away to the School of Government at Sunningdale for the first weekend after entering government, the impact could have been profound [...] We could have heard first-hand about administration from past special advisers, ministers and officials and been told what the rest of the Civil Service was expecting from us.

*The School of Government no longer exists but the Institute for Government or a university department (such as the Constitution Unit of UCL) could be contracted to undertake induction for new special advisers on a change of government, a general election or a major reshuffle.*⁵¹

47 *Survey of public attitudes towards conduct in public life 2012* (London: Committee on Standards in Public Life, 2013)

48 <http://resources.civilservice.gov.uk/wp-content/uploads/2011/05/Civil-Service-Competency-Framework-Jan2013.pdf>

49 *Special advisers in the thick of it, Sixth Report of the House of Commons Public Administration Select Committee*, HC134 (2012-13), p. 15

50 *Being a Special Adviser* (London: The Constitution Unit, 2014), p.4

51 Nick Hillman, *In Defence of Special Advisers: Lessons from Personal Experience* (London: Institute for Government, 2014), pp. 27-8

2.26 The Committee agrees that there should be an induction programme for new Special Advisers, in line with the calls for greater professionalisation of the role.⁵² And, we would argue, that induction should cover the ethical roles and responsibilities of the Special Adviser, since their operational effectiveness depends upon understanding the practical application of the principles in their Code of Conduct, as well as information about the workings of Whitehall, and the specific skills to work effectively with Civil Servants, Ministers and the media, and the boundaries between them.

2.27 The Public Administration Select Committee (PASC) has set out a clear framework and rationale for comprehensive induction training for Special Advisers:

*The Government should ensure that all special advisers receive induction training within three months of taking up the role. Ministers who are appointing a special adviser for the first time should also be made properly aware by their officials of their special advisers', and their own, responsibilities and obligations. The induction training for special advisers should cover: the structure and work of the relevant department; the scope and meaning of the various Codes of Conduct to which special advisers are subject; the implications of their status as temporary civil servants (including the business appointment rules process, and their obligations under public records and access to information legislation); the nature of their accountability to ministers (and ministers' accountability to Parliament); the role of permanent secretaries in managing the work and reputation of the department as a whole; and where to seek advice and support on propriety issues. This would ensure that all special advisers and their ministers have a shared understanding of what is expected and appropriate behaviour for special advisers.*⁵³

2.28 The Government agreed with PASC's recommendation.⁵⁴ **The Committee also endorses PASC's recommendation, and welcomes PASC's recognition that standards of conduct, and the Codes and principles that underpin them, should be at the heart of a structured induction process. The Committee will therefore monitor the Government's progress in meeting PASC's recommendations.**

Increasing Effectiveness (ii): Police and Crime Commissioners

2.29 The Committee will also monitor the progress of Police and Crime Commissioners (PCCs) in adopting Codes of Conduct and actively implementing them at an organisational level. One of the more recent additions to the landscape of public life, PCCs have, since 2012, been elected to "be the voice of the people and hold the police to account [... and] are responsible for the totality of policing."⁵⁵ Like other public office holders, the post of PCC is covered by the Seven Principles of Public Life.

2.30 It is somewhat disappointing, then, that not all PCCs have published a Code of Conduct and that, on the basis of evidence submitted to the Home Affairs Select Committee, there seems to have been no formal induction process in place following the election of the first cadre in 2012, although the Local Government Association offers PCCs membership and access to the learning and training packages offered by the LGA. The Association of Police and Crime Commissioners has produced an Ethical Framework for PCCs, but this does not require PCCs to adopt a Code of Conduct, although some have chosen to do so.⁵⁶

2.31 The Chair of the Committee on Standards in Public Life wrote to all PCCs in April 2014, emphasising the importance of their role as ethical leaders both in exemplifying high ethical standards and in ensuring they meet their responsibilities to improve police accountability and improve public trust. Adoption of a Code of

⁵² Ben Yong and Robert Hazell, *Special Advisers: who they are, what they do and why they matter* (Hart Publishing, forthcoming 2014)

⁵³ *Special advisers in the thick of it, Sixth Report of the House of Commons Public Administration Select Committee*, HC134 (2012-13), p. 16. Ben Yong and Robert Hazell, *Special Advisers: who they are, what they do and why they matter* (Hart Publishing, forthcoming 2014)

⁵⁴ *Special advisers in the thick of it: Government's Response to the Committee's Sixth Report of Session 2012-13, Second Special Report of the House of Commons Public Administration Select Committee*, HC 515 (2013-14)

⁵⁵ <http://apccs.police.uk/role-of-the-pcc/>

⁵⁶ See, for example, Sir Clive Loader, PCC for Leicestershire, who has adopted a Code of Conduct and is setting up an Ethics Committee to deal with ethical dilemmas in practice, and Martin Underhill, PCC for Dorset who has published a code of conduct and jointly chairs a Standards and Ethics board with his Chief Constable.

Conduct and embedding that Code through induction and training on its principles and rules would be the best indication that PCCs have recognised their responsibilities as public office holders and elected leaders.

- 2.32** The Committee therefore endorses the recommendation of the Home Affairs Select Committee that there should be

*a transition period for new commissioners of one month between election and taking office. This would allow time for the Association of PCCs, College of Policing, Local Government Association, and others to provide intensive training for newly elected commissioners, and a period of transition for post-holders and their teams.*⁵⁷

That ‘intensive training’ should cover the Seven Principles of Public Life and, in the absence of a single corporate Code of Conduct for PCCs, the APCC’s Ethical Framework. Given that the role of the PCC is to hold the police to account for high standards of conduct, PCCs should also be fully aware of the principles and Codes that apply to the police. **Induction for PCCs should attempt to develop an understanding of ethics in practice and the role of the PCC as an ethical leader, understanding and modelling high standards of conduct while holding others to account.**

Political Standards (i): Local Authority Induction

- 2.33** The approach taken to induction for the elected members of Local Authorities could provide a useful model for Police and Crime Commissioners. We surveyed Local Authority Monitoring Officers and elected representatives in England, seeking information on the content, reception and perceived effect of induction for elected members, focusing particularly on the standards element of induction. The results of our survey, set out in Box 5, are, in general, promising.⁵⁸

Box 5

Local authority induction

90% of those who responded to our survey stated that their Local Authority provided an induction programme for newly elected councillors.

When asked if that programme had a session looking at standards in public life, councillor conduct or ethical behaviour:

- 68% of respondents said induction covered the Seven Principles of Public Life
- 88% said induction covered the Council’s Code of Conduct
- 73% said induction covered conflicts of interest and expenses
- 55% said induction covered a range of ethical, conduct and standards issues
- 88% said that the standards element of their induction looked at both rules and principles
- over 80% of those who responded said that the standards, conduct or ethical behaviour component of the induction programme was delivered by council staff
- Only 5% said their council’s induction programme did not look at standards in public life, councillor conduct or ethical behaviour.

⁵⁷ *Police and Crime Commissioners: Progress to Date, Sixteenth Report of the House of Commons Home Affairs Select Committee*, HC757 (2013-14), p.6

⁵⁸ For full survey results, visit www.public-standards.gov.uk

Box 5 (continued)**Local authority induction**

- 83% of those who responded felt that councillors at their Local Authority were familiar or fairly familiar with the Seven Principles of Public Life.

Learning techniques during induction included: presentations, briefings, case studies, and members talking through real life situations.

- 2.34** Some of the individual responses to the survey indicated a comprehensive approach to including ethics in induction:

Box 6

Our induction attempted to ensure that all Members were fully aware of the provisions of the Code of Conduct and the requirements of the current standards regime, the Principles of Public Life and the Council's own ethical governance framework; it also covered a wide range of relevant matters including ethical governance, public sector equality duty, the new standards arrangements, the code of conduct, the difference between Disclosable Personal Interests, Personal Interests and conflicts of interest generally, the relevance of pre-determination and pre-disposition (particularly in planning matters) and the availability of dispensations to enable members to speak and/or vote on certain matters despite having an interest in a particular matter.

- 2.35** Other responses, however, indicate scope for improving coverage of standards issues within induction and attitudes towards it by elected members:

Box 7

"Newly elected Members do not receive any advance notice of the requirements when they are selected as candidates and do not attach great importance to high standards of ethical conduct."

"It [standards] needs to be a mandatory element of induction."

"Competency training is essential and Members should be required to undertake training and understand the Seven Principles before taking part in decision making."

- 2.36** There are resources available to Local Authorities to guide them in devising and delivering induction programmes, reminding them of the need to cover the Code and conduct and standards issues. The Local Government Association and associated bodies, for example, have published:

- *Councillors' guide: A guide for new councillors 2014/15*⁵⁹
- *21st Century guide for new members* (2013) which provides advice for council officers which brings together good practice and practical experience of delivering induction programmes to newly elected members;⁶⁰ and
- *The 21st Century guide to member induction* (2010) to "help Local Authorities improve and develop their induction programmes."⁶¹

- 2.37** The Committee is aware that there are differing views as to the attendance rate at council induction programmes, and that attendance at induction, or receipt of induction material may not necessarily indicate

59 *Councillors' guide: A guide for new councillors*, Local Government Association (2014), http://www.local.gov.uk/publications/-/journal_content/56/10180/6202054/PUBLICATION

60 *The 21st Century Guide for New Members*, Local Government Association (2013), http://www.plymouth.gov.uk/the_21st_century_guide_for_new_councillors.pdf

61 *The 21st Century guide to member induction*, Leadership Centre for Local Government (2010), <http://www.localleadership.gov.uk/images/21stCCguidetomemberinduction.pdf>

awareness or understanding of the Seven Principles or a code of conduct. However, the responses to our survey, the range of materials provided on local councillor induction programmes, and the evidence on council websites on the review and development of their own induction programmes indicate that induction as a process is taken relatively seriously by Local Authorities and that the Seven Principles and the individual council's Code of Conduct are relatively well-integrated into induction processes.

- 2.38** There is, however, always room for improvement in the profile of standards, conduct and ethical behaviour within Local Authority induction programmes. The Committee is concerned that financial constraints may result in less emphasis being placed on induction in future and that changes to the Local Authority standards regime may result in ethical standards becoming less of a priority and less actively monitored. **The Committee will therefore continue to monitor provision of Local Authority induction programmes and the profile of standards, conduct and ethical behaviour within those programmes by repeating its snapshot survey in 2015.**

Political Standards (ii): Parliamentary Induction

- 2.39** Surveys and studies of the induction arrangements for Members of Parliament tell a different story from those covering their counterparts in Local Government. In its review of the 2010 orientation and induction programme for new MPs, the Hansard Society reported that, beyond the initial briefing meeting held in the Commons Chamber (which was whipped), the main induction programme itself was poorly attended.⁶² Despite the care put into devising the programme, its spread over a period of time, and the involvement of external parties like the Hansard Society, the Institute for Government and the London School of Economics, "officials estimated that just 19% of new Members had attended at least one session."⁶³ The workshop on dealing with difficult ethical dilemmas was cancelled due to poor take up.⁶⁴
- 2.40** The Hansard Society noted timing as a factor for the disengagement with the induction session on ethics, but also noted that "Members' understanding of and willingness to engage with the broader ethical landscape was also a factor."⁶⁵ More recently, the Lay Members of the House of Commons Standards Committee reported the low level of take-up of training on standards and registration requirements for new and established MPs, delivered by the Commissioner and Registrar, as well as the justification that Elected Members were often "too busy to spend much time on standards."⁶⁶
- 2.41** Individual Members of Parliament have also talked about information overload and a desire to 'get on with the job' of being a Member of Parliament preventing them from active engagement with the induction programme beyond the initial orientation sessions. Some have also expressed an in principle objection to anything that approximates 'training' and is associated with those in the executive.⁶⁷ Another response to calls for induction and training for politicians, leaving aside the question of whether induction should cover ethics and standards, is that being a Member of Parliament is not a 'job' and not a 'profession' and that therefore individuals cannot be 'trained' for it, or at least not in the same way as individuals in other fields.⁶⁸
- 2.42** One of the obligations of holding office as an MP is to observe the ethical standards that MPs have conferred upon themselves, including the Seven Principles of Public Life and the rules set out in the MPs' Code of Conduct. And although there is a common view that "ethical standards were assumed," this is not a safe assumption to make, as the continuing list of cases (both minor and significant) dealt with by the Parliamentary Commissioner for Standards indicates.⁶⁹ Indeed, as Mark Philp's submission to the

62 Ruth Fox and Matt Korris, "A Fresh Start? The Orientation and Induction of New MPs at Westminster Following the 2010 General Election," *Parliamentary Affairs*, 65(2012), 559-575.

63 Ibid, p. 567

64 Ibid, p. 571

65 Ibid, p. 571

66 *Reflections of the Lay Members on the first year in post January 2013 – January 2014*, House of Commons Committee on Standards, 2014, p. 11.

67 Katrin Steinack, "Between Apathy and Enthusiasm: A International Comparison of MPs' Attitudes Towards Parliamentary Training," *Parliamentary Affairs*, 65(2012), 541-558

68 Ibid, and Colleen Lewis, "Barriers to Prioritising Education and Training for Parliamentarians: Role Complexity and the Media," *Parliamentary Affairs*, 65(2012), 699-714.

69 Michael Rush and Philip Giddings, *Parliamentary Socialisation: Learning the Ropes or Determining Behaviour?* (Basingstoke: Palgrave Macmillan, 2011), p 119,

Committee sets out, ethical practice in a political context may give rise to complexities that warrant a more developed approach to ethics in induction, and beyond.⁷⁰

- 2.43** The Committee therefore welcomes the approach currently being developed by the House Authorities to prepare an induction programme for the new intake of MPs in 2015 that draws on the expertise of the Commissioner for Standards, the Committee on Standards, and the Party Whips, to highlight the compliance requirements under the Members' Code of Conduct. There is clearly also a role for the party managers and leaders in ensuring attendance, and we would expect individual Members and parties to demonstrate their commitment to ethical standards by attending, and being prepared to justify themselves to constituents and the public at large if they do not. The Administration Committee's plan to "write to the Leaders of all parties represented at Westminster to encourage more proactive support by the parties of the training programmes put in place for 2015" is helpful in this respect.⁷¹ It is difficult to see how opting out of induction can continue to be justified as public trust in politicians declines and public attitudes are increasingly in favour of politicians acting "according to a set of guidelines about their behaviour" and undertaking "regular ethics and standards training."⁷²
- 2.44** The question remains, however, as to whether what is effectively an awareness-raising session on the rules, while necessary, is sufficient to embed ethical standards, or build an ethical culture within Parliament. Our review of practice in other organisations suggests that it is not. In their work examining how to develop MPs' ethical standards, Coghill, Donohue and Holland have argued that "skill in identifying, analysing and responding to ethical dilemmas is not readily learned through reading or instruction" and that "experiential approaches are the appropriate manner in which to develop the ethical skills of parliamentarians."⁷³ They go on to suggest a role for independent parliamentary commissioners in facilitating this learning.
- 2.45** Rush and Giddings, on the other hand, see the primary agents of attitudinal and behavioural socialisation for parliamentarians as the House of Commons, the parliamentary parties, and outside bodies and organisations, with the three key mechanisms of effecting socialisation as instruction, imitation and motivation.⁷⁴ This would suggest a greater role for the parties in embedding ethical standards within Parliament, working alongside and in concert with the House Authorities.
- 2.46** Political parties have resources available to them to transfer information to prospective and current Members of Parliament, discuss and develop ethical skills in the context of individual cases and broader ethical principles, and signal the importance of ethical standards to their members. As noted in the *Report of the All-Party Parliamentary Inquiry into Electoral Conduct*, and confirmed by discussions between the Committee and the Chief and Deputy Chief Whips, the parties have screening, selection, training, guidance and support mechanisms for candidates. Within Parliament, the parties offer meetings, away-days, advice and instruction through the Whip's Office, and access to the experience of longer-standing members. We are also aware that parties are, at present, actively engaging with standards issues, not least through developing respect and conduct policies to cover the relationship between party members and their employees.⁷⁵
- 2.47** The Electoral Conduct inquiry report recommended that parties "draw upon expert knowledge and enhance the level of existing training. When training cannot be provided, appropriate guidance should be issued."⁷⁶ The Electoral Conduct inquiry focused on training on anti-discrimination and equalities issues in the context

⁷⁰ Mark Philp, *Public Ethics and Political Judgment*, July 2014, www.public-standards.gov.uk

⁷¹ *First weeks at Westminster: induction arrangements for new MPs in 2015*, First Report of the House of Commons Administration Committee, HC 193 (2013-14), p. 28.

⁷² *Audit of Political Engagement 11: The 2014 Report with a focus on the accountability and conduct of MPs*, Hansard Society, 2014, p. 6

⁷³ Ken Coghill, Ross Donohue and Peter Holland, "Parliamentary Accountability to the Public – Developing MPs' Ethical Standards," *Australian Parliamentary Review*, 23(2008), pp. 115-6

⁷⁴ Michael Rush and Philip Giddings, *Parliamentary Socialisation: Learning the Ropes or Determining Behaviour?* (Basingstoke: Palgrave Macmillan, 2011), p. 175

⁷⁵ See, for example: *Respect Policy, First Report of the House of Commons Committee on Standards*, HC 321 (2014-15); "Leaked: new code of conduct for Tory MPs," Channel 4 News, 11 April 2014 <http://www.channel4.com/news/westminster-code-of-conduct-exclusive-mps>; and "Response from Party President Tim Farron," *Liberal Democrat Voice*, 15 January 2014, <http://www.libdemvoice.org/internal-investigation-into-allegations-against-lord-rennard-37847.html>

⁷⁶ *Report of the All-Party Parliamentary Inquiry into Electoral Conduct*, October 2013, p. 48

of candidate conduct during elections, but the recommendations put forward by the inquiry in light of party structures and training could equally be applied to raising ethical awareness and skills. There is scope for the major parties to promote the Seven Principles of Public Life to prospective Members, and actively explore with them the ethical obligations that will pertain once a candidate becomes a Member of Parliament. New MPs should then at least be primed for the ethical challenges and obligations that await them and potentially more receptive to the information provided by the Commissioner for Standards and the House Authorities during induction.

- 2.48** A similar pro-active approach should be taken in relation to new induction for new Peers as well. As a recent report commissioned by the Parliamentary Office of Science and Technology notes, the induction arrangements for members of the House of Lords have been much less researched and there is little, if any, publicly available material on the induction procedures for the Lords.⁷⁷ Padilla and Hobbs note party- and House Authority-led orientation and induction procedures, but no formal induction sessions provided by external bodies. Padilla and Hobbs consider induction provision in the Lords more limited than that offered in the Commons.⁷⁸
- 2.49** Conversations with the Clerk of the Parliaments confirm that all new Peers are sent a personal copy of the Code of Conduct, that attendance at the induction and orientation sessions is generally good, and that there are plans in place to open up the next induction session for new Peers to recently appointed Peers as a refresher. **We consider that it would be prudent to offer refreshers to all established Peers, either alongside or as part of induction sessions for new Peers.**
- 2.50** In light of the recent changes to the House of Lords' Code of Conduct, made in part in response to our report on lobbying and to emphasise the need for a greater emphasis on observance of the spirit as well as the letter of the rules, Peers will also need to be updated on their new responsibilities as set out in the revised Code. We understand that approaches to doing so are currently being considered. The Committee believes that the decision to emphasise the spirit of the Code provides a perfect opportunity for the House Authorities and the parties to remind all Peers of their obligations to observe the Seven Principles of Public Life and act as ethical leaders whilst undertaking their parliamentary duties. This would involve a more detailed and challenging approach to ethics in induction for new Peers.
- 2.51** Unlike the provisions for inducting members of the House of Lords, which need to respond to occasional and relatively irregular decisions to appoint individual and groups of Peers, the fixed electoral cycle for MPs provides an opportunity for induction processes to be planned and revised on a rolling basis. The call from the Lay Members of the Standards Committee for "greater clarity, in terms of how standards are implemented and who is responsible for this" and "specific induction programmes (for new Members elected to the House), and refresher training of all Elected Members," plus the current inquiry by the Standards Committee into the standards system in the House of Commons show that there is an appetite for improving ethical standards within Parliament.⁷⁹
- 2.52 Parliament needs to make better use of its induction programmes to increase awareness of ethical principles and rules, and embed ethical standards.** The political and administrative resources in both Houses, as well as the external resources of organisations with professional expertise in ethics could usefully feed in to the development of future induction programmes, and any longer term programmes for professional development. The examples set by other organisations, which use induction to signal the importance of codes of conduct and their underpinning principles, explore what the rules and principles mean in practice using different learning techniques, and, as we explore subsequently in this report, reinforce the messages of induction on an ongoing basis provide a useful resource for Parliament.

⁷⁷ Ana Padilla and Abbi Hobbs, *Science and Technology Related Induction Needs in the House of Lords*, November 2013, <http://www.parliament.uk/documents/post/Padilla%20and%20Hobbs%202013%20ST%20related%20induction%20needs%20in%20the%20HoL%20Full%20report.pdf>

⁷⁸ Ibid, p. 12

⁷⁹ *Reflections of the Lay Members on the first year in post January 2013 – January 2014*, House of Commons Committee on Standards, 2014, p. 2 and the Inquiry into the Standards System in the House of Commons, <http://www.parliament.uk/business/committees/committees-a-z/commons-select/standards/inquiries/parliament-2010/complaints-about-members-of-parliament/>

2.53 We therefore agree with the recommendations of the Administration Committee that:

training and professional development provided for Members is an activity which should be undertaken for the course of a parliament, not just as an element of induction. It should be provided in a variety of formats to cater for different learning styles and time availability and should be offered at times that suit individual Members, rather than fixed slots.⁸⁰

2.54 **MPs, parties and the House Authorities should take this opportunity to develop a meaningful and credible induction and professional development programme that covers the Seven Principles of Public Life and the separate Codes of Conduct, building on lessons learned from recent or significant standards breaches, that meets the needs of MPs and Lords and the expectations of the public.**

Conclusion

2.55 Whether they are elected or appointed, office holders or employees, those in public life have an obligation to perform their roles in ways that are consistent with the Seven Principles of Public Life, and the rules embodied in the codes that derive from them. That includes those sectors, organisations and office holders with established governance arrangements as well as those that have recently been created, and those who have moved away from uniform governance models, and by implication, uniform approaches to induction, like education and health.

2.56 There is a level of both professional and ethical competence that those in public life need to fulfil their roles and against which they will be judged, ultimately by the public. It is our simple conclusion, then, that **induction is essential to ensure that public office holders are aware of the standards expected of them, and that ethical standards need to be included in the induction arrangements for all those public life.**

⁸⁰ *First weeks at Westminster: induction arrangements for new MPs in 2015*, First Report of the House of Commons Administration Committee, HC 193 (2013-14), p. 26

Chapter 3:

Beyond Induction

- 3.1** The success of induction programmes is generally perceived as resting on three factors: the content and mode of delivery; being clear as to the desired outcome of the programme; and the situation of induction in a longer term, more expansive, explicitly valued and actively led approach to learning and development.⁸¹ Factoring ethical standards into induction does little to change this basic assessment, although some scholars have argued that unless those responsible for designing and delivering “ethical interventions” draw on the insights of behavioural ethics, interventions like induction and training are likely to fail.⁸²

Awareness or Understanding?

- 3.2** The success of any ethics element in an induction or professional development programme requires, as a first step, developing an understanding of the objective to be achieved. For most induction programmes, the aim is awareness raising and developing an understanding of principles, rules and where, when and how those principles and rules are likely to come into play; it is not generally the desire fully to equip individuals with the skills to deal effectively with ethical dilemmas.
- 3.3** Insofar as the aim is raising awareness, an on-line package may be sufficient, as discussed in paragraph 2.10. Making completion of on-line learning compulsory, or linking it to a test, may also go some way to signifying the importance of the issues covered and building a basic level of knowledge. Awareness of the subject area, or even learning material in order to pass a test, especially a tick-box test, however, is no guarantee of real understanding. And unless the initial course is explicitly followed up in any way, it is difficult to see how its subject matter is likely to be seen as important, and any initial awareness is likely to fade. It is unsurprising, then, that many of those we interviewed as part of this project were sceptical of the value of on-line learning packages as the sole means of embedding ethical standards in public life.
- 3.4** The Committee does not believe that relying solely on on-line material to cover the Seven Principles or the rules set out in a code of conduct constitutes best practice. There should always be a face-to-face element in induction, or in subsequent training and development options, that covers ethical standards. A face-to-face approach provides an opportunity to talk through issues, test the individual’s understanding of the principles and rules against the perceptions of others, and challenge prejudices or preconceptions.
- 3.5** We are aware that a range of training and learning providers offer short courses and workshops on ethics in practice, either in relation to specific standards issues such as bribery and corruption, or ethics in the context of particular sectors, such as business.⁸³ We are also aware of recent increased training provision to meet compliance requirements in many professional services across the public and private sectors which provide opportunities for ethical issues to be addressed and considered we welcome such initiatives. We also welcome less formal methods of approaching ethics in practice, such as the Peer-to-Peer sessions

81 See, for example: *Teaching Ethics and Values in Public Administration Programs: Innovation, Strategies, and Issues*, ed. by James Bowman and Donald Menzel (Albany NY: State University Press, 1998); Christoph Demmke and SNE Timo Moilanen, *Effectiveness of Good Governance and Ethics in Central Administration: Evaluating Reform Outcomes in the Context of the Financial Crisis*, European Institute of Public Administration, December 2011; Carol W. Lewis and Stuart C. Gilman, *The Ethics Challenge in Public Service: A Problem Solving Guide*, Third Edition (San Francisco: Jossey-Bass, 2012); John A. Weber, “Business Ethics Training: Insights from Learning Theory,” *Journal of Business Ethics*, 70(2007), 61-85; and a range of publications by the Institute of Business Ethics.

82 Max H. Bazerman and Ann E. Tenbrunsel, *Blind Spots: Why We Fail to Do What’s Right and What to Do About It* (Princeton and Oxford: Princeton University Press, 2011)

83 See, for example, the Institute for Business Ethics.

offered by staff in Cabinet Office's Propriety and Ethics team, which provide ad hoc opportunities for interested staff in Cabinet Office to attend short discussion sessions on the codes of conduct that cover all those working in government departments and their application in relation to individual cases.

- 3.6** The Committee is not aware of any providers in the learning and development market that focus specifically on awareness and understanding of the Seven Principles of Public Life for those in public life. **We are therefore currently engaged in discussions with the Chartered Institute of Finance and Accountancy (CIPFA) to investigate the possibility of a developing an ethical awareness workshop that focuses on the Principles and is adaptable to various sections of public life, such as, for example, the Civil Service, Local Government, and the Police. We hope that such a workshop could usefully supplement predominantly on-line induction programmes.**

Integrated or Standalone?

- 3.7** Clearly such a workshop would isolate ethical standards as a subject to be understood and, potentially, the application of those standards as a separate competency to be learned. There are differing schools of thought as to whether isolation serves to highlight the importance of ethical standards, and recognises ethical decision-making as a particular skill that needs to be refined, or whether integrating ethics into other learning and development material is the best way of embedding ethical standards. The question of isolation or integration also extends to whether a specific ethics workshop is best integrated into an induction programme, or is better as a separate part of a suite of training and development options to be taken up as part of continuous professional development after the initial period of induction. What is not in question, however, is the beneficial effect of embedding induction within a broader learning and development programme and an explicit narrative that endorses ethics.
- 3.8** Some of those interviewed during this project viewed the prospect of standalone sessions on ethics as a barrier to acceptance, often on the basis that such sessions would be seen as remedial in nature and that those who attended ran the risk of being labelled as 'unethical.' This fear is particularly acute in political settings – quite rationally, given press responses to the prospect of anything labelled 'ethical training.' In these circumstances integration of standards matters into other events and material may be crucial to the success of raising awareness and understanding of ethical rules and principles without stigma.
- 3.9** There can, however, be an explicit value in isolating ethics in induction and training, to signal that active steps are being taken to address ethical failures. Serco, for instance, in its *Corporate Social Responsibility Report* for 2013, responds directly to its well-publicised ethical failures by clearly setting out a series of distinct measures focusing on ethics (including ethics in induction and training):

We have also set up a board committee for corporate responsibility, to oversee our approach to ethics, the structure of governance, risk management, health and safety, and the environment.

Our people need to feel confident that they can raise potential ethical conflicts, so we can identify them early and take appropriate action. Towards the end of 2013, we appointed an ethical lead in each division, who is answerable to a divisional ethics committee. During 2014, we will also review our Code of Conduct and the way we define our values, provide ethical leadership training to all of our managers and make improvements to our performance management process.⁸⁴

Although initiated as a remedial measure, we would hope that this focus on ethical standards will become a positive feature in future.

- 3.10** Other organisations, such as the College of Policing, have taken an active decision to integrate ethical standards into a range of subject- and skill-specific modules on their induction and training courses, so that ethics will be seen as integral to everyday policing. In this instance, integration is a positive choice designed to contribute to building an ethical culture. Whatever is learnt in induction through the College of Policing is

⁸⁴ <http://www.cr2013-serco.com/Commitment.html>

reinforced through the messaging on its website and the material provided under clear website headings such as 'Leading on ethics and integrity.'⁸⁵

- 3.11** PwC takes a similar approach, reinforcing the messages of induction by making it clear that ethics is integral to the operation of the firm. PwC has a dedicated Ethics and Business Conduct section on its website, which includes a code and a framework for ethical decision making, as well as list of ethics questions to consider when making day-to-day decisions (see Box 8).⁸⁶ There is a clear narrative that ethical standards are integral and important, which in turn makes the messages of induction that much more likely to be absorbed and taken seriously.

Box 8

Summary of Ethics Questions to Consider

1. Is it against PwC or professional standards?
2. Does it feel right?
3. Is it legal?
4. Will it reflect negatively on you or PwC?
5. Who else could be affected by this (others in PwC, clients, you, etc.)?
6. Would you be embarrassed if others knew you took this course of action?
7. Is there an alternative action that does not pose an ethical conflict?
8. How would it look in the newspapers?
9. What would a reasonable person think?
10. Can you sleep at night?

- 3.12** The narrative that ethics is important may be also be signified by linking it to progression, again ensuring that the messages of induction are not lost but reinforced. In Clifford Chance, for example, induction, which covers professional standards and ethics, is the first step on a career ladder where ethical standards will be integral to success. Standards and ethics are seen as key to being a leader, and unless staff can demonstrate proficiency in these areas they will not become partners. There is a clear expectation that teaching and maintaining ethical standards will be part of the role of partner, and the managing partner of each office has responsibility for ethical standards.
- 3.13** Integrating induction itself into a broader programme of continuing professional development and a narrative of commitment to ethical standards is an important means of making induction work. Deciding whether to integrate ethics into other induction and learning modules or to have a separate standalone session is a choice best made in light of the particular circumstances and needs of the organisation. An informed choice on integration or isolation may well be crucial in determining the effectiveness or otherwise of induction in embedding ethical standards. Decisions on designing and delivering induction programmes therefore need to be taken carefully, in light of the needs of the organisation as a whole, as well as the individuals within that organisation.

⁸⁵ <http://www.college.police.uk/>

⁸⁶ See <http://www.pwc.com/gx/en/ethics-business-conduct/code-of-conduct.jhtml>, and for Box 8: <http://www.pwc.com/gx/en/ethics-business-conduct/ethics-questions.jhtml>

Behavioural Ethics

- 3.14** That care should extend to an awareness of the insights from behavioural ethics, according to Bazerman and Tenbrunsel, in their book *Blind Spots: Why We Fail to Do What's Right and What to Do About It*. Bazerman and Tenbrunsel argue that:

*Ethics interventions have failed and will continue to fail because they are predicated on a false assumption: that individuals recognize an ethical dilemma when it is presented to them. Ethics training presumes that emphasizing the moral components of decisions will inspire executives to choose the moral path. But the common assumption this training is based on – that executives make explicit trade-offs between behaving ethically and earning profits for their organizations – is incomplete. This paradigm fails to acknowledge our innate psychological responses when faced with an ethical dilemma.*⁸⁷

- 3.15** Despite operating within a predominantly business-based framework, the conclusions of Bazerman and Tenbrunsel provide a useful addition to the debate on what works in embedding ethical standards through induction and training. Their analysis of ethical blind spots and the effects of bounded ethicality – “the systemic ways in which people engage in unethical behaviour without their own awareness” – provides a useful resource for those considering how best to build ethics into induction.⁸⁸ Bazerman and Tenbrunsel offer a range of “remedies” for addressing ethical blind spots such as “motivated blindness” where “we overlook the unethical behavior of others when it’s in our interest to remain ignorant”, or “indirect blindness” where “we hold others less accountable for ethical behaviour when it’s carried out through third parties.”⁸⁹ These remedies involve an active and questioning approach to ethics and standards, rather than the more passive awareness-raising techniques or rule-based learning that is common in more basic induction programmes.
- 3.16** Bazerman and Tenbrunsel also place a special premium on leadership as a means of recognising and addressing these blind spots and cognitive biases. Leaders need to be aware, facilitate staff awareness and take the steps necessary to “create the ethical organizations they aspire to run.”⁹⁰ While Bazerman and Tenbrunsel provide a distinct and provocative analysis of ethical failures and how to combat them, in seeing leadership as the key factor, they join a widespread consensus on the value of leadership in embedding ethical standards.

⁸⁷ Max H. Bazerman and Ann E. Tenbrunsel, *Blind Spots: Why We Fail to Do What's Right and What to Do About It* (Princeton and Oxford: Princeton University Press, 2011), p.4

⁸⁸ Ibid, p. ix

⁸⁹ Max H. Bazerman and AnnE. Tenbrunsel, “Ethical Breakdowns: Good people often let bad things happen. Why?” *Harvard Business Review*, (April 2011), p. 63

⁹⁰ Bazerman and Tenbrunsel, (April 2011), p. 60

Chapter 4

Conclusion

Leadership

- 4.1** The clearest message the Committee received during this project was that leadership was key to embedding ethical standards, both in the broadest sense and in relation to the success of induction as a separate process. Those in public life need to show individual leadership in the personal choices that they make and the behaviours that they model. This includes the decision whether or not to embrace the ethical elements of induction or to seek it out when provision is lacking. Those at the top of organisations in public life also need to show leadership in taking all the necessary steps to ensure that ethical standards are fully embedded and embraced.
- 4.2** We made these points in *Standards Matters*, and almost all of those we spoke to as part of this report reiterated them. We heard of various methods that have been used to signify leadership commitment to ethical standards, from leaders delivering elements of in-house training on standards and conduct (Goldman Sachs), to organisations requiring ethical proficiency in order to progress to senior leadership positions (Clifford Chance), to organisations requiring senior leaders to undergo leadership training which itself focuses on values and ethics (NSPCC).
- 4.3** All of these are valuable approaches, and are perceived by the organisations in question as contributing both to the success of their induction programmes and the overall ethical climate of the organisation. Their assumptions are relatively sound, based on a body of work that “shows that employees imitate the behaviour of others in the workplace and look to leadership for guidance and direction when faced with ethical dilemmas.”⁹¹ Should those in positions of power and authority either pay lip service to standards, or through their actions and attitudes actively undermine them, the value of induction will be debased and its effectiveness undermined. When leaders “set the tone from the top [this] will almost certainly cascade down the organisation and be played out at many different levels and in many different situations.”⁹²
- 4.4** **The Committee expects all those in public life to demonstrate leadership. As the Seventh Principle states:**

LEADERSHIP

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

For us, leadership includes leadership in accepting, promoting and participating in the guidance and education, and in particular the induction training, that formed Lord Nolan’s third thread for ensuring that the Principles were understood and the highest standards of propriety in public life established and maintained.

⁹¹ Delois A. Frisque and Judith A. Kolb, “The Effects of an Ethics Training Programme on Attitude, Knowledge, and Training of Office Professionals: A Treatment and Control Group Design,” *Human Resource Development Quarterly*, 19(2008), p. 50, G.R. Weaver, L.K. Trevino and B. Agle, “Somebody I look up to: ethical role models in organizations,” *Organizational Dynamics*, 34(2005), 313-30.

⁹² Philippa Foster Back, *Setting the Tone: Ethical Business Leadership* (London: Institute of Business Ethics, 2005), p. 7

- 4.5** On the whole, we were pleased with what we found as part of this review. But those in public life can always do more to uphold the Principles that guide their behaviour. We would especially like to see more of an obvious demonstration of leadership in relationship to ethical standards from those in the Westminster Parliament, both elected and appointed. Parliament sits at the apex of public life, legislates on standards for others in terms of regulatory regimes, holds to account those who fall below public expectations in terms of those regulatory regimes, and calls for standards to be imposed where it believes they are necessary.⁹³ When it comes to ethics in practice, Parliament should lead by example and expect to be judged by the standards it imposes on others.

⁹³ See, for example, the work of the Parliamentary Commission on Banking Standards, the Home Affairs Select Committee, and the Public Administration Select Committee.

Appendix 1:

About the Committee on Standards in Public Life

1. The Committee on Standards in Public Life is an advisory Non-Departmental Public Body (NDPB) sponsored by the Cabinet Office. The Chair and members are appointed by the Prime Minister. The Committee was established in October 1994, by the then Prime Minister, with the following terms of reference:

"To examine current concerns about standards of conduct of all holders of public office, including arrangements relating to financial and commercial activities, and make recommendations as to any changes in present arrangements which might be required to ensure the highest standards of propriety in public life."

2. The remit of the Committee excludes investigation of individual allegations of misconduct.
3. On 12 November 1997 the terms of reference were extended by the then Prime Minister:

"To review issues in relation to the funding of political parties, and to make recommendations as to any changes in present arrangements."

4. A triennial review of the Committee was carried out in 2012, the report of which was published by the Government in February 2013. As a result, on 5 February 2013, the terms of reference of the Committee were clarified in two respects: *"...in future the Committee should not inquire into matters relating to the devolved legislatures and governments except with the agreement of those bodies"* and *"...the Committee's remit to examine "standards of conduct of all holders of public office" [encompasses] all those involved in the delivery of public services, not solely those appointed or elected to public office."*⁹⁴
5. The Committee is a standing Committee. It can not only conduct inquiries into areas of concern about standards in public life, but can also revisit that area and monitor whether and how well its recommendations have been put into effect.

Membership of the Committee

The Lord Bew (Chair)
 The Lord Alderdice
 The Rt Hon Dame Margaret Beckett DBE MP
 Sheila Drew Smith OBE
 Patricia Moberly
 Dame Denise Platt DBE (until 30 June 2014)
 David Prince CBE
 Richard Thomas CBE
 Dame Angela Watkinson DBE MP

⁹⁴ Hansard (HC) 5 February 2013, col. 7WS

Secretariat

6. The Committee is assisted by a Secretariat consisting of Ruth Thompson (Secretary), Leila Brosnan (Senior Policy Adviser), Laurie Mousah (Policy Adviser) and James Anderson (Secretariat Coordinator). Press support is provided by Maggie O'Boyle.

The Committee's Previous Reports

7. The Committee has previously published the following reports.
- *Ethical standards for providers of public services* (June 2014)
 - *Strengthening Transparency Around Lobbying* (November 2013)
 - *Standards Matter: A review of best practice in promoting good behaviour in public life* (Fourteenth Report) (Cm 8519)) (January 2013)
 - *Political party finance: Ending the big donor culture* (Thirteenth Report (Cm8208))(November 2011)
 - *MPs' Expenses and Allowances: Supporting Parliament, Safeguarding the Taxpayer* (Twelfth Report (Cm 7724))(November 2009)
 - *Review of the Electoral Commission* (Eleventh Report (Cm 7006)) (January 2007)
 - *Getting the Balance Right: Implementing Standards of Conduct in Public Life* (Tenth Report (Cm 6407)) (January 2005)
 - *Defining the Boundaries with the Executive: Ministers, Special Advisers and the Permanent Civil Service* (Ninth Report (Cm 5775)) (April 2003)
 - *Standards of Conduct in the House of Commons* (Eight Report (Cm 5663)) (November 2002)
 - *Standards of Conduct in the House of Lords* (Seventh Report (Cm 4903)) (November 2000)
 - *Reinforcing Standards: Review of the First Report of the Committee on Standards in Public Life* (Sixth Report (Cm 4557)) (January 2000)
 - *The Funding of Political Parties in the United Kingdom* (Fifth Report (Cm 4057)) (October 1998)
 - *Review of Standards of Conduct in Executive NDPBs, NHS Trusts and Local Public Spending Bodies* (Fourth Report) (November 1997)
 - *Local Government in England, Scotland and Wales* (Third Report (Cm 3702)) (July 1997)
 - *Local Public Spending Bodies* (Second Report (Cm 3207)) (June 1996)
 - *Members of Parliament, Ministers, Civil Servants and Quangos* (First Report (Cm 2850)) (May 1995)

Appendix 2:

Local Authority Survey Questions

Introduction

The Committee on Standards in Public Life, sometimes called the Nolan Committee, is an independent body which advises Government on ethical standards. The Committee promotes high ethical standards in public life and works to ensure that the Seven Principles of Public Life - selflessness, integrity, objectivity, accountability, openness, honesty and leadership – underpin all aspects of public life. The Seven Principles of Public Life were introduced in 1995.

The Committee on Standards in Public Life is currently looking at how best to embed high ethical standards in public sector organisations through induction, education and training. By high ethical standards we mean actively observing the Seven Principles of Public Life. This could mean, for example, acting in terms of the public rather than personal or private interest and not being improperly influenced by others; being honest, open and transparent and declaring all personal interests; and making decisions impartially, fairly and on merit.

One of the areas we are looking at is whether advice and guidance on ethical standards are covered in induction and training programmes for elected representatives, including local councillors.

This survey asks about your experience of Local Authority induction and training programmes for councillors.

The survey should take about 10 - 15 minutes to complete, and responses will be anonymous.

Part One: Induction

1. Are you a

- ☐ Councillor
- ☐ Council Official

2. Does your Local Authority provide an induction programme for newly elected councillors?

- ☐ Yes
- ☐ No
- ☐ Don't know

3. Did the Local Authority councillor induction programme you attended, or which you know about, take place

- ☐ Less than 2 years ago
- ☐ Between 2 and 5 years ago
- ☐ 5 to 10 years ago
- ☐ More than 10 years ago

4. Did your Local Authority's induction programme have a session looking at standards in public life, councillor conduct or ethical behaviour? Please tick all answers that apply.

- ☐ Yes, on the Seven Principles of Public Life
- ☐ Yes, on your Council's Code of Conduct
- ☐ Yes, on conflicts of interest and expenses
- ☐ Yes, on a range of ethical, conduct and standards issues (please list in comment box)
- ☐ No
- ☐ Don't know

Comment Box

5. Was the standards in public life, councillor conduct or ethics element of your Local Authority councillor induction programme

- ☐ A standalone session
- ☐ Part of a longer session covering a range of topics
- ☐ Don't know

6. Was the standards in public life, councillor conduct or ethics element of your Local Authority councillor induction programme delivered by

- ☐ Council staff
- ☐ A councillor or ex-councillor
- ☐ Council staff and councillors or ex-councillors
- ☐ An external provider
- ☐ Anyone else (please give details in comment box)
- ☐ Don't know

Comment Box

7. Did the standards in public life, councillor conduct or ethics element of your Local Authority councillor induction programme look at

- ☐ The rules to be followed
- ☐ General principles (like honesty, integrity, accountability etc) to guide behaviour
- ☐ Both rules and principles
- ☐ Anything else (please give details in comment box)
- ☐ Don't know

Comment Box

8. To the best of your knowledge, do you think your Local Authority's most recent councillor induction programme was attended by

- ☐ More than half of newly elected councillors
- ☐ Less than half of newly elected councillors
- ☐ Don't know

Part Two: Training and Guidance

9. To the best of your knowledge, does your Local Authority offer or recommend other types of training on standards in public life, councillor conduct or ethics?

- ☐ Yes, the Local Authority offers refresher or follow up courses (please give details in Comment Box)
- ☐ Yes, the Local Authority recommends councillors attend refresher or follow-up courses (please give details in Comment Box)
- ☐ No
- ☐ Don't know

Comment Box

10. Does your Local Authority have a designated individual that councillors can contact if they face an ethical dilemma or have a question about standards and conduct?

- ☐ Yes
- ☐ No
- ☐ Don't know

11. Have you recognised a situation as an ethical dilemma as part of your council role ?

- ☐ Yes
- ☐ No
- ☐ Don't know

12. Did you seek guidance on the ethical dilemma?

- ☐ Yes (please provide brief details in the Comment Box)
- ☐ No (please provide brief details in the Comment Box)

Comment Box

General Comments**13. Who do you regard as providing ethical leadership and maintaining the ethical tone in your Local Authority? Please tick all answers that apply.**

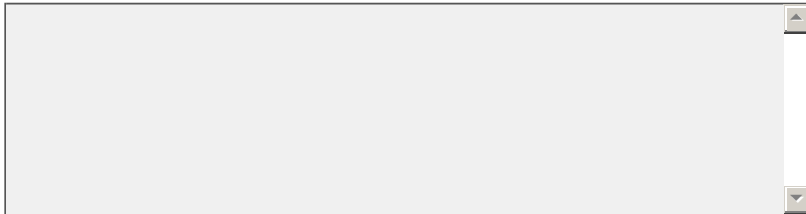
- ☐ Elected mayor or council leader
- ☐ Party group leader
- ☐ Party whip
- ☐ Chief Executive
- ☐ Other senior officer
- ☐ Other (please describe in Comment box)
- ☐ No one
- ☐ Don't know

Other (please specify)

14. How familiar do you feel councillors at your Local Authority are with the Seven Principles of Public Life?

- ☐ Familiar
- ☐ Fairly familiar
- ☐ Not familiar
- ☐ Don't know

Comment Box

**15. How do you think your Local Authority would deal with a request from a councillor for guidance on a particular standards, conduct or ethics issue?****16. Do you have any comments or suggestions on induction or training for councillors on standards in public life, councillor conduct and ethics?****Thank you**

Thank you for completing this survey.

If you have any queries or would like further information on standards in public life, please visit the website of the Committee on Standards in Public Life at: <http://www.public-standards.gov.uk/>

Appendix 3:

Interviews and Seminar

Interviews

- Audit Commission
- Civil Service Commission
- Civil Service Learning
- Clerk of the Parliaments
- Clerk to the House of Commons Standards Committee
- Clifford Chance
- College of Policing
- Goldman Sachs
- Government Chief Whip
- Government Deputy Chief Whip
- Paul Grant, Independent Trainer in Parliament & Government
- Hansard Society
- Hoey Ainscough Associates
- House of Commons, Department of Information Services
- Independent Parliamentary Standards Authority
- Institute of Business Ethics
- Sir Richard Lambert, Banking Standards Review
- Leader of the House of Commons
- Leadership Centre for Local Government
- NSPCC
- Parliamentary Commissioner for Standards
- Westminster Abbey Institute

Seminar Participants

- Professor Richard Ashcroft, Queen Mary, University of London
- Dr Richard Jarvis, NSGI, Defence Academy
- Professor Peter John, School of Public Policy, University College London
- Dr Ben Kotzee, Jubilee Centre for Character and Virtues, University of Birmingham
- Professor Mark Philp, University of Warwick
- Sheila Drew Smith, Member of the Committee on Standards in Public Life
- Ruth Thompson, Secretary of the Committee on Standards in Public Life
- Dr Regina Rini, Research Fellow, University of Oxford

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July 2014

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Annual Report 2013-14

Committee on Standards
In Public Life

September 2014

THE SEVEN PRINCIPLES OF PUBLIC LIFE

The Seven Principles of Public Life apply to anyone who works as a public office-holder. This includes all those who are elected or appointed to public office, nationally and locally, and all people appointed to work in the civil service, local government, the police, courts and probation services, NDPBs, and in the health, education, social and care services. All public office-holders are both servants of the public and stewards of public resources. The Principles also have application to all those in other sectors delivering public services.

SELFLESSNESS

Holders of public office should act solely in terms of the public interest.

INTEGRITY

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

OBJECTIVITY

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

ACCOUNTABILITY

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

OPENNESS

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

HONESTY

Holders of public office should be truthful.

LEADERSHIP

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

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FOREWORD

Since Lord Nolan set down the seven principles of public life - honesty, integrity, objectivity, accountability, openness, honesty and leadership - almost twenty years ago what we mean by public life in this country has changed significantly.

As we finalise this report, the full implication of the 'no' vote in the Scottish referendum is beginning to dawn on the United Kingdom. A momentous shift in democratic accountability is irrefutable; with new local structures, further devolution and a reallocation of power across our country widely expected.

In recent years the country has also adapted to widespread changes in the delivery of public services – including new third party providers of front line services, Clinical Commissioning Groups, Academies and Free Schools and Elected Mayors and Police and Crime Commissioners.

In the face of these changes, our research shows that public support for the seven principles endures. These principles are not merely theoretical concepts, they have practical consequences for ordinary people in receipt of public services. The public must feel reassured that for example safeguarding or educating children, caring for the elderly, or security arrangements at our prisons, are carried out in line with these expected behaviours.

The Committee for Standards in Public Life is at the centre of the storm over values which currently convulses British public life. Today, issues around the accountability of policing and local government are centre stage. Yesterday, it was the ethical standards of Members of Parliament: of particular relevance was the issue of lobbying. Before that, it was the scandals which surfaced concerning the performance of private companies who are in receipt of vast sums of public money. The Committee is determined to promote high standards in British public life. This requires facing up to the implications of such troubling controversies. I believe that the work we have carried out this year, detailed in this report, is an important contribution to the debate.

The Nolan principles were revolutionary at the time because they focused on behaviour and culture, rather than processes. High ethical standards need to be embedded and internalised in the culture of organisations. This applies equally to all providers of services to the public - whether they are in the private, public or voluntary sector. It is therefore important that all those involved in public service from MPs to front line local services remain alert to the fundamental role that high ethical standards play in the healthy functioning of society. Nearly twenty years on from the introduction of the seven principles of public life, they remain as relevant as ever in building public trust in our changing democracy.

UNCLASSIFIED

Finally, over the course of this year, the term of membership of two long-standing members of the Committee, Dame Denise Platt and Sir Derek Morris ended. Their departure will be a great loss for the Committee and I thank them for the enormous contribution they have made and the dedication with which which they carried out their role.

A handwritten signature in blue ink that reads "Paul Bew". The signature is written in a cursive, flowing style.

Paul Bew
Chair

UNCLASSIFIED

INTRODUCTION

1. The Committee on Standards in Public Life has wide terms of reference.

“To examine current concerns about standards of conduct of all holders of public office, including arrangements relating to financial and commercial activities, and make recommendations as to any changes in present arrangements which might be required to ensure the highest standards of propriety in public life and to review issues in relation to the funding of political parties, and to make recommendations as to any changes in present arrangements.”¹

2. The Committee fulfils this role partly through its formal inquiries and reviews. In addition, we routinely monitor and consider issues and concerns relating to standards in public life, track public perception of standards of conduct by public office holders and seek to promote the Seven Principles of Public Life. We contribute to public policy development through meetings, seminars, speaking engagements, and by responding to consultation papers on relevant issues.
3. This report provides an overview of the Committee’s activities over the course of the past financial year and beyond until July 2014. We also published Annual Plans for the years April 2013 -14 and April 2014 -15. Next year we will combine the Annual Report and Annual Plan into one document which will be published in July 2015.
4. In line with our post-Triennial Review ways of working we have carried out this year some shorter pieces of work. The first part of the year was spent conducting a review of transparency around lobbying. In the second half of the year we completed two short projects. The first considered ethical standards for providers of public services and the second ethics in induction and training. It is important that as part of its work the Committee researches public perception on standards issues and in September 2013 the Committee published its fifth general survey of public attitudes to standards in public life. We followed this up with research to compare UK public perceptions with those recorded in a number of other European countries which formed the basis of a public seminar in March 2014.
5. The appendices to the report provide detail about the structure and finances of the Committee.

¹ Hansard (HC) 25 October 1994, col. 758 and Hansard (HC) 12 November 1997, col. 899

OVERVIEW OF ACTIVITIES

Strengthening Transparency around Lobbying

6. The Committee published its Lobbying report in November 2013. We applied the Nolan principles to lobbying and considered how best the lobbied and lobbyists could live out those principles. In doing so we recognised that lobbying is a legitimate and potentially beneficial activity and necessary for effective policy formulation, and that free and open access to government is essential. But, lobbying must be carried out transparently and ethically.
7. We concluded that a package of measures was urgently required to deliver a greater culture of openness and transparency around lobbying; provide greater clarity for public office holders on the standards expected of them; and to reassure the public that a more ethical approach to lobbying is actively being applied by all those individuals and organisations involved in lobbying.
8. Recommendations included:
 - more timely and detailed disclosure about all significant meetings and hospitality involving external attempts to influence a public policy decision;
 - disclosure arrangements widened to cover special advisers and senior civil servants as well as Ministers, Permanent Secretaries and Departmental Boards;
 - public office holders who are outside the scope of the Freedom of Information Act (including Members of Parliament, Peers and Councillors) should be encouraged to disclose the same information and consideration should be given to including this in relevant Codes of Conduct;
 - extending the lobbying rules to former Members of the House for two years in respect of approaches to Ministers, other Members or public officials; and require former Members to register for two years any occupation or employment which involves them or their employer in contact with Ministers, other Members or public officials;
 - consideration to be given to Chairs of Select Committee having additional restrictions in relation to conflicts of interests and explicit provision that Members should not accept any but the most insignificant or incidental gift, benefit or hospitality or payments from professional lobbyists.
9. We welcome the steps taken by the House of Lords to address the recommendations in our report. The House of Lords Privileges and Conduct Committee proposed amendments to the Code of Conduct

and the Guide to the Code in March 2014² and May 2014³ which were subsequently approved by the House of Lords. These amendments included incorporating the revised descriptors of the Seven Principles of Public Life into the House of Lords Code of Conduct, introducing a statement of principle on how to deal with lobbyists, lowering the threshold for registering gifts, benefits and hospitality to Members from third parties from £500 to £140 and introducing a new Code of Conduct for Members' Staff with requirements to register interests in parliamentary lobbying and abstain from lobbying or using access to Parliament to further outside interests in return for a payment or other reward.

10. The House of Commons Committee on Standards consulted in January 2014⁴ on interests of committee chairs, in response in part to one of our recommendations that invited consideration of whether chairmanship of a Select Committee brings with a particular influence on matters of public policy that justifies the imposition of additional restrictions in relation to conflicts of interest. Both the Speaker of the House of Commons⁵ and the Parliamentary Commissioner of Standards⁶ have raised similar questions. Despite the consultation concluding in March, no report from the Committee has been forthcoming. This is disappointing particularly given that the House of Commons has not yet found time to debate proposals put forward by the previous Parliamentary Commissioner for Standards and the Committee on Standards for changes to the current rules, which this Committee supported and which addressed some of the recommendations of the Group of States against Corruption (GRECO), in relation to lobbying.
11. Many of the recommendations in our report were for Government and related to transparency of information about lobbying activities and arrangements for the movement of office holders between the public and private sectors which raises the risk of potential conflicts of interest. During our review the Government introduced the Transparency of Lobbying, Non-Party Campaigning and Trade Union Administration Bill which proposed a register of consultant lobbyists. We considered that the narrow definition of "consultant lobbyists" would significantly limit the Bill's potential to enhance transparency around lobbying. We note that the Members of Parliament of all parties, like the respondents to our review, were severely critical of the Bill's detail. The Political and Constitutional Reform Committee pre-legislative scrutiny report of the Government's proposals for a statutory

² Committee for Privileges and Conduct Thirteenth Report Amendments to the Code of Conduct and Guide to the Code of Conduct HL 182

³ Committee for Privileges and Conduct Fifteenth Report Further Amendments to the Code of Conduct and Guide to the Code of Conduct HL 181

⁴ <http://www.publications.parliament.uk/pa/cm201314/cmselect/cmstandards/997/99702.htm>

⁵ Letter from Mr Speaker to the Chair of the Committee on Standards on select committee Chairs and commercial interests dated 12 June 2013, www.parliament.uk

⁶ Committee on Standards, Fifth Report of Session 2013-14, Mr Tim Yeo, HC 849, Appendix 1, para 58

register of lobbyists considered that regardless of any such register, changes could be made to improve transparency about who is lobbying whom, through enhanced disclosure of Ministerial meeting.

12. In the course of the parliamentary debate, in response to such criticism, Lord Wallace of Tankerness made a government commitment to make further improvements to the accessibility of government transparency information. This included ensuring:

“greater co-ordination of the publication of data sets so that all returns within a quarter can be found on one page.....we ought to get better at the speediness with which we make this information available.....

We will also ensure greater consistency in the content of departmental reporting, particularly on including the subject of meetings. Finally, we will ensure that the gov.uk transparency pages contain a link to the statutory register of lobbyists so that the data can be easily cross-referenced. The practical implications of those improvements are that: rather than having to visit a number of different sites or pages, all information will be accessed via one easily located page of gov.uk; the consistency of those data will be improved so that the transparency reports can be more easily located via search functions; and the subject of the meetings will be set out more helpfully.”⁷

13. This commitment addresses some of the criticisms by this Committee in our report around accessibility of transparency information but does not go as far as our recommendation 5⁸ which we considered would provide sufficient transparency and accountability to enable effective public scrutiny of lobbying. We also note that the Government is committed to publishing transparency data quarterly, or at any time in the following quarter. Notwithstanding this all of the data published in 2013 was published late. The Government therefore has some way to go to meet its commitment to Parliament.

14. The Government has also recently revised the Business Appointment Rules⁹ which apply to Former Ministers and Crown servants namely civil servants (including special advisers) and members of the Diplomatic Service, Intelligence Agencies and Armed Forces before they accept any new appointment or employment after leaving their role. We welcome the greater clarity in the rules around the definition of lobbying and the practical application of a lobbying ban but note that the rules have

⁷ <http://www.publications.parliament.uk/pa/ld201314/ldhansrd/text/140113-0001.htm>

⁸ *Strengthening Transparency Around Lobbying* November 2013 p29

⁹ Business Appointment Rules: Government Response to the Committee’s Third Report of Session 2012-13 HC 563 17 July 2014

reverted to the pre-2010 position whereby only applications from the most senior special advisors are referred to the Advisory Committee on Business Appointments (“ACOPA”). Whilst this Committee has argued for a risk based approach to application of the rules, we do not think seniority is necessarily the only risk factor and the nature of the role of special advisor as a conduit of access to the Minister, in our view necessitates the referral of all applications to ACOBA.

15. The Committee also notes that the revised rules will require Departments to publish information in broad terms about the advice they give to applicants in the senior civil servants whose applications are not dealt with by ACOBA. This Committee called for the publication of consistent summary information by Departments on all cases they consider. It is the Cabinet Office’s responsibility to provide assurance of Department’s compliance with the Rules and we will maintain an interest in Departmental performance and transparency in this respect.
16. We are disappointed that given the increased use of interchange through secondments, loans and career breaks to move in and out of the public sector organisations, the Government has not accepted our recommendation for Departments and their Agencies, for transparency and public confidence reasons, to publish on an annual basis the number of secondments and interchanges in and out of their organisation.¹⁰

Public Perceptions Survey

17. In September 2013 the Committee published the fifth and latest survey of public attitudes towards conduct in public life,¹¹ a series which started in 2004. It is a unique long term, independent study and source of information about what the public think about standards in public life in the UK. The research focussed on three main issues:
 - To establish what the public sees as acceptable and unacceptable behaviour on the part of holders of public office;
 - To assess how far the public believes that the behaviour of holders of public office is, for the most part, acceptable or unacceptable;
 - To assess how far the public believes that holders of public office are effectively held responsible and accountable for their conduct.

18. Over the lifetime of the survey, there has been a continuous and substantial decline in the percentage

¹⁰ *Strengthening Transparency Around Lobbying* November 2013 recommendation 11 p 36

¹¹ <https://www.gov.uk/government/publications/public-attitudes-survey-2012>

of respondents rating standards as “quite high” or “very high”, while the percentage of respondents rating standards as “quite poor” or “very poor” has steadily increased, showing a clear trend across this data. But this trend masks a deeper pattern that shows that in fact, prior to 2010 confidence was rising, and that it suffered a major decline in 2010 after the MPs’ expenses scandal, from which there is only marginal recovery in 2012.

19. In relation to Westminster MPs, the public share broadly a set of expectations that are in line with the seven principles of public life. However they have consistently low levels of confidence that MPs actually meet these standards. In the latest survey, pessimism was less marked than in 2010, but levels of confidence have not returned to their 2008 levels. Although absolute levels of confidence are low in particular types of national public office holders or professions such as Ministers, MPs and tabloid journalists, this should be contrasted with higher and rising confidence in institutions and in processes and in those administering the process – so for example, as in most countries that have low and falling levels of confidence in politicians, there is, paradoxically, a higher confidence in national institutions such as Parliament and much higher confidence in the legal system.
20. In addition, responses to new questions in the 2012 survey indicate people’s widespread belief that they will receive fair treatment from a range of front line public services. A large majority of respondents thought they would be treated fairly by doctors, police officers, judges, and local planning bodies. Responses suggested that members of the public have more confidence in the probity of relatively junior front line staff - in terms of putting the public interest first, owning up to making mistakes, and being held accountable for mistakes - than in that of more senior managers. They also expressed more confidence in the probity of public sector employees than in those in the semi-public or private sectors.
21. Our most recent survey explored, amongst other things, which measures for ensuring good standards of conduct in public life elicit the most public support. The questions were informed by a common distinction drawn between ‘compliance-based’ and ‘integrity-based’ behaviour: that is, between good behaviour resulting from a well-designed and systematically enforced external set of rules, and good behaviour that is internally driven and the result of strong ethical character. Respondents were asked to choose up to three policies they thought important in ensuring probity in large public and private organisations.
22. Findings suggest that members of the public favour adopting elements from **both** the compliance and integrity models in ensuring public probity. They do not endorse internal self-regulation or a culture of financial incentives for those doing a job (26% for large public sector organisations and 22% for private sector). They do favour senior managers setting a good example, (38% for large public sector

organisations and 51% for private sector) and training people in a code of conduct (63% for large public sector organisations and 60% for private sector), but they also want protection for 'whistleblowing' and external regulators for organisations (whether public or private sector). Encouraging a culture where people are not afraid to report wrongdoing (66% for large public sector organisations and 53% for private sector) was seen as particularly important for promoting probity.

23. The responses of different groups of respondents - as distinguished by trust in public office holders, perceptions of standards, party-political preferences, social grade, ethnicity, age and gender - were compared to see if there were any clear differences found in how various segments of the public think that probity should be promoted. In fact, none of these comparisons yielded significant differences.
24. There is therefore very wide agreement in all segments of the British general public about the ways in which probity in both the public and the private sector can be promoted. In that shared view, the ways seen as most important are the promotion of a culture in which people are not afraid to report wrongdoing, the use of codes of proper conduct in which office holders and staff are trained, and the setting of a good example by senior managers or office holders.
25. The evidence from this long term study suggests that public attitudes are broadly stable, that they respond to events and their reporting, and that they can become more negative or more positive. This suggests that the public's perceptions of standards in public life can be repaired as well as damaged. The data also gave us a picture of groups who are most likely to feel most sceptical. This was particularly the case for those from lower social grades, from white-British or white-Irish background, middle aged or older and who have little engagement with the political system. The growth in the size of this group presents a challenge to all those involved in public life.
26. The Committee recognises it is important to place these findings in a wider context and so commissioned some further research on assessing the results from our British survey compared with other European countries, to see if results are potentially motivated by domestic factors or reflect citizen's attitudes across western democracies. This research was published in March 2014¹² and it shows that the UK public's decline in perceptions of standards in public life is part of a broader trend across Western democracies. The research also finds that British citizens' assessments of standards in public life are not unusual and they are rarely the most cynical. In fact British citizens' perceptions and experiences of corruption are lower than those in most other European countries.
27. Both sets of research however illustrate as a reminder to public authorities and office holders that public perceptions of standards in public life have political consequences. Events and the response to

¹²<https://www.gov.uk/government/publications/public-perceptions-of-standards-in-public-life-in-the-uk-and-europe>

them they play a part in informing citizens' views of standards, probity and trust.

28. Whilst this research was the final biennial survey of its type, the Committee continues to believe it is important to test public perceptions of standards issues and will continue to undertake such research, as appropriate, in its ongoing work.

Ethical Standards for providers of public services

29. The Committee's terms of reference were clarified last year so that its remit to examine standards of conduct of all holders of public office encompassed all those involved in the delivery of public services. As public services are increasingly being delivered by those outside the public sector, the Committee decided to test the expectation and assurance of ethical standards in the public service market. The Committee commissioned new independent research with members of the public, commissioners and providers of public services. We also spoke to individuals and organisations with current experience of commissioning and providing public services to understand their expectations of the ethical principles and standards expected of public services. The Committee's report *Ethical standards for providers of public services* and accompanying research was published in June 2014.

30. On the basis of our research, we can be confident that:

- the public want common ethical standards across all provider types regardless of sector, supported by a code of conduct;
- "how" the service is delivered is as important to the public as "what" is delivered;
- public and stakeholder views of what should constitute ethical standards are broadly in line with the Seven Principles of Public Life;
- commissioners expect providers to conform to ethical standards but rarely explicitly articulate this;
- commissioners want guidance on how to embed ethical standards in the commissioning and procurement process.

31. For the Committee this is an issue of accountability. The public needs to be reassured that the standards it expects are being delivered by providers, Government must be capable of assuring the public that ethical standards are part of service delivery standards and business (as the CBI has recently acknowledged) needs to recognise that a cultural shift is required in its approach to the public service market, in order to meet the public's legitimate expectations and to build public trust.

32. It was evident from our research that there are currently no consistent structures or arrangements in place to promote actively an ethical culture and behaviours in the public service market. The

Committee therefore recommended that ethical standards need to be proportionately addressed within existing contractual and monitoring arrangements, as part of the process for securing the regularity and propriety of public services.

33. The Government believes that the Seven Principles of Public Life, the basis of the ethical standards framework for those operating in the public sector, has application to all those delivering public services whether they are public sector providers or third-party providers from the private or voluntary sector. As a consequence, using the evidence base from the review and building on existing mechanisms, we set out in the report a high level framework required to support these ethical standards and provide the necessary assurance.
34. We have received considerable interest in our report and its recommendations from business organisations, commissioners and providers and we intend to follow this up with further discussions with a view to developing practical measures to help ensure high ethical standards are met.

Ethics in Practice

35. In July 2014, the Committee published *Ethics in Practice: Promoting Ethical Conduct in Public Life*, a short report which looked at the role of induction processes in embedding ethical standards in public life. The project looked at works in terms of building an ethical culture through induction, education and training, captured examples of best practice, and identified areas where more needs to be done or where previous progress may be at risk.
36. After looking across a range of public, private and voluntary sector organisations, we concluded that induction is key to ensuring that all public office holders are aware of the standards expected of them. Ethical standards need to be included in the induction arrangements for all those public life. For many of those in public life, this message has already been heard and understood. For some, however, more clearly needs to be done to embed ethical standards. The Committee was particularly concerned at the low level of engagement with ethical standards evidenced by those in Parliament.
37. Our report called for more of an obvious demonstration of leadership in relationship to ethical standards from those in the Westminster Parliament, both elected and appointed. We called for MPs, parties and the House Authorities to develop a meaningful and credible induction and professional development programme that builds an awareness and understanding of ethical standards – both principles and rules - that meets the needs of MPs and Lords and the expectations of the public.

STANDARDS CHECK

Behaviour and conduct of the police

38. The police standards have been the focus of much public concern over the last year. Both new and ongoing revelations about the conduct of individual officers and the culture and behaviours in police forces and the Police Federation have damaged public confidence and trust in the police. The role of Police and Crime Commissioners in holding police to account locally is relatively new and the College of Policing is still establishing itself as the professional standards body. We welcome the College's focus on promoting ethics, values and standards of integrity.
39. Over the last 12 months his Committee has been monitoring the ethical risks in policing and has:
- Met with the Association of Police and Crime Commissioners to discuss how best to pre-empt any ethical risks in their role
 - Responded to the Home Affairs Select Committee call for evidence on Police and Crime Commissioners
 - Responded to the Public Administration Select Committee inquiry on the validity of crime statistics
 - Responded to the College of Policing consultation on their draft code of ethics and meeting with the College to discuss the draft code, its implementation and the embedding of high ethical standards
 - Attended and spoken at conferences on policing ethics.
40. The Committee made clear its intention to monitor the extent to which Police and Crime Commissioners are genuinely open and accountable and how successful any ethical risks arising from their role are addressed in its response to the Home Affairs Committee call for evidence. This report concluded that it was too early to determine whether the introduction of Police and Crime Commissioners had been a success.
41. The Public Administration Select Committee concluded in its report on police recorded crime statistics that *"the quality of leadership within the police, and its compliance with the core values of policing, including accountability, honesty and integrity, will determine whether the quality of police recorded crime data can be restored."* PASC recommended that this Committee *"conducts a wide ranging*

inquiry into the police's compliance with the new Code of Ethics; in particular the role of leadership in promoting and sustaining these values in the face of all the other pressures on the force."

42. The Committee have considered seriously this recommendation. The Committee are likely to focus over the coming year on the accountability mechanisms for holding the police to account generally and specifically the role of Police and Crime Commissioners in representing the public in holding Chief Constables to account, and on the issues where we have heard the most concern namely the extent of their public remit and their role as ethical leaders. This will compliment and not duplicate the considerable work already underway by Her Majesty's Inspectorate of Constabulary to review anti-corruption capability in police forces and the inspection of police integrity and the College of Policing Review of police leadership.

Local government standards

43. The Committee has continued this year to maintain a watching brief of the standards regimes in local government and the changes resulting from The Localism Act 2011 implemented in 2012. Having emphasised at the time the need for a mandatory code of conduct, strong local leadership, and effective independent persons and expressed concern at the lack of sanctions, the Committee also recognised the need to allow new arrangements to bed down.
44. The survey carried out by Local Government Lawyer on the implementation of the Localism Act 2011,¹³ suggests indications are that the role of the independent person has been generally well received and there is some evidence that the number of vexatious complaints is falling. However, the effectiveness of the sanctions regime for non-adherence to Local Authority codes of conduct, which apart from criminal prosecution, provides only for censure or suspension from a particular committee or committees, remains an issue of concern. We are aware that there have been recent individual cases that illustrate this, in particular the lack of a sanction to suspend councillors who have seriously breached the code of conduct.
45. In contrast to the recent public debate on parliamentary standards calling for greater sanctions, tightening of codes of conduct, and a greater independent element, local government is now largely self regulated with no systematic approach to conduct issues and limited sanctions. There remains in our view a significant risk under these arrangements that inappropriate conduct by Local Authority

¹³ <http://www.localgovernmentlawyer.co.uk/images/stories/Localism%20Act%20Special%20Report.pdf>

members will not be dealt with effectively, eroding public confidence and trust in local government. We call upon the Local Government Association to support strong long leadership and continue to use its peer challenge process to offer sector led improvement in this area¹⁴ as we believe the LGA has a major responsibility to provide the leadership and peer support across the sector to ensure that all councils and councillors live up to the public's expectations of high standards of ethical behaviour in those whom they elect.

46. As part of the research for the Committee's *Ethics in Practice* report, we conducted a snapshot survey of Local Authorities' approach to induction and training. The Committee sent an electronic questionnaire to Local Authority Monitoring Officers in England, asking them to circulate it further to elected members. We received over 130 responses from Monitoring Officers and elected members.
47. The Committee was extremely pleased to learn that 90% of those who responded to the survey stated that their Local Authority provided an induction programme for newly elected councillors. Coverage and awareness of the Seven Principles of Public Life in local government was also pleasingly high, with 68% of respondents saying their induction covered the Seven Principles of Public Life, 88% saying it covered their Code of Conduct and 83% of respondents saying that councillors at their Local Authority were familiar or fairly familiar with the Seven Principles of Public Life.
48. Despite these positive results, however, the Committee remains alert to the challenges to ethical standards arising from financial constraints and changes to the Local Authority standards regime. The Committee will therefore continue to monitor provision of Local Authority induction programmes and the profile of standards, conduct and ethical behaviour within those programmes by repeating this survey in 2015.
49. More generally, we have provided evidence to the Communities and Local Government Select Committee inquiry on local government procurement, highlighting our belief that public sector procurement processes should take account of ethical issues as part of delivering value for money in the broadest sense. Our report *Ethical standards of third party providers of public services* considered the ethical principles and standards that the public and commissioners of services have of those delivering public services and the necessary safeguards to ensure those principles and standards are met, is directly relevant to local government who spends over a quarter of its annual expenditure on procuring goods and services from third party providers.

¹⁴ See Thanet District Council Corporate Peer Challenge 28 April 2014 at thanet.gov.uk

Electoral system

50. In light of the forthcoming elections this year and next, the introduction of the individual electoral registration and recent changes arising from the Transparency of Lobbying, Non-Party Campaigning and Trade Union Administration Act 2014, and other developments in the electoral sphere, the Committee met with Chair of the Electoral Commission this year to discuss the level of ethical risk to the electoral system.
51. The forthcoming election brings into focus two particular matters on which the Committee has made recommendations in the past. Firstly, electoral registration. The Committee key made recommendations about electoral registration in its Eleventh report – *Review of the Electoral Commission* (2007) - including the introduction of arrangements for individual registration to modernise the system and to help tackle electoral fraud. The Committee therefore welcomes the introduction this year of individual electoral registration (IER). The Committee also notes the Electoral Commission recent report on *Electoral Fraud in the UK* which recommended that more could be done to tackle electoral fraud and that “polling station voting in Great Britain remains vulnerable to impersonation fraud because there are currently few checks available to prevent someone claiming to be an elector and voting in their name,’. Given recent allegations of electoral irregularities in local elections, the Committee will keep a watching brief on electoral fraud and the implementation of IER.
52. Secondly, reform of party funding. The Committee published its report on Party Funding in 2011. It made 24 recommendations to be accepted as a complete package. Key recommendations included:
- a donation cap of £10,000 for all donations from any individual or organisation to any political party in any year;
 - the cap to apply to all individuals and organisations, including trade unions;
 - limits on campaign funding in the period before an election to be cut by 15%;
 - an increase in existing state funding to parties calculated on the basis of the number of votes received in the previous election or elections at £3 per vote received in a Westminster election and £1.50 in an election to a devolved legislature;
 - the additional state funding we recommended after 2015 would amount to approximately £23m per year. Broken down that is 50p per voter.
53. Following the breakdown of cross-party talks on reforming party finance, the Government confirmed in October 2013 it would not be taking forward any of the Committee’s recommendations this

Parliament.

54. It is clear to the Committee that party funding is still an issue of concern for the public. They want to be sure that people and organisations are not buying influence through the funding of political parties. Dependency on a big donor culture creates a suspicion that donations can be used to exert influence on the parties. That suspicion is, in turn, corroding to trust in politics generally.
55. The Committee's package of recommendations was designed to restore integrity and provide meaningful accountability, providing a radical change to create a sustainable party funding system. The Committee made clear that any move to implement some parts, whilst rejecting others would upset the overall balance the recommendations were trying to achieve. Real progress will require all main parties to look beyond their own political advantage to arrive at a solution that has cross-party agreement and will restore public confidence in the integrity of the funding system.

REPRESENTATIONS AND SPEECHES

56. Over the course of the year, the Chair has spoken at a number of events on standards issues, promoting the work of the Committee and the importance of the Seven Principles of Public Life and providing other examples of best practice, including:
- In November 2013 Lord Bew gave the opening address at the Annual Governance Conference of Lawyers in Local Government; a presentation about the work of the Committee to the Public Service Commissioners of various Commonwealth countries; and a speech at the OECD 'Restoring Trust in Government' policy forum in Paris
 - In January 2014 Lord Bew gave a speech entitled 'Effective Parliamentary Standards' at the Annual Conference of the Study of Parliament Group, at Worcester College, Oxford
 - In May 2014 Lord Bew gave evidence to the Northern Ireland Assembly's Committee on Standards and Privileges in relation to their review of the Assembly's Code of Conduct and Guide to the Rules Relating to the Conduct of Members
 - In June 2014 Lord Bew gave a speech at the launch of the Hansard Society's Audit of Political Engagement and also gave evidence to the House of Commons Committee on Standards Sub-Committee in relation to their inquiry on the standards system in the House of Commons.
57. In March 2014 the Committee held a seminar on issues around trust in public life. The event was open

to the public and the video of the event can be found on our website (<https://www.gov.uk/government/organisations/the-committee-on-standards-in-public-life>)

58. Other Committee and Secretariat Members also spoke about the work of the Committee and standards issues in a number of contexts, including:

- a presentation, in September 2013 to a group of students on MA Corruption and Governance course at University of Sussex
- a presentation, in November 2013, to a group of visiting Canadian politics students
- attending the 40th Forum of Asia Pacific Privacy Authorities in New South Wales in December 2013 to discuss ethical issues for privacy authorities
- a speech at The Policing of Ethics: Towards an Ethical Police Service conference in July 2014

59. The Committee has also been proactive in promoting the Seven Principles of Public Life through responses to a number of consultations including:

- the draft cross party Bill on democratic political activity (funding and expenditure) in April 2013
- the Whistleblowing Commission consultation on strengthening policy and law on whistleblowing in the workplace in July 2013
- the Public Administration Select Committee's consultation on the integrity of crime statistics in November 2013
- the College of Policing's draft Code of Ethics in December 2013
- the Home Affairs Select Committee's consultation on Police and Crime Commissioners in December 2013
- the Civil Service Commission's consultation on changes to their Recruitment Principles in February 2014
- the Committee on Standards' consultation on the Interests of Committee Chairs in March 2014
- Sir Richard Lambert's Banking Standards Review in March 2014
- the Public Administration Select Committee's inquiry into Civil Service impartiality and referendums in April 2014
- the Northern Ireland Assembly's Committee on Standards and Privileges' review of their

Members' Code of Conduct in May 2014.

60. The secretariat received and responds regularly to public enquires and correspondence on standards issues. The Secretariat has had the means of monitoring the number and sources of visitors to its former corporate website (www.public-standards.gov.uk) since October 2013. Between 1 October 2013 and 26 August 2014 we received 22,745 unique visits to our corporate website, from 140 countries. Efforts to redesign our corporate website between November and early August 2014 resulted in user engagement (in the form of visitors returning to the site) more than doubling over this period. As of August 2014 the Committee's website has been moved to Gov.uk (<https://www.gov.uk/government/organisations/the-committee-on-standards-in-public-life>)

APPENDIX 1: ABOUT THE COMMITTEE

Terms of reference

61. The Committee on Standards in Public Life was established under the chairmanship of the Rt. Hon. Lord Nolan by the then Prime Minister, the Rt. Hon. John Major MP, in October 1994, with the following terms of reference:

“To examine current concerns about standards of conduct of all holders of public office, including arrangements relating to financial and commercial activities, and make recommendations as to any changes in present arrangements which might be required to ensure the highest standards of propriety in public life.”¹⁵

62. On 12 November 1997, the then Prime Minister, the Rt. Hon. Tony Blair MP, announced additional terms of reference:

“To review issues in relation to the funding of political parties and to make recommendations as to any changes in present arrangements.”¹⁶

63. On 5 February 2013, the terms of reference of the Committee were clarified in two respects:

“in future the Committee should not inquire into matters relating to the devolved legislatures and Governments except with the agreement of those bodies”

and

“The Committee’s remit to examine ‘standards of conduct of all holders of public office’ [should be understood] as encompassing all those involved in the delivery of public services, not solely those appointed or elected to public of.”¹⁷

64. The Committee’s remit does not allow us to investigate individual allegations of misconduct.

Status

65. The Committee is an independent advisory non-departmental public body (NDPB). Its members are appointed by the Prime Minister. Six of its members, including the chair, are chosen through open

¹⁵ Hansard (HC) 25 October 1994, col. 758

¹⁶ Hansard (HC) 12 November 1997, col. 899

¹⁷ Hansard (HC) 5 February 2013, col. 7WS

competition under the rules of the Office of the Commissioner for Public Appointments (OCPA). The remaining three members are nominated by the three main political parties. The Committee is not founded in statute and has no legal powers to compel witnesses to provide evidence or to enforce its recommendations. Nor does it have any powers to investigate individual allegations of misconduct. It presents its recommendations to the Prime Minister and publishes them simultaneously.

Funding and administration

66. The Committee receives its budget from the Cabinet Office. Day-to-day responsibility for financial controls and budgetary mechanisms are delegated to the secretary of the Committee. The Secretary and the rest of the secretariat are permanent civil servants employed by the Cabinet Office or on secondment from other departments or elsewhere. The current Secretary is seconded from the Ministry of Justice.

Policy on openness

67. In its first report the Committee defined the Seven Principles of Public Life. The Committee has always sought to implement these principles in its own work, including the principle of openness.

68. The Secretary of the Committee has responsibility for the operation and maintenance of the Committee's publication scheme under the Freedom of Information Act 2000. Most of the information held by the Committee is readily available, and does not require a Freedom of Information Act request before it can be accessed. The Committee can be contacted in writing, by email, by telephone or by fax. The public can also access information via the Committee's website. Requests for information under the Freedom of Information Act should be made to the Secretary to the Committee at the following address:

- **Committee on Standards in Public Life**
Room GC05
1 Horse Guards Road
London SW1A 2HQ
- Phone: 020 7271 2948
- Email: public@standards.gsi.gov.uk
- Website: <https://www.gov.uk/government/organisations/the-committee-on-standards-in-public-life>

APPENDIX 2: MEMBERS OF THE COMMITTEE

69. Until the latest appointments, Committee members were appointed for a three year term, with the possibility of reappointment. The latest three members were recruited for a five year non-renewable term. The Chair is appointed for a single non-renewable five year term.

Chair: Lord Paul Bew

Appointed: 1 September 2013 **Term ends:** 31 August 2018

Lord Bew teaches Irish History and Politics at the School of Politics, International Studies and Philosophy at Queen's University.

Lord Bew has previously:

- served on the Joint Committee on Parliamentary Privilege
- chaired the independent review of Key Stage 2 (SATs) provision in England
- served on the Joint Committee on the Defamation Bill, which addressed key issues of academic freedom
- served on the Local London Authority Bill Select Committee
- acted as historical adviser to the Bloody Sunday Inquiry

He was appointed as a non-party-political peer by the independent House of Lords Appointments Commission in February 2007, following his contributions to the Good Friday Agreement.

Members active in 2013-2014 who are currently members

Lord Alderdice

Appointed: 1 September 2010 **Reappointed:** 1 September 2013 **Term ends:** 31 August 2016

John Alderdice is a fellow of the Royal College of Psychiatrists. He led the Alliance Party and has held a variety of positions in the Federation of European Liberal, Democrat and Reform Parties and Liberal International. He was one of the negotiators of the Good Friday Agreement. Raised to the peerage on October 1996, he took his seat on the Liberal Democrat benches in the House of Lords on 5 November that year. In 1998 Lord Alderdice was elected member for Belfast East and appointed Speaker of the Northern Ireland Assembly. In 2004 he was appointed as a Commissioner for the newly established Independent Monitoring Commission. He is also the Chairman and a Director of the Centre for Democracy and Peace Building (based in Belfast) and President of ARTIS (Europe) Ltd, a research institution designed to improve the understanding of cognitive and behavioral science related to politically motivated violence through science-based field research.

Rt Hon Margaret Beckett MP

Appointed: 1 November 2010 **Reappointed:** 1 September 2013 **Term ends:** 31 August 2016

Margaret Beckett has been Labour MP for Derby South since 1983. She was Secretary of State for Trade and Industry 1997-1998, President of the Council and Leader of the House of Commons 1998-2001, Secretary of State for Environment, Food and Rural Affairs 2001-2006, for Foreign Affairs 2006-2007, Minister for Housing and Planning (attending Cabinet), Department for Communities and Local Government 2008-2009. She has also been Chair of the Intelligence and Security Committee. Margaret is a member of the Labour National Executive Committee and Chair of the Joint Committee on National Security Strategy.

David Prince CBE

Appointed: 1 June 2009 **Re-appointed:** 1 June 2012 **Term ends:** 31 May 2015

David Prince is the former Chief Executive of the Standards Board for England. He held senior positions at the Audit Commission, as Managing Director, Strategy and Resources and District Audit. Previously his career was in local government, where posts included Chief Executive of Leicestershire County Council and Director of Finance and Administration of Cambridgeshire County Council. He has held non-executive independent appointments as lay member of the General Social Care Council, Leicestershire Police Authority and the Performance and Best Value Committee of the Bar Standards Board. David is currently Chair of the Audit Committee of Parkinson's UK and, an independent member of the Audit and Corporate Governance Committee of the Care Quality Commission and a lay member of the General Pharmaceutical Council.

Patricia Moberly

Appointed: 17 May 2012 **Term ends:** 16 May 2017

Patricia Moberly was Chair of Guy's and St Thomas' NHS Foundation Trust from 1999 to 2011. During her previous career as a schoolteacher, she worked in secondary schools in London and Zambia, and was Head of the Sixth Form at Pimlico School from 1985 to 1998. She served on the National Executive of the Anti-Apartheid Movement, was a member of Area and District Health Authorities and of the General Medical Council, a local councillor and a magistrate. Currently she is a prison visitor and a member of the Ethics Committee of the Royal College of Obstetricians and Gynaecologists, and serves on an advisory committee to the Secretary of State for Transport. She is a panellist for the Judicial Appointments Commission.

Sheila Drew Smith OBE

Appointed: 17 May 2012

Term ends: 16 May 2017

Sheila Drew Smith OBE is an economist by background. She has been an independent assessor for public appointments (OCA) since 1997 and undertakes selection work in the private sector. She is the Chair of the National Approved Letting Scheme and a committee member for Safe Agents. She is also currently a member of the appointments panel of the Bar Standards Board, the Member Selection Panel of Network Rail and an independent panel member for RICS. She was was a board member of the Housing Corporation between 2002 and 2008, the Audit Commission between 2004 and 2010, and the Infrastructure Planning Commission and the Office of the Regulator of Social Housing until March 2012. She was also an independent assessor for public appointments until May 2012. Prior to this she was a partner in the predecessor firms of PricewaterhouseCoopers working in the UK and internationally. Her earlier career was in the civil service.

Dame Angela Watkinson MP

Appointed: 30 November 2012

Term ends: 30 November 2017

After an early career in banking and a family career break, Dame Angela Watkinson worked for several local authorities in special education and central services. She has served as a councillor for both the London Borough of Havering and an Essex County Council. Angela was elected as Conservative MP for Upminster in 2001 and continues to serve her enlarged constituency of Hornchurch and Upminster. She has spent most of her Parliamentary Career as a Whip, and Lord Commissioner to the Treasury. Angela is also a member of Parliamentary Assembly of the Council of Europe.

Richard Thomas CBE

Appointed: 17 May 2012

Term ends: 16 May 2017

Richard Thomas CBE LLD was the Information Commissioner from November from 2002 to 2009 and the Chairman of the Administrative Justice and Tribunals Council (AJTC) from 2009 to 2013. He is currently a Strategy Adviser to the Centre for Information Policy Leadership and has served as Deputy Chairman of the Consumers Association, as Trustee of the Whitehall and Industry Group, and as Board Member of the International Association of Privacy Professionals (IAPP). During his earlier career his roles included Director of Consumer Affairs at the Office of Fair Trading from 1986 to 1992 and Director of Public Policy at Clifford Chance, the international law firm, from 1992 to 2002.

Members active in 2013 – 2014 who have subsequently stood down

Sir Derek James Morris MA DPhil

Appointed: 1 March 2008

Re-appointed: 1 March 2011

Term ended: 28 February 2014

Sir Derek Morris has been Provost of Oriel College, Oxford since 2004. Previously he was Chairman of the Competition Commission (formerly the Monopolies and Mergers Commission). From 1970 to 1997 he was an Economics Fellow at Oriel College and from 2004 to 2005 he chaired the Morris Review of the Actuarial Profession. He is chairman of trustees of Oxford University Press Pension Fund, non-executive chairman of Lucida plc and a senior consultant to Frontier Economics.

Dame Denise Platt DBE

Appointed: 1 July 2008

Re-appointed: 1 July 2011

Term ended: 30 June 2014

Denise Platt was an Audit Commissioner and chair of the independent advisory panel for the Local Innovation Awards until October 2010. From 2004 until 2009 she was chair of the Commission for Social Care Inspection (now part of the Care Quality Commission). She has held a variety of posts both nationally and locally in local government and social care and has been an independent panel member to appoint the Electoral Commissioner. She holds posts with a number of voluntary organisations and is the chair of the National AIDS Trust (NAT). She is governor of the University of Bedfordshire and a member of the independent Review Board of the Cheshire Fire and Rescue Service and the Independent Commission on Assisted Dying.

Research Advisory Board

The Committee's work is supported by a Research Advisory Board. The current Board members are:

- **Dr Mark Philp** (Chairman), Professor, Director of the European History Research Centre, Dissertation Coordinator, Department of History, University of Warwick
- **Dr Jean Martin**, Senior Research Fellow, Social Inequality and Survey Methods, Department of Sociology, University of Oxford
- **Professor Cees van der Eijk**, Professor of Social Science Research Methods, Director of Social Sciences Methods and Data Institute, University of Nottingham
- **Dr Wendy Sykes**, Director of Independent Social Research Ltd (ISR) and Member of the SRA

implementation group on commissioning social research.

Members' attendance (1 April 2013 – 31 March 2014)

70. The table below shows the total number of meetings that each member of the Committee could have attended and the number they actually attended.

Name	Possible meetings	Actual meetings
Lord Bew	7	7
Lord Alderdice	11	7
Rt Hon Margaret Beckett MP	11	8
Patricia Moberly	11	10
Richard Thomas	11	10
Sir Derek Morris	8	7
Dame Denise Platt	11	8
David Prince	11	11
Sheila Drew Smith	11	10
Angela Watkinson MP	11	8

71. In addition to the monthly Committee meetings, all members attend a variety of other meetings and briefings in relation to the business of the Committee.

Remuneration

72. Committee members who do not already receive a salary from public funds for the days in question may claim £240 for each day they work on committee business. The Chair is paid on the basis of a non-pensionable salary of £500 per day, with the expectation that he should commit an average of 2-3 days a month, although this can increase significantly during Committee inquiries. All members are reimbursed for expenses necessarily incurred.

73. For the period April 2013 to March 2014 committee members other than the Chair claimed a total of £21,765.74 in fees and expenses.
74. In total, the Chairs (David Prince being interim Chair from 1 April to 31 July 2013) claimed £20,159.84 in fees and expenses.
75. In accordance with the best practice recommended in its first report, members of the Committee formally adopted a code of practice in March 1999. The code is available on the website and has been reviewed periodically by the Committee, most recently in July 2011. Members provide details of any interests that might impinge on the work of the Committee through the Committee's register of interests, also available on the website at:
- <https://www.gov.uk/government/publications/register-of-interests>

APPENDIX 3: FINANCIAL INFORMATION

Expenditure	2012-13 (£)	2013-14 (£)
Staff costs and fees	355,737	214,791
Other running costs	161,425	116,084
Total net expenditure	517,162	330,875

76. As an advisory Non-Departmental Public Body (NDPB), the Committee receives its delegated budget from the Cabinet Office. The Cabinet Office Accounting Officer has personal responsibility for the regularity and propriety of the Cabinet Office vote. Responsibility for certain levels of authorisation, methods of control and day to day mechanisms have been delegated to the Secretary to the Committee but creation of all new posts and the use of external resources are subject to the approval of the Cabinet Office Approvals Board. Whilst the core secretariat has been reduced to three, the Secretary can and has used the budget to buy-in additional time limited resource to service specific inquiries and reviews. This level of resource necessarily constrains the choices the Committee makes in relation to its work programme and, taken together with the time taken to secure approvals, affects its ability to respond quickly and comprehensively to standards issues as they emerge.
77. The Secretary to the Committee is responsible for setting out the outputs and outcomes which the Committee plans to deliver with the resources for which they have delegated authority, and for reporting regularly on resource usage and success in delivering those plans. She is also responsible for maintaining a sound system of internal control over the resources for which she has delegated authority, and for providing the accounting officer with assurances that those controls are effective.
78. For the year 2013-14 the Committee's budget allocation was £400,000. There was an under spend of £69,125. The main causes of this under spend were savings generated by a) a decision not to commission a planned survey into the impact of the Committee's report *"Standards Matter: A review of best practice in promoting good behaviour in public life"* and b) a planned re-design of the Committee's website during November 2013 being cancelled because a decision was made to migrate the contents of its website to gov.uk in 2014. Both of the projects on the two most recent reports also ran into the current financial year.

APPENDIX 4: REPORTS AND PUBLICATIONS

The Committee has published the following reports:

- Ethics in Practice: Promoting Ethical Standards in Public Life (July 2014)
- Ethical standards for providers of public services (June 2014)
- Strengthening transparency around lobbying (November 2013)
- Standards matter: A review of best practice in promoting good behaviour in public life (Fourteenth Report (Cm 8519)) (January 2013)
- Political Party Finance - Ending the big donor culture (Thirteenth Report (Cm 8208)) (November 2011)
- MPs' Expenses and Allowances: Supporting Parliament, Safeguarding the Taxpayer (Twelfth Report (Cm7724)) (November 2009)
- Review of the Electoral Commission (Eleventh Report (Cm7006)) (January 2007)
- Getting the Balance Right: Implementing Standards of Conduct in Public Life (Tenth Report (Cm6407)) (January 2005)
- Defining the Boundaries within the Executive: Ministers, Special Advisers and the permanent Civil Service (Ninth Report (Cm 5775)) (April 2003)
- Standards of Conduct in the House of Commons (Eighth Report (Cm 5663)) (November 2002)
- The First Seven Reports - A Review of Progress - a stock-take of the action taken on each of the 308 recommendations made in the Committee's seven reports since 1994 (September 2001)
- Standards of Conduct in the House of Lords (Seventh Report (Cm 4903)) (November 2000)
- Reinforcing Standards (Sixth Report (Cm 4557)) (January 2000)
- The Funding of Political Parties in the United Kingdom (Fifth Report (Cm 4057)) (October 1998)
- Review of Standards of Conduct in Executive Non-Departmental Public Bodies (NDPBs), NHS Trusts and Local Public Spending Bodies (Fourth Report) (November 1997)¹⁸
- Standards of Conduct in Local Government in England, Scotland and Wales (Third Report (Cm

¹⁸ This report was not published as a Command Paper.

3702)) (July 1997)

- Local Public Spending Bodies (Second Report (Cm 3270)) (June 1996)
- Standards in Public Life (First Report (Cm 2850)) (May 1995)

Since 2004, the Committee has also undertaken four biennial surveys of public attitudes towards conduct in public life. Findings were published in 2004, 2006, 2008, 2011 and 2013.

Annual Report 2013-14

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