Ethics in Practice: Promoting Ethical Conduct in Public Life

Committee on Standards in Public Life

July 2014

Chair: Lord Paul Bew

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.

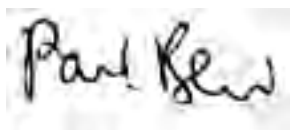# Foreword from the Chair of the Committee on Standards in Public Life

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]

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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]

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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**.

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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.

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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.letr.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.

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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.

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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]

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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

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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.

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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

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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

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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.

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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 restson departmental self-reporting, with no agreed standard as to what constitutes acceptable 'training' on the Code in induction.[41]

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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

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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]

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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

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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.

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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

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59 *Councillors' guide: A guide for new councilors*, 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

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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.

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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**.

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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

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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

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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.

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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.

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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.

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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.

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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

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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 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

[text box]

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

[text 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