

# **CITY AND COUNTY OF CARDIFF DINAS A SIR CAERDYDD**

**STANDARDS AND ETHICS COMMITTEE:**

**25 JULY 2006**

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**REPORT OF THE MONITORING OFFICER**

**AGENDA ITEM 4**

**ETHICAL STANDARDS AUDIT**

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## **Reason for this Report**

1. To provide the Committee with the results of the Ethical Standards Audit conducted on behalf of the Committee, and invite the Committee to consider any further actions to be taken following on from this piece of work.

## **Background**

2. The terms of reference of the Committee include at paragraph (a):  
  
“to monitor and scrutinise the ethical standards of the Authority, its Members, employees and any associated providers of the Authority’s services and to report to the Council on any matters of concern”.
3. An Ethical Standards Audit is a tool to enable local authorities to ascertain the level and standard of the ethical framework in place within the authority, to identify gaps and to assist in the process for remedying those gaps. The results from the Audit can therefore be used to inform the Committee’s work, and to report to the Council on any matters of concern.
4. The Committee at its meeting on 12 January 2006 resolved to conduct an Ethical Standards Audit of the Authority; and at its meeting on 14 March 2006 authorised the Monitoring Officer to arrange for a Desk Top Review of policies and processes, and a Survey of the Council’s elected Members, employees, partner organisations and the public, in accordance with the recommendations of the report and the Committee’s comments thereon.

## Issues

5. A Desk Top Review (DTR) has been conducted as a first stage of the Audit by the officers within the Council's Policy and Economic Development Service. The brief for the DTR was to consider what relevant policies are in place within the Council; how such policies are communicated to officers, members, the public and any other interested parties; and what processes are in place and are applied to implement such policies. The results of the DTR in tabular format are appended at Appendix 1 to this report.
6. The Committee will note that the results of the DTR indicate what policies are in place and where these may be located, specifically, whether they are accessible via the CIS intranet site (accessible to employees and Members) and / or via the Council's internet site (accessible to members of the public with internet access). It was reported that there is no corporate approach to communication and or implementation of such policies, but that these are matters to be determined by the individual Service Areas with ownership of the particular policy. The table therefore indicates which Service Area owns each policy. The Committee is invited to note and consider the results of the DTR and consider any further action which may be required in this regard, in particular, whether further enquiries should be made of the relevant Service Areas regarding their arrangements for communication and implementation of their policies.
7. The Cardiff Research Centre of the Council (the CRC) was engaged to assist with the carrying out of surveys of the Council's Members, employees, partner organisations and the general public, by means of tailored questionnaires. The Questionnaires were issued around the beginning of May, with a consultation deadline of 16 June 2006. The CRC has collated and analysed consultation responses and produced a report, which is attached as Appendix 2 to this report.
8. The Committee is invited to note and consider the consultation responses, and consider what actions it wishes to take in consequence of this.
9. The Committee will note that there are sections in the Members' and Officers' Questionnaires designed to check understanding of conduct issues (entitled 'How well you understand your responsibilities'). To assist in the Committee's consideration of responses to these questions, an Explanatory Note has been prepared indicating what provision is made for these issues within current Council documentation. This Explanatory Note is attached as Appendix 3 to this report.

## **ADVICE**

This report has been prepared on behalf of the Monitoring Officer. It contains all the information necessary to allow Members to arrive at a reasonable view, taking into account the advice contained in this section.

### Legal Implications

There are no legal implications arising directly from this report.

### Financial Implications

There are no financial implications arising directly from this report.

## **RECOMMENDATION**

The Committee is recommended to consider and decide upon what action it wishes to take in response to the results of the Ethical Standards Audit, and specifically:

- (a) To note and consider the results of the Desk Top Review of policies and processes, as set out in this report and Appendix 1 hereof, and consider any further action necessary in this regard, including whether further enquiries should be made of the relevant Service Areas regarding their arrangements for communication and implementation of their policies;
- (b) To note and consider the results of the consultation with Members, Officers, partner organisations and the general public, as set out in Appendix 2, and consider implications for the work and priorities of the Committee, and any further action necessary in this regard, including:
  - (i) whether to conduct a focus group session with consultees who have expressed a willingness to participate in the same; and if so, to make suitable arrangements for such a session to be held;
  - (ii) what responses are to be given to consultees who have requested a response, and to authorise the Monitoring Officer to convey such responses to the consultees on behalf of the Committee;
- (c) In the light of the report to make any other recommendations and to review and consider the Committee's priorities and work plan for the forthcoming year.

**Kate Berry**

Monitoring Officer and Chief Legal & Democratic Services Officer

18 July 2006

### Background papers

Minutes of Standards & Ethics Committee meeting on 12 January 2006

Report to Standards & Ethics Committee on 14 March 2006 'Ethical Standards Audit'

Minutes of Standards & Ethics Committee meeting on 14 March 2006

Local Government Governance, Richard Lester and Sandra Moss, Butterworths 2001 - Ethical Governance Audit (Promoting and Monitoring Standards, Chapter 14 & Appendix 18)

### Appendices

Appendix 1 - Desk Top Review Results

Appendix 2 - Ethical Standards Consultation Report

Appendix 3 - Explanatory Note

POLICIES/PROCESSES	YES/NO	DOCUMENT	LOCATION	CIS	ON WEBSITE	OWNER	CONTACT
Rules of Procedure ( <i>Standing orders</i> )	✓	Constitution	Section 4		Yes - Your council/Constitution	Legal Services	Kate Berry
Scheme of Delegation	✓	Constitution	Executive functions	<a href="#">1.CM.141</a>	Yes - Your council/Constitution	Legal Services	Kate Berry
Terms of Reference					Yes - Your council/Constitution		
Contracts Rules of Procedure	✓	Constitution	Section 4	<a href="#">1.CM.140</a>	Yes - Your council/Constitution	Legal Services	Kate Berry
Financial Rules of Procedure	✓	Constitution	Section 4	<a href="#">1.CM.139</a>	Yes - Your council/Constitution	Financial Services	Christine Salter
National Code of Local Government Conduct - Members	✓	Constitution	Section 5		Yes - Your council/Constitution	Legal Services	Kate Berry
Code of Conduct - Employees	✓	Constitution	Section 5	<a href="#">5.C.014</a>	Yes - Your council/Constitution	HR	Philip Lenz
Officer/Member Protocol	✓	Constitution	Section 5		Yes - Your council/Constitution	Clerk to the Council	Mike Davies
Code of Practice - Whistle-blowing	✓	Constitution	Section 5	<a href="#">1.C.015</a>	Yes - Your council/Constitution	Legal Services	Kate Berry
Guidance for Members on Outside Bodies	✓	Representation on outside bodies	Intranet/Members		No	Clerk to the Council	Mike Davies
Standards Committee							
- Terms of Reference	✓	Constitution	Article 11		Yes - Your council/Constitution	Legal Services	Kate Berry
Monitoring Officer Guidance	✓	Role of Monitoring Officer outlined in Members' handbook			No - contact Steven Jarmen for PDF version	Legal Services	Kate Berry
Conflicts of Interest	✓	Constitution	Section 5		Yes - Your council/Constitution	Legal Services	Kate Berry
Guidance on Support for Councillors	✓	Members' handbook			No	Clerk to the Council	Mike Davies
Guidance on Members' Correspondence	✓	Protocol	CIS - see also 1.CM.085	<a href="#">1.CM.008</a>	No	Clerk to the Council	Mike Davies
Dissemination of Local Government Ombudsmen decisions	✓	Constitution	Article 11		Yes - Your council/Constitution	Legal Services	Kate Berry
Decision making and Legal and Financial advice	✓	Constitution	Article 12	<a href="#">1.CM.125</a>	Yes - Your council/Constitution	Clerk to the Council	Mike Davies
Audit reports – dissemination					No	Various service areas	
Audit Code of Conduct					No	Financial Services	Derek King
Declarations	✓	Constitution	Section 5 - code of conduct		Yes - Your council/Constitution	Clerk to the Council	Mike Davies
Gifts and Hospitality	✓	Constitution	Section 5	<a href="#">1.CM.070</a>	Yes - Your council/Constitution	Clerk to the Council	Mike Davies
Proper Officer Arrangements	✓	Constitution	Section 4		Yes - Your council/Constitution		
Recording of decisions	✓	Constitution	Section 4		Yes - Your council/Constitution	Clerk to the Council	Mike Davies
Induction							
- Officers	✓	Employee handbook on the Intranet. Corporate Induction training also provided to new starters	CIS	<a href="#">1.CP.026</a>	No	HR	Deborah Morley
- Members	✓	Signed declaration & issuing of Members' handbook			No	Clerk to the Council	Mike Davies
Training							
- Officers	✓	People Performance & Development Scheme	CIS	<a href="#">1.CM.137</a>	No	HR	Deborah Morley
- Members	✓	Part of Member Development Programme			No	Clerk to the Council	Mike Davies
Risk Management Protocol	✓	Guidance Notes	CIS	<a href="#">5.C.040</a>	No	Financial Services	Derek King
Health and Safety Policy	✓	Policy	CIS	<a href="#">1.CM.053</a>	No	HR	Christina Lloyd
IT Security Policy	✓	Policy	CIS	<a href="#">5.IT.P.002</a>	No	ICT	Crispin O'Connell
<a href="#">Annual Management Letter</a>	✓	Considered annually by the Executive (2 Feb 2006)	Internet		No but referred to in exec minutes - Your council/Constitution/council business/minutes etc/executive	Financial Services or Scrutiny, Change & Efficiency	Christine Salter / Martin Hamilton

Statutory Plans (various)	✓	Various - subject to plan rationalisation	CIS		Several on internet inc. Corporate Plan, Start Educational Plan, Local Development Plan plus many others	Various service areas	
Improvement Plan (Best Value Performance Plan)	✓	Improvement Plan produced annually	CIS		No	Scrutiny, Change & Efficiency	Martin Hamilton
Members' Allowance Scheme	✓	Constitution	Section 6	<a href="#">2.CTC.MS.002</a>	Yes - Your council/Constitution	Clerk to the Council	Mike Davies
Officer Expenses Scheme	✓				No	HR	Philip Lenz
Arrangements for Head of Paid Service	✓	Constitution	Article 11		Yes - Your council/Constitution	Legal Services	Kate Berry
Arrangements for Monitoring Officer	✓	Constitution	Article 11		Yes - Your council/Constitution	Legal Services	Kate Berry
Arrangements for Section 151 Officer	✓	Constitution	Article 11		Yes - Your council/Constitution	Legal Services	Kate Berry
Employment Policies (including local agreement)	✓		CIS	Various	No	HR	Philip Lenz

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THE COUNTY COUNCIL OF THE  
CITY AND COUNTY OF CARDIFF

Prepared by Cardiff Research Centre



# **Ethical Standards Consultation Report**

**July 2006**



## **This document was produced by the Cardiff Research Centre, at Cardiff Council.**

The Cardiff Research Centre operates research services that include the collection, analysis and interpretation of statistical data together with demographic and economic forecasting, and dissemination of Census and other published data, as well as operating a research service for Public Sector clients.

In addition, Cardiff Research Centre can undertake specialised studies on a wide range of topics relating to planning, development, social, economic and demographic subjects.

**Further details of the activities undertaken and a list of publications can be obtained from:**

<b>Steve Jarman</b>	OM, Research & Community Engagement	029 2087 2602
<b>Siôn Ward</b>	Research & Information Demography & Economy Deprivation & Poverty	029 2087 3205
<b>Rhys Haines</b>	Employment/Unemployment	029 2087 3207
<b>Chris Batsford</b>	Census & GIS Services	029 2087 3226
<b>Claire Griffiths</b>	Surveys & Consultation	029 2087 3217
<b>Helen Haynes</b>	Social Research	029 2087 3341
<b>Alison Constable</b>	Citizens Panel	029 2087 3442
<b>Rhian Were</b>	Census	029 2087 3203
<b>Andrew Grills</b>	Web Design	029 2087 3208
<b>Mark Goddard</b>	Graphic Design	029 2087 3205
<b>Mike Roberts</b>	Multimedia Design	029 2087 3219

## **ETHICAL STANDARDS CONSULTATION REPORT**

### **Acknowledgements**

Cardiff Research Centre (*CRC*) is pleased to have worked on instruction from the Standards & Ethics Committee with the Legal & Democratic Services division of Cardiff Council to conduct the research reported upon in this document. The information gathered from each of the sections of the report contributed constructively to the overall findings of the exercise.

We are grateful to all those individuals who took the time to participate in the consultation programme. Generally all participants seemed to enjoy the experience and we thank them for sharing so readily their views regarding the topic in question. We hope that the information in this report accurately reflects their views and priorities.

We thank the Standards & Ethics Committee for commissioning this research and individually thank Kumi Ariyadasa and Chief Officer of Legal & Democratic Services Kate Berry for their assistance throughout. *CRC* maintained its position as an independent and objective party throughout the consultation and we hope that this report will effectively contribute to informing the Standards & Ethics Committee's working and priorities.

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## **EXECUTIVE SUMMARY**

### **Section 1 – Consultation with Members**

- **Sixteen (21%) of the seventy-five Members responded to the questionnaire, three of whom belonged to the Standards & Ethics Committee.**
- **Ten (63%) respondents had been Councillors for two years or less.**
- **All Members stated they were aware that the Authority has adopted a Code of Conduct for Members although 19% were unclear of their role in relation to it.**
- **56% of Members reported that they believe standards of ethical conduct within the Authority to be high.**
- **Less than half of Members felt the Council deals effectively with the misconduct of Members (44%) and officers (31%).**
- **Four-fifths (81%) of Members were clear about the purpose of the Standards & Ethics Committee although only 31% considered the Committee to make an effective difference.**
- **88% of Members agreed the Councils practices and procedures in respect of ethical governance to be relevant, clear and up to date.**
- **Only half of Members reported to be aware of the role fulfilled by the Head of Paid Service.**
- **Three-quarters of Members reported to have received training, advice or a briefing with regard to the Authority's Code of Conduct, two-thirds (63%) on the Freedom of Information Act 2000, 38% on the Human Rights Act 1998 and 32% on the Race Relations (Amendment) Act 2000.**
- **81% of Members agreed that the appropriate course of action to take if another Member failed to comply with the Authority's Code of Conduct would be to inform the Monitoring Officer; but only 12% thought that they should make a written allegation to the Local Government Ombudsman (whilst 38% were not sure).**
- **Although nine-tenths (88%) of Members were clear as to what constitutes a conflict of interest, just 56% considered Members to have a 'common understanding' on how to deal with these.**

### **Section 2 – Consultation with Officers**

- **A total of 254 completed questionnaires were returned from Council officers.**
- **Three-fifths (59%) of respondents were graded at scale 1-6, 32% were grades SO1-PO4 and 9% were officers at OM level and above.**
- **Generally there was a clear discrepancy between officers at OM level and above and officers below this grade in terms of awareness regarding all aspects of Ethical Governance, with the more junior officers indicating a significantly lower level of awareness.**
- **Almost three-quarters (72%) of all responding officers were aware that the Authority had adopted a Code of Conduct for Officers.**

- **Only half (48%) of officers believe the current standard of ethical conduct within the Authority to be high, with just a third (31%) believing the current approach for promoting ethical standards to be having an effect across the authority.**
- **Approximately half of officers did not know whether the Council deals effectively with either the misconduct of officers (48%) or Members (57%).**
- **Whilst two-thirds (68%) of officers were aware of the Standards & Ethics Committee, just 24% were clear about its purpose.**
- **Seven-tenths (71%) of officers agree that the Council has a clear whistle blowing policy.**
- **Over seven-tenths of officers at OM level and above had a reasonable understanding of the role of the Head of Paid Service (75%), Monitoring Officer (70%) and the Section 151 Officer (85%), compared to only around a third of officers at lower grades.**
- **Whilst the majority (70%) of officers had been provided with training/briefing on the Freedom of Information Act 2000, only a quarter had received anything similar in relation to either the Codes of Conduct of the Authority (26%) or the Human Rights Act 1998 (26%).**
- **Although nine-tenths (91%) of officers reported to understand what constitutes a conflict of interest only a third (31%) considered officers have a 'common understanding' of the way in which these should be dealt with.**
- **Just 15% of officers are clear as to the procedure for reporting a potential breach of the Statutory Code of Conduct for Members.**

### **Section 3 – Consultation with the Public and Stakeholders**

- **A total of 176 questionnaires were returned from the members of the public and 68 from partner organisations.**
- **Nearly all (97%) respondents agreed that it is important for local government to establish and operate by a strong set of ethical values.**
- **Respondents were split 50:50 as to whether or not they perceived current standards of ethical conduct within the Council to be high.**
- **Just a fifth (19%) of respondents agreed there is good access to information on issues relating to ethical standards.**
- **A higher percentage of respondents from the public believe there to be complacency about standards of conduct amongst Members (62%) and officers (58%) than respondents from partner organisations (50% and 42% respectively).**
- **Only two-fifths of respondents believed the Standards & Ethics committee to be effective.**
- **Of those respondents providing comments, nearly half (44.7%) believed more information/publicity would make the committee more effective.**

## **INTRODUCTION**

The Local Government Act 2000 ('the Act') creates a statutory framework to guide and regulate the conduct of Councillors and Local Government Officers – this is known as an 'ethical framework'. An ethical framework, within the context of Local Government, is a set of principles which govern the behaviour of the Council, its Councillors and Officers. Values like accountability, openness and observance of the law should determine the way in which those within the Council conduct themselves when carrying out duties in the public interest. The Act requires Councils to establish Standards & Ethics Committees with the function of promoting and maintaining high standards of conduct within the Authority.

The Standards & Ethics Committee of Cardiff Council was established on 19<sup>th</sup> October 2000. As part of its remit to monitor and scrutinise the ethical standards of the Authority the Committee resolved to undertake an Ethical Standards Audit and Consultation with an aim to assess the effectiveness of the Council's approach to ethical governance and to identify any ethical vulnerability currently facing the Council. A representative of the Monitoring Officer approached Cardiff Research Centre on behalf of the Committee to assist in consultation with various bodies regarding this subject, the results of which are to assist the Committee in formulating its work programme and deciding how to devote resources to training on matters of conduct.

## **METHODOLOGY**

Based on recommendations from both the Standards & Ethics Committee and advice from Legal & Democratic Services, CRC were able to design questionnaires suitable for the topic of Ethical Governance. A three pronged consultation exercise was proposed by CRC which involved the circulation of specifically tailored Questionnaire Surveys to the Council's Elected Members, Council Officers, partner organisations, and members of the public.

### **1 – CONSULTATION WITH MEMBERS**

A questionnaire was designed specifically for Council Members in order to gauge their level of awareness of the implications of Part III of the Local Government Act 2000 and how it impacts both upon themselves and their work with the Council. The questionnaire explored in detail their individual level of awareness of the Authority's arrangements for complying with the Act in promoting high standards of ethical governance within the Council and invited their comments on this issue.

The questionnaire was circulated to all seventy-five Council Members via email for completion online although paper copies were also made available on request.

A copy of the Members' Questionnaire is appended at Appendix 2.

## **2 – CONSULTATION WITH OFFICERS**

A second version of the questionnaire designed specifically for Council Officers was circulated via the internal email system to all Council employees with e-mail addresses (approximately 4,500). Again it was possible for respondents to complete the consultation online and paper copies of the questionnaire were available for those without e-mail / internet access. The questionnaire was designed to explore in detail officers' individual level of awareness of the Authority's arrangements for complying with the Act in promoting high standards of ethical governance within the Council. Additionally the questionnaire invited officers to comment on this issue.

A copy of the Officers' Questionnaire is appended at Appendix 3.

## **3 – CONSULTATION WITH PARTNER ORGANISATIONS AND THE PUBLIC**

A third questionnaire was also devised in order to ascertain the perceptions of the public and partner organisations with regard to the ethical governance of the Authority.

A random sample of 2,500 households was selected from the electoral roll to receive consultation packs via Royal Mail regarding the ethical governance of Cardiff Council. Additionally a total of 301 of the Council's partner organisations (organisations who work with the Council) were selected for inclusion into the consultation exercise. Twenty-five of these organisations were identified as the Authority's "Key Stakeholders" i.e. members of the Authority's Community Planning Implementation Group, Voluntary Sector Compact and organisations from other sectors, who regularly assist or contribute informed views on strategic works. A full list of those included within this category is shown below.

### **CARDIFF KEY STAKEHOLDERS**

*Age Concern Cardiff & The Vale*  
*Black Voluntary Sector Network*  
*Business in the Community Wales*  
*Cardiff City A.F.C*  
*Cardiff City Transport Services Ltd*  
*Cardiff Gypsy & Traveller Project*  
*Cardiff Local Health Board*  
*Cardiff Tenants and Residents Association*  
*Cardiff University*  
*Commission For Racial Equality Wales*  
*Diocese of Llandaff Board for Social Responsibility*  
*Jobcentre Plus*  
*Safer Cardiff*

*South Wales Police*  
*Vision 21 - Cyfle Cymru*  
*Voluntary Community Service*  
*Wales Tourist Board*  
*Welsh Development Agency*  
*Cardiff & Vale NHS Trust*  
*Voluntary Action Cardiff*  
*Cardiff Community Housing Association*  
*Race Equality First*  
*Church of Wales*

*Cardiff Local Health Board*  
*Environment Agency Wales*

Also included within this group were all Community Councillors and their clerks and representatives from the District Audit, whilst the remaining organisations were randomly selected from the Council Stakeholder list whilst



ensuring a representative mix of private and voluntary organisations, faith groups, educational bodies, and public organisations.

A copy of the Partners' and Public Questionnaire is appended at Appendix 4.



## **RESULTS**

Following the consultation period of seven weeks a total of 514 completed questionnaires had been returned. Of these, sixteen returns were from Members, 254 responses were returned from Council Officers and 244 came from members of the public and partner organisations.

This report will deal with returns from each of the three surveys individually. Discussion throughout the report regarding the returns to the three questionnaires will be provided in both number and percentage format. Please note that the percentages indicate the proportion of those who responded to the consultation, and bear in mind that a numerically low overall response will invariably reduce both the validity and robustness of any statistical data provided.

### **SECTION 1 – CONSULTATION WITH MEMBERS**

#### **Background**

A total of sixteen (21%) of the seventy-five Members initially approached responded to the questionnaire. The following provides a summary of the views and comments expressed by those Members with regard to a range of topics including Codes of Conduct within the Authority, the role of the Standards and Ethics Committee, and the current provision of training and support with regard to ethical governance.

#### **Codes of Conduct**

Firstly Members were requested to respond to questions relating to their awareness of the codes of conduct adopted by the Council.

All Members (100%) stated that they were aware that the Authority has adopted a Code of Conduct for Members.

Fourteen Members (88%) responded that they were aware that the Authority has also adopted a code for officers.

Whilst the majority of Members (81%) also responded that they were clear of their role in relation to the Members' Code three individuals (19%) reported this not to be the case.

Table 1.1

	Yes		No		Don't Know	
	No.	%	No.	%	No.	%
<b>Has the Authority adopted a Code of Conduct for Members?</b>	16	100	0	0	0	0
<b>Has the Authority adopted a Code of Conduct for officers?</b>	14	88	0	0	2	13
<b>Are you clear about the role you are expected to play in relation to the Authority's Code of Conduct for Members?</b>	13	81	3	19	0	0

A slight level of uncertainty regarding this issue was reflected in the comments of one Councillor, who stated that,

***“I am clear only as much as ...the fact that I should carry out the role of councillor to the best of my ability for the people I represent. I must not bring this role into disrepute.”***

**Ethical Conduct of the Authority**

Members were requested to respond to five statements relating to the ethical conduct of the Authority. The results of this can be seen in the chart below.

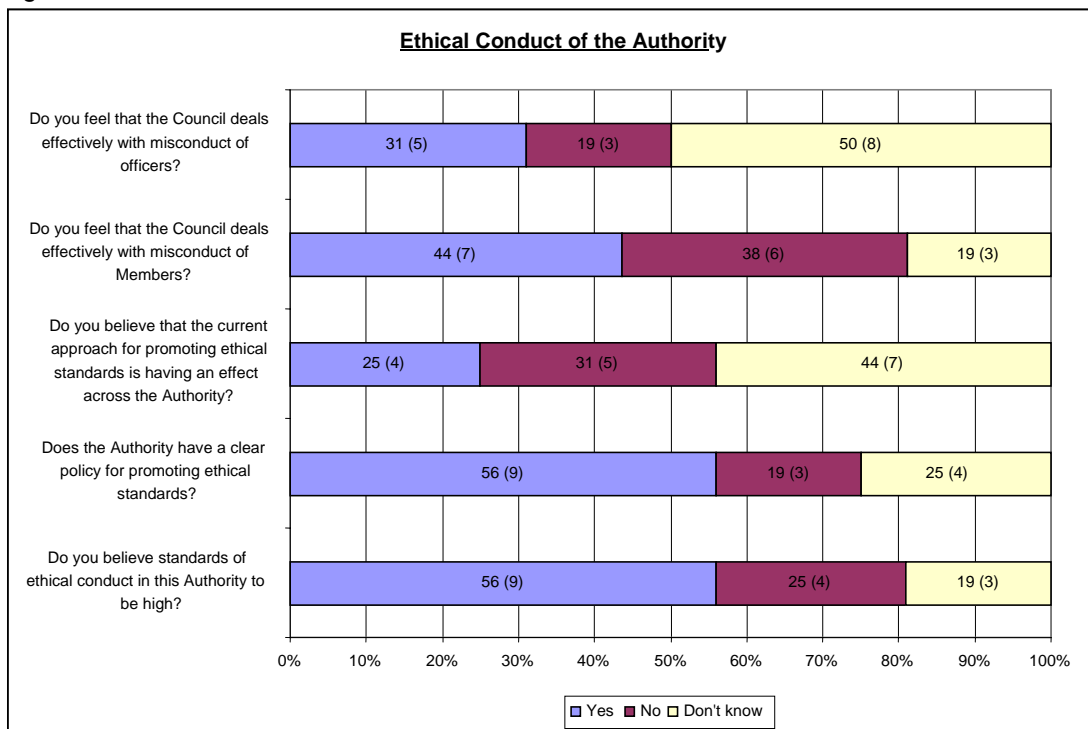
Just over half (56%) of Members responding to the questionnaire stated that they believed that standards were high in relation to ethical conduct. A quarter of Members wholly disagreed with the statement whilst the remaining fifth did not consider themselves to be knowledgeable with regard to this issue.

Similarly 56% of Members knew the Authority to have a clear policy for promoting ethical standards although 19% reported this not to be the case and 25% admitted that they did not know.

Just a quarter of Members believe that the current approach for promoting ethical standards is having an effect across the Authority.

Less than half (44%) of those Members responding to the questionnaire felt that the Council deals effectively with the misconduct of Members whilst just 31% felt that the Council deals effectively with the misconduct of officers.

Fig. 1.1



Members were invited to provide additional comments regarding the ethical conduct of the Authority and these are shown below:

***“Although the conduct of the majority of members is very good there are some members who in meetings of council do behave in a way which brings this authority into disrepute.”***

“There are wider, more global ethical questions that the Authority should discuss.... There is often a lack of respect between Members.”

***“I don't know enough about how the approach operates, or how misconduct is dealt with to make an effective judgement.”***

### **Standards and Ethics Committee**

Members were requested to answer questions in relation to the Council's Standards & Ethics Committee.

One-hundred percent of Members who responded to the questionnaire stated that they were aware that the Council had a Standards & Ethics Committee.

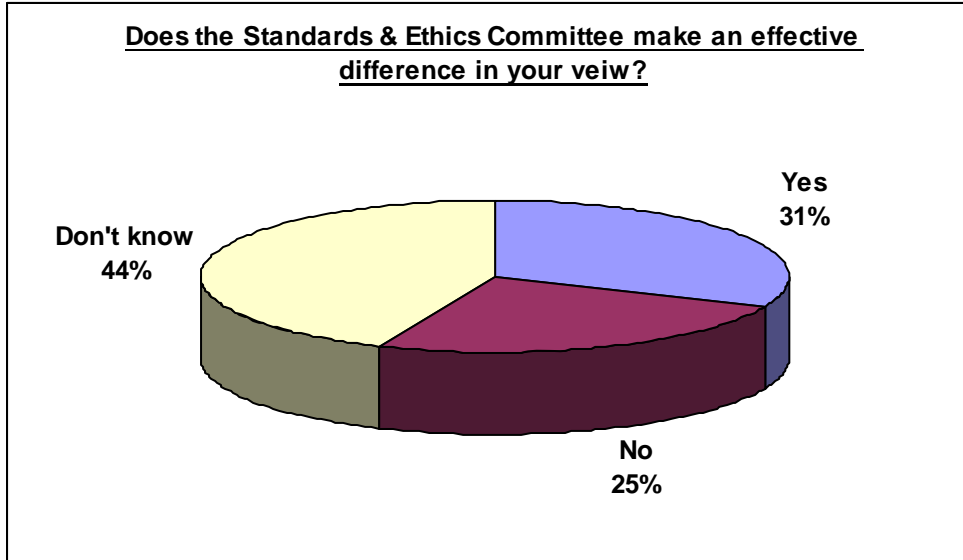
Of those, 81% (13) also reported that they were clear about the purpose of the Committee.

Table 1.2

	Yes		No		Don't Know	
	No.	%	No.	%	No.	%
<b>Are you aware that the Authority has a Standards &amp; Ethics Committee?</b>	16	100	0	0	0	0
<b>Are you clear about the purpose of the Standards &amp; Ethics Committee?</b>	13	81	2	13	1	6

Additionally Members were asked **“Does the Standards & Ethics Committee make an effective difference in your view?”** The chart below shows just a third of Members to consider the answer to be yes.

Fig. 1.2



Following this question Members were requested to put forward any suggestions as to how the Standards & Ethics Committee could be more effective. Suggestions provided by Members are shown below.

***“Be a little more pro-active in the way of a councillor friendly approach. Perhaps a short report from a member of the Committee at Council.”***

*“The Committee should attend full meetings of Council to be able to view the way in which members behave.”*

***“How does one measure 'effective difference'? I'm sure that they are effective and also make a difference by their very presence.”***

*“It could be more visible. But then there are always so many things happening and competing for attention, that's much easier to say than to do.”*

***“Standards and Ethics Committee are presented as a ‘them and us’ situation with the Councillors. Most Councillors think it is only there to consider discipline issues.”***

## Your Understanding

Members were asked to specify their level of understanding with regard to a range of documents in use within the Authority. In turn Members were asked to indicate firstly their awareness of the existence of the document, secondly whether they had a ‘broad understanding’ of its content, and thirdly if they knew where the document could be located.

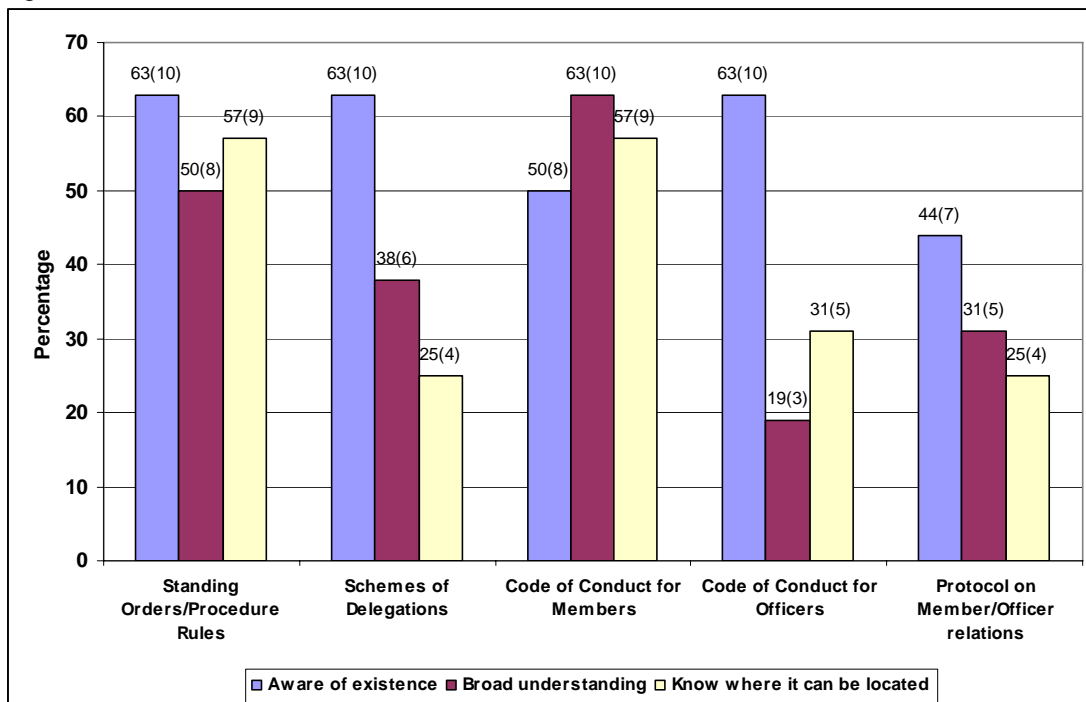
The Chart below shows almost two-thirds of Members to be aware of the existence of Standing Orders/Procedure Rules, Scheme of Delegations and the Code of Conduct for Officers.

Just 50% of Members reported to be aware of the existence of a Code of Conduct for Members despite 100% acknowledging that the Authority had adopted such a code in an earlier question.

Whilst 63% of Members reported to have a ‘broad understanding’ of the Code of Conduct for Members, just 19% reported the same with regard to the Code of Conduct for Officers.

Just a quarter of Members knew where to locate a copy of either the Scheme of Delegations or Protocol on Member/officer relations.

Fig.1.3



Comments provided by Members relating to this issue suggested an inadequate provision of information.

**“Again...a little more ‘vocal’ information please.”**

“I was not aware of the protocol on member/officer relations”.

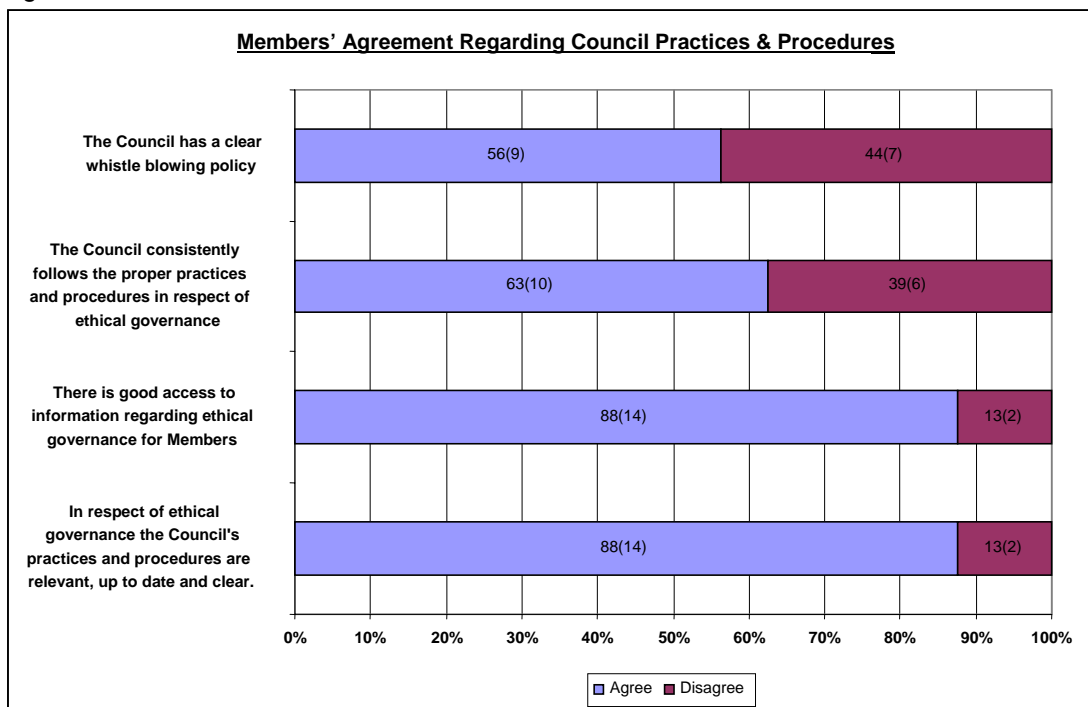
**Practices and Procedures**

Members were requested to state their level of agreement with a number of statements relating to practices and procedures within the Authority.

High proportions (88%) of Members were in agreement to both statements relating to the access to information relating to ethical governance and its relevance.

Two-thirds (63%) of Members agreed that the Council consistently follows proper practices and procedures in respect of ethical governance whilst just 56% agreed the Council to have a clear whistle blowing policy.

Fig.1.4



Additionally Members were questioned as to the extent that the Authority has begun to integrate the Statutory Codes of Conduct into various schemes, policies and procedures throughout the Authority.

Approximately half of Members reported that they did not know whether any integration has begun. Approximately a further third of responding Members believed no such integration to have taken place.

Table1.3

	Yes		No		Don't know	
	No.	%	No.	%	No.	%
<b>Schemes &amp; Policies e.g. Diversity</b>	2	12	5	31	9	57
<b>Procedures e.g. Complaints</b>	3	19	5	31	8	50

### **Role of Statutory Officers**

Members were asked to state whether they considered themselves to have a 'reasonable understanding' of the role of the Council's statutory officers. Although the majority of Members reported to have a 'reasonable understanding' of the role of the Monitoring Officer and Chief Finance Officer, only half reported to be aware of the role of the Head of Paid Service.

Table1.4

	Yes		No		Don't Know	
	No.	%	No.	%	No.	%
<b>Head of Paid Service</b>	8	50	6	38	2	12
<b>Monitoring Officer</b>	13	81	2	12	1	6
<b>Chief Finance Officer/ 'Section 151 Officer'</b>	12	75	3	19	1	6

### **Ethical Governance Training & Support**

Members were asked whether they had been provided with training, advice or a briefing on a number of issues relating to the ethical governance of the Council. The table below shows three-quarters of Members to have stated that they had received training/advice/ briefing on the Authority's Code of Conduct whilst 63% also reported to have been provided with information relating to the Freedom of Information Act 2000.

Training and support appeared to be far less evident in relation to both the Human Rights Act 1998 and the Race Relations (Amendment) Act 2000 with approximately a third of Members able to recall receiving information on either matter.

Table1.5

	Yes		No		Don't Know	
	No.	%	No.	%	No.	%
<b>Your responsibilities with regard to the Authority's Code of Conduct</b>	12	75	3	19	1	6
<b>The Human Rights Act 1998</b>	6	38	9	56	1	6
<b>Freedom of Information Act 2000</b>	10	63	4	25	2	12
<b>Race Relations (Amendment) Act 2000</b>	5	32	9	56	2	12

Members were further invited to provide comments relating to matters of training and support regarding ethical governance. The comments received from Members and listed below suggest further briefing for Members may be appreciated.

*"When does it happen?"*

"I could say that I am fully conversant in all but I will be honest! I have a pretty good general idea but is this enough?"

*"I would like to receive information on the acts listed above."*

"I'm sure that I may have been offered training but couldn't attend because of work commitments. I would appreciate brief guidance notes on these issues."



*“Unable to attend briefing/training during the day due to work commitments - attend what I can in the evenings but unable to remember what at present!”*

### **Members’ Understanding of their Responsibilities**

Members were requested to answer a number of questions on how well they understood their responsibilities.

Firstly Members were asked what action they would take as an individual if they were to become aware of any conduct by another Member, which they reasonably believed involved a failure to comply with the Authority's Code of Conduct.

The majority (81%) of Members agreed that the appropriate course of action would be to inform the Monitoring Officer whilst 31% also reported that they would speak directly to the Member in question. A high degree of uncertainty (38%) was evident amongst Members as to whether it would be appropriate to make a written allegation to the Local Government Ombudsman.

Table1.6

	Yes		No		Don't Know	
	No.	%	No.	%	No.	%
<b>Inform the Monitoring Officer</b>	13	81	1	6	2	12
<b>Make a written allegation to the Local Government Ombudsman</b>	2	12	8	50	6	38
<b>Speak to the Member</b>	5	31	9	56	2	12
<b>Do nothing</b>	0	0	15	94	1	6

Secondly members were asked which requirements would prevail if they were appointed to represent the Authority on an external body whose internal rules conflicted with the Authority's Code. The majority (69%) of Members concurred that the code of the Authority would prevail although a quarter admitted to uncertainty regarding this issue.

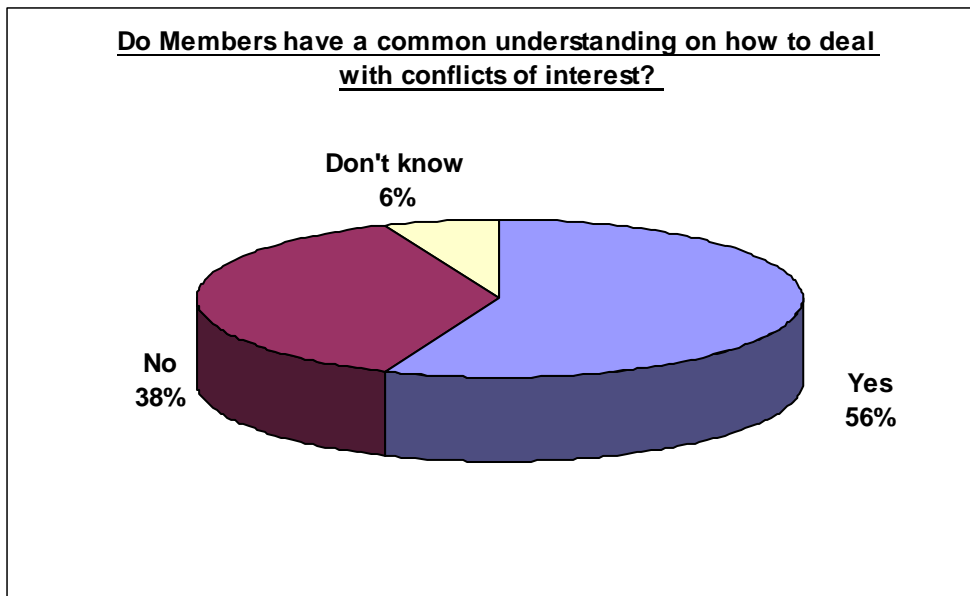
Table1.7

	Yes		No		Don't Know	
	No.	%	No.	%	No.	%
<b>The Authority's Code</b>	11	69	1	6	4	25
<b>The other organisation's code</b>	1	6	9	56	6	38
<b>Neither</b>	1	6	10	63	5	31

Following on from this issue Members were asked if they were clear as to what constitutes a conflict of interest, to which 88% confirmed that they were.

However, Members were asked if they have a ‘common understanding’ on how to deal with conflict of interests. In response to this question just 56% of Members stated that a common understanding did exist whilst 38% stated “no”.

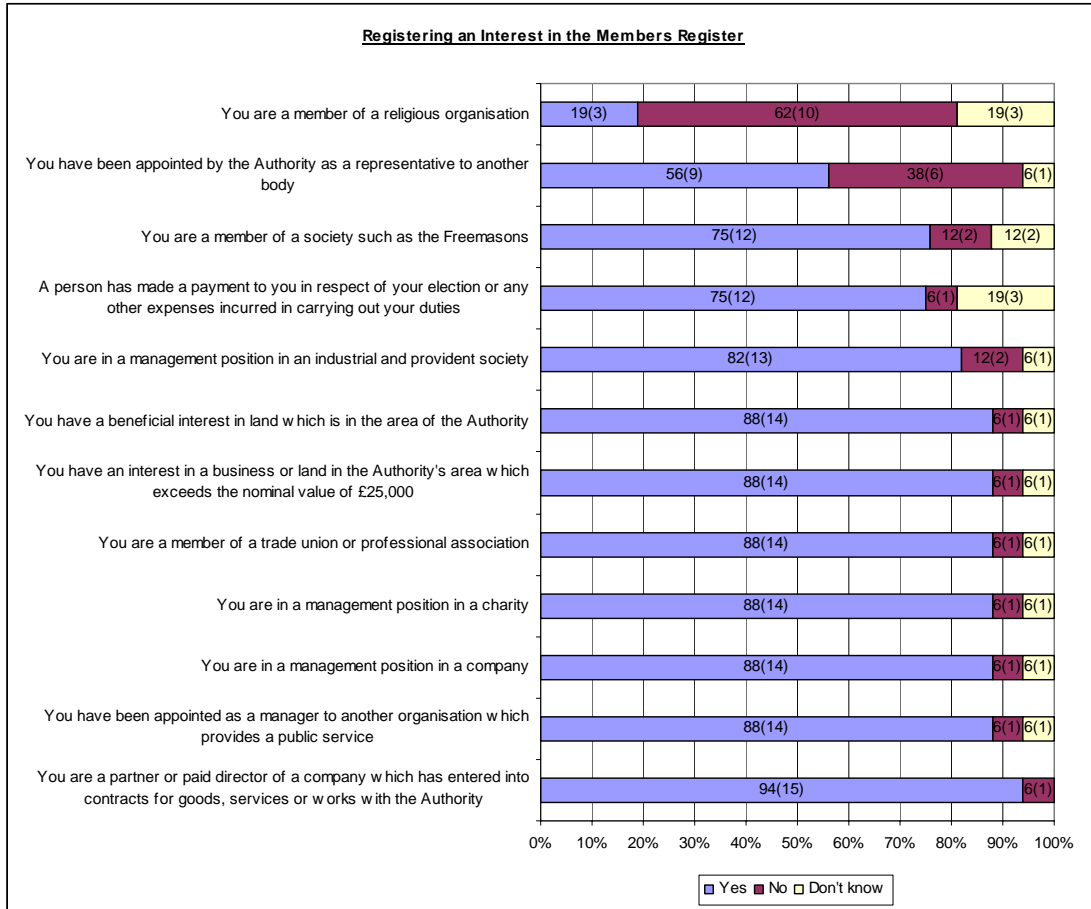
Fig.1.5



Members were requested to state whether they would register an interest against a number of scenarios. The table below shows that in most instances Members were clear that an interest should be registered.

Exceptions to this rule were in the instance of a person making payment to a Member in respect of their election or any other expenses incurred in carrying out their duties, which just three-quarters of Members considered appropriate to register. Furthermore just 56% stated that they would register an interest if they were appointed by the Authority as a representative of another body and just 19% if they were a member of a religious organisation.

Fig.1.6



Comments provided by Members regarding their understanding of their responsibilities included:

***“I go with the flow.”***

“I feel that I do understand the fact that I am a Local Authority Councillor. I respect the fact that I must act within the LA remit (in so much that I know of). I must stay within those boundaries of integrity.”

***“Generally I think I understand conflicts of interest and can always ask for legal advice if unclear, as recently because of being a school governor and the school plans.”***

“It is not clear to me how regularly this should be updated.”

## **Member Profile**

Of the sixteen Members responding to the consultation, ten (63%) had been Councillors for 2 years or less.

Table 1.8

<b>Length of time as a Member</b>		
	<b>No.</b>	<b>%</b>
<b>Less than 2 years</b>	10	63
<b>2 to 10 years</b>	4	25
<b>More than 10 years</b>	2	13
<b>TOTAL</b>	<b>16</b>	<b>100</b>

Three (19%) of the sixteen Members responding to the questionnaire reported that they belonged to the Standards and Ethics Committee.

Members were invited to state any further comments they had on the Council's Ethical Governance. Comments included:

*“An explanation of what it is in less than a page.”*

“Short, clear advice.”

*“The small issues of ethical governance seem to be skipped over too often.”*

## **Response to questions**

Just one of the Members responding to the questionnaire required a specific response to the comments that they had raised within the consultation. These can be viewed within Appendix 1.

## **SECTION 2 – CONSULTATION WITH OFFICERS**

The Local Government Act 2000 provides an ethical framework for employees that is automatically incorporated into contracts of employment.

The questionnaire is designed to gauge officers' level of awareness of the implications of Part III of the Local Government Act 2000 (the Act) and how it impacts upon them and their work with the Council. This questionnaire explores in detail individuals' level of awareness of the Authority's arrangements for complying with the Act in promoting high standards of ethical governance within the Council and invites officers to comment further on this issue.

### **Codes of Conduct**

Firstly officers were requested to respond to questions regarding their awareness of the codes of conduct adopted by the Council.

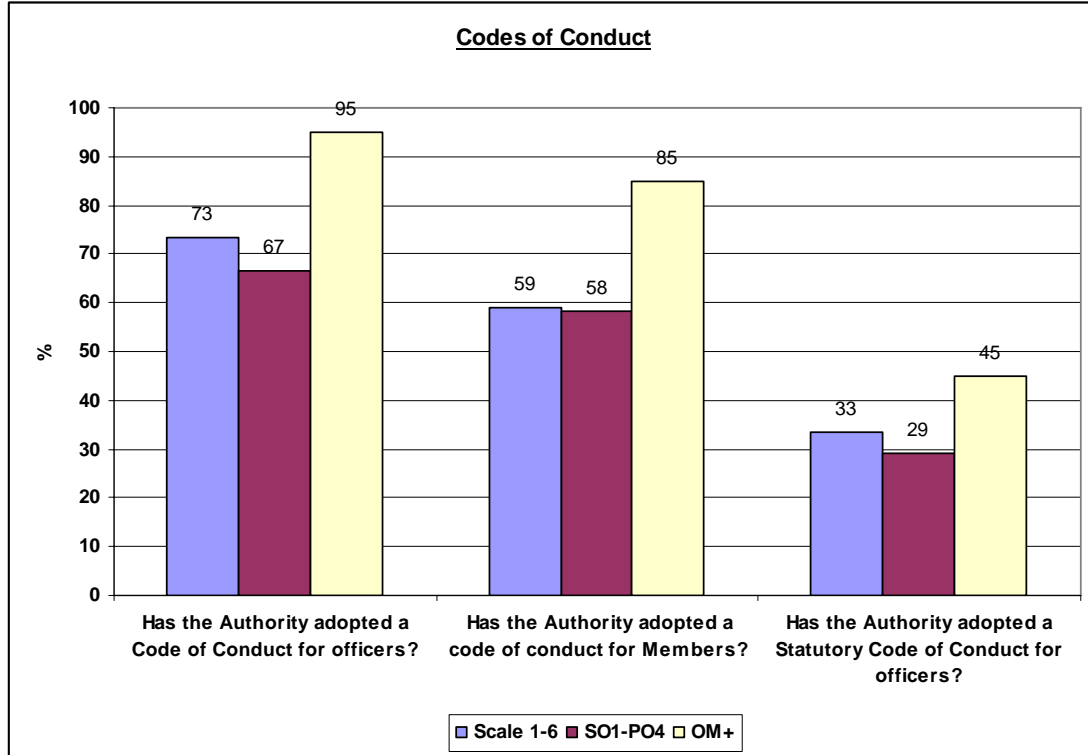
Almost three-quarters (72%) of officers were aware that a Code of Conduct for Officers had been adopted by the Authority. The level of awareness regarding the adoption of a Code of Conduct for Members was slightly lower at 59%.

Table 2.1

	Yes		No		Don't Know	
	No.	%	No.	%	No.	%
<b>Has the Authority adopted a Code of Conduct for officers?</b>	182	72	1	0	71	28
<b>Has the Authority adopted a code of conduct for Members?</b>	151	59	0	0	103	41

When the level of awareness is looked at by grade, officers at OM level and above can be seen to hold an increased level of awareness with regard to this subject in comparison to officers both at scale 1-6 and those graded SO1-PO4.

Fig. 2.1



Officers were invited to make additional comments regarding the Codes of Conduct to which a total of twenty four responded. Listed below is a representative selection of those comments put forward. Several comments suggest employees to assume the existence of the documents although they are unclear as to the exact nature of their content.

Additionally the comments reveal that certain groups within the Authority adhere to separate Codes of Practice specifically tailored to their Service or profession.

***“Not really aware of them in detail just that they are there.”***

“If they are in existence they need to be publicised every now and again.”

***“Awareness could be improved. I wonder how many know where to find them.”***

“I’m aware that all policies are governed by codes of practice but I’m unable to comment on where these codes of practice are and how their accessed.”

***“Need to be more widely distributed and awareness raised. I am vaguely aware that one exists but do not know precisely what it requires of me.”***

“Not widely known or high profile among officers at all levels.”

***“Although I have no knowledge of these I suspect that we have them and I just haven’t been advised.”***

“I think the level of awareness is low overall. I am aware of the Codes as I have been involved in this area of work. Most of the code is in fact common sense, but there does need to be some awareness raising.”

***“Don't really know what they are. Social workers have their own professional codes of conduct to abide by so I would be guided by these.”***

“I am aware of a statutory code of conduct for social workers.”

***“Youth Service has adopted a code of conduct for Community Education Officers”***

### **Ethical Conduct of the Authority**

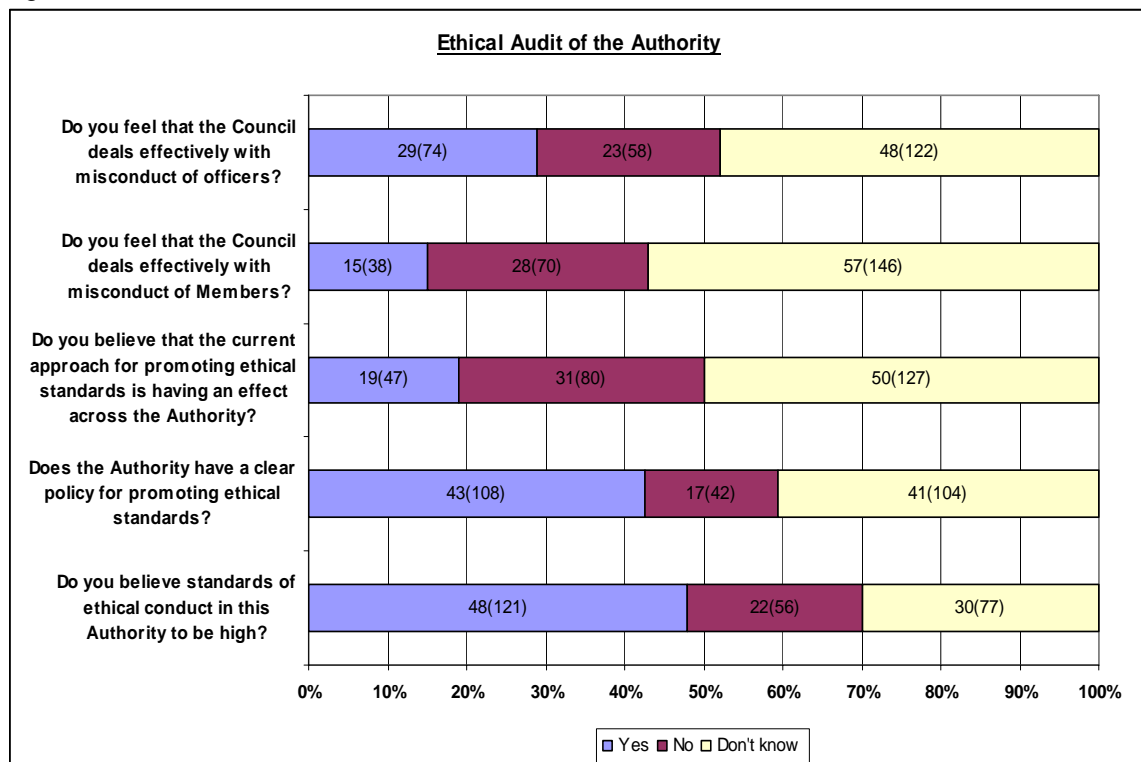
Officers were requested to respond to five statements relating to the ethical conduct of the Authority. The results of this can be seen in the chart below.

Just half (48%) of officers believe the current standard of ethical conduct within the Authority to be high.

Approximately a third (31%) of officers did not believe the current approach for promoting ethical standards to be having an effect across the Authority.

A high level of uncertainty was expressed by officers with regard to all aspects of the ethical conduct of the Authority. Approximately half reported that they did not know whether the Council deals effectively with either the misconduct of officers (48%) or Members (57%).

Fig. 2.2



Listed below is a representative sample of the comments made by officers regarding the general ethical conduct of the Authority. Several of the comments suggest a perceived disparity between the treatment of officers and that of Members, whilst others pointed towards a feeling that the current system lacks sincerity.

“Very hard to make judgements about ethical standards across the whole authority. I think that the staff I work with generally work to high ethical standard.”

**“I believe that the disciplinary procedures are likely to be harsher toward officers than members.”**

“(There are) many documents on intranet referring to all kinds of possible misconduct by officers and potential consequences to them, but seemingly no equivalent number of documents relating to members.”

**“I’m not aware of any instances where misconduct has been dealt with regarding Members.”**

“As a member of staff I have no faith that the authority will not come down on me with a lead hammer if I try to express via the whistle blowing system.”

**“There is too much trust and not enough eyes. Managers are oblivious to what exactly is going on around them.”**

“The policies are meaningless as there is still a bullying culture within this Council at most levels.”

**“Lip service is paid, nothing more.”**

### **Standards and Ethics Committee**

Officers were requested to answer questions in relation to the Council’s Standards & Ethics Committee. The table below shows that whilst two-thirds (68%) of all officers were aware that the Authority has a Standards & Ethics Committee, just a quarter (24%) were clear about its purpose.

With regard to whether the Standards & Ethics Committee make an effective difference almost two-thirds (64%) of officers conceded that they did not know.

Table 2.2

	Yes		No		Don't Know	
	No.	%	No.	%	No.	%
<b>Are you aware that the Authority has a Standards and Ethics Committee?</b>	172	68	66	26	16	6
<b>Are you clear about the purpose of the Standards and Ethics Committee?</b>	62	24	169	67	23	9
<b>Does the Standards &amp; Ethics Committee make an effective difference in your view?</b>	17	7	74	29	163	64



Officers were asked to provide suggestions as to how they felt the Standards & Ethics Committee could be more effective. The majority of suggestions made by officers centred on a need for the Committee to raise its profile and improve dissemination of information. Listed below is a representative selection of the comments received.

***“Increasing awareness of their activities amongst staff. Using existing mechanisms such as Inductions, Personal Performance Reviews, Team briefings etc.”***

“More publicity to let people know they exist.”

***“Minutes distributed on front page of intranet, minutes sent around via staff information.”***

“No real idea what they do - are they reactive or proactive?”

***“They need to get out in the workplace and promote the expected standards.”***

“The Committee seems distance and akin to a thought police to be feared that gets in the way of normal business rather than a training and support agency.”

***“By being independent of the members completely. By ensuring anonymity if a member of staff should complain to them.”***

“Better communication”

***“Meeting with officers to explain their work e.g. at a staff meeting.”***

“By being higher profile & publicising results of enquiries and penalties imposed on Members. The committee needs more 'teeth' to act as a deterrent.”

## **Your Understanding**

Officers were asked to specify their level of understanding with regard to a range of documents in use within the Authority. In turn officers were asked to indicate firstly their awareness of the existence of the document, secondly state whether they had a ‘broad understanding’ of its content and thirdly if they knew where the document could be located.

The table below shows less than half of officers are aware of the existence of many of the documents listed. The highest level of awareness was with regard to the Code of Conduct for Members which 57% of officers reported to be aware of.

Half (53%) of respondents reported being aware of the existence of a Code of Conduct for Officers whilst just 28% had a broad understanding of its content.

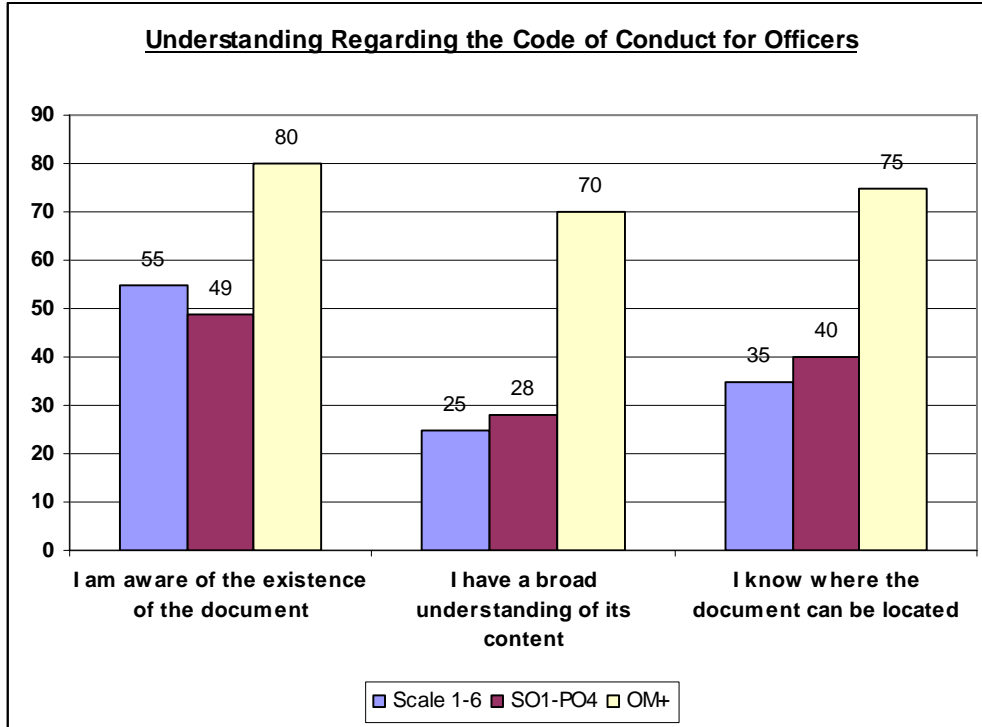
Only around a third of officers reported to know where the documents mentioned could be located.

Table 2.3

	I am aware of the existence of the document/s		I have a broad understanding of its content		I know where the document can be located	
	No.	%	No.	%	No.	%
<b>Code of Conduct for Members</b>	144	57	41	16	75	30
<b>Code of Conduct for Officers</b>	135	53	71	28	96	38
<b>Protocol on Member/Officer relations</b>	107	42	34	13	66	26
<b>Schemes of Delegations</b>	100	39	54	21	83	33
<b>Financial Procedure Rules</b>	128	50	60	24	91	36
<b>Contracts Procedure Rules</b>	107	42	45	18	81	32
<b>Other Standing Order/Procedure Rules</b>	103	41	26	10	82	32

The chart below shows officers' awareness and understanding of the Code of Conduct for Officers broken down by grade. A clear disparity appears evident between the awareness and understanding of officers graded PO4 and below and those at OM+, with the more junior officers having a significantly lower level of awareness and understanding.

Fig. 2.3



Officers provided a range of additional comments relating to awareness and understanding of the named documents. Comments largely related to difficulty in locating the documents and a lack of information regarding their existence.

***“Need to be made more prominent and easier to find.”***

“The financial regulations are very difficult to find should be a shortcut on intranet.”

***“Please be aware that not all officers are sat at a computer, or au fait with documents available on the Intranet.”***

“Many of the documents are not applicable to me, as I'm not of a high enough grade to need to deal with them.”

***“All need to be located in central position on intranet and internet (for public access).”***

“I think there needs to be a single, broad based publication to be distributed to all officers and members. It should give an outline of policy and signpost useful documents.”

***“Would like to see better publicity of locations of these, and better induction for managers when they start in the organisation to help them find these.”***

“I am not aware of any of these documents and have not been made aware of them during corporate induction either.”

***“Never had the need to look at them, but as they are not evident on the CIS, wouldn't know where to start.”***

“Often too long to read through, terminology can sometimes be confusing especially financial literature. This can be off-putting.”

**Practices and Procedures**

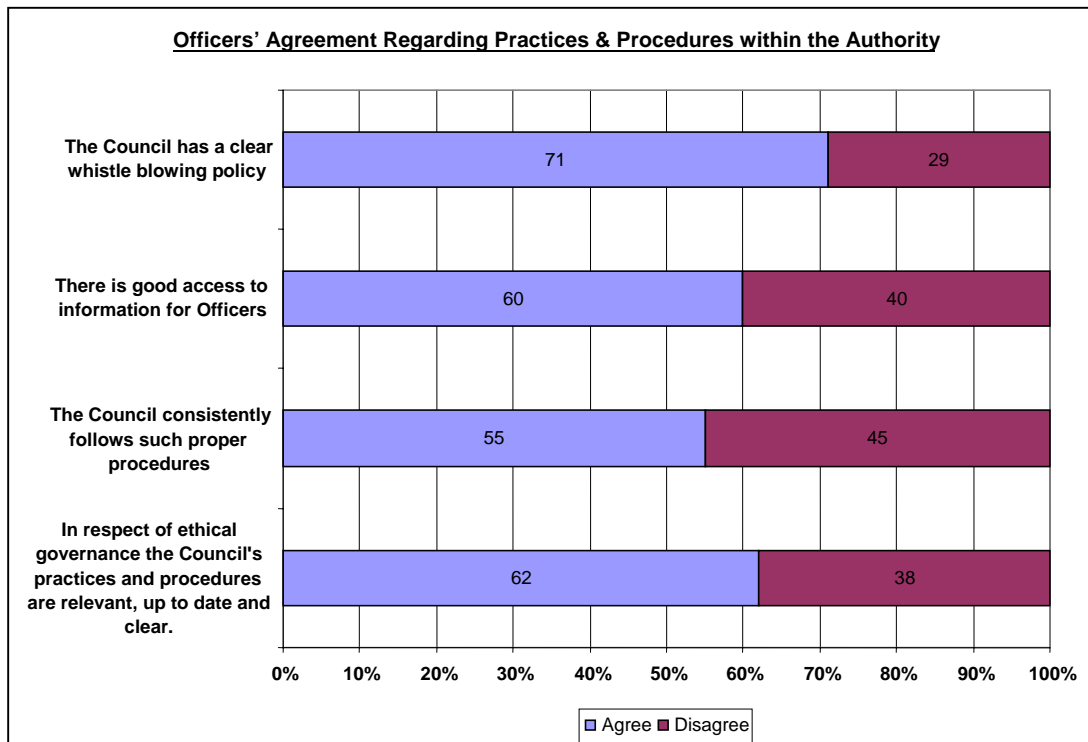
Officers were requested to indicate their level of agreement with several statements relating to the practices and procedures of the Authority. The table and chart below show seven-tenths of officers to agree that the Council has in place a clear whistle blowing policy.

The lowest level of agreement expressed by officers was in relation to the statement “*The Council consistently follows such proper procedures*” with which just 55% concurred.

Table 2.4

	Strongly Agree		Agree		Disagree		Strongly Disagree	
	No.	%	No.	%	No.	%	No.	%
In respect of ethical governance the Council's practices and procedures are relevant, up to date and clear.	9	4	148	58	84	33	13	5
The Council consistently follows such proper procedures	8	3	131	52	100	39	15	6
There is good access to information for Officers	16	6	138	54	78	31	22	9
The Council has a clear whistle blowing policy	27	11	152	60	64	25	11	4

Fig. 2.4



Additionally officers were questioned as to the extent that the Authority has begun to integrate the Statutory Codes of Conduct into various schemes, policies and procedures.

Approximately seventy percent of all officers reported that they did not know whether any integration has begun, and a further fifth of officers believed no such integration to have taken place. This leaves less than ten percent of officers who believed that the Statutory Codes of Conduct are being integrated into existing policies and procedures across the Authority.

Table 2.5

	Yes		No		Don't know	
	No.	%	No.	%	No.	%
<b>Schemes &amp; Policies e.g. Diversity</b>	22	9	51	20	181	71
<b>Procedures e.g. Complaints</b>	18	7	59	23	177	70

Several officers made additional comments regarding practices and procedures in the Authority. A selection of these are listed below, several of which centre around the perceived ineffectiveness of the Council's whistle blowing policy.

***"I think that anyone who "blows the whistle" is a fool as it will always rebound badly on them. I think that this reflects very badly on the employer."***

"There is a well known and frequently read whistle blowing policy which it is doubtful that any but the most desperate of officers would use."

***"Whistle blowers still continue to receive little protection and in some cases are treated worse than the alleged perpetrators."***

"Sometimes the one size fits all approach throws out good, simple and successful practice for a bureaucratic and general corporate approach."

***"I'm unaware of where to find such policies on the CIS system, even though I know that they are in existence."***

"Maybe there should be some training / awareness for officers (particularly managers / supervisors)."

**Role of Statutory Officers**

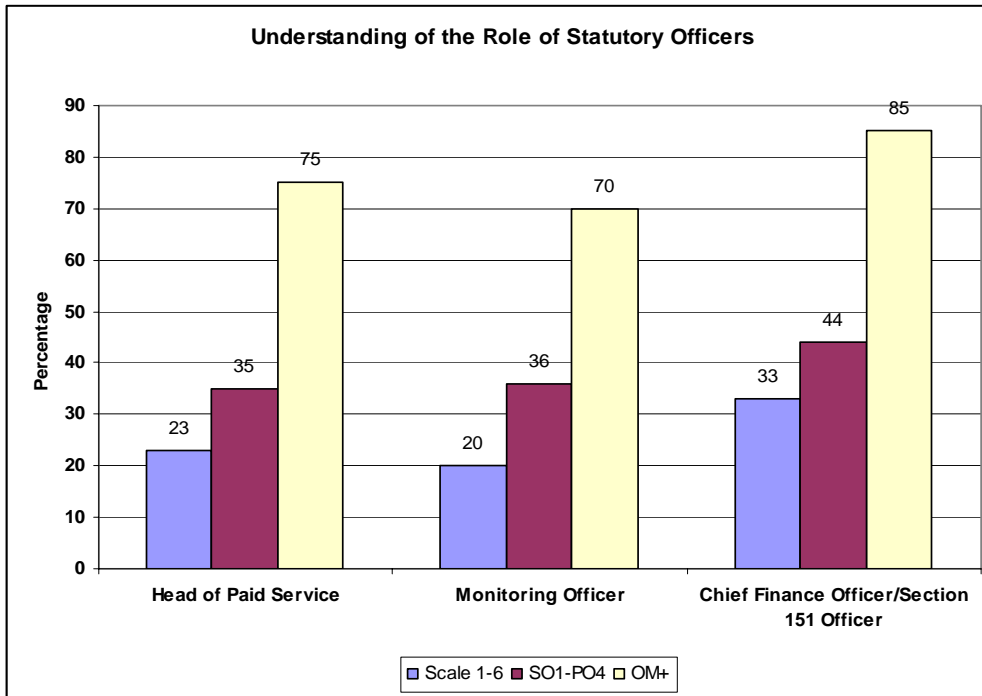
Officers were asked to state whether they considered themselves to have a ‘reasonable understanding’ of the role of the Council’s statutory officers to which approximately only a third were able to respond in the affirmative.

Table 2.6

	Yes		No		Don't Know	
	No.	%	No.	%	No.	%
<b>Head of Paid Service</b>	81	32	127	50	46	18
<b>Monitoring Officer</b>	76	30	130	51	48	19
<b>Chief Finance Officer/Section 151 Officer</b>	101	40	112	44	41	16

The chart below shows the understanding of the role of statutory officers broken down by grade and points towards a positive correlation between the two, with more senior officers indicating a significantly higher level of understanding

Fig. 2.5



Listed below is a selection of additional comments provided by officers regarding the role of these statutory officers within the Authority.

*“I know who the Head of Paid service is but unsure of his role in relation to ethical standards.”*

*“I know these roles exist and who fills each role but I don't know the reason for each role.”*

*“How are we supposed to know about these people? How do we know if they have an impact on our daily duties? What is a Section 151 officer?”*

*“Never heard of these positions.”*

*“Again, some rudimentary (briefing, email, etc.) awareness raising of these important roles for all staff.”*

*“Profile is too low. All employees should have an idea of at least one of the duties of each of the above.”*

**Ethical Governance Training and Support**

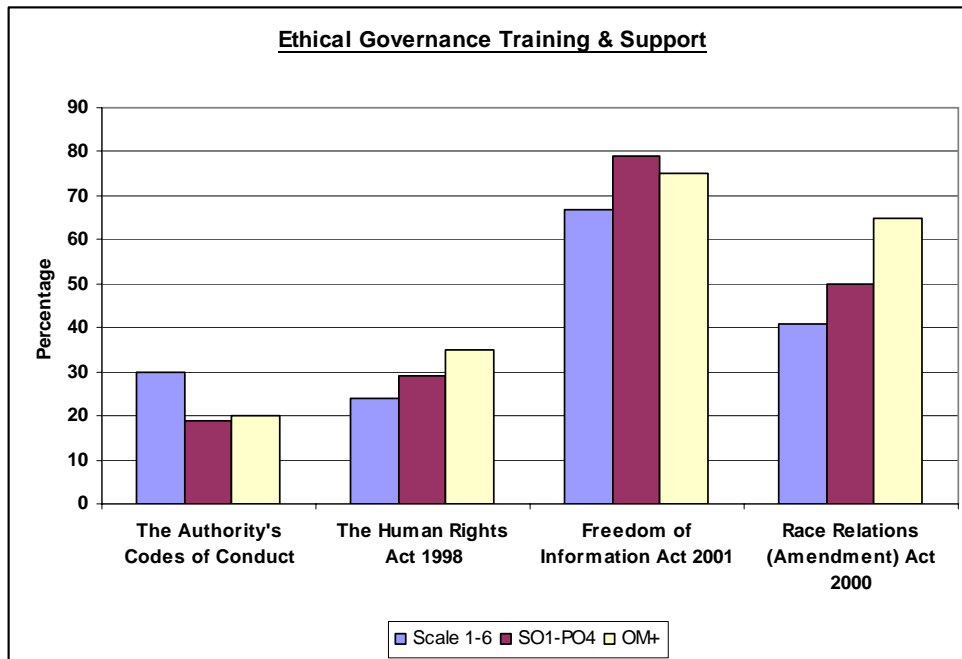
Officers were asked whether they had been provided with training, advice or a briefing on a number of issues relating to the ethical governance of the Council. The table below shows seventy percent of officers report that they have received training and support in relation to the Freedom of Information Act 2000. Additionally almost half (44%) of officers report to have received training on the Race Relations (Amendment) Act although only a quarter reported to have received anything similar in relation to either the Codes of conduct of the Authority or the Human Rights Act of 1998.

Table 2.7

	Yes		No		Don't Know	
	No.	%	No.	%	No.	%
<b>The Authority's Codes of Conduct</b>	65	26	168	66	21	8
<b>The Human Rights Act 1998</b>	66	26	167	66	21	8
<b>Freedom of Information Act 2001</b>	177	70	65	26	12	5
<b>Race Relations (Amendment) Act 2000</b>	112	44	122	48	20	8

The chart below details officers' access to training and support on ethical governance broken down by grade.

Fig. 2.6



Several officers chose to make additional comments on this issue, many of which focused upon a perceived lack of information and training. A selection of the comments received is provided below.

*“What is ethical governance?”*

*“I've been given a booklet about ethical conduct but have had no further advice.”*

*“Need more 'nuddy' guides! Low-level general guides giving a broad outline of these acts and where to get further information.”*

“Upon taking up the post was provided with info on codes of conduct which incorporated Human Rights / Diversity.”

***“Information may have been issued via the intranet however there is so much issued it may have been passed over”***

“There is training available that covers the above but there is such a shortage of trainers in the organisation.”

***“Insufficient training available.”***

“Training and support on the 3 pieces of legislation received from a previous LA employer - no such support has been made available to me in Cardiff.”

### **How well you Understand your Responsibilities**

Officers were asked a number of questions regarding what they should do in various different situations.

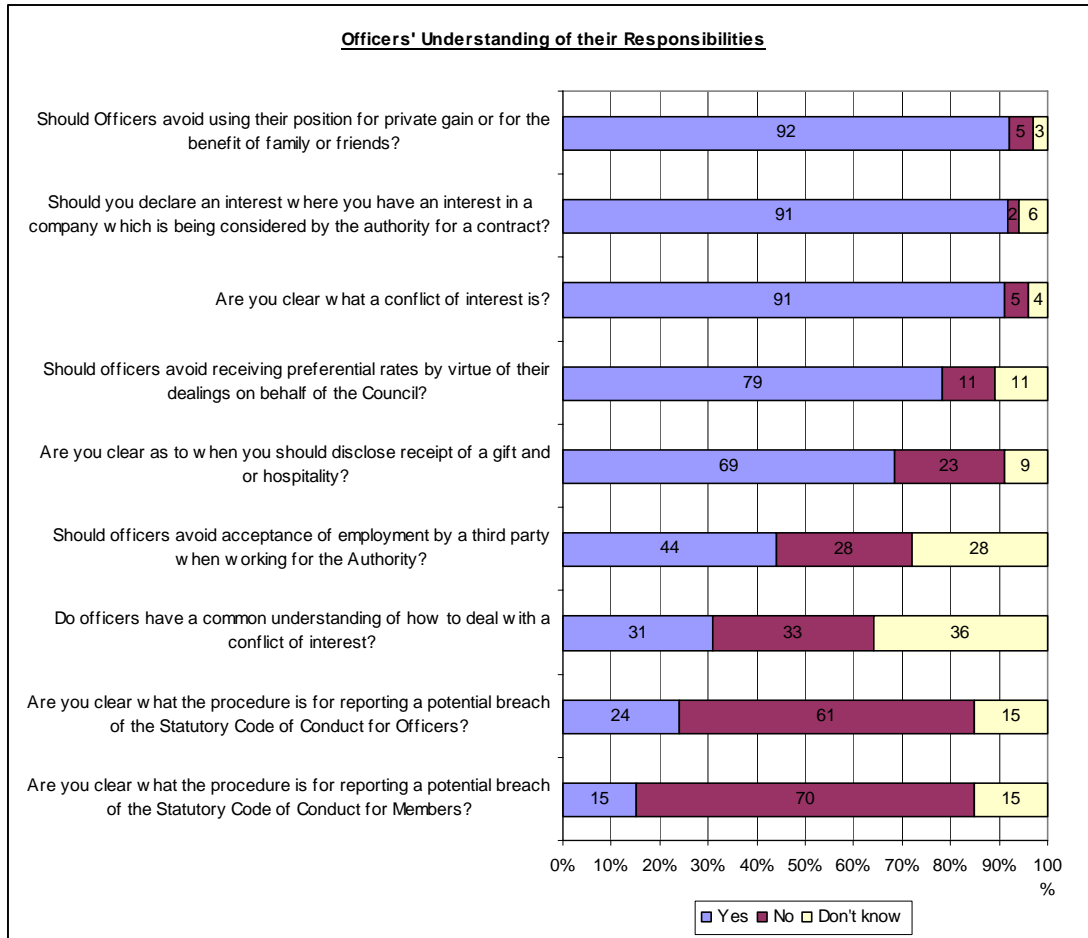
Ninety-two percent of those responding agreed that officers should avoid using their position for private gain or for the benefit of family and friends; however just sixty-nine percent were clear as to when they should disclose the receipt of a gift or hospitality.

Seven-tenths of all officers reported that they were unclear of the procedure for reporting a potential breach of the Statutory Code of Conduct for Members; and 61% were unsure of the procedure for reporting a potential breach of the Statutory Code of Conduct for Officers.

Whilst 91% of respondents indicated that they are clear as to what a conflict of interest is, a high level of uncertainty was evident in relation to whether officers share a common understanding as to how to deal with a conflict of interest (36%). There was also considerable uncertainty as to whether officers should avoid employment by a third party when working for the Council (44% indicated that they should avoid this; 28% said not; and 28% were unsure).



Fig 2.7



Several officers made additional comments with regard to their understanding of their responsibilities. A selection of their comments is provided below.

***“Lack of easily available named officers to seek clarification/explanation of info on CIS.”***

“There does not appear to be sufficient promotion of policies on whistle blowing and human rights act.”

***“I think it is very important for all officers to keep to very high standards. We should be ‘above reproach’ in our dealings. We probably need to discuss it with staff to increase awareness etc.”***

“I have received general training at induction only. There is a need for role- specific information from OMs or their delegated managers.”

***“Responsibilities are clearly laid out in codes of guidance.”***

“Mostly I feel it is common sense. However there are 'grey' areas, especially when working with Members, where more training is needed.”

***“These points should ideally be covered at corporate induction with materials available on staff information pages of the intranet.”***

“There is a good access to information but not enough time to keep fully up to date.”

***“Is it purely line managers responsibility to communicate all these ethical issues?”***

Officers were also invited to add any additional comments regarding Standards & Ethics in general, a selection of which is shown below.

***“Good improvement over last 2 years.”***

“The more senior the politician, the fewer (*ethics*) they've got.”

***“Is there a section on this during the induction day? If not it should be included.”***

“Needs to be made part of Induction Process.”

***“Key principles should be mainstreamed across the Council so that they are easily understood and promoted by both officers and members.”***

“I think we have a way to go before the standards followed by some members and officers is of acceptable standard. “

***“There is clearly a problem in relation to the historical observance of standards and ethics in the authority which cannot be addressed by policy alone.”***

“We have talked enough about this for years, yet despite Joint reviews etc there has been no real change at all, just lots of words and paper.”

***“Nobody disciplines those staff/members that don't "pull their weight". There is too much walking of dogs, going home etc in work time.”***

“The council is working hard to develop meaningful policies and procedures, unfortunately the down fall is that these documents sit on a shelf.”

***“Clarification regarding issues relevant to 'whistle blowing' and clear routes for reporting other concerns, confidentially.”***

“I have found the whistle blowing policy to be extremely ineffective.”

***“The supposed standards of ethics and equality are excellent . . . how consistently this is applied across all service areas I am not sure.”***

“I believe refresher training should be made compulsory, as generally staff are informed at point of employment & this knowledge is not then re-visited.”

***“The fact that our standards are generally very high should be better promoted - occasional lapses get all the headlines and provide a distorted view.”***

“Unclear that policies are equally applied for all levels of officers.”

## **Response to questions**

A total of eight officers requested a specific response to the comments that they had made within the consultation. These can be viewed within Appendix 1.

## **Respondent Profile**

The table below provides a breakdown of respondents by Service Area.

Table 2.8

	No.	%		No.	%
Adult Services	22	9	Legal & Democratic Services	4	2
Children's Services	11	5	Leisure, Libraries & Parks	23	9
Clerk to the Council	4	2	Marketing & Tourism	4	2
Communications	2	1	Policy & Economic Development	24	10
Financial Services	29	12	Projects, Design & Development	7	3
Health Promotions & Partnerships	2	1	Regulatory Services	17	7
Highways & Transportation	17	7	Schools & Lifelong Learning	22	9
Housing & Neighbourhood Renewal	23	9	Scrutiny & Improvement	3	1
Human Resources	10	4	Strategic Planning	11	5
ICT	5	2	Waste Management	4	2

Three-fifths of those responding to the officers survey reported to be graded at scales 1 to 6, a third of respondents were grades SO1-PO4 whilst the remaining tenth of returns came from officers at OM level or above.

Table 2.9

	No.	%
Scale 1 -6	132	59
SO1 - PO4	72	32
OM+	20	9
<b>TOTAL</b>	<b>224</b>	<b>100</b>

Just over half (55%) of survey returns came from male officers whilst half of the returns also were made by officers aged under 35.

Table 2.10

	No.	%
Male	130	55
Female	106	45
<b>TOTAL</b>	<b>236</b>	<b>100</b>

Table 2.11

	No.	%
16-24	31	13
25-34	89	37
35-44	51	21
45-54	40	17
55-64	30	12
65+	1	0
<b>TOTAL</b>	<b>242</b>	<b>100</b>

### **SECTION 3 – CONSULTATION WITH THE PUBLIC AND STAKEHOLDERS**

A total of 2,500 paper questionnaires were sent to a random sample of the general public. An additional 301 paper questionnaires were sent to a selection of stakeholders and partner organisations.

A total of 242 completed questionnaires were returned equating to an overall response rate of 8.6%. Of these, 176 valid paper questionnaires were returned from the Public (a public response rate of 7.0%) and 68 valid paper questionnaires were returned from partner organisations (a partner response rate of 23%).

#### **What is your relationship with the Council?**

Table 3.1

	<b>Number</b>	<b>Percentage</b>
Member of the Public	176	72
Partner Organisation (any organisation which works with the Council)	28	12
Community Councillor/Clerk	22	9
District Audit	2	1
Other (please specify)	16	7
<b>TOTAL*</b>	<b>244</b>	<b>100</b>

\*Respondents were able to specify more than one category

Some of the **Other** responses are detailed below:

*“Leader of the Council”*

*“School Governor, neighbour watch”*

*“Tenant”*

*“Council tax Payer”*

*“Retired local Government Officer”*

*“Member of standards & ethics committee of Cardiff Council”*

*“Cardiff County Trades Union Council”*

*“County Councillor”*

*“RAG”*

*“Councillor”*

*“Compact Liaison Panel representative”*

*“Education Authority”*

*“Member of staff - admin assistant”*

*“Local charity - on Council mailing list”*

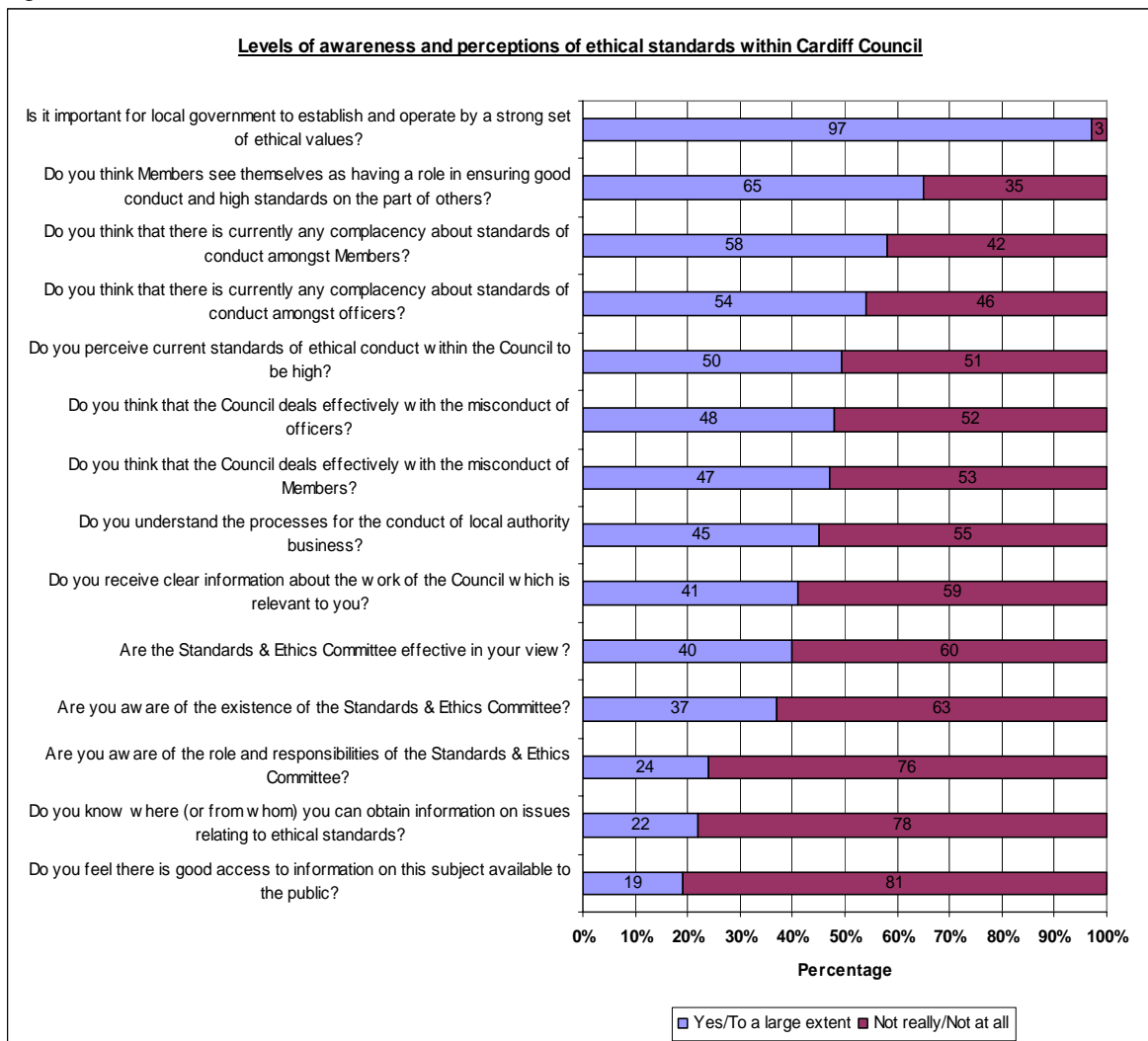
**Q1. Respondents were asked to indicate their views on several questions pertaining to Ethical Standards within Cardiff Council.**

Virtually all (97%) respondents answered that it is important for local government to establish and operate by a strong set of ethical values. Two-thirds (65%) of respondents felt that Members see themselves as having a role in ensuring good conduct and high standards on the part of others.

Respondents were split 50:50 as to whether current standards of ethical conduct within the Council could be perceived as high.

Four-fifths (81%) of respondents did not feel that there is good access to information on this subject available to the public.

Fig. 3.1



The results are shown below separately for both partner organisations and members of the public. Generally, a higher level of agreement was expressed with each statement by partner organisations than members of the public. When asked, “Do you understand the process for the conduct of Local Authority Business?” three-quarters of partner organisations responded that they did compared to 35% of members of the public. Likewise almost half (43%) of responding partners confirmed that they were aware of the existence of the Standards & Ethics Committee compared to just 28% of the public.

Table 3.2

	ALL		Partner		Public	
	No.	%	No.	%	No.	%
Is it important for local government to establish and operate by a strong set of ethical values?	225	97	322	100	165	95
Do you think Members see themselves as having a role in ensuring good conduct and high standards on the part of others?	85	65	150	65	90	63
Do you think that there is currently any complacency about standards of conduct amongst Members?	56	58	114	50	87	62
Do you think that there is currently any complacency about standards of conduct amongst officers?	69	54	123	42	78	58
Do you perceive current standards of ethical conduct within the Council to be high?	99	50	149	59	62	43
Do you think that the Council deals effectively with the misconduct of officers?	40	48	88	57	58	44
Do you think that the Council deals effectively with the misconduct of Members?	92	47	139	64	56	41
Do you understand the processes for the conduct of local authority business?	103	45	148	75	59	35
Do you receive clear information about the work of the Council which is relevant to you?	112	41	153	52	59	36
Are the Standards & Ethics Committee effective in your view?	102	40	142	53	42	34
Are you aware of the existence of the Standards & Ethics Committee?	128	37	165	43	48	28
Are you aware of the role and responsibilities of the Standards & Ethics Committee?	89	24	113	32	26	15
Do you know where (or from whom) you can obtain information on issues relating to ethical standards?	89	22	111	25	24	14
Do you feel there is good access to information on this subject available to the public?	50	19	69	11	24	16

## Q2. How could the Standards & Ethics Committee be more effective?

A total of 103 comments were received which have been divided up into the following themes.

Table 3.3

Theme	Number	Percentage
More information/ publicity	46	44.7
More open/ transparent	14	13.6
Publish findings more widely	12	11.7
Larger/ more diverse membership	7	6.8
More proactive	5	4.9
Greater enforcement	4	3.9
More training	2	1.9
Miscellaneous	13	12.6
<b>TOTAL</b>	<b>103</b>	<b>100.0</b>

A selection of these are detailed below:

### **More information/ publicity**

***“Improved communications with the public. I do not feel I know enough to respond to Q1 effectively.”***

“Presentation to CPIG on their role.”

***“I did not know there was a Standards & Ethics Committee, I did know there were Scrutiny Committees - what is the difference?”***

“More visible to General Public. Leaflet with this giving Policy & Standards would have been helpful.”

***“Let people know you exist.”***

“Let us see more in local papers i.e. Western Mail, Echo.”

***“Higher profile. e.g. on the website, where I found no obvious links to the committee and found the relevant page only by using the search engine. Even then, several members had no links. What about case studies showing what the committee does?”***

“Until this form I have never thought about them. Know nothing of their work or its effect on council members or council staff.”

***“Let people know what they do!”***

### **More open/ transparent**

“Maximum public access possible”

***“Their role and objectives need to be made absolutely clear to the public and their deliberations and judgements should be transparent in process and publicly demonstrated. “***

“Be more open to the public”

### **Publish findings more widely**

***“Periodic newsletters about achievements aims etc”***

“Publishing more widely any findings after investigation of any misconduct of elected members or officers.”

***“More open and publish findings in Council paper”***

### **Larger/ more diverse membership**

“I am not clear of the age range of the committee but my perception is it is old and not representative of the community at large.”

***“Larger Membership: Standing item for meetings of full authority, plus scrutiny committees to receive reports on standards & Ethics Committee”***

“Representatives from all sectors and diverse groups”

### **More proactive**

*“A more pro-active rather than reactive role.”*

### **Greater enforcement**

“Publicly censure those who bring Council into disrepute by their actions or non action.”

*“Be seen to take effective action on proof of misconduct, not just a slap on the wrist.”*

### **More training**

“Ensuring effective & continuing training for members & officers.”

### **Miscellaneous**

*“By working with and listening to the district auditor. Thus ensuring reasonable accountability.”*

“By Disbanding”

*“Use it as a watchdog for other committee decisions”*

“By upholding the Christian faith.”

### **Q3. Are there any additional points that you would like to raise with regards to ethical standards?**

A total of 63 comments were received; these comments were quite diverse in subject matter. A selection can be found below:

*“Whole subject is too vague”*

“1) Why only 3 councillors on Committee? Is that a legislative minimum? 2) Noted from review of papers going to last 4 meetings that while standard of reports is high, actual content is not, e.g. whistle-blowing report suggests HUGE lack of focus, with responses from senior officers. Not very forthcoming at that, if ethical standards are so high a priority, reports received should be based on enquiries to a full spectrum of council officers, by seniority, post or department.”

*“As a community councillor I have grave reservations about CCC's planning department. Standing orders denies us the right to address the committee. Other LAs do so.”*

“The council should adopt the improvement and development agency's guidance on ethical governance audit.”

*“The standards & Ethics committee needs to be pro-active and ensure complete & regular training & re-training of members & officers.”*

“Stakeholders need to know precisely what are the set of principles that guide the behaviour of the council, the Councillors and its officers.”

*“In two visits to the Council offices and three telephone calls regarding a Council tax problem, three people told me one answer, the other two told me the opposite.”*



“Ethnic & Moral standards in the City are being eroded - as for example the Jerry Springer Opera & possible Mega Casino.”

***“The amount of expenses, a more detailed account made available without having to look for it.”***

“Too cynical to believe that political parties and unions would allow really effective action to be taken.”

***“Councillors and officers have a low expectation of ethical standards within the council. There is a culture of acceptance of poor standards of behaviour.”***

“Procedural focus on areas where risk of abuse of power is greatest e.g. Development i.e. Building/zoning, Tendering of contracts, business links.”

***“I’m sure the panel do work towards ethical standards but sometimes normal everyday people don’t see/read about it. That’s all they see/read is bad press.”***

“If it can be exemplified at local government level i.e. grass roots, wouldn’t this exert pressure on central government and local business?”

***“The over claiming and overpayment of expenses issue has clearly cast doubts on the ethics of our officers. The time it has taken to deal with this and the fact that so much has yet to be repaid casts big doubts on the committee!!”***

“Make it easy where people can find out more even if not on a focus group.”

***“Make them obvious for everyone to see and encourage residents to adopt good ethical standards themselves, make clear how you define them.”***

“I receive environmental scrutiny meeting notes + agendas but they rarely arrive more than 1 day ahead of the scheduled meetings.”

***“The committee should not protect the council image.”***

## Respondent Profile

There were slightly more male (53.7%) respondents than female (46.3%).

Table 3.4

	<b>Number</b>	<b>Percentage</b>
Male	124	53.7
Female	107	46.3
TOTAL	231	100.0

The 2001 Census records 28.6% of Cardiff's population as being aged sixty-five plus. This compares to 31.2% of respondents to the Ethical Standards questionnaire.

Table 3.5

	<b>Number of respondents</b>	<b>Percentage of respondents</b>	<b>2001 Census Percentage</b>
16-24	5	2.1	4.5
25-34	24	10.1	16.1
35-44	32	13.5	16.1
45-54	49	20.7	15.8
55-64	53	22.4	18.9
65+	74	31.2	28.6
TOTAL	237	100.0	100.0

### Do you consider yourself to be Welsh?

Over two thirds (68.1%) of respondents to the questionnaire considered themselves to be Welsh.

Table 3.6

	<b>Number</b>	<b>Percentage</b>
Yes	147	68.1
No	69	31.9
TOTAL	216	100.0

**Which of the following best describes your ethnicity?**

Respondents of a ‘white British’ origin accounted for over four fifths (86.2%) of all respondents whilst respondents of a ‘white’ ethnicity accounted for 92.4%. The 2001 Census identifies ‘white groups’ as accounting for 91.6% of the Cardiff population.

Table 3.7

<b>White</b>	<b>207</b>	<b>92.4</b>
British	193	86.2
Irish	1	0.4
European	6	2.7
Other	7	3.1

<b>Black</b>	<b>7</b>	<b>3.1</b>
British	1	0.4
African	1	0.4
Caribbean	3	1.3
Other	2	0.9

<b>Asian</b>	<b>3</b>	<b>1.3</b>
British	1	0.4
Pakistani	1	0.4
Bangladeshi	0	0.0
Indian	1	0.4
Other	0	0.0

<b>Mixed</b>	<b>3</b>	<b>1.3</b>
White & Caribbean	2	0.9
White & Black African	1	0.4
White & Asian	0	0.0
Other	0	0.0

<b>Chinese &amp; Other Far Eastern Background</b>	<b>1</b>	<b>0.4</b>
British	0	0.0
Chinese	0	0.0
Korean	0	0.0
Japanese	0	0.0
Vietnamese	0	0.0
Other	1	0.4

<b>Prefer not to answer</b>	<b>3</b>	<b>1.3</b>
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<b>TOTAL</b>	<b>224</b>	<b>100.0</b>
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### Respondents by postcode

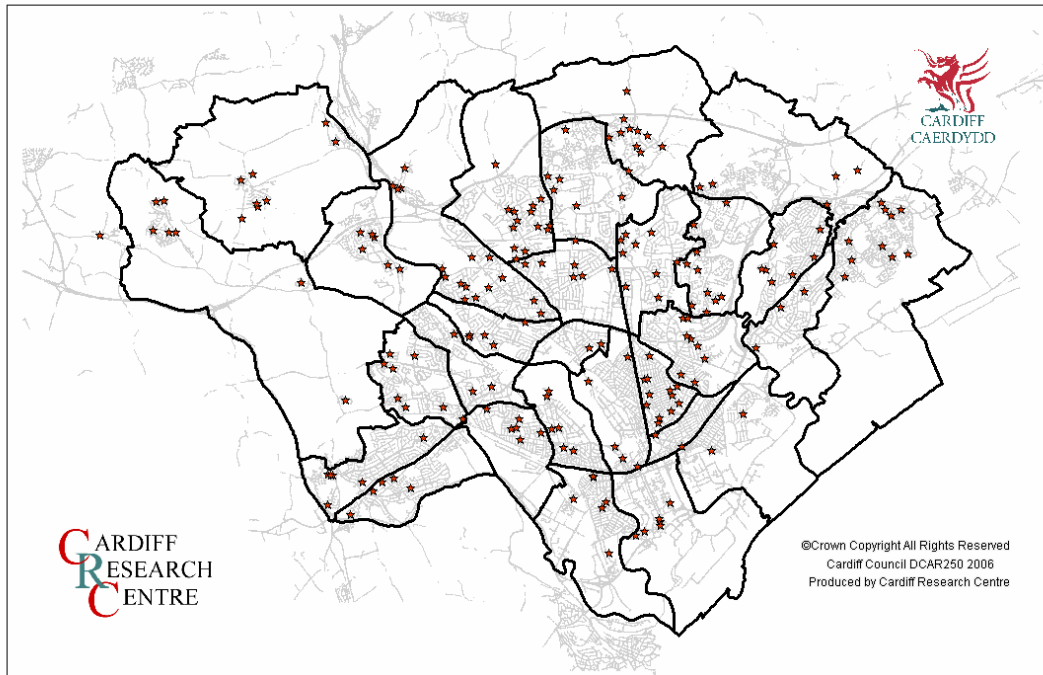
The electoral divisions of Whitchurch & Tongwynlais (7.7%), Rhiwbina (6.8%), Plasnewydd (5.4%) and Riverside (5.4%) had the greatest numbers of respondents to the questionnaire.

Table 3.8

	No.	%		No.	%
Adamsdown	2	0.9	Llanishen	8	3.6
Butetown	7	3.2	Llanrumney	7	3.2
Caerau	5	2.3	Pentwyn	10	4.5
Canton	8	3.6	Pentyrch	8	3.6
Cathays	5	2.3	Penylan	10	4.5
Creigau / St Fagans	9	4.1	Plasnewydd	12	5.4
Cyncoed	9	4.1	Pontprennau / Old St Mellons	6	2.7
Ely	6	2.7	Radyr & Morganstown	7	3.2
Fairwater	8	3.6	Rhiwbina	15	6.8
Gabalfa	2	0.9	Riverside	12	5.4
Grangetown	7	3.2	Rumney	3	1.4
Heath	7	3.2	Splott	4	1.8
Lisvane	11	5.0	Trowbridge	10	4.5
Llandaff	3	1.4	Whitchurch & Tongwynlais	17	7.7
Llandaff North	4	1.8	<b>TOTAL</b>	<b>222</b>	<b>100.0</b>

The map below shows the distribution of questionnaire respondents by their home postcode.

Fig. 3.9



Distribution of Respondents

## **Response to questions**

A total of thirteen respondents from the public and partner organisations required a response to the questions that they had raised within the consultation. These can be viewed within Appendix 1.

## **Focus Groups**

A total of sixteen members of the public expressed an interest in being considered to take part in a future focus group exercise. CRC advises that further recruitment may be necessary should a decision be taken to hold focus group sessions in the future. The recommended number of focus group participants would be between eight and twelve. Despite a total of sixteen members of the public expressing interest in participation it is unlikely that more than four or five would be available together at any given time and place. Additionally it may be beneficial for a focus group to contain a selection of individuals with varying characteristics i.e. age, gender, whereas those who have primarily expressed interest are heavily skewed towards older members of the public.

## APPENDIX 1

### RESPONSES REQUIRED TO COMMENTS MADE

#### MEMBERS

##### Case 4

**Q2 Are there any comments that you would like to make regarding the Codes of Conduct?**

I am clear only as much as ...the fact that I should carry out the role of councillor to the best of my ability for the people I represent. I must not bring this role into disrepute.

**Q6 In your opinion how could the Standards & Ethics Committee be more effective?**

Be a little more pro-active in the way of a councillor friendly approach. Perhaps a short report from a member of "same" committee at "Council".

**Q8 Are there any comments that you would like to make regarding your awareness and understanding of the named documents?**

Again...a little more "vocal" info. please.

**Q12 Are there any comments that you would like to make regarding practices and procedures in the Authority?**

I would still welcome information.

**Q16 Are there any comments that you would like to make regarding Ethical Governance, Training and Support?**

I could say that I am fully conversant in "all"...but! I will be honest! I have a pretty good general idea but is this enough? I know that I must be hone

**Q22 Are there any comments that you would like to make regarding how well you understand your responsibilities?**

I feel that I do understand the fact that I am a Local Authority Councillor. I respect the fact that I must act within the LA remit (in so much that I know of.)I must stay within those boundaries of integrity.

#### STATUTORY OFFICERS

##### Case 44

**Q2 Are there any comments that you would like to make regarding the Codes of Conduct?**

Need to be more widely distributed and awareness raised. I am vaguely aware that one exists but do not know precisely what it requires of me.

**Q6 In your opinion how could the Standards & Ethics Committee be more effective?**

No real idea what they do - are they reactive or proactive?

**Q8 Are there any comments that you would like to make regarding your awareness and understanding of the named documents?**

Scheme of delegations is key to much of our work (involving enforcement, prosecution etc) - until recently the scheme was extremely confusing.

**Q18 Are there any comments that you would like to make regarding how well you understand your responsibilities?**

Understand basic 'anti-corruption' and declaration of interest responsibilities which to me seem to be common sense. The rest I am less sure on.

##### Case 93

**Q12 Are there any additional comments that you would like to make regarding practices and procedures in the Authority?**

Diversity is, in my view, the main area on which this Council falls down. It seems to be miles behind other authorities, particularly those in England's capital.

**Q18 Are there any comments that you would like to make regarding how well you understand your responsibilities?**

I can see from this questionnaire that I need to know more about the Council's policies in general.

**Case 156**

**Q6 In your opinion how could the Standards & Ethics Committee be more effective?**

they need to get out in the workplace and promote the expected standards

**Case 168**

**Q2 Are there any comments that you would like to make regarding the Codes of Conduct?**

Awareness could be improved. I wonder how many know where to find them.

**Q4 Are there any additional comments that you would like to make regarding the general ethical conduct of the Authority?**

I have some concerns from my experience about consistent treatment when decisions are taken.

**Q6 In your opinion how could the Standards & Ethics Committee be more effective?**

Higher profile. I wonder how many know what they do. I have attended so am aware but not a high profile cttee and there is uncertainty around their function.

**Q19 Please add any additional comments that you would like to make regarding standards and ethics in general.**

I have been working with HR on a new policy for declaring conflicts and it is vital this is made available soon.

**Case 232**

**Q18 Are there any comments that you would like to make regarding how well you understand your responsibilities?**

There is a good access to information but not enough time to keep fully up to date.

**Q19 Please add any additional comments that you would like to make regarding standards and ethics in general.**

the supposed standards of ethics and equality are excellent . . . how consistently this is applied across all service areas I am not sure.

**Case 237**

**Q19 Please add any additional comments that you would like to make regarding standards and ethics in general.**

believe refresher training should be made compulsory, as generally staff are informed at point of employment & this knowledge is not then re-visited.

**Case 251**

**Q2 Are there any comments that you would like to make regarding the Codes of Conduct?**

They might not be know by staff that have been working for the Council for a long time.

**Q8 Are there any comments that you would like to make regarding your awareness and understanding of the named documents?**

The current Constitution hasn't been available for months.

**Case 254**

**Q18 Are there any comments that you would like to make regarding how well you understand your responsibilities?**

Responsibilities have not been clearly explained

**Q19 Please add any additional comments that you would like to make regarding standards and ethics in general.**

Unclear that policies are equally applied for all levels of officers

## **PUBLIC & PARTNERS**

### **Case 5**

#### **Q2 How could the Standards & Ethics Committee be more effective?**

The Housing Department is in my opinion a "closed shop". Housing seemed to believe it is autonomous.

#### **Q3 Are there any additional points that you would like to raise with regard to ethical standards?**

Tenants are not listened to individually or kept informed by housing of procedures. Anti Social behaviour is taken lightly by the Housing. Plus, anyone who breaches the tenants handbook rules are not dealt with accordingly.

### **Case 22**

#### **Q2 How could the Standards & Ethics Committee be more effective?**

Until this form I have never thought about them. Know nothing of their work or its effect on council members or council staff

#### **Q3 Are there any additional points that you would like to raise with regard to ethical standards?**

How often do you meet? Who are the members? Do you have any power? What do you do?

### **Case 44**

#### **Q2 How could the Standards & Ethics Committee be more effective?**

By working with and listening to the district auditor. Thus ensuring reasonable accountability.

#### **Q3 Are there any additional points that you would like to raise with regard to ethical standards?**

The whole attitude of councillors and officers continues to astound me. There seems to be rules for them and a different set for ratepayers. Could you explain why the previous administration was allowed to increase their expenses apparently without consent. In addition what role can your committee undertake to insure a) all sums be collected and b) such practice never happens again. Also there has been occasions where necessary in Cardiff for officers completing work on their properties without planning consent. Can you comment on this

### **Case 47**

#### **Q2 How could the Standards & Ethics Committee be more effective?**

Higher profile. e.g. on the website, where I found no obvious links to the committee and found the relevant page only by using the search engine. Even then, several members had no links. What about case studies showing what the committee does?

#### **Q3 Are there any additional points that you would like to raise with regard to ethical standards?**

- 1) I was verbally abused by 2 security staff working for the council last summer when the Bay was temporarily opened up by a footbridge near the Norwegian Church.
- 2) Environmental more than ethical, but still appropriate: no strategy for the safe disposal of batteries (AA/AAA etc.) and no-one in the Council seems in the least bit interested when i phone about this.

### **Case 77**

#### **Q2 How could the Standards & Ethics Committee be more effective?**

Attend more council + Ethical meetings

#### **Q3 Are there any additional points that you would like to raise with regard to ethical standards?**

Return all payments the committee members + council personnel owe for non attendance + over charge on expenses like travel + parties

### **Case 114**

#### **Q2 How could the Standards & Ethics Committee be more effective?**

It should be more visible. Members should be recognisable and approachable. It should meet regularly and the public should know what meetings and be welcome to attend. Perhaps the



media should be welcomed, possible broadcast. There is an element of secrecy including election of independents to the committee. How are people selected?

**Q3 Are there any additional points that you would like to raise with regard to ethical standards?**

Councillors and officers have a low expectation of ethical standards within the council. There is a culture of acceptance of poor standards of behaviour. Questioning is discouraged, questioning councillors are seen as a nuisance and upsetting the status quo. Public participation is not sufficiently considered. Officers and senior councillors close doors to protect the status quo. As a result, public opinion of the council and councillors is poor.

**Case 119**

**Q2 How could the Standards & Ethics Committee be more effective?**

More publicity of the work they carry out, and any action carried out. More transparency.

**Q3 Are there any additional points that you would like to raise with regard to ethical standards?**

Publicise whether 'Freedom of Information' applies to the council.

**Case 135**

**Q2 How could the Standards & Ethics Committee be more effective?**

Get out into the community, send letters to the public. Get local councillors to visit the areas where they were voted in + act effectively in pursuing the issues that are important to them.

**Q3 Are there any additional points that you would like to raise with regard to ethical standards?**

This is a poor questionnaire as it makes too many assumptions the respondent may not know anything about. It might have been a good idea to put a booklet of the Standards & Ethical Committee + a breakdown of their work in with this questionnaire. P.S. Why was only one questionnaire sent. Does my partner not warrant an opinion?

**Case 155**

**Q2 How could the Standards & Ethics Committee be more effective?**

Information and publicity

**Case 172**

**Q2 How could the Standards & Ethics Committee be more effective?**

I did not know there was a S + E Committee, I did know there were scrutiny committees - what is the difference?

**Q3 Are there any additional points that you would like to raise with regard to ethical standards?**

By large the cardiff county council does its best with the funding available but needs to work more closely with Health + Vol orgs - with joined up thinking. Lisvane has an excellent councillor in Mr Walker

**Case 201**

**Q3 Are there any additional points that you would like to raise with regard to ethical standards?**

Where grant funding is delegated down to the L.A. from NAFW (e.g. Cymentr) I feel that access to the funding, the planning process and the monetary evaluative process is not always transparent or inclusive for voluntary sector agencies. It is not always clear where decision making boundaries lie and where potential conflicts of interest are for officers. Monies may well be used to supplement LA services. This is an issue which we are raising at the Compact liaison meeting, regarding the potential conflicts between grant giving and the commissioning process.

**Case 204**

**Q2 How could the Standards & Ethics Committee be more effective?**

If possible including the public more

**Q3 Are there any additional points that you would like to raise with regard to ethical standards?**

Make it easy where people can find out more even if not on a focus group

**Case 224**

**Q3 Are there any additional points that you would like to raise with regard to ethical standards?**

1. It is clear over the last 10 or so years that the Education agenda in Cardiff is driven by members needs for votes rather than children's educational needs.
2. Rear access lanes in parts of Cardiff are maintained to a higher level than the streets of St Fagan's Village. Sounds like vote grabbing frankly.

## **Appendix 2 – Members Questionnaire**

# **ETHICAL STANDARDS QUESTIONNAIRE FOR MEMBERS**

**This survey is designed to gauge your level of awareness of the implications of Part III of the Local Government Act 2000 (the Act) and how it impacts upon you and your work with the Council. The questionnaire explores in detail your individual level of awareness of the Authority's arrangements for complying with the Act in promoting high standards of ethical governance within the Council and invites your comments on this issue.**

**Q1 Codes of Conduct - Please indicate your response to each of the following:**

	Yes	No	Don't Know
a) Has the Authority adopted a Code of Conduct for Members?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Has the Authority adopted a Code of Conduct for officers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Are you clear about the role you are expected to play in relation to the Authority's Code of Conduct for Members?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q2 Are there any comments that you would like to make regarding the Codes of Conduct?**

**Q3 Ethical Conduct of the Authority - Please indicate your response to each of the following:**

	Yes	No	Don't Know
a) Do you believe standards of ethical conduct in this Authority to be high?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Does the Authority have a clear policy for promoting ethical standards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Do you believe that the current approach for promoting ethical standards is having an effect across the Authority?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) Do you feel that the Council deals effectively with misconduct of Members?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) Do you feel that the Council deals effectively with misconduct of officers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q4 Are there any comments that you would like to make regarding the general ethical conduct of the Authority?**

**Q5 Standards & Ethics Committee**

	Yes	No	Don't Know
Are you aware that the Authority has a Standards & Ethics Committee?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are you clear about the purpose of the Standards & Ethics Committee?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the Standards & Ethics Committee make an effective difference in your view?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q6 In your opinion how could the Standards & Ethics Committee be more effective?**

**Q7 Your Understanding - Please indicate your agreement with the following statements.**

	<i>I am aware of the existence of the document/s</i>	<i>I have a broad understanding of its content</i>	<i>I know where the document can be located</i>
Standing Orders/Procedure Rules	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Schemes of Delegations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Code of Conduct for Members	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Code of Conduct for Officers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Protocol on Member/Officer relations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q8 Are there any comments that you would like to make regarding your awareness and understanding of the named documents?**

**Q9 Practices and Procedures - Please indicate your level of agreement with the following statements.**

	<i>Strongly Agree</i>	<i>Agree</i>	<i>Disagree</i>	<i>Strongly Disagree</i>
In respect of ethical governance the Council's practices and procedures are relevant, up to date and clear.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Council consistently follows the proper practices and procedures in respect of ethical governance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
There is good access to information regarding ethical governance for Members	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Council has a clear whistle blowing policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q10 Has the Authority begun to integrate the Statutory Codes of Conduct into other schemes and policies such as diversity?**

Yes .....  No .....  Don't Know .....

If 'Yes' which?

**Q11** Has the Authority begun to integrate the Statutory Codes of Conduct into its procedures e.g. complaints procedures?

Yes .....  No.....  Don't Know .....

If 'Yes' Which?

**Q12** Are there any comments that you would like to make regarding practices and procedures in the Authority?

**Q13** **Role of Officers** - Do you have a reasonable understanding of the role of the following statutory officers?

	Yes	No	Don't Know
Head of Paid Service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitoring Officer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Chief Finance Officer/'Section 151 Officer'	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q14** Are there any comments that you would like to make regarding the role of these officers within the Authority?

**Q15** **Ethical Governance Training and Support** - Have you been provided with training advice or a briefing on any of the following:

	Yes	No	Don't Know
Your responsibilities with regard to the Authority's Code of Conduct	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Human Rights Act 1998	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Freedom of Information Act 2001	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race Relations (Amendment) Act 2000	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q16** Are there any comments that you would like to make regarding Ethical Governance, Training and Support?

## How well you understand your responsibilities

**Q17** If you were to become aware of any conduct by another member which you reasonably believe involves a failure to comply with the Authority's Code of Conduct what action as an individual should you take?

	Yes	No	Don't Know
Inform the Monitoring Officer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Make a written allegation to the Local Government Ombudsman	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Speak to the Member	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do nothing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q18** If you are appointed to represent the Authority on an external body whose internal rules conflicts with the Authority's Code, which requirements prevail?

	Yes	No	Don't Know
The Authority's Code	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The other organisation's code	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Neither	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q19** Are you clear what a conflict of interest is?

Yes .....  No .....  Don't Know .....

**Q20** Do Members have a common understanding on how to deal with conflict of interests?

Yes .....  No .....  Don't Know .....

**Q21** Would you register an interest in the Member's Register if:

	Yes	No	Don't Know
You have been appointed by the Authority as a representative to another body	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
You have been appointed as a manager to another organisation which provides a public service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
You are in a management position in a company	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
You are in a management position in a charity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
You are in a management position in an industrial and provident society	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
You are a member of a trade union or professional association	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A person has made a payment to you in respect of your election or any other expenses incurred in carrying out your duties	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
You are a member of a religious organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
You are a member of a society such as the Freemasons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
You have an interest in a business or land in the Authority's area which exceeds the nominal value of £25,000	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
You are a partner or paid director of a company which has entered into contracts for goods, services or works with the Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
You have a beneficial interest in land which is in the area of the Authority	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q22** Are there any comments that you would like to make regarding how well you understand your responsibilities?

**To make responses meaningful it would also be helpful to us if we could know the following:**

**Q23** How long have you been a Member?

**Q24** Are you a Member of the Standards & Ethics Committee?

Yes .....  No .....

**Q25** Please add any additional comments that you feel would be helpful to our understanding of the Authority's approach to ethical governance

**If you would like to receive a specific response to your comments please provide your details in the space below.**

**Q26** Name

**Q27** Address

**Q28** Email



## **Appendix 3 – Statutory Officers Questionnaire**

# **ETHICAL STANDARDS QUESTIONNAIRE FOR OFFICERS**

**This survey is designed to gauge your level of awareness of the implications of Part III of the Local Government Act 2000 (the Act) and how it impacts upon you and your work with the Council. This questionnaire explores in detail your individual level of awareness of the Authority's arrangements for complying with the Act in promoting high standards of ethical governance within the Council and invites your comments on this issue.**

**Q1 Codes of Conduct - Please indicate your response to each of the following:**

	Yes	No	Don't Know
a) Has the Authority adopted a Code of Conduct for officers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Has the Authority adopted a Code of Conduct for Members?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Has the Authority adopted a Statutory Code of Conduct for officers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q2 Are there any comments that you would like to make regarding the Codes of Conduct?**

**Q3 Ethical Conduct of the Authority - Please indicate your response to each of the following;**

	Yes	No	Don't Know
a) Do you believe standards of ethical conduct in this Authority to be high?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) Does the Authority have a clear policy for promoting ethical standards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) Do you believe that the current approach for promoting ethical standards is having an effect across the Authority?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) Do you feel that the Council deals effectively with misconduct of Members?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) Do you feel that the Council deals effectively with misconduct of Officers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q4 Are there any additional comments that you would like to make regarding the general ethical conduct of the Authority?**

**Q5 Standards and Ethics Committee**

	Yes	No	Don't Know
Are you aware that the the Authority has a Standards and Ethics Committee?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are you clear about the purpose of the Standards and Ethics Committee?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the Standards & Ethics Committee make an effective difference in your view?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q6 In your opinion how could the Standards & Ethics Committee be more effective?**

**Q7 Your Understanding - Please indicate your agreement with the following statements:**

	<i>I am aware of the existence of the document/s</i>	<i>I have a broad understanding of its content</i>	<i>I know where the document can be located</i>
Code of Conduct for Members	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Code of Conduct for Officers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Protocol on Member/Officer relations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Schemes of Delegations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Financial Procedure Rules	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contracts Procedure Rules	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other Standing Order/Procedure Rules	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q8 Are there any comments that you would like to make regarding your awareness and understanding of the named documents?**

**Q9 Practices and Procedures - Please indicate your level of agreement with the following statements:**

	<i>Strongly Agree</i>	<i>Agree</i>	<i>Disagree</i>	<i>Strongly Disagree</i>
In respect of ethical governance the Council's practices and procedures are relevant, up to date and clear.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Council consistently follows such proper procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
There is good access to information for Officers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Council has a clear whistle blowing policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q10 Has the Authority begun to integrate the Statutory Codes of Conduct into other schemes and policies such as diversity?**

Yes .....  No .....  Don't Know .....

If 'Yes' which?

**Q11 Has the Authority begun to integrate the Statutory Codes of Conduct into its procedures e.g. complaints procedures?**

Yes .....  No .....  Don't Know .....

If 'Yes' which?

**Q12** Are there any additional comments that you would like to make regarding practices and procedures in the Authority?

**Q13** **Role of Officers** - Do you have a reasonable understanding of the role of the following statutory officers?

	Yes	No	Don't Know
Head of Paid Service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitoring Officer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Chief Finance Officer/'Section 151 Officer'	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q14** Are there any comments that you would like to make regarding the role of these officers within the Authority?

**Q15** **Ethical Governance Training and Support** - Have you been provided with training advice or a briefing on any of the following:

	Yes	No	Don't Know
The Authority's Codes of Conduct	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Human Rights Act 1998	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Freedom of Information Act 2001	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Race Relations (Amendment) Act 2000	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q16** Are there any comments that you would like to make regarding Ethical Governance, Training and Support?

## How well you understand your responsibilities

**Q17** Please indicate your response to each of the following questions.

	Yes	No	Don't know
Are you clear what a conflict of interest is?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do officers have a common understanding of how to deal with a conflict of interest?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Should you declare an interest where you have an interest in a company which is being considered by the authority for a contract?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Should officers avoid acceptance of employment by a third party when working for the Authority?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Should officers avoid receiving preferential rates by virtue of their dealings on behalf of the Council?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Should Officers avoid using their position for private gain or for the benefit of family or friends?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are you clear as to when you should disclose receipt of a gift and or hospitality?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are you clear what the procedure is for reporting a potential breach of the Statutory Code of Conduct for Officers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are you clear what the procedure is for reporting a potential breach of the Statutory Code of Conduct for Members?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q18** Are there any comments that you would like to make regarding how well you understand your responsibilities?

**Q19** Please add any additional comments that you would like to make regarding standards and ethics in general.

If you would like to receive a specific response to your comments please provide your details in the space below.

**Q20** Name

**Q21** Address

Q22 Email

To make responses meaningful it would also be helpful to us if we could know the following:

Q23 Your Service Area;

- |                                      |                          |                                      |                          |
|--------------------------------------|--------------------------|--------------------------------------|--------------------------|
| Adult Services.....                  | <input type="checkbox"/> | Legal & Demographic services .....   | <input type="checkbox"/> |
| Children's Services .....            | <input type="checkbox"/> | Leisure, Libraries & Parks.....      | <input type="checkbox"/> |
| Clerk to Council .....               | <input type="checkbox"/> | Marketing & Tourism.....             | <input type="checkbox"/> |
| Communications.....                  | <input type="checkbox"/> | Policy & Economic Development.....   | <input type="checkbox"/> |
| Financial Services.....              | <input type="checkbox"/> | Projects, Design & Development ..... | <input type="checkbox"/> |
| Health Promotion & Partnerships..... | <input type="checkbox"/> | Regulatory Services.....             | <input type="checkbox"/> |
| Highways & Transportation.....       | <input type="checkbox"/> | Schools & Lifelong Learning .....    | <input type="checkbox"/> |
| Housing & Neighbourhood Renewal..... | <input type="checkbox"/> | Scrutiny & Improvement .....         | <input type="checkbox"/> |
| Human Resources .....                | <input type="checkbox"/> | Strategic Planning.....              | <input type="checkbox"/> |
| ICT.....                             | <input type="checkbox"/> | Waste Management.....                | <input type="checkbox"/> |

Q24 Your Grade;

- |                   |                          |                |                          |          |                          |
|-------------------|--------------------------|----------------|--------------------------|----------|--------------------------|
| Scale 1 - 6 ..... | <input type="checkbox"/> | SO1 - PO4..... | <input type="checkbox"/> | OM+..... | <input type="checkbox"/> |
|-------------------|--------------------------|----------------|--------------------------|----------|--------------------------|

Q25 Are you;

- |           |                          |             |                          |
|-----------|--------------------------|-------------|--------------------------|
| Male..... | <input type="checkbox"/> | Female..... | <input type="checkbox"/> |
|-----------|--------------------------|-------------|--------------------------|

Q26 Age

- |             |                          |             |                          |             |                          |
|-------------|--------------------------|-------------|--------------------------|-------------|--------------------------|
| 16-24 ..... | <input type="checkbox"/> | 35-44 ..... | <input type="checkbox"/> | 55-64 ..... | <input type="checkbox"/> |
| 25-34 ..... | <input type="checkbox"/> | 45-54 ..... | <input type="checkbox"/> | 65+ .....   | <input type="checkbox"/> |

Q27 Do you consider yourself to be Welsh?

- |           |                          |         |                          |
|-----------|--------------------------|---------|--------------------------|
| Yes ..... | <input type="checkbox"/> | No..... | <input type="checkbox"/> |
|-----------|--------------------------|---------|--------------------------|

Q28 Which of the following best describes your ethnicity?

- |                            |                          |                                          |                          |                                            |                          |
|----------------------------|--------------------------|------------------------------------------|--------------------------|--------------------------------------------|--------------------------|
| White British .....        | <input type="checkbox"/> | Asian British.....                       | <input type="checkbox"/> | Mixed race White & Asian....               | <input type="checkbox"/> |
| White Irish.....           | <input type="checkbox"/> | Asian Pakistani.....                     | <input type="checkbox"/> | Chinese or other Far Eastern British ..... | <input type="checkbox"/> |
| White European.....        | <input type="checkbox"/> | Asian Bangladeshi.....                   | <input type="checkbox"/> | Chinese .....                              | <input type="checkbox"/> |
| Any additional White.....  | <input type="checkbox"/> | Asian Indian.....                        | <input type="checkbox"/> | Korean.....                                | <input type="checkbox"/> |
| Black British.....         | <input type="checkbox"/> | Any additional Asian.....                | <input type="checkbox"/> | Japanese.....                              | <input type="checkbox"/> |
| Black African.....         | <input type="checkbox"/> | Mixed Race White & Black Caribbean ..... | <input type="checkbox"/> | Vietnamese.....                            | <input type="checkbox"/> |
| Black Caribbean .....      | <input type="checkbox"/> | Mixed Race White & Black African .....   | <input type="checkbox"/> | Any additional Far Eastern ...             | <input type="checkbox"/> |
| Any additional Black ..... | <input type="checkbox"/> |                                          |                          | I would prefer not to answer .             | <input type="checkbox"/> |

Any Other Ethnicity

Q29 Please provide your postcode in the space below:

**Appendix 4 – Public & Stakeholders Questionnaire**

# **ETHICAL STANDARDS QUESTIONNAIRE FOR PARTNER ORGANISATIONS AND THE PUBLIC**

Dear Resident,

The Local Government Act 2000 ('the Act') creates a statutory framework to guide and regulate the conduct of Councillors and Local Government Officers -'the ethical framework'. An ethical framework, within the context of Local Government, is a set of principles which govern the behaviour of the Council, its Councillors and Officers. Values like accountability, openness and observance of the law should determine the way in which those within the Council conduct themselves when carrying out duties in the public interest. The Act requires Councils to establish Standards Committees with the function of promoting and maintaining high standards of conduct within the Authority.

Cardiff Council's Standards & Ethics Committee has resolved to undertake an Ethical Standards Audit to assess the effectiveness of the Council's approach to ethical governance and to identify any ethical vulnerabilities currently facing the Council. The Audit is to include a Desk Top Review of the policies and procedures currently in place within the Council and Questionnaire Surveys to be circulated to the Council's Elected Members, Employees and a sample of 200 partner organisations and 2,500 members of the public like you. The results of the Audit (which will be published in due course) will assist the Committee in formulating its work programme and deciding how to devote resources to training on matters of conduct.

A copy of the questionnaire is also available online. Partner organisations and members of the public can choose to take part and have their views recorded by logging onto [www.cardiff.gov.uk](http://www.cardiff.gov.uk) and following the relevant links. The questionnaire is designed to assess your awareness of the ethical framework within the Council and seek your comments on the issue. It should take no longer than 10-15 minutes to complete. Please take the time to respond, even if you feel that many of the questions are not particularly relevant to you, as you will still be providing valuable information to the Committee.

**All responses must be received by 16th June 2006.**

Thank you for your time.

Yours sincerely



Claire Griffiths

If you have any difficulties in the completion of the questionnaire please contact:

Claire Griffiths  
Principal Research Officer  
Cardiff Research Centre  
Tel. 029 2087 3217  
E-mail: [consultation@cardiff.gov.uk](mailto:consultation@cardiff.gov.uk)



<b>Q1</b>	<b>Please read each of the following questions carefully before recording your response in the relevant space provided.</b>				
		<i>Yes</i>	<i>To a large extent</i>	<i>Not really</i>	<i>Not at all</i>
	Is it important for local government to establish and operate by a strong set of ethical values?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Are you aware of the existence of the Standards & Ethics Committee?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Are you aware of the role and responsibilities of the Standards & Ethics Committee?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Are the Standards & Ethics Committee effective in your view?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Do you perceive current standards of ethical conduct within the Council to be high?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Do you feel there is good access to information on this subject available to the public?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Do you receive clear information about the work of the Council which is relevant to you?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Do you understand the processes for the conduct of local authority business?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Do you think that there is currently any complacency about standards of conduct amongst Members?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Do you think that there is currently any complacency about standards of conduct amongst officers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Do you think Members see themselves as having a role in ensuring good conduct and high standards on the part of others?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Do you think that the Council deals effectively with the misconduct of Members?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Do you think that the Council deals effectively with the misconduct of officers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Do you know where (or from whom) you can obtain information on issues relating to ethical standards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Q2**      **How could the Standards & Ethics Committee be more effective?**

**Q3**      **Are there any additional points that you would like to raise with regard to ethical standards? (Please continue on a separate sheet if necessary)**

**Q4** Please add your name and details below only if you would either like a specific response to an issue raised or you would like to participate further by attending a focus group.

I require a specific response .....

I would like to attend a focus group (this does not guarantee a space).....

**Q5** **NAME**

**Q6** **ADDRESS (inc. Postcode)**

**To make the responses meaningful it would also be helpful if we could know the following:**

**Q7** **What is your relationship with the Council?**

Partner Organisation (any organisation which works with the Council).....

Member of the Public.....

District Audit.....

Community Councillor/Clerk.....

Other (please specify)

**Q8** **Are you:**

Male.....  Female.....

**Q9** **Age**

16-24 .....  35-44 .....  55-64 .....

25-34 .....  45-54 .....  65+ .....

**Q10** **Do you consider yourself to be Welsh?**

Yes .....  No.....

**Q11** **Which of the following best describes your ethnicity?**

White British ..... <input type="checkbox"/>	Asian British..... <input type="checkbox"/>	Mixed race White & Asian..... <input type="checkbox"/>
White Irish..... <input type="checkbox"/>	Asian Pakistani..... <input type="checkbox"/>	Chinese or other Far Eastern British ..... <input type="checkbox"/>
White European..... <input type="checkbox"/>	Asian Bangladeshi..... <input type="checkbox"/>	Chinese ..... <input type="checkbox"/>
Any additional White..... <input type="checkbox"/>	Asian Indian..... <input type="checkbox"/>	Korean..... <input type="checkbox"/>
Black British..... <input type="checkbox"/>	Any additional Asian ..... <input type="checkbox"/>	Japanese..... <input type="checkbox"/>
Black African..... <input type="checkbox"/>	Mixed Race White & Black Caribbean ..... <input type="checkbox"/>	Vietnamese..... <input type="checkbox"/>
Black Caribbean ..... <input type="checkbox"/>	Mixed Race White & Black African ..... <input type="checkbox"/>	Any additional Far Eastern ... <input type="checkbox"/>
Any additional Black ..... <input type="checkbox"/>		I would prefer not to answer. <input type="checkbox"/>

Any Other Ethnicity

**Q12** **Please provide your postcode in the space below:**

**Please return the completed questionnaire by Friday 16th June 2006  
to Cardiff Research Centre in the FREEPOST envelope provided.**

**If you have any difficulties in the completion of the questionnaire please  
contact:**

**Claire Griffiths  
Principal Research Officer  
Cardiff Research Centre  
County Hall  
Cardiff  
CF10 4UW**

**Tel. 029 2087 3217  
Email [consultation@cardiff.gov.uk](mailto:consultation@cardiff.gov.uk)**

**THANK YOU FOR TAKING PART**

**ETHICAL AUDIT – EXPLANATORY NOTE**

**TO QUESTIONS ON ‘HOW WELL YOU UNDERSTAND YOUR RESPONSIBILITIES’**

**MEMBERS’ QUESTIONNAIRE**

The relevant questions are reproduced below, followed by italicised explanatory notes:

**How well you understand your responsibilities**

(16) If you become aware of any conduct by another member which you reasonably believe involves a failure to comply with the Authority’s Code of Conduct what action as an individual should you take?

- inform the Monitoring Officer
- make a written allegation to the Local Government Ombudsman
- speak to the member
- do nothing

*Note: The Members’ Code of Conduct Part II paragraph 6 c) provides that Members must report such conduct to the Local Government Ombudsman and to the Monitoring Officer.*

(17) If you are appointed to represent the Authority on an external body whose internal rules conflicts with the Authority’s Code, which requirements prevail?

- the Authority’s Code
- other organisation’s Code
- neither

*Note: The Members’ Code of Conduct Part II paragraph 3 provides that the Council’s Code prevails ( unless this conflicts with any legal obligations arising as a consequence of service on that body).*

(18) Are you clear what a conflict of interest is?

(19) Do Members have a common understanding on how to deal with conflict of interests?

*Note: The Members’ Code of Conduct Part III makes provisions regarding ‘Disclosure and Registration of Interests’ and the Members’ Handbook contains additional guidance.*

(20) Would you register an interest in the members register if:

- you have been appointed by the Authority as a representative to another body

*Note: The Members' Code of Conduct Part III paragraph 12 provides that this must be regarded as a personal interest*

- you have been appointed as a manager to another organisation which provides a public service

*Note: The Members' Code of Conduct Part III paragraph 14 provides that this must be regarded as a personal interest*

- you are in a management position in a company

*Note: The Members' Code of Conduct Part III paragraph 14 provides that this must be regarded as a personal interest*

- you are in a management position in a charity

*Note: The Members' Code of Conduct Part III paragraph 14 provides that this must be regarded as a personal interest*

- you are in a management position in an industrial and provident society

*Note: The Members' Code of Conduct Part III paragraph 14 provides that this must be regarded as a personal interest*

- you are a member of a trade union or professional association

*Note: The Members' Code of Conduct Part III paragraph 14c) provides that this must be regarded as a personal interest*

- a person has made a payment to you in respect of your election or any other expenses incurred in carrying out your duties

*Note: The Members' Code of Conduct Part III paragraph 13 c) provides that this must be regarded as a personal interest*

- you are a member of a church

*Note: The Members' Code of Conduct Part III paragraph 14 provides that this must be regarded as a personal interest*

- you are a member of a society such as the freemasons

*Note: The Members' Code of Conduct Part III paragraph 14 a) provides that this must be regarded as a personal interest*

- you have an interest in a business or land in the Authority's area which exceeds the nominal value of £25,000

*Note: The Members' Code of Conduct Part III paragraph 13 d) provides that this must be regarded as a personal interest*

- you are a partner or paid director of a company which has entered into contracts for goods, services or works with the Authority

*Note: The Members' Code of Conduct Part III paragraph 13 e) provides that this must be regarded as a personal interest*

- you have a beneficial interest in land which is in the area of the Authority

*Note: The Members' Code of Conduct Part III paragraph 13 f) provides that this must be regarded as a personal interest*

**ETHICAL AUDIT – EXPLANATORY NOTE**

**TO QUESTIONS ON ‘HOW WELL YOU UNDERSTAND YOUR RESPONSIBILITIES’**

**OFFICERS’ QUESTIONNAIRE**

The relevant questions are reproduced below, followed by italicised explanatory notes:

**How well you understand your responsibilities**

(19) Are you clear what a conflict of interest is?

(20) Do Officers have a common understanding on how to deal with conflict of interest?

*Note: The Employees’ Code of Conduct paragraph 8 makes provision regarding ‘Personal Interests’*

(21) Should you declare an interest where you have an interest in a company which is being considered by the Authority for a contract?

*Note: Section 117 of the Local Government Act 1972 requires such interests to be disclosed by giving notice in writing to the Council*

(22) Should you avoid:

- acceptance of employment by a third party whilst working for the Authority?

*Note: The Council currently has no clear guidance for staff, but the general good practice rule would be that in such circumstances employees should formally notify their Chief Officers.*

- receiving preferential rates by virtue of your dealings on behalf of the Authority?

*Note: The Employees’ Code of Conduct paragraph 8 (2) provides that employees must not accept benefits from a third party unless authorised to do so by the Council.*

- using your position for private gain or for the benefit of family or friends?

*Note: The Employees’ Code of Conduct paragraph 8 provides that employees must not use their official position to further their private interests or the interests of others*

(23) Are you clear when you should disclose receipt of a gift and or hospitality?

*Note: Guidance issued under the Code of Conduct for Members and Employees on 'Hospitality, Gifts and Other Benefits', accessible via CIS intranet site (document ref. 1.CM.070)*

(24) Are you clear what the procedure is for reporting a potential breach of the Statutory Code of Conduct for officers?

*Note: The Employees' Code of Conduct paragraph 9 'Whistleblowing' provides that employees should report the matter, 'acting in accordance with the employee's rights under the Public Interest Disclosure Act 1998, and with the relevant authority's confidential reporting procedure, or other procedure designed for this purpose'.*

(25) Are you clear what the procedure is for reporting a potential breach of the Statutory Code of Conduct for Members?

*Note: There is presently no guidance within the Council, and this may usefully indicate a review of the Protocol on Member/Officer Relations, but in general terms employees have the same rights to complain to the Local Government Ombudsman as any member of the public.*