

**LINCOLNSHIRE POLICE AUTHORITY**

**ETHICAL GOVERNANCE AUDIT**

Core Competency: **INTEGRITY**

**ETHICAL VISION: Members and staff recognise the importance of ethical standards in local governance thus enabling the Authority to construct and develop an ethical culture and values for the Authority**

Evidence of a set of meaningful ethical values for the Authority which meet the legitimate expectations of Members, staff, the public, other individuals and organisations with which the Authority is involved

Evidence that these ethical values are known and used

An understanding by Members and senior managers of the ethical framework and its role in local governance

Active encouragement and promotion of high standards by senior managers and Members

**COMMUNICATION: Dissemination of relevant information, policies, procedures and guidance on ethical standards to Members, staff, the public, other individuals and organisations with which the Authority is involved and encouragement of listening, dialogue and feedback**

Availability to staff and Members of full, accurate and clear policies, guidance and advice on ethical issues

Evidence of good access to information for all Members and the public, including appropriate policies and practice regarding exempt and confidential information

Evidence of open attitude towards, and willingness to act on, criticism

**COMMITMENT AND LEADERSHIP: Recognition by Members and staff of their individual and corporate responsibility to promote and encourage high standards of conduct throughout the Authority**

Active involvement by Members and senior staff in setting values and standards for the organisation
Understanding throughout the Authority of individual and collective responsibility for the maintenance and encouragement of high ethical standards
Willingness of individuals to take action in respect of poor standards of conduct by others

Core Competency:    **ACCOUNTABILITY**

<b>ORGANISATIONAL MANAGEMENT: The Authority has clearly defined and well understood roles and responsibilities for both Members and staff and clear management processes for policy development, implementation and review, and for decision making, monitoring and reporting</b>
An explicit commitment to transparency in conduct and decision-making
An explicit clear set of information on Member and staff roles and responsibilities
Clearly defined lines of responsibility and accountability, demonstrated for example by terms of reference, schemes of delegation and the constitution generally
Clearly defined and understood corporate and individual responsibilities for standards
Transparent recruitment and appointment processes for both staff and Members which are recognised throughout the organisation as having integrity
Ready availability to the public of relevant information in respect of Members and senior staff including, up to date and easily accessible registers and declarations of interests
Opportunities for the public to raise questions and receive answers at open meetings and evidence that these are used
Maximisation of meetings held in public and limited use of 'exempt information' provisions
Good forward plan of key decisions

Relative roles of Members in relation to statutory officers are clear
Good protocols exist for officer/Member relations governing the scrutiny and audit and the standards committee
<b>SYSTEMS AND PROCESS OPERATION: The Authority operates to its defined roles, responsibilities, policies, procedures, protocols and codes, and monitors, reviews and amends these where necessary or appropriate</b>
Access to relevant information, resources, advice and guidance is ensured and encouraged
Recruitment and appointments processes comply with relevant standards
Key procedures and guidance, e.g. for declaring interests, claiming expenses, offer and/or receipt of hospitality are well designed, up to date, easy to understand and operate and are followed
Effective arrangements for keeping key information, e.g. declarations and registers of interests, up to date and accurate
Effective arrangements for reporting Member decisions, particularly in relation to individual decision making
Appropriate risk assessment is undertaken to ensure that the ethical standards, procedures and processes Members and staff are required to operate are relevant, appropriate and commensurate with the level of risk
<b>OBJECTIVITY AND SCRUTINY: Recognition that situations of ethical ambiguity will occur and the ability of individuals to deal with these appropriately</b>
Individuals have an awareness of and sensitivity to problematic issues and situations, together with the ability to recognise those which are relevant to their circumstances
Clear, well used arrangements for the management of declarations and registrations of interest
Clear arrangements/mechanisms for dealing with difficult ethical situations and a willingness to use appropriate measures to deal with them
Well defined and communicated arrangements for Members and staff to obtain advice and guidance
Arrangements for regular scrutiny and review of general or specific ethical issues affecting the Authority, its Members and staff

The scrutiny arrangements provide for an ethical standards dimension
The Authority deals appropriately with requests for dispensation in respect of interests
There is evidence of the ability of Members and staff to exercise appropriate judgement in respect of ethical standards issues
Evidence of learning from experience: the use of feedback, adapting behaviour, systems and procedures and preventing reoccurrence

Core Competency:    **STANDARDS MANAGEMENT**

<b>STANDARDS INTEGRATION: Making the promotion, maintenance and development of high standards of conduct integral to all the Authority's operations</b>
The promotion, maintenance and development of high standards of conduct form part of the Authority's vision and strategy and are acknowledged as owned by Members and staff
Ethical standards are 'designed-in' to the Authority's constitution, decision-making and scrutiny procedures
Ethical standards are 'designed-in' to the Authority's relationships with stakeholders, including outside bodies and partners for example in grant and contract conditions and partnership protocols
External suppliers and service providers are required, in their dealings with the Authority, to operate to public sector standards, e.g. not offering or providing inappropriate gifts or hospitality to Members or staff
<b>PEOPLE AND PRACTICE MANAGEMENT: An expectation that Members and staff will operate to the highest standards of conduct, encouragement to do so, acknowledgement that, on occasions, some may fail to do so and a willingness to address this</b>
Active promotion of high standards of conduct
Evidence of support to Members and staff in developing and maintaining high standards
Absence of 'blame culture'

Availability of supportive and competent advice from line management
A confidential reporting mechanism which is widely known
and understood and which has the confidence of Members and staff
<b>TRAINING AND DEVELOPMENT: Recognition of the need for, and commitment to, training and development in relation to ethical standards</b>
An induction programme for both Members and staff which incorporates ethical standards and seeks to integrate them into all aspects of induction
The use of mentoring schemes, in particular for new Members and staff
Compulsory training in certain matters, e.g. planning and scrutiny
Evidence of training which tackled 'difficult' issues, such as conflicts of interest, handling demands for special treatment, relationships with contractors, or lobbying by third parties and gives participants the skills to deal with 'real-life' situations
Commitment to and opportunities for role related skills development, e.g. how to chair an area forum, as well as specific topic based training
Provision of training and guidance for key partners, suppliers, service providers and other stakeholders to build awareness of the Authority's ethical ethos and practice
<b>PLANNING AND REVIEW: Recognition of the need for systematic and regular review of the implementation and operation of the ethical framework in the Authority and the ability to undertake this and demonstrate continuous improvement</b>
Authority can demonstrate positive trends and specific progress in implementation of the ethical framework
Monitoring and review programme in place and operating
Evidence of plans for further improvement in key aspects