

LANCASTER
CITY COUNCIL



Results of Ethical Governance Survey

Aims and Approach

The Ethical Governance Survey sought to assess the adequacy of the council's ethical governance framework through assessing the levels of Member and employee understanding and perceptions of ethical governance and related policies and practices, the results to provide a baseline against which progress could be measured should a future survey be conducted.

All Members and employees were invited to take part in the survey which took place over a six week period between October and December 2009. Questions were grouped into six sections and at the end of each section responders had the opportunity to include additional comments and/or suggestions on how the council could improve its overall arrangements. Employees were also asked to provide the name of their Service and their level of employment.

Results

Fifteen Members and 147 employees chose to complete and return the survey. Responses were received from employees in all Services representing all levels of the Authority including manual and clerical staff, senior and middle management and chief officers.

The results for each section of the survey are as follows:

Ethical Standards and Conduct

	Responses							
	Members				Employees			
Question	Yes	To some extent	No	Don't know	Yes	To some extent	No	Don't Know
Do you think it is important for the council to establish and operate by a set of strong ethical values?	100%	0%	0%	0%	84%	16%	0%	1%
Are you familiar with the 10 general principles of Conduct for Councillors?	40%	53%	7%	0%	N/A	N/A	N/A	N/A
Do you think that public perception of ethical standards within the council is good?	20%	27%	53%	0%	N/A	N/A	N/A	N/A
Do you think that standards of ethical conduct in the authority are high?	47%	47%	7%	0%	20%	52%	11%	16%
Do you think that Members lead by example in ensuring good conduct and high standards within the council?	N/A	N/A	N/A	N/A	10%	50%	17%	22%
Do you think that staff generally, see themselves as having a role in ensuring good conduct and high standards on behalf of the council?	53%	40%	7%	0%	N/A	N/A	N/A	N/A
Do you see yourself as having a role in ensuring good conduct and high standards on behalf of the council?	93%	7%	0%	0%	74%	24%	1%	1%

	Responses							
	Members				Employees			
Question	Yes	To some extent	No	Don't know	Yes	To some extent	No	Don't Know
Do you think that other Members see themselves as having a role in ensuring good conduct and high standards on behalf of the council?	60%	40%	0%	0%	N/A	N/A	N/A	N/A
Do you think that other staff generally, see themselves as having a role in ensuring good conduct and high standards on behalf of the council?	N/A	N/A	N/A	N/A	36%	51%	7%	5%
Do you know where to go for advice and support on conduct and ethical issues when you need it?	80%	13%	7%	0%	40%	24%	32%	4%
Have you had training on general standards of ethical governance?	53%	27%	20%	0%	10%	14%	71%	5%
Have you received any training relating to the Members Code of Conduct?	87%	0%	13%	0%	N/A	N/A	N/A	N/A
Have you had relevant training on issues relating to standards of conduct, including the Code of Conduct for staff?	N/A	N/A	N/A	N/A	22%	30%	45%	3%
Are you familiar with the content of the Members Code of Conduct?	60%	40%	0%	0%	N/A	N/A	N/A	N/A
Are you familiar with the content of the Code of Conduct for staff?	N/A	N/A	N/A	N/A	39%	47%	12%	1%
Do you broadly understand the Members Code of Conduct?	80%	20%	0%	0%	N/A	N/A	N/A	N/A
Do you broadly understand the Code of Conduct for staff?	N/A	N/A	N/A	N/A	52%	32%	10%	7%
Do you know where to seek advice on issues relating to the Members Code of Conduct?	87%	13%	0%	0%	N/A	N/A	N/A	N/A
Do you understand the requirements for declaring personal and prejudicial interests relating to council business?	80%	20%	0%	0%	N/A	N/A	N/A	N/A
Do you understand the requirements for declaring personal interests and personal relationships relating to council business?	N/A	N/A	N/A	N/A	70%	20%	8%	2%
Do you understand the requirements for registering gifts and hospitality relating to council business?	87%	13%	0%	0%	68%	18%	12%	3%

Constitutional Framework

Question	Responses							
	Members				Employees			
What level of understanding do you have of the following documents within the Council's Constitution:-	Good	Reasonable	Poor	Not aware	Good	Reasonable	Poor	Not aware
o Terms of Reference for Cabinet	33%	47%	20%	0%	10%	15%	25%	49%
o Terms of Reference for Overview and Scrutiny Committee	40%	40%	20%	0%	10%	15%	25%	50%
o Terms of Reference for Regulatory Committees & Panels	33%	60%	7%	0%	8%	16%	29%	47%
o Scheme of Delegation to Officers	53%	13%	33%	0%	14%	17%	23%	46%
o Financial Regulations and Procedures	40%	40%	20%	0%	14%	28%	25%	33%
o Contracts Procedure Rules	20%	53%	27%	0%	13%	22%	26%	39%
o Protocol on Member/Officer Relations	47%	47%	7%	0%	13%	29%	20%	38%

	Responses							
	Members				Employees			
Question	Yes	To some extent	No	Don't know	Yes	To some extent	No	Don't Know
Do you think that the Council's Constitution is relevant, up to date and clear?	47%	40%	13%	0%	10%	27%	7%	56%
Do you think that the Council's Constitution is easily accessible?	47%	7%	40%	7%	16%	25%	21%	38%
Are you aware of how the Council's Constitution affects your role as an elected Member?	60%	33%	7%	0%	N/A	N/A	N/A	N/A
Are you aware of how the Council's Constitution affects your work?	N/A	N/A	N/A	N/A	20%	36%	32%	13%
Do you know where to go to get support and advice on the Council's Constitution?	80%	13%	7%	0%	25%	19%	44%	12%
Do you think that the council consistently follows proper procedures and practices?	40%	33%	27%	0%	20%	37%	13%	30%

Roles and Responsibilities

Question	Responses							
	Members				Employees			
What level of understanding do you have of the following roles and responsibilities in relation to ethical governance and anti-fraud and corruption arrangements:-	Good	Reasonable	Poor	Not aware	Good	Reasonable	Poor	Not aware
o The Leader of the Council	47%	40%	13%	0%	20%	37%	23%	20%
o Individual Cabinet Members	47%	47%	6%	0%	18%	37%	24%	21%
o The Standards Board for England	47%	47%	6%	0%	N/A	N/A	N/A	N/A
o Council's Standards Committee	47%	47%	6%	0%	12%	32%	32%	24%
o Chief Executive	47%	33%	20%	0%	28%	38%	12%	21%
o Section 151 Officer	47%	40%	13%	0%	19%	20%	19%	42%
o Monitoring Officer	47%	40%	13%	0%	20%	23%	19%	38%
o Internal Audit	40%	47%	13%	0%	28%	29%	18%	25%
o External Audit	40%	53%	7%	0%	24%	26%	25%	25%
o Management	40%	33%	27%	0%	28%	38%	17%	17%

Question	Responses							
	Members				Employees			
	Yes	To some extent	No	Don't know	Yes	To some extent	No	Don't Know
Do you think that Members are generally clear as to their roles and responsibilities?	27%	60%	13%	0%	12%	43%	11%	34%
Are you clear about your roles and responsibilities?	73%	27%	0%	0%	64%	31%	3%	1%
Do you think that staff are generally clear as to their roles and responsibilities?	60%	40%	0%	0%	42%	42%	12%	5%

Anti-Fraud and Anti-Corruption Arrangements

Question	Responses							
	Members				Employees			
What level of understanding do you have of the following Council Policies:-	Good	Reasonable	Poor	Not aware	Good	Reasonable	Poor	Not aware
○ Anti-Fraud and Corruption Policy and Strategy	20%	40%	40%	0%	19%	30%	35%	16%
○ Fraud Response Plan	13%	27%	53%	7%	10%	21%	42%	27%
○ Whistle Blowing Policy	27%	20%	53%	0%	17%	48%	28%	7%
○ Housing Benefit/Council Tax Benefit Anti-Fraud and Corruption Policy and Strategy	27%	40%	33%	0%	24%	18%	30%	27%
○ Housing Benefit/Council Tax Benefit Sanction Policy	13%	40%	40%	7%	21%	19%	29%	31%
○ Benefit fraud hotline	33%	40%	27%	0%	27%	26%	27%	20%

Question	Responses							
	Members				Employees			
	Yes	To some extent	No	Don't know	Yes	To some extent	No	Don't Know
Do you believe that the council has made clear its commitment to fight fraud and corruption?	67%	20%	13%	0%	25%	48%	15%	12%
Do you understand your responsibilities and duties regarding fighting fraud and corruption?	67%	33%	0%	0%	41%	39%	18%	2%
Are you aware of the arrangements for expressing concerns about suspected fraud and corruption?	33%	33%	33%	0%	33%	30%	36%	2%
Do you feel confident that the council will protect you should you wish to raise any concerns or suspicions?	47%	20%	27%	7%	23%	30%	35%	12%

Comments, Compliments and Complaints

	Responses							
	Members				Employees			
Question	Yes	To some extent	No	Don't know	Yes	To some extent	No	Don't Know
Are you aware of the Council's Comments, Compliments and Complaints Policy?	67%	20%	13%	0%	56%	32%	11%	2%
Do you know where to find the Council's Comments, Compliments and Complaints Policy?	67%	20%	13%	0%	61%	19%	19%	1%
Do you have a broad understanding of the Council's Comments, Compliments and Complaints Policy?	60%	27%	13%	0%	40%	36%	20%	3%
Do you feel that the process for making complaints against staff of the council is clear?	27%	33%	27%	13%	33%	30%	20%	16%
Do you feel that the process for making complaints against Members of the council is clear?	53%	20%	20%	7%	14%	29%	34%	23%
Do you feel that the council effectively deals with, and responds positively to comments, compliments and complaints?	40%	47%	7%	7%	19%	41%	15%	25%
Do you know where to go for advice and support on issues arising from comments, compliments and complaints received?	60%	13%	27%	0%	38%	21%	34%	7%

Information and Communication

	Responses							
	Members				Employees			
Question	Yes	To some extent	No	Don't know	Yes	To some extent	No	Don't Know
Do you feel that the importance of high ethical standards and conduct is effectively communicated (via for example, briefings, newsletters, the council Website/Intranet)?	40%	27%	33%	0%	21%	45%	30%	4%
Do you feel that the council effectively publicises its anti fraud and corruption activities?	13%	20%	67%	0%	10%	36%	41%	12%
Do you feel that the council effectively publicises the results of fraud and corruption investigations and any prosecutions?	13%	20%	47%	20%	7%	28%	45%	20%
Do you feel that the council effectively communicates its arrangements for reporting suspected fraud and corruption?	20%	20%	47%	13%	8%	31%	47%	14%
Do you feel that information/documentation in order to report suspected irregularities is accessible?	27%	20%	27%	27%	10%	36%	26%	28%

Question	Responses					
	Members			Employees		
Have you received training, advice or a briefing/information in the following areas:	Yes	No	Not required in my role	Yes	No	Not required in my role
○ Human Rights	47%	53%	0%	25%	66%	9%
○ Freedom of Information	60%	40%	0%	57%	38%	5%
○ Data Protection	73%	27%	0%	67%	28%	5%
○ Race Relations	87%	13%	0%	42%	53%	5%
○ Sex Discrimination	73%	27%	0%	36%	58%	6%
○ Disability Discrimination	80%	20%	0%	59%	36%	5%
○ Fraud Act	20%	73%	7%	25%	63%	12%
○ Regulation of Investigatory Powers Act (RIPA)	7%	87%	7%	26%	54%	19%