ETHICS AUDIT TOOLKIT: AN EXAMPLE FROM TUTREY

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AIMS

- Background
- What is an ethics audit?
 - What are the benefits?
- What type of ethics audit?
 - what will we be measuring/assessing?
- Benchmarks
- How will data be collected?

BACKGROUND

- Consolidating ethics in the public sector in Turkey (TYEC2)
- Turkish Land Registry
- Over 500 offices
- Over 18,000 staff
- Developed:
- two workshops with senior managers and leaders
- visit to headquarters
- site visit to a branch



An **ASSESSMENT** of the extent to which **an organisation**

meets the REQUIRED ETHICAL STANDARDS.



- An assessment of the actual culture and values of an organisation
- Baseline by which to track progress
- Identify specific problems/gaps
- Identify strengths/effective practice
- A roadmap for success





CODES OF CONDUCT RULES & REGULATIONS LEGISLATION CULTURE COMPLIANCE INTEGRITY

TYPES OF AUDIT

COMPLIANCE

CULTURAL

SYSTEMS



INTEGRITY MANAGEMENT SYSTEM

RULES

CORE

COMPLIMENTARY

VALUES

DEFINING

LEADING

MONITORING

SANCTIONING & REWARDING

FUNCTIONS

TOOLS



Do and don't guidelines

Person specification for ethics auditor

Benchmarks and performance indicators

Data collection methods

Action plan

BENCHMARKS FOR DEFINFING, LEADING, MONITORING, SANCTIONING OREWARDING Contents Conte

pefinfing integrity

Ensuring that the standards of conduct in the Land Registry are clearly defined, communicated and understood by all members of staff.

EVIDENCE THAT:

- Organisational values are known and used
- Senior managers understand the ethical framework
- Staff understand and abide by the code of conduct
- Active promotion of vision and principles by senior management
- Training sessions are participatory

LEADING integrity

Ensuring that leaders and managers lead by example and set the correct ethical tone within the organisation; that they offer a positive example of ethical behaviour; that staff members trust and feel confident in the leadership of the Land Registry.

EVIDENCE THAT:

- Senior managers are recognised by staff as having high standards of conduct and leading by example
- Willingness of people to behave as self-leaders and take action on poor standards of conduct
- Understanding throughout Land Registry of individual and collective responsibility for maintenance of high ethical standards
- The role of the regional sub-commissions is known and understood
- That there is an active culture of integrity within the Turkish Land Registry

MONITORING Integrity

Ensuring that behaviour and standards of conduct are monitored through open, fair, and transparent process that all staff are aware of and have confidence in.

EVIDENCE THAT:

- Annual reports are accessible to all members of staff
- Strengths and weaknesses are regularly assessed and acted upon
- Role of the regional inspectorate is known and understood
- Staff are aware of and participate in annual surveys
- The ethics dimension of the Land Registry's TQM process is understood



Ensuring that all staff within the Land Registry understand the consequences of misconduct or poor standards of conduct; that such mechanisms are perceived to be both fair and effective; that the rewards system for exemplary conduct is fully understood and recognised

EVIDENCE THAT

- Good standards of conduct are incentivized for all members of staff
- Incentives and sanctions are in place to deal with misconduct
- Incentives and sanctions are understood by all members of staff
- That incentives and sanctions are effective in developing a high ethical culture



SURVEY

INTERVIEW & FOCUS GROUPS

DOCUMENTARY ANALYSIS

EXAMPLE FROM uestionnaire

SECTION 1:DEFINING INTEGRITY	1	2	3	4	5
I have an excellent knowledge of the ethical principles of the Land Registry					
The ethical principles inform my actions at work					
I would never act against the ethical principles					
My manager makes me aware of the ethical principles					
My colleagues act in accordance with the ethical principles					
I know what to do if I am offered a gift from a customer					
If I was offered a gift or money, making the right decisions would be of most importance to me					
I have refused a gift or money from a customer in the last 12 months					
My manager encourages us not to accept gifts or money from customers					
My colleagues do not accept gifts or money from customers					
I have an excellent knowledge of the public sector code of conduct					
The code of conduct works well in the Land Registry					
I would not break the rules of the code of conduct					
My manager reminds me about the code of conduct when I am at work					
My colleagues act within the rules of the code of conduct					
I have participated in ethics training in the Land Registry					
The ethics training has improved my performance at work					
I learned new ideas as a result of ethics training					
My manager has participated in ethics training					

Summing up...

Integrity and COMPLIANCE approaches to developing an ETHICAL ENVIRONMENT

Integrity management system

DEFINING, LEADING, MONITORING, SANCTIONING & REWARDING integrity

SELF-ASSESSMENT SURVEY, interviews & focus groups, documentary analysis

THANK YOU

Any questions/comments?

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