

## CIVIL SERVICE CODE AUDIT 2013 – Recommendations & Examples of Good Practice

QUESTION	RECOMMENDATION	EXAMPLE OF GOOD PRACTICE
1. Do you have a formal statement of policy for how your department or agency upholds and promotes the code's values and standards?	There is a specific statement setting out: <ul style="list-style-type: none"> <li>• how the Civil Service Code and its values are upheld within the organisation;</li> <li>• how the Civil Service Code and its values are promoted in the organisation</li> </ul>	<b>DFID</b> - statement of policy describes how the organisation upholds and promotes the Code
2. Have you undertaken specific promotional activities on the Civil Service Code in the last 2 years?	Promotional activities reminding staff about the need to adhere to the Code should ideally be undertaken at on an annual basis and should target all staff.	<b>DSA &amp; VOSA</b> – <ul style="list-style-type: none"> <li>• Reminders during local election purdah periods of staff responsibilities under Code</li> <li>• Reminder of Code in relation to social media activity</li> <li>• Promotion of updated whistleblowing policy specifically highlighting need to raise any breaches of Code</li> </ul> <b>ONS</b> - Include presentations on the Code as part of the Staff Survey programme
3. Have members of your senior leadership team been involved in Code promotional activities in the last 2 years?	Senior leaders are involved in promoting the Civil Service Code to staff or a specific member of the senior leadership team is responsible for work in relation to upholding and promoting the Code.	<b>DMO</b> – Chief Exec introduced Champion for the Code who gave a presentation at All Staff Meetings <b>HMRC</b> – DG instituted an annual management led drive for every employee to read and understand the Code. Chief People Officer included promotion of right behaviours in a number of HR roadshows.
4. Do you ensure that specific guidance is provided to groups of staff who may need to be particularly vigilant in relation to adhering to the Code values e.g. staff in private offices, communications, etc?	Areas where risk of a breach in the Code is highest have been identified, and specific guidance provided to staff in those areas.	<b>DWP</b> – Employees in Private Office have bespoke guidance and are required to sign a declaration of understanding in relation to confidentiality, probity and whistleblowing.

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<p>5. Are staff made aware of clearly marked, appropriate routes in the event of them wishing to raise a concern under the Code?</p>	<p>Clearly sign-posted guidance on how to raise a concern under the Code is available to staff. There is a clear written procedure covering how staff should raise concerns under the Code. Reference should be made to:</p> <ul style="list-style-type: none"> <li>• role of Nominated Officers</li> <li>• the distinction between concerns under the Code and HR grievances;</li> <li>• the Public Interest Disclosure Act (PIDA) 1998, although references should be appropriate and proportionate;</li> <li>• the fact that in some circumstances the Civil Service Commission will take a complaint direct.</li> </ul>	<p><b>DFID</b> – separate written procedure for staff to raise concerns under the Code. The escalation route is clearly defined within the procedure.</p> <p>[CSEP has published procedure for whistleblowing and raising concerns which has been widely adopted. If this is used, any Department specific guidance given to staff about the Code should clearly direct them to the CSEP procedure and other guidance]</p>
<p>6. Does your department promote a clear statement on how complaints raised will be investigated?</p>	<p>There is clear guidance on how complaints raised under the Code will be investigated.</p>	<p><b>DVLA</b> – the staff handbook contains a description of how concerns raised under the Code will be investigated.</p>
<p>7. Do you adopt separate, specific procedures for investigating complaints? If not, which procedures do you adopt?</p>	<p>If a Code specific procedure is not available, organisations can adopt the Civil Service Employee Service guidance on whistleblowing and raising concerns.</p>	<p><b>DVLA</b> – the staff handbook contains a description of how concerns raised under the Code will be investigated.</p> <p>[CSEP has published procedure for whistleblowing and raising concerns which has been widely adopted. If this is used, any Department specific guidance given to staff about the Code should clearly direct them to the CSEP procedure and other guidance]</p>

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8. Do you advise staff who raise a concern under the Code that if they do not believe they have received a reasonable response they may make an appeal to the Civil Service Commission?	<p>Guidance on raising concerns under the Code should be provided by every department. This guidance should include:</p> <ul style="list-style-type: none"> <li>• specific and clear reference to the right to escalate the complaint to the Civil Service Commission</li> <li>• details of the procedure to follow</li> <li>• contact details for the Civil Service Commission, including details of the Civil Service Commission website.</li> </ul>	[Most Departments have out of date contact information for the Commission]
9. Do you monitor and report on concerns raised formally under the Code? If so, how and to whom do you report?	<p>Concerns raised formally under the Code are monitored and reported at Management Board/Audit Committee level (even if this simply takes the form of a nil return). Someone should be responsible for analysis of this data and acting on any trends that emerge.</p>	<p><b>BIS</b> - Twice yearly progress report to the BIS Risk and Audit Committee about the number/ type of concerns raised and any related issues.  <b>DWP</b> - Nominated Officers keep a record of referrals made to them. An annual report is prepared for the Permanent Secretary.</p>
10. Do your Nominated Officers for the Civil Service Code receive specific training for their role?	Organisations should consult Cabinet Office when appointing a new Nominated Officer to ensure appropriate briefing is provided.	<b>HMRC</b> - Nominated Officers attended training workshop on appointment to the role.
11. Do you provide support and feedback to your Nominated Officers for the Civil Service Code?	Nominated Officers should report to someone with responsibility for compliance with the Code to receive support and feedback. Where possible there should be a network of Nominated Officers for support and feedback.	<p><b>HMRC</b> – detailed written guidance available to support Nominated Officers.  <b>Home Office</b> - This is generally provided as peer support amongst the NOs through discussing cases with each other.</p>

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12. Do you have a role specification for your Nominated Officers?	Departments/agencies should use the Cabinet Office role specification for Nominated Officers clearly specifying their duties, responsibilities and expectations.	Role specification
13. Do you refer explicitly to the Civil Service Code or the core values of the Code in the information given to candidates about advertised jobs?	Information for all candidates for advertised jobs should refer explicitly to the Civil Service Code.	<b>OFWAT</b> – explicit reference to Code in application pack
14. As new entrants, are all staff (including temporary and seconded staff) provided with a hard copy of the Code or directed to an electronic version e.g. on your intranet?	All new entrants should receive either a hard copy of the Code or be directed to an electronic copy.	
15. Are new entrants required to sign a declaration confirming that they have received, read and understood the Code?	All new entrants should be required to sign a declaration stating that they have been given a copy of the Civil Service Code, and that they have read and understood it.	<b>MHRA</b> - The Civil Service Code is included in the offer pack submitted to the candidate. A signature is required confirming the code has been read and understood.
16. Does your induction training explicitly include reference to the Code?	Explicit reference to the Code should be made during induction training.	<b>ESTYN</b> - As part of the induction programme, each new employee is briefed on the Code by a member of the HR team and provided with a copy of the Code for reference.
17. Do you do any regular follow up with staff on Code awareness and compliance post recruitment?	There is follow-up to ensure all staff post-recruitment are aware of the need to comply with the Code.	<b>Met Office</b> - Staff are reminded by email every 12 months to read & sign up to Employee Commitments Policy containing details about the Civil Service Code.
18. If you use shared services, recruitment agencies or consultants, do you ensure that these explicitly include reference to the values of the Code?	Where they are part of the recruitment processes shared services, recruitment agencies & consultants are given guidance that describes the core values of the Civil Service.	<b>Ordnance Survey</b> - It is part of the contractual arrangements with recruitment agencies and consultants that they comply with the Civil Service Code