Code of Conduct checklist

This checklist helps an agency confirm that key activities associated with developing and implementing a code have been considered.

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| Stage 1: Source information |
| **Where to source information for the code**  | **Comments** |
| Input from: |  |
| [ ]  | senior leadership team |  |
| [ ]  | subject matters experts (audit, standards and conduct, governance, risk, finance, human resources and legal) |  |
| [ ]  | selected parts of the workforce (if relevant) |  |
| Relevant requirements identified in: |  |
| [ ]  | legislation |  |
| [ ]  | Commissioner’s Instruction 40: Ethical Foundations  |  |
| [ ]  | sector policies |  |
| [ ]  | agency policies and procedures that support the code |  |
| [ ]  | reports and resources of external integrity bodies |  |
| [ ]  | other data and research |  |
| [ ]  | Relevant risks and corresponding management strategies identified, for example by reviewing risk registers |  |
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| **Stage 2: Construct** |
| **What the code says (content)** | **Comments** |
| [ ]  | Clear expectations of the leader including why the code is important and what it intends to achieve |  |
| [ ]  | Glossary of terms and acronyms (where necessary) |  |
| [ ]  | Consistent with mission, vision and values |  |
| [ ]  | Who the code applies to and when |  |
| [ ]  | Relevant integrity risks and the behaviours expected to manage these risks  |  |
| [ ]  | Relevant policies and procedures to be complied with  |  |
| [ ]  | Actions that may be taken if non-compliance with the code is suspected and examples of possible actions  |  |
| [ ]  | Internal and external pathways to report suspected non-compliance with the code  |  |
| [ ]  | Contacts for advice about the code |  |
| **How content is presented** | **Comments** |
| [ ]  | Language reflects corporate voice, is plain English and has a positive tone |  |
| [ ]  | Language and information are consistent with other relevant documents such as values and policies |  |
| [ ]  | Length has been considered and is fit for purpose |  |
| [ ]  | Design reflects corporate style, is contemporary and accessible |  |
| [ ]  | Content is logically presented for readability (for example, headings) |  |
| [ ]  | Engagement and interactivity are incorporated where relevant (for example, using links, decision making tools, mnemonics) |  |
| [ ]  | References and supplementary materials are current and relevant |  |
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| **Stage 3: Consult** |
| **How development of the code is progressing** | **Comments** |
| [ ]  | Feedback from those who contributed at stage 1 |  |
| [ ]  | Consultation with relevant areas of the workforce as necessary (hold focus groups) |  |
| [ ]  | Consultation with relevant stakeholders as necessary  |  |
| [ ]  | Necessary changes incorporated to improve the draft |  |
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| **Stage 4: Approve** |
| **Who approves the code** | **Comments** |
| [ ]  | Leader or senior leadership team through established processes |  |
| [ ]  | Approval date and version documented as part of good governance |  |
| [ ]  | Commitment to an implementation plan |  |

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| **Stage 5: Implement and promote**  |
| **How the code is rolled out and embedded** | **Comments** |
| [ ]  | Communicate what changes have been made, why and impact on staff |  |
| [ ]  | Staff read and acknowledge the code through new or existing processes |  |
| [ ]  | Code is easy for staff to find and access |  |
| [ ]  | All references to the code are updated (in policies and procedures, strategic documents, and recruitment materials)  |  |
| [ ]  | Clients, suppliers and stakeholders informed of the code and its relevance |  |
| [ ]  | Tools for leaders and managers to promote the code  |  |
| [ ]  | Plan for how minor changes and updates to the code are implemented and communicated |  |
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| **Stage 6: Training**  |
| **How the code applies in practice** | **Comments** |
| [ ]  | Training (and refresher training) on the code for new and existing staff (refer to Developing Code of Conduct Training and Training on your Code) |  |
| [ ]  | How code of conduct training fits into broader integrity education |  |
| [ ]  | Completion rates for training and refresher training recorded and can be reported |  |
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| **Stage 7: Monitor and review** |
| **How the code is working and improvement** | **Comments** |
| [ ]  | Position or team responsible for regular/periodical review of the code, with review dates recorded and adhered to |  |
| [ ]  | How the code is monitored  |  |
| [ ]  | How lessons learned in the agency and from external integrity agencies are captured and considered for improving the code |  |