

Comparative Study on the Public-service Ethics of the EU Member States

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Executive summary

1. The present research is a follow-up to the earlier study by Danielle Bossaert and Christoph Demmke on the public-service ethics of the EU member countries carried out in March 2004. This study led the Dutch Presidency to propose an Ethics Framework for the Public Sector of the EU Member States. In their meeting in November 2004, the Directors General responsible for the Public Administration agreed on the common values included in the document and invited each member state to consider how best to communicate the document to the public services.
2. The Ethics Framework for the Public Sector is a voluntary, non-legally binding European Code of Ethics. The Ethics Framework reflects the basic common values and standards of conduct, which are considered important for the proper functioning of the public service. It helps to structure the discussion and can be used as a checklist or a general guideline in the development of national code(s) of ethics.
3. The present research is commissioned by the Ministry of Finance and the Finnish Presidency and it is conducted by Senior Assistant Timo Moilanen of Helsinki University and Prof. Ari Salminen of Vaasa University. Its key aim is to capture the changes that have occurred since the introduction of the Ethics Framework by the member states. To achieve this objective, a survey was sent to the 25 EU member states, the European Commission and two candidate countries, Bulgaria and Romania. The survey was addressed to the state representatives working in the HRWG. In most cases, the representatives themselves filled out the questionnaire. In other cases, they forwarded the questionnaire to some expert or a group of experts. Generally speaking, the expertise and experience of the respondents was adequate to answer the questionnaire.
4. The survey results apply very well to the state central administration but are less applicable to the regional and local administration. Only in ten countries the respondents commented that the same answers apply both to central and local administration. In most countries the local government has its own separate legislation, which, more or less, corresponds to the ethical standards of the central government. Furthermore, local level typically consists of a large number of small administrative units and the respondents who themselves worked at the central level were not fully aware of its situation.
5. Most of the countries have introduced value declarations or code of ethics. Although these tools are not mutually exclusive and can be used simultaneously, the code of ethics usually includes the core values and thus eliminating the need for a separate value declaration. Moreover, these tools can be used on many levels: there may be a general code of ethics, branch-specific codes of ethics and agency-specific codes of ethics at the same time. According to the responses received from the member states, all these options are indeed utilised. However, a general code of ethics is more often used than other codes.
6. There seems to be different interpretations of what constitutes a code of ethics. In many cases, respondents considered that a document could not attain the status of an ethical code unless it had been passed by the Parliament (law) or accepted by an authority such as the Council of the State (directive or a decision in principle) or State Employers Office (staff regulations). However, in some cases respondents referred to a document that had not been officially authorised but had a de facto status of a code. For example, there are some guidebooks that in practice have the status of a code and are used in personnel training. There are also some very short one-two page ethical codes and it is debatable whether they can qualify for a code as such since they do not always contain specific standards of conduct. Rather, they list the core values briefly without discussing what the core values mean in practice.
7. The Ethics Framework identifies a number of general core values that should be common to all member states. The core values were well reflected in the official documents of the member states. The principle of the rule of law (lawfulness) was the most commonly

recognised core value, being fully recognised in 27 of the 28 cases, as could be expected. Also, impartiality/objectivity, which comes quite close to the lawfulness as a value, was ranked high. Other core values were also well reflected, although many countries mentioned that accountability was the value that had just started to take its form. In conclusion, the core values were clearly recognised in the official documents of the member states.

8. This survey study also attempted to find out how the core values were reflected in the administrative practices. Based on the respondents' assessment, the most recognised real-life public-service values were lawfulness, impartiality/objectivity and professionalism, with accountability and courtesy being the last ones. Still, according to the data, the situation is fairly good. The data also showed that the real-life situation was constantly lagging behind the official situation. However, the distance between what is (real-life values) and what should be (official values) seemed to be moderate. This means that in general the administrative practices seem to follow the official values quite well. It should be noted however that the question of real-life values is a demanding empirical question and these results are more indicative than conclusive.
9. Respondents were also asked how significant the core values will grow in the near future. There seems to be some difference between the views of the old and the new member states, the latter being somewhat more active. The core values – lawfulness and impartiality/objectivity, which were now the strongest – will maintain their status. However, other core values that were presently considered relatively weaker will strengthen their position. This applies especially to accountability that has the highest rating among the new as well as in the old member countries. This clearly reflects the administrative reforms that have taken place in the EU member states during the last decade. We can conclude that the significance of the core values is going to endure in the future.
10. Defining the official public-service values is one thing, communicating them to every civil servant and citizen is another. 22 out of the 28 respondents argued that the values are either very easy to find out or easy to find out in their countries. However, several respondents also pointed out that this applied mainly to civil servants, and for citizens the situation is more difficult. The remaining six respondents argued that the official values were difficult to find out: the reason being that there is no document like value declarations or codes of ethics. Instead, values and standards are scattered in various laws.
11. It should be noted that in all the cases in which the values and standards were easy to find, the government had announced a general code of ethics. Respectively, in those cases in which the codes of ethics or value declarations were not used, the accessibility of official values was found to be difficult.
12. A well-written and well-implemented code of ethics or declaration of values is a useful tool that clarifies the values and standards of official behaviour. In most cases, the code restates and elaborates the values and principles already embodied in legislation. This is useful since the relevant values and standards are generally scattered in numerous legal documents, which makes it difficult to locate the information and to understand the general idea of civil service. In many cases the same standards are defined in legislation and elaborated in codes of ethics.
13. The Ethics Framework groups the specific standards of conduct into six main sections. The respondents were asked how these ethical issues were regulated in their country. Handling of confidential information was regulated by law in each country and further specified in a code of ethics in 13 states. Also, the standards concerning the acceptance of gifts or favours, avoiding interest conflicts (such as in purchasing decision-making, in outside activities or in financial interests) and tendering regulations were in the majority of the countries regulated by law. Juridical regulations to counter revolving door employment and the use of public resources, equipment and property were presently less common. All the above standards are also covered by ethical codes, although only in the last case the code seems to be the predominant tool. However, in order to

understand what kind of impact the codes really have had requires a more detailed analysis, which is beyond the scope of this research project.

14. In some countries, the code is very precise and is meticulously executed. For example, in the Netherlands all government organisations since March 2006 are required to pursue an integrity policy, which includes a mandatory integrity code of conduct. In order to facilitate the adoption of this integrity policy, the government has launched a Government's Model Integrity Code of Conduct as a reference and as a model that can be used until the agencies have drafted their own codes. The Model Code can be adopted only if the changes reflect stricter regulations than required.
15. The present survey also explored the extent to which unethical practices existed in the member states. However, this question is so broad and complex that to answer it properly we need to conduct a separate study or rather a series of studies that use various types of materials such as extensive surveys, expert and citizen interviews, criminal statistics and other official records. Notwithstanding the fact that the information received on unethical practices is quite limited in the present study as it is generally based on a single respondent's view, it is nevertheless important to examine it since it tells us what we think about these phenomena. It is not only the reality that matters, the image is important, too: if one believes that a certain kind of behaviour is widespread one also has a much higher tendency to behave in a similar fashion oneself. For this reason, top management's behaviour is of crucial consequence as it sets the standards for the whole organisation.
16. The findings of this research indicate that sexual harassment, ethnic and sexual discrimination are generally not considered to be widespread in the member states. The same applies to private time misconduct and the abuse and manipulation of information and these can be considered as marginal problems. Among other unethical practices, waste and abuse of resources ranks quite high. It includes actions such as reporting falsely and showing minimal effort and commitment. The remaining six unethical practices deal with different forms of corruption. They are more problematic not only because they are considered to be more common but also since they pose a more serious threat to public-service ethics. While the differences between the old and the new member countries are quite small concerning the work-morale issues, the differences in terms of corrupt practices are quite significant throughout the data. Our data corresponds particularly well to the findings reported by Transparency International in its Corruption Perception Index (CPI)
17. There are many ways to fight corruption and other unethical behaviour. The respondents were asked what instruments were used in their countries to deal with ethic-violation situations. The most common instruments were disciplinary measures and legal sanctions. Disciplinary measures ranged from written warnings to the termination of employment and they were adopted in all countries. Legal sanctions, including the punitive measures in the penal code, were reported to be used in 25 member states. The various reporting systems, based on formal or informal procedures, were also employed extensively. A number of countries have a special body to deal with ethic-violation situations. The provisions concerning the protection of whistle-blowers were used in 10 countries. The least used instrument was the confidential integrity counsellor (CIC) that was operative in six countries.
18. One important, and often neglected, way to foster good administration is to integrate it with management systems, especially with policies on human resources. This is particularly important since the leader sets the standards for the whole organisation with his/her own example. Promoting ethics and integrity through HRM policies on leadership seems to be quite common. As the data reflects, most countries used a specific component in the training programmes for managers to promote high ethical standards. Also, the personnel training addressed ethical issues but these policies were more often conducted at the agency-level. Organisations also emphasised that integrity was an integral part of public service in their communications (e.g., organisation had clear, specific and well-communicated values, standards and regulations). Ethical aspects can also be taken into account in recruitment procedures. For example, the applicants'

knowledge on ethics and integrity can be tested. The last HRM policy, i.e. mobility, seemed to be the least used instrument against ethic-violations. Despite the fact that policies on mobility were in wide use they seemed to mainly focus on career planning and ignoring ethical aspects. This might be an important policy in areas that are most prone to corruption and fraud, such as in construction and public procurement. Surprisingly, policies on rotation seem to be more common in business-life in which many companies rotate their in-buyers in order to avoid too close relationships between the buyers and sellers.

19. One of the goals of the Ethics Framework was to generate discussion and raise awareness of ethical issues. As could be expected, the Ethics Framework has had its strongest impact on the state-administration level compared with other levels. However, there seemed to be a systematic variation between the old and the new member states indicating that the Framework exerted a bigger effect on the new member states. We obtain the same result if we analyse the effect by country's CPI score or by the extent of corrupt practices provided by this survey. The Framework was found to have a greater impact on those countries that were currently fighting against corruption.
20. The main future issues and priorities concerning public-service ethics as reported by the member states seem to be very divergent. However, some common tendencies can be pointed out. First, there is a considerable amount of activity among the member states to introduce code of conducts. Second, several countries are working to improve training on ethical values and standards. Third, many countries are taking measures to fight against corruption. Fourth, several actions have been taken to strengthen the various bodies responsible for public-service ethics. Fifth, new issues such as whistle-blowing, post-employment restrictions and regulations concerning lobbying have not been amply addressed yet and only few member states seem to have focused on them.

1 Introduction

The aim of this study is to offer an overview of the current situation of public-service ethics in the EU member states. The study discusses the various measures that have been taken to promote public-service ethics by the member countries since 2003. Commissioned by the Ministry of Finance and the Finnish Presidency, it is conducted by Senior Assistant Timo Moilanen of Helsinki University and Prof. Ari Salminen of Vaasa University in cooperation with the European Public Administration Network (EUPAN) and its Human Resource Working Group (HRWG)¹. As a part of this research project, Timo Moilanen also delivered two presentations, the first being given at the HRWG meeting in Helsinki in September 2006 that aimed to provide a description of the project including its background, objectives and its timetable. The second was held at the HRWG meeting in Brussels in October that year with a view to presenting the preliminary findings of the project.

There are two main sources that have set the ground for this project. The first is a study by Danielle Bossaert and Christoph Demmke titled "Main Challenges in the Field of Ethics and Integrity in the EU Member States" carried out in March 2004. This study provided a wealth of information on the state of public-service ethics, and led the Dutch Presidency to propose an Ethics Framework for the Public Sector of the EU Member States. This Ethics Framework comprises the second context for this project. The Framework, which is a voluntary, non-legally binding European Code of Ethics, comprehensively discusses the general core values, specific standards of conduct, actions to safeguard integrity and measures on handling possible ethic-violation situations. It helps to structure the discussion on public-service ethics and can be used as a checklist or a general guideline in the development of national code(s) of ethics. In their meeting in November 2004, the Directors General responsible for the Public Administration agreed on the common values included in the Ethics Framework and invited each member state to consider how best to communicate the document to the public services. The study by Bossaert and Demmke reported above is empirical and it tells us how the things are. The Ethics Framework, in comparison, is normative and tells us how the things should be. These two sources complement each other and provide a starting point for the particular project.

The present research is therefore a follow-up to the earlier survey study by Bossaert and Demmke. Its key aim is to capture the changes that have occurred since the introduction of the Ethics Framework in the member states in the end of 2004. To achieve this objective, a survey questionnaire was sent to the 25 EU member states, the European Commission and two candidate countries, Bulgaria and Romania. The questionnaire was addressed to the state representatives working in the HRWG. The project started in April and was completed in November 2006. The findings of this study are based on the 28 responses received to the survey questionnaire.

The discussion in this report will be structured in the following manner. We will begin with a description of official values and standards. We discuss the core values, ethical codes and the relationship between the codes and the legislative framework. After this, we consider some typical forms of unethical behaviour and their extent in the member countries, followed by a discussion of instruments that can be used to prevent ethic-violation situations, such as legal sanctions and the use of integrity counsellors. We then turn to analyse how the ethical aspects are taken into account in leadership and human resource management practices. Finally, we discuss what kind of impact the Ethics Framework has had on generating discussion and raising awareness of ethical issues, including an outlining of the main issues and priorities concerning public-service ethics in the member states today.

The authors would like to thank the Finnish Presidency and the HRWG members for making this project possible. They would like to particularly thank Senior Adviser Asko Lindqvist

¹ Although an outcome of a joint effort by the authors, this report is principally written by Timo Moilanen. The exceptions are sections 3.4. and 4.4. which are contributed by Ari Salminen. The authors nonetheless fully share views on the analyses presented in this report.

(Ministry of Finance) for his consistent support during the course of this project, and EU Assistant Maria Rosberg (Ministry of Finance) for her excellent coordinating skills and assistance in the data-collection phase. They would also like to sincerely thank the respondents for their vital contribution to this project and for providing crucial information and comments on their national systems. They would also like to extend their special thanks to Prof. Christoph Demmke (EIPA) for his encouraging feedback on the project, and Senior Adviser Kirsi Äijälä (EVIRA) and Principal Administrator Janos Bertok (OECD) for their comments on the questionnaire. Finally, they wish to thank Dr. Akhlaq Ahmad (University of Helsinki) for his comments and invaluable assistance in the reviewing of the report.

2 Research methodology

The scope of this study is rather broad. It covers a diverse range of issues extending from public-service values to the attainment of the goals of the Lisbon Strategy, thus affording us a general picture of the prevailing situation in the EU member states. However, this breadth of the scope also prevented the authors from delving deeper into the details². For example, transparency in this study has emerged as one of the core values in the member countries which have taken various significant measures to promote it. However, we cannot know in detail how the member states actually interpret this value, namely what it covers and what are its limits. Despite the fact that these nuances are very important and examining them would have given valuable information, this research is more concerned with establishing a general view of the situation in the member states.

Our approach is a full-range comparison. Typical for this approach is the use of quantitative data such as surveys and statistical methods. The full-range comparisons are often used to classify and present typologies on management styles and cultures, features of maladministration, corruption, corporate governance, unethical behaviour and global ethics. In this research, the central aim of the comparison is to systematically investigate the differences and similarities between national integrity systems of the member countries. The comparison covers a wide spectrum of issues such as ethical values, ways of promoting integrity, standards of conduct, integrity offences and future ethical challenges. Despite the existence of more or less unique national features and different interpretations of the same issues, we are more interested in highlighting the convergences than divergences between the member states.

As comparatists, we are aware of that comparison is a balance between culturally related and universally related concepts. The limitation of the former lies in its lower level of applicability with country comparisons, while the latter is constrained by its lower ability to describe essential features of individual cases. The main issue is however not specifying identical, or even similar, concepts but equivalent ones so that their comparison is meaningful (Landman 2005, Salminen & Viinamäki 2006). For example, even in countries showing similar features, issues such as corruption may be perceived differently. We have attempted to maintain the effectiveness of comparability by defining our concepts precisely and by offering concrete examples and clarifications.

The project started in April 2006 with a perusal of the earlier research. The questionnaire was drafted between April and June. The questionnaire consisted of five themes split into 19 questions (attached in annex 2). The electronic questionnaires were returned to the researchers by email. The data-collection period extended from the beginning of July to late August, although a few responses also arrived as late as in the end of September. The response rate to the questionnaire was 100 per cent. The full research report was submitted to the Finnish Presidency in November 2006.

Though replies to some questions were necessarily subjective in nature, the respondents were requested to answer in a manner so that their answers should reflect to the extent possible a broad view within their administration. In most cases, the HRWG representatives

² For example, we have received more than 500 comments in feedback. Some comments give additional information concerning the particular topics and some notes specify certain limitations on the topic. We have processed all of the feedback but we were unable to include all notes to the report.

themselves filled out the questionnaire. In some cases, they forwarded the questionnaire to some expert or a group of experts. Generally speaking, the expertise and experience of the respondents was adequate to answer the questionnaire.

The survey results apply very well to the national state central administrations but are less precise concerning the regional and local administrations. Only in ten member states the respondents replied that the answers they gave applied both to central and local administration³. In most countries the local government has its own separate legislation, which, more or less, corresponds to the ethical values and standards of the central government⁴. In many cases the local level consists of a large number of small administrative units and the respondents who themselves worked at the central level were not fully aware of its situation⁵.

3 Official values and standards

3.1 Core values in official documents

In the questionnaire the respondents were asked how well the core values were reflected in the official documents of their respective countries, such as in legislation, government resolutions and code of ethics. If the value was explicitly embodied in several official documents then it was considered as 'recognised'. If the value was not explicitly mentioned – even if it would be commonly shared in public administration – it was regarded as 'unrecognised'. In many cases, the answer falls somewhere in between. The Ethics Framework identifies eight general core values⁶ that should be common to all member states. If we believe that these are the core values, then they should be fully recognised in every country. As Figure 1 shows, the core values are well reflected in the official documents of the member states.

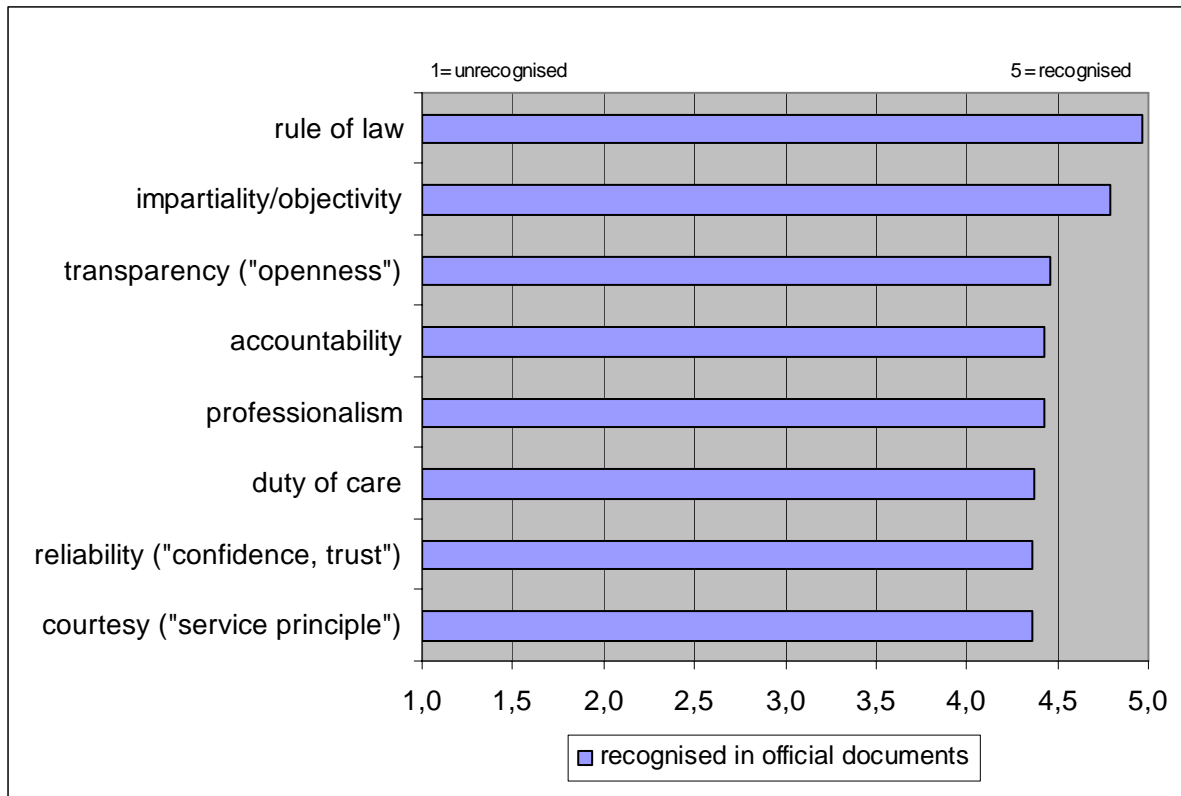
³ Austria, Denmark, France, Greece, Ireland, Lithuania, Luxemburg, Malta, Portugal and Romania.

⁴ Owing to these differences between the central and local government, the Czech representatives submitted two answers, one for each level. In most cases we have used the answers concerning the state central administration in this study.

⁵ Compare Table 13 on page 26.

⁶ Originally, the Framework contained six core values that have been further divided into eight values for analytical purposes. For the most part, values were easy to understand. However, the exception was 'Courtesy' (the full name being 'Courtesy, and willingness to help in a respectful manner') that was occasionally referred to by the respondents as being less clear. This core value is well defined in the Framework but the word courtesy does not itself convey the idea it is intended to. Instead, words like 'Service Principle' or 'Customer Orientation' could have been more communicative.

Figure 1: Reflection of Core Values in Official Documents (N=28)



As expected, the principle of the rule of law (lawfulness) was the most commonly recognised core value. Also, impartiality/objectivity, which comes quite close to the lawfulness as a value, was ranked high. Even the values that had the lowest ranking, e.g., reliability and courtesy, seem to be well recognised in the member countries. However, many countries mentioned that accountability was the newest value and it was in the process of taking its form. In country comparison (see Table 15 on page 43 in the Annex 2) the trend is essentially the same⁷. For example, the lawfulness was fully recognised in 27 of the 28 cases. The values were well reflected in the official documents with minor exceptions⁸. In conclusion, the core values specified in the Ethics Framework were clearly recognised in the official documents of the member states. These findings are consistent with other surveys (e.g., OECD 2000, Bossaert & Demmke 2005, 42-43; 163-165).

The respondents were also asked if their country had stated some other core values that were not included in the Framework and were not present in the survey questionnaire. A total of 16 respondents answered this question. Many of the values that they mentioned can be linked to the core values. For example, values such as sense of duty, effectiveness and political neutrality can all be traced back to the Ethics Framework. Other values that were not included in the Framework were integrity, honesty, stability and equality of opportunities. Integrity as a value is not absent from the Framework but rather implicit⁹. Honesty as a value comes close to integrity. Stability is a more ambiguous value. Governments definitely need some degree of stability, especially in issues such as legal

⁷ It is to be noted that most tables are grouped so that the current member states are located at the top of the table while the information concerning the European Commission and the candidate countries is given at the bottom of the table. By new members states we refer to the 12 countries that joined the European Union in 2004, including the two candidate countries Bulgaria and Romania, whereas the old member states refer to the 15 countries that joined the European Union prior to 2004

⁸ In Luxembourg reliability, transparency, professionalism and accountability were not recognised in official documents, although they were recognised in administrative practices. Also, the courtesy was only somewhat recognised. In Estonia, the duty of care is not officially recognised and courtesy is only somewhat recognised, and in Italy courtesy and professionalism do not seem to be as strong as expected.

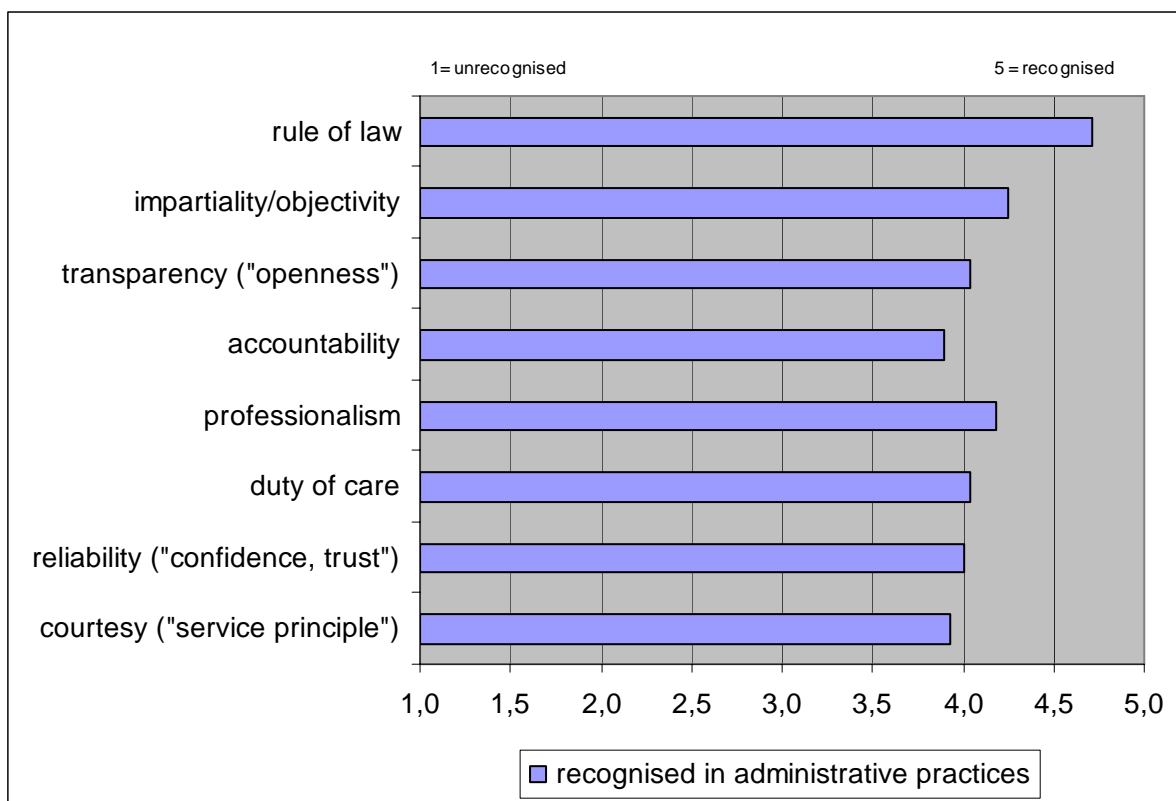
⁹ For example, Framework argues that "integrity is a disposition which encompasses incorruptibility, reliability, impartiality, objectivity, and justice".

protection. However, values such as courtesy (service principle) and accountability require that the government should be more responsive which implies that we should actually strive to be more *flexible*. Equality of opportunities is undoubtedly an important ethical value in any organisation but it remains to be seen whether it would be considered a core value.

3.2 Core values in administrative practices

From Figure 2 we can see how the core values are reflected in the administrative practices. The response to this question was chiefly based on the respondents' personal experience, as in many countries there was no information available on this issue¹⁰. Drawing on the respondents' assessment, the most recognised real-life public-service values were lawfulness, impartiality/objectivity and professionalism, with accountability and courtesy being the last ones. On the whole, based on the data, the core values seem to be reflected in administrative practices fairly well¹¹.

Figure 2: Reflection of Core Values in Administrative Practices (N=28)



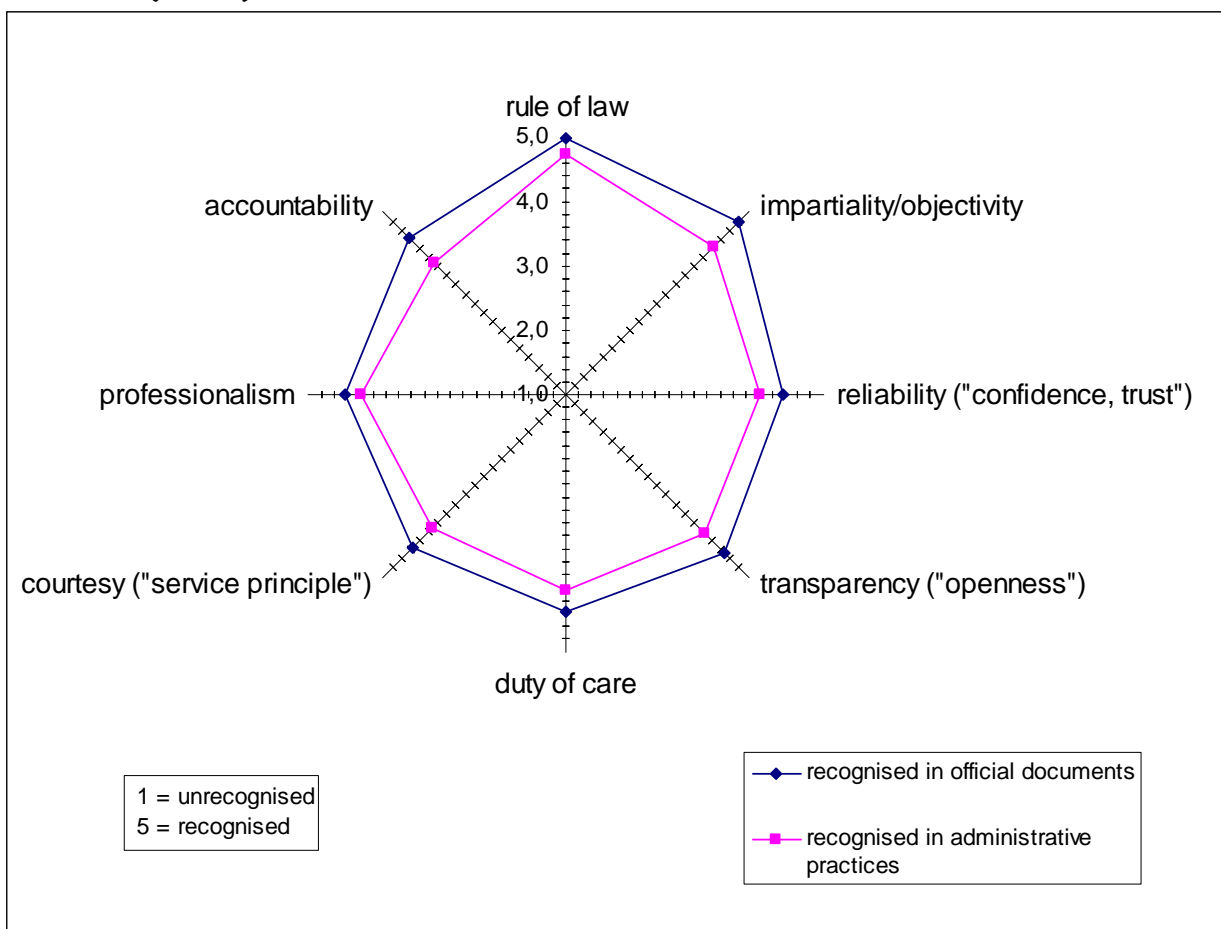
We get a better picture of the situation when we compare the real-life values to the official values. According to Figure 3, the real-life situation seems to be constantly lagging behind the official situation. However, the distance between what is (real-life values) and what should be (official values) seems to be moderate¹². A more detailed version of this information can be found from Table 16 on page 44.

¹⁰ These kinds of surveys have been carried out by the Estonian government (Roles and Values in Estonian Public Service, 960 respondents, carried out in 2005-2006) and the Finnish government (State Employer Image, 2233 respondents, carried out in 2002).

¹¹ For more detailed information see Table 15: Reflection of Core Values in Administrative Practices by Country and the European Commission (N=28) located in annex 3, page 43.

¹² According to the data, core values are somewhat better reflected in administrative practices of the old member states (mean 4,27) compared to the new member states (3,84). However, the new member states are doing better in reflecting the core values in administrative documents (4,43 vs. 4,60) and in how the importance of core values will grow in the near future (3,79 vs. 4,05). The latter is discussed in detail in Chapter 5.1 (see pages 25-26).

Figure 3: Reflection of Core Values in Official Documents vs. Administrative Practices (N=28)



In general, the administrative practices seem to follow the official values quite well. It should be noted however that the question of real-life values is a demanding empirical question and we cannot generalise these findings to the European level. Actually, it is more likely that there exists a great deal of variation between the member states, and even inside a member state there can be expected to be many differences between different agencies and different levels of government. It is also possible if there were differences even inside a single agency. Therefore, more research is required to make reliable conclusions.

3.3 Codes of ethics

Most of the member states have defined their official ethics, i.e. official values and standards of behaviour for the civil servants. We find it useful to make a distinction between a value declaration and a code of ethics. Value declarations are used to announce the core values but they usually do not provide detailed rules on how to adopt these values in practical situations. For example, value declarations generally state that transparency is a core value, but value declaration does not provide guidelines on, for instance, how open civil servants can be towards the public on matters that are still under preparation. These kinds of guidelines or detailed standards of behaviour can be found from the code of conduct. A code of conduct can be seen as an extended value declaration that transforms the values into practice.

Value declaration and code of conduct can be seen as two steps in the development of official ethics. As a first step, member states often begin by identifying their core values and promote them by announcing a declaration of values. After this, as the discussion on public-service ethics advances, the state is ready to introduce more systematic and detailed

guidelines in the form of code of ethics. However, there is no clear-cut difference between value declaration and code of ethics. Rather, it should be considered as a continuum from values to standards. Some documents are closer to a proper code of ethics, and some other are closer to value declarations. There are also some very short one-two page ethical codes and it is debatable whether they can qualify for a code as such since they do not always contain specific standards of conduct. Rather, they list the core values briefly without discussing what the core values mean in practice. The Ethics Framework formulated under the Dutch Presidency is an excellent example of what could be expected from a proper code of ethics.

Most of the member states have introduced a value declaration or a code of ethics (see Table 1). Although these tools are not mutually exclusive and can be used simultaneously, the code of ethics generally includes the core values, thus eliminating the need for a separate value declaration. These tools can be used on many levels: there may be a general code of ethics, branch-specific codes of ethics and agency-specific codes of ethics. General statements here refer to documents that apply to all civil servants working in the central state administration, whereas branch-specific statements stand for documents that apply to civil servants working in a particular branch or sector of government, such as the judicial branch. By agency-specific statements here are meant documents that apply to the civil servants of a particular organisation in question.

Table 1: Statement of Official Ethics by EU Member States and European Commission in the Form of Declaration of Values or Code of Ethics (N=28)

	Declaration of Core Values				Code of Ethics		
	general	branch	agency		general	branch	agency
Austria	1	1	1		0	1	0
Belgium	1	1	0		0	0	0
Cyprus	0	0	0		0	0	0
Czech Republic	0	0	0		1	0	0
Denmark	0	0	0		1	0	0
Estonia	0	0	1		1	0	1
Finland	1	1	1		0	0	1
France	1	0	0		0	0	1
Germany	1	0	1		0	0	1
Greece	1	0	0		1	0	0
Hungary	1	0	0		0	0	1
Ireland	0	1	1		1	1	1
Italy	0	0	0		1	0	0
Latvia	1	0	0		0	1	1
Lithuania	1	1	1		0	1	1
Luxembourg	0	0	0		0	0	0
Malta	1	1	1		1	1	1
The Netherlands	1	0	0		1	0	1
Poland	0	0	0		1	0	0
Portugal	0	0	0		0	0	0
Slovakia	0	1	0		0	0	0
Slovenia	1	0	0		1	1	0
Spain	0	0	0		1	0	0
Sweden	1	0	0		0	0	0
United Kingdom	1	0	0		1	0	0
European Commission	1	0	0		1	0	0
Bulgaria	1	0	1		1	1	0
Romania	0	0	1		1	1	0

sum 57% (16) 25% (7) 32% (9) 54% (15) 29% (8) 36% (10)

1 = exists
0 = does not exist

According to the responses received from the member states, all these options are indeed utilised. However, general statements seem to be more common than branch-specific or agency-specific statements. Based on the information gained from the data, half of the countries use general value statements (16) and the other half use general codes of ethics (15)¹³. A list of these statements is presented later in Table 2. Also, the branch-specific statements and the agency-specific statements are frequently used. For example, in Denmark the Ministry of Foreign Affairs (Danida) uses a code of ethics for persons related to foreign services. Slovenia has separate codes of ethics for personnel working in police and customs. In Czech a code of ethics for the legislative branch (Parliament) has been proposed but it has not been adopted yet. In many countries the individual organisations have formulated their own agency-specific codes, too. In the Netherlands this is even mandatory for all government agencies. Only in Cyprus, Luxembourg and Portugal there seems to be no statement of official ethics in the forms of separate value statement or code of ethics.

However, there is a need to be cautious in interpreting these findings. There are no good reasons for assuming that the presence of more value declarations or codes of ethics would lead to better public-service ethics as such. To put it in another way, having four green cells in Table 1 is not necessarily any better than having only one green cell. The situation may in fact be more complex. In some countries, core values might already be explicitly defined in the legislation, such as in Civil Service Act. Furthermore, if there has not been coordination between the codes set at the different levels of government (i.e. general, branch-specific and agency-specific), the codes might be overlapping and even contradictory, thus creating confusion rather than offering any clear guidance. Therefore, the codes should be examined in more detail and in relation to the legislation, which is beyond the scope of the present project.

There seems to be different interpretations with regard to what constitutes a code of ethics. In many cases, respondents considered that a document could not attain the status of an ethical code unless it had been passed by the Parliament (law) or accepted by an authority such as the Council of the State (directive or a decision in principle) or State Employers Office (staff regulations). However, in some cases respondents referred to a document that had not been officially authorised but had a de facto status of a code¹⁴. There are also problems with the vocabulary when the documents are translated into English. For example, Lithuania's Government has made a Resolution that is called Government Decision on Ethics of Civil Servants¹⁵, although in this context it is more like a general declaration of values. A list of current codes can be found from Table 2.

¹³ In seven cases both options are used, despite the fact that a code of ethics usually covers the issues contained in value statements.

¹⁴ For example, there are some guidebooks that in practice have the status of a code and are used in personnel training (Finland, Sweden).

¹⁵ Government Resolution Nr. 968 titled 'Patvirtinti Valstybės tarnautojų veiklos etikos taisyklės'.

Table 2: Values Declarations or Ethical Codes by Country and EC (N=28)

Austria	Mission Statement for Federal Service (1 page)
Belgium	Code of Conduct (to be written at the end of 2006)
Cyprus	An Integral Code of Ethics is under preparation
Czech	Code of Ethics of Public Administration Employees. Government Resolution No. 270, 21.3.2001 (3 pages)
Denmark	A code of ethics for the entire public sector – including central, regional and local administration – is being drafted (Other existing codes: Danida Code of Conduct is for persons related to foreign services within the Ministry of Foreign Affairs, 32 pages)
Estonia	Public Service Code of Ethics (1 page)
Finland	Values in the Daily Job - Civil Servant's Ethics. A Handbook for the State Administration (26 pages)
France	Charte Marianne (2 pages)
Germany	Federal Government Directive Concerning the Prevention of Corruption (including Anti-Corruption Code of Conduct, 3 pages, and a handbook, 100 pages)
Greece	Guide for Good Administrative Behaviour (34 pages)
Hungary	A code of conduct will be developed in the future
Ireland	The Civil Service Code of Standards and Behaviour (23 pages)
Italy	Code of Conduct for Public Employees (5 pages)
Latvia	Civil Servant Principles of Conduct (2 pages)
Lithuania	A general code of conduct is being drafted (Other existing codes: value declaration called Government Decision on Ethics of Civil Servants, 4 pages)
Luxembourg	A general code of conduct is being drafted
Malta	Code of Ethics for Employees in the Public Sector (20 pages)
Netherlands	The Government's Model Integrity Code of Conduct (28 pages)
Poland	Civil Service Code of Ethics (2 pages)
Portugal	Charter of Ethics (1 page)
Slovakia	A code of ethics is under preparation
Slovenia	Code of Ethics of the Government of the Republic of Slovenia (1 page), Code of Police Ethics (3 pages), Code of Ethics for Customs Office (3 pages)
Spain	Code of Good Governance of the Members of the Government and the Senior Officers of the General State Administration (4 pages)
Sweden	Public Administration in the Service of Democracy – An Action Programme (34 pages)
United Kingdom	Civil Service Code (5 pages)
European Commission	Code of Good Administrative Behaviour (12 pages), Staff Regulations (163 pages)
Bulgaria	Administrative Ethics Standards (1 page), Ethical Code of Civil Servants (4 pages) and Ethical Code for Senior Civil Servants (6 pages)
Romania	Law on Code of Conduct for Civil Servants (11 pages)

Note: The countries highlighted are currently in the process of preparing or drafting a code of ethics

In some countries, the code is very precise and is meticulously executed. For example, in the Netherlands all government organisations since March 2006 are required to pursue an integrity policy, which includes a mandatory integrity code of conduct. In order to facilitate the adoption of this integrity policy, the government has launched a Government's Model Integrity Code of Conduct to be used as a reference and as a model until the agencies have drafted their own codes. The Model Code can be adopted only if the changes reflect stricter regulations than required.

Defining the official public-service values is one thing, communicating them to every civil servant and citizen is another¹⁶. According to the respondents, it was generally relatively easy for a civil servant to find out the official public-service values. As Table 3 reveals, in 22 cases the respondents argued that the values were either 'easy' or 'very easy to find out'. However, several respondents also pointed out that this applied mainly to civil servants and for citizens the situation was more difficult. In the remaining 6 cases the respondents indicated that the official values were difficult to find out: the reason being that there were no document-like value declarations or codes of ethics. Instead, values and standards were scattered in various laws, as in the cases of Cyprus, Portugal, France, Latvia and Luxembourg. In Italy, several ethical issues such as acceptance of gifts, involvement in other organisations, transparency and impartiality are defined as part of National Collective Agreements. Since Collective Agreements are made separately for each category of public workers it is rather difficult to know what the respective standards are.

Table 3: Ease with which Official Values can be Accessed in Official Documents (N=28)

	Frequency	Percent	Cumulative Percent
official values are very easy to find out	5	17,9	17,9
official values are easy to find out	17	60,7	78,6
official values are difficult to find out	6	21,4	100,0
Total	28	100,0	

As Table 4 illustrates, the ease with which official values can be accessed corresponds to the existence of official ethics i.e. value declaration or code of ethics. The strength of official ethics is here measured by the presence of value declarations and codes of ethics presented earlier in Table 1¹⁷. It should be noted that in all the cases in which the values and standards were reported as 'easy to find out', the government had announced a general code of ethics¹⁸. Respectively, in those cases in which the value declarations or codes of ethics were not used, the accessibility of official values was also found to be difficult (Cyprus, Luxembourg and Portugal). Despite the fact that some countries have announced general value declarations and agency-level codes of ethics (France, Latvia) or even general code of ethics (Italy), the accessibility of official values was still reported to be difficult.

¹⁶ Writing a plan does not make it work. Ulrich (1997) argues that world is full of wonderful strategies forgotten on the top shelf. Plan provides us the direction where we should go but we should not think that we have reached our objective right after we have published our plan. Implementation is a long process and full of uncertainties.

¹⁷ If the country has announced a general code of ethics or has used it both at the branch level and agency level, official ethics are considered as strong. Value declarations and single ethical codes (excluding the general code of ethics) are considered to be medium cases, while the lack of declarations of core values or codes of ethics are regarded as weak cases.

¹⁸ Bulgaria, Malta, Spain, United Kingdom and the European Commission.

Table 4: Strength of Official Ethics by Accessibility of Official Values by Country and EC (N=28)

	A		B
Austria	1 p.		1
Belgium	6 p.		1
Cyprus	-		0
Czech Republic	3 p.		1
Denmark	(32 p.)		1
Estonia	1 p.		1
Finland	27 p.		1
France	2 p.		0
Germany	3 p.		1
Greece	34 p.		1
Hungary	3 p.		1
Ireland	23 p.		1
Italy	5 p.		0
Latvia	2 p.		0
Lithuania	-		1
Luxembourg	-		0
Malta	20 p.		2
The Netherlands	28 p.		1
Poland	2 p.		1
Portugal	-		0
Slovakia	-		1
Slovenia	1 p.		1
Spain	4 p.		2
Sweden	34 p.		1
United Kingdom	5 p.		2
European Commission	12 p.		2
Bulgaria	1 p.		2
Romania	11 p.		1

A Declaration of values or ethical code

= strong (general code of ethics or (branch and agency) codes)

= medium (declaration of core values or (branch or agency) level code of ethics)

= weak (no declaration of core values nor code of ethics)

B Accessibility of official values

2 = very easy to find out

1 = easy to find out

0 = difficult to find out

Note: The cells in column A contain information on the number of pages of a particular code of ethics in question. This information has been presented earlier in Table 2 on page 13.

3.4 Legal framework

The member states have a number of laws that implicitly or explicitly define their official public-service values and standards of conduct. A legal framework typically consists of the following laws, acts and regulations:

- constitutional provisions
- penal code
- public service law
- administrative procedure act
- procurement law
- laws on secrecy, free information and publicity of information
- ethics and anticorruption laws and instructions
- conflict of interest provisions

As can be seen from Table 5, Portugal provides a good example of how a legal framework can be a combination of various kinds of laws. It nonetheless can be difficult for a civil servant who does not possess adequate judicial training to command all such laws. For practical reasons, the code of ethics is therefore important as it contains and discusses this vast body of information in a more concise and conclusive manner.

Table 5: List of relevant legislation – the case of Portugal**I - GENERAL PIECES OF LEGISLATION**

- Constitution of the Portuguese Republic (CRP)
- Code of Administrative Procedure (CPA)
- Status of Management Staff (EPD) - Passed by Law n° 2 /2004, of January 15th and Law n.º 51/2005, 30th August
- Framework Law of Public Institutes (LQIP) - Law n° 3/2004, of January 15th

II – OPEN ADMINISTRATION

- Committee of Access to Administrative Documents (CADA) - Law n° 65/93, of August 26th, altered by Laws n° 8/95, of March 29th and 94/99, of July 16th
- Measures of Administrative Modernisation (MMA) - Decree-Law n° 135/99, of April 22nd, altered by Decree-Law n° 29/2000, of March 13th
- Advertising of Benefits Granted by Public Administration to private persons (BAP) - Law n° 26/94, of August 19th
- Information System for Transparency of Public Administration acts (SITAAP) - Law n° 104/97, of September 13th
- Protection of personal data (PDP) - Law n° 67/98, of October 26th, complemented by Law n° 41/2004, of August 18th

III-CONFLICT OF INTERESTS

- Charter of Ethics (CE) - The Council of Ministers was made aware of it according to Resolution n° 47/97, Official Gazette. n° 69, I Series-B, of 22nd March
- Conflict of Interests resulting from the performance of public functions (CI) - Decree-Law n° 413/93, of 23rd December
- Legal regime of incompatibilities and impediments of public top position holders (IACP) - Law n° 64/93, of 26th August, changed by Laws n° 39-B/94, of 27th December, 28/95, of 18th August, 42/96, of 31st August and 12/98, of 24th February
- Public Control of wealth of Top Management Position Holders (CPR) - Law n° 4/83, of 2nd April, changed by Laws n° 38/83, of 25th October and 25/95, of 18th August

IV - PUBLIC EMPLOYMENT

- General principles of public employment (PGEP) - Decree-Law n° 184/89, of 2nd June, changed by Laws n° 30/C/92, of 28th December, 25/98, of 26 May, 10/2004, of 22nd March and 23/2004, of 22nd June
- Legal relationship of public employment (RJEP) - Decree-Law n° 427/89, of 7th December, changed by Decree-Law n° 407/91, of 17th October, by Law n° 19/92, of 13th August and by Decrees-Law n° 175/95, of 21st July, 102/96, and 31st July, 247/97, of 19th September, 218/98, of 17th June, 54/2003, of 28th March, 101/2003, 23rd May and by Law n° 23/2004, of 22nd June
- Staff Recruitment and Selection (RSP) - Decree-Law n° 204/98, of 11th July
- Legal regime of the individual employment contract (CIT) - Law n° 23/2004, of 22nd June
- Integrated System for Performance Appraisal in the Public Administration (SIADAP) - Law n° 10/2004 of 22nd March)

V - PUBLIC CONTRACTING

- Regime of Incurrence of Public Expenditure (DP) - Decree-Law n° 197/99, of 8th June, changed by Decrees-law n° 245/2003, of 7th October and 1/2005, of 4th January
- Public Works Contracts (EOP) - Decree-Law n° 59/99, of 2nd March, changed by Law n° 163/99, of 14th September, Decree-Law n° 159/2000, of 27th July, Law n° 13/2002, of 19th February and Decree-Law n° 245/2003, of 7th October

VI - DISCIPLINARY, CIVIL AND CRIMINAL LIABILITY

- Disciplinary Statute (ED) - Passed by Decree-Law n° 24/84, of 16th January
- Non-Contractual Civil Liability by the State (RCE) - Decree-Law n° 48051, of November 21st 1967
- Criminal Code (CP) - Passed by Decree-Law n° 400/82, of 23rd September and changed by Decree-Law n° 48/95, of 15th March, by Laws n° 65/98, of 2nd September, 7/2000, of 27th May, 77/2001, of 13th July, 97/2001, 98/2001, 99/2001, 100/2001, of 25th August, 108/2001, of 28th November, by Decrees-Law n° 323/2001, of 17th December, and by Laws n° 52/2003, of 22nd August, 100/2003, of 15th November and 11/2004, of 27th March
- Corruption and frauds committed by civil servants (CFF) - Decree-Law n° 371/83, of 6th October)
- Fight against corruption (CC) - Law n° 36/94, of 29th September, changed by Laws n° 90/99, of 10th July, 101/2001, of 25th August and 5/2002, of 11th January
- Economic and Financial Criminality (CEF) - Decree-Law n° 28/84, of 20th January, changed by Decrees-Law n° 347/89, of 12th October, 6/95, of 17th January, 20/99, of 28th January, 162/99, of 13th May, 143/2001, of 26th April, and by Laws 13/2001, of 4th of June and 108/2001, of 28th November

3.5 Regulation of specific ethical issues

A well-written and well-implemented code of ethics or declaration of values is a useful instrument that clarifies the values and standards of official behaviour. In most cases, the code restates and elaborates the values and principles already embodied in legislation. This is useful since the relevant values and standards in many countries are scattered in numerous legal documents, which makes it difficult to locate the information and to understand the general idea of civil service (e.g., see Table 5 on previous page).

The Ethics Framework groups the specific standards of conduct into six main sections. The respondents were asked how these ethical issues were regulated in their country. As can be discerned from Table 6, standards are defined both in legislation and in codes of ethics.

Table 6: Regulation of Specific Ethical Issues by Means of Legislation and/or Ethical Codes (N=28)

	regulated by law	regulated by ethical code	regulated by law and by ethical code	unregulated
handling of confidential information	100% (28)	46% (13)	46% (13)	0% (0)
acceptance of gifts or favours	89% (25)	57% (16)	46% (13)	0% (0)
avoiding conflict of interest in purchasing...	89% (25)	43% (12)	32% (9)	0% (0)
regulations on outside activities	89% (25)	39% (11)	32% (9)	4% (1)
tendering regulations (below 137.000 €)	86% (24)	14% (4)	11% (3)	7% (2)
regulations on financial interests	79% (22)	43% (12)	29% (8)	7% (2)
regulations on revolving door	57% (16)	21% (6)	4% (1)	25% (7)
use of public resources	29% (8)	50% (14)	7% (2)	29% (8)
<i>mean</i>	77 %	39 %	26%	9 %

Handling of confidential information was regulated by law in all the 28 member states and was further elaborated in a code of ethics in 13 countries¹⁹. Also, in the majority of the countries the standards concerning the acceptance of gifts or favours, avoiding interest conflicts – such as in purchasing decision-making, outside activities and financial interests – and tendering regulations were regulated by law. Juridical regulations to counter revolving door employment and regulations with regard to the use of public resources, equipment and property were presently less common. It should be noted that all the above standards are also covered by ethical codes, although only in the last case the code seems to be the predominant tool. However, in order to understand what kind of impact the codes really have had compared with legislation requires a more detailed analysis. If properly used, the legislation and codes of ethics complement each other effectively.

¹⁹ For more information see the country-specific Table 20 on page 47.

4 Actions to safeguard and promote ethics

In the previous chapter, an attempt was made to elaborate the idea that defining values and ethical codes is the first step on the way to promote ethical behaviour. In this chapter, we aim to consider first the threats to the development of public-service ethics and then discuss how ethics can be promoted through human-resource management systems and ethical leadership. We will also examine some instruments that are useful in dealing with ethic-violation situations.

4.1 Extent of unethical practices

The present study also explored the extent to which unethical practices existed in the member states. However, this question is so broad and complex that to answer it properly we need to conduct a separate study or rather a series of studies that use various types of materials such as extensive surveys, expert and citizen interviews, criminal statistics and other official records. Notwithstanding the fact that the information received on unethical practices is quite limited in this study as it is generally based on a single respondent's view, it is nevertheless important to examine it since it tells us what we think about these phenomena. It is not only the reality that matters, the image is important, too: if one believes that a certain kind of behaviour is widespread one also has a much higher tendency to behave in a similar fashion oneself. Therefore, top management's behaviour is of crucial consequence as it sets the standards for the whole organisation.

Another point concerning methodology that needs to be taken into account is the sensitivity of the respondent. Even if all respondents perceived a certain phenomenon equally well, their observations may not be fully comparable since their sensitivity towards that phenomenon may differ. A good example of this is the case of Sweden and the extent of sexual harassment. Sweden is well-known for being a forerunner in women's right and equality issues. However, as Table 7 reveals, Sweden has the poorest ranking together with Belgium and United Kingdom. It seems rather unlikely that decades of development have exerted such a low impact on these issues. Instead, the particular finding may probably reflect more on the sensitivity of the respondent towards this issue than on the issue itself. For this reason, it is preferable to compare the extent of unethical practices horizontally inside countries, i.e. between different forms of unethical practices, rather than vertically between the countries. Therefore, it was considered appropriate not to give means for individual countries in the table. However, we will compare the old and the new member state groups later since in large datasets the standard errors will override each other (see Table 8 on page 20).

Table 7: Extent of Unethical Practices by Country and EC (N=28)

	A	B	C	D	E	F	G	H	I	J	K	L
Austria	2	2	2	2	2	2	2	2	2	2	2	2
Belgium	3	2	1	3	3	3		3	3	3	3	3
Cyprus	1	1	1	1	1	1	2	2	3	2	3	2
Czech Republic	2	3	3	2	4	4	4	2	3	3	2	4
Denmark	1	1	1	1	1	1	1	1	1	1	1	1
Estonia	1	1	2	3	2	3	3	3	3	3	2	3
Finland	1	1	2	2	1	1	1	1	1	1	2	1
France	1	2	2	3	2	2		2	2	3	3	3
Germany	2	1	2	2	2	1	2	2	2	2	2	2
Greece	2	1	2	2	2	2	2	3	3	3	3	3
Hungary	2	3	2	1		2	3	2	2	3	3	3
Ireland	1	2	1		1	1	1	1	1	1	2	1
Italy	2	3	3	2	3	3	3	3	3	3	3	3
Latvia	1	2	2	2	4	3	3	3	3	3	3	4
Lithuania	2	2	2	3	3	3	3	3	3	3	3	3
Luxembourg	1	1	1	2			1		2	2	2	3
Malta	2	1	2	2	2	2	1	2	2	2	2	2
the Netherlands	1	2	1	2	1	2	1	2	2	2	2	3
Poland	2	1	3	3	2	3	3	2	3	2	3	4
Portugal	1	1	1	1	2	2	3	2	2	3	3	3
Slovakia	2	2	3	2	4	3	4	4		4	3	4
Slovenia	2	2	2	3	2	2	2	2	3	2	3	3
Spain	1	1	1	1	1	1	1	1	1	1	1	1
Sweden	3	3	3	2	2	2	2		2	2	2	3
United Kingdom	3	3	3		3				3			
European Commission	2	1	3	2	2	2	1	2	2	2	2	2
Bulgaria	1	3	1	3	2	3	3	4	3	3	3	4
Romania	1	1	1	2	2	3	4	3	2	3	3	4
<i>mean</i>	1,64	1,75	1,89	2,08	2,15	2,19	2,24	2,28	2,3	2,37	2,44	2,74

A = sexual harassment
 B = discrimination on basis of ethnicity
 C = discrimination on basis of sex
 D = private time misconduct (e.g., drunk driving etc)
 E = abuse and manipulation of information
 F = fraud and theft of resources
 G = grand corruption ("political corruption")
 H = improper lobbying
 I = conflict of interest through jobs and other outside activities
 J = petit corruption ("bureaucratic corruption")
 K = waste and abuse of resources
 L = favouritism (e.g. nepotism, political patronage)

1 = virtually does not exist
 2 = marginal problem
 3 = minor problem
 4 = major problem
 = not known

The overall picture of unethical practices is presented in Table 7. It can be deduced from the table that sexual harassment and ethnic and sexual discrimination are not widespread in the member states. The same applies to private-time misconduct and the abuse and manipulation of information. These can be considered marginal problems, although any level of such practices cannot be tolerated. Among other unethical practices, waste and abuse of resources ranks quite high. It includes actions such as reporting falsely and showing minimal degree of effort and commitment and these practices can be related to work-morale issues. The remaining six practices are more problematic not only because they are considered to be more common but also since they pose a more serious threat to public-service ethics. These six practices deal with different aspects of corruption.

The traditional way to approach corruption is to define it as a misuse of public office for private gain. This can be small-scale, petit corruption (bureaucratic corruption), or large-scale, grand corruption (political corruption). Often cases of fraud and theft of resources also fall into this category. However, an act of corruption may take place even in the absence of bribe-givers, as in the case of self-corruption. Self-corruption is contained through administrative procedure rules that prohibit public servants from participating in decision-making that serves their own interests. In the present study, self-corruption is defined as a conflict of interest through jobs and other outside activities. The third form of corruption is the inappropriate use of contacts and networks. Most forms of favouritism – e.g., nepotism and political patronage – fall into this category, although in some cases favouritism may also be a “normal” work-morale issue rather than a corrupt practice. Also, the improper lobbying – including actions such as buying influence that violate fairness, transparency and/or common good – belongs to this category.

As Table 8 shows, while the differences between the old and the new member states were quite small concerning the work-morale issues, the differences between the old and the new member states in terms of corrupt practices were quite significant. Many researches have indicated that transition countries are more prone to corruption, and our data is consistent with these findings²⁰. Furthermore, our data corresponds particularly well to the findings reported by Transparency International in its Corruption Perception Index (CPI)²¹.

Table 8: Extent of Unethical Practices by Old and New Member States (N=27)

		A	B	C	D	E	F	G	H	I	J	K	L
old member	Mean	1,67	1,73	1,73	1,92	1,86	1,77	1,67	1,92	2,00	2,07	2,21	2,29
states	N	15	15	15	13	14	13	12	12	15	14	14	14
	Std. D.	0,82	0,80	0,80	0,64	0,77	0,73	0,78	0,79	0,76	0,83	0,70	0,91
new member	Mean	1,58	1,83	2,00	2,25	2,55	2,67	2,92	2,67	2,73	2,75	2,75	3,33
states	N	12	12	12	12	11	12	12	12	11	12	12	12
	Std. D.	0,51	0,83	0,74	0,75	1,04	0,78	0,90	0,78	0,47	0,62	0,45	0,78
<i>difference</i>		0,08	-0,10	-0,27	-0,33	-0,69	-0,90	-1,25	-0,75	-0,73	-0,68	-0,54	-1,05

A = sexual harassment

B = discrimination on basis of ethnicity

C = discrimination on basis of sex

D = private time misconduct (e.g., drunk driving etc)

E = abuse and manipulation of information

F = fraud and theft of resources

G = grand corruption (“political corruption”)

H = improper lobbying

I = conflict of interest through jobs and other outside activities

J = petit corruption (“bureaucratic corruption”)

K = waste and abuse of resources

L = favouritism (e.g. nepotism, political patronage)

1 = virtually does not exist

2 = marginal problem

3 = minor problem

4 = major problem

²⁰ For example, see the report concerning research on corruption by Andvig and Fjeldstad (2000).

²¹ For more information see Table 21 and Table 22 on page 48. In Table 21 countries are grouped into three categories depending on their ranking in the CPI. The higher the country’s CPI score (less corruption perceived), the less the corrupt practices reported by respondents. The same can be detected from the high negative correlation (-0,821) between these two indicators. The CPI data used in this research is from the year 2005.

4.2 Instruments used to deal with ethic-violation situations

There are many ways to fight corruption and other forms of unethical behaviour. The respondents were asked what instruments their countries had used in dealing with ethic-violation situations. As is evident from Table 9, the most common instruments were disciplinary measures and legal sanctions. Disciplinary measures range from written warnings to the termination of employment, and they were used in every country. Legal sanctions, including the punitive measures in the penal code, were reported to be used in 25 cases. Various reporting systems, based on formal or informal procedures, were also extensively employed. A number of countries had a special body to deal with ethic-violation situations. The provisions concerning the protection of whistle-blowers were used in 10 countries. The least used instrument was the confidential integrity counsellor (CIC) that was operative in six member states.

Table 9: Use of Specific Instruments to Deal with Ethic-violation Situations by Country and EC (N=28)

	A	B	C	D	E	F	G
Austria	1	1	1	1	1	1	1
Belgium	1	1	3	3	3	3	3
Cyprus	1	1	2	3	3	3	3
Czech Republic	1	1	1	1	3	3	3
Denmark	1	1	1	1	3	1	3
Estonia	1	1	1	1		2	3
Finland	1	1	1	1	3	3	3
France	1	1	1	3	1	1	3
Germany	1	1	1	3	1	3	3
Greece	1	1	1	2	1	3	3
Hungary	1	1	3	3	2	2	3
Ireland	1	1	3	1	1	3	3
Italy	1	2	2	2	3	3	3
Latvia	1	2	2	3	3	1	3
Lithuania	1	1	1	1	1	1	1
Luxembourg	1	1	3	3	3	3	3
Malta	1	1	1	1	1	3	1
the Netherlands	1	1	1	1	2	1	1
Poland	1	1	2	1	2	3	3
Portugal	1	1	3	3	1	3	3
Slovakia	1	1	1	2	3	3	3
Slovenia	1	1	1	3	3	3	3
Spain	1	1	1	1	1	3	1
Sweden	1	1	1	1	3	1	3
United Kingdom	1	1	1	1	1	1	1
European Commission	1	1	1	1	1	1	3
Bulgaria				1	3	2	3
Romania	1	1	1		2	1	3
<i>mean</i>	1,00	1,07	1,52	1,78	2,04	2,18	2,57

A = disciplinary mechanisms (warning, termination of employment)
 B = legal sanctions (e.g., punitive measures in the penal code)
 C = formal reporting procedures (e.g., what to report, to whom etc.)
 D = informal reporting procedures (e.g., part of development discussions)
 E = other respective bodies (e.g., Committee on Standards in Public Life)
 F = protection of whistle blowers
 G = confidential integrity counsellor

1	= is actually in use
2	= is formally in use
3	= is not in use
	= not known

4.3 Ethics in leadership and in human resource management

One important way to foster good administration, which has often been neglected, is to integrate it with management systems, especially with policies on human resources. This is particularly important since a leader sets the standards for the whole organisation with his/her own example. The Ethics Framework lists five human resource management policies to promote better standards of integrity within the organisation. These policies are quite common among the member states, as can be observed from the Table 10.

Table 10: Promotion of Ethical Behaviour through Leadership and HRM policies by Country and EC (N=28)

	A	B	C	D	E
Austria	1	1	1	2	3
Belgium	3	3	3	3	3
Cyprus	1	3	3	3	2
Czech Republic	1	2	2	2	3
Denmark	3	3	3	3	3
Estonia	3	2	2	3	3
Finland	2	2	2	2	3
France	3	1	1	3	2
Germany	1	1	1	1	1
Greece	1	2	1	3	2
Hungary	1	1	1	2	3
Ireland	1	2	1	2	1
Italy	1	1	2	2	2
Latvia	2	2	2	2	3
Lithuania	1	1	2	1	3
Luxembourg	1	1	3	3	3
Malta	1	2	1	1	2
the Netherlands	2	2	2	2	2
Poland	1	1	2	3	2
Portugal	1	2	2	1	3
Slovakia	3	2	2	2	3
Slovenia	1	2	2	2	2
Spain	2	1	2	1	
Sweden	3	2	3	3	3
United Kingdom	1	2	1	1	2
European Commission	1	1	1	1	1
Bulgaria	1		2	3	
Romania	2	2	2	1	1
<i>mean (scale 1-3)</i>	1,61	1,74	1,86	2,07	2,35
<i>mean (scale 1-2)</i>	1,21	1,07	1,18	1,36	1,44

A = leadership
B = training
C = communication
D = recruitment
E = mobility

1
= generic process for all

2
= agency-specific models

3
= ethical aspects are not systematically taken into account

The data reflects that many of the countries use a specific component in training programmes for managers to promote high ethical standards²². In half of the cases (16), there is a generic process such as a common training programme for all top civil servants²³.

²² As indicated in Table 10, there are two different ways to calculate the mean for each instrument. In the first one, mean is calculated from the numbers presented in the table. In the second type of calculation, we do not make a difference between the 'generic process' and the 'agency-specific models' but we rather combine them into a single category. The third option ("Ethical aspects are not systematically taken into account") is recoded and has a new value of 2.

²³ A good example of generic processes is centralised training programmes. For example, in Finland most of the senior level managers have attended the Development Programme of Public Management

Leadership programmes emphasise that leader sets the example and is also responsible that the personnel acts in an appropriate manner²⁴. Likewise, the personnel training is seen to address ethical issues, for example, how to act in a situation of conflict of interest. Actually, personnel-training programmes are more common than leadership programmes but they are more often conducted at the agency-level.

Communicating ethical values and standards is an important part of personnel management. Based on the data collected for this study, in the majority of the countries under observation organisations lay emphasis on integrity in their communications, stressing clear, specific and well-communicated values, standards and regulations. Ethical aspects can also be taken into account in recruitment procedures: the applicants' knowledge on ethics and integrity can be tested, or ethical dilemmas can be used in assessments, for example.

The last HRM policy, i.e. mobility, seems to be used least of all. The idea behind this specific policy is to use job rotation in order to prevent corruption and to control potential conflict of interest situations. Policies on mobility are in wide use but they seem to focus on career planning and ignore ethical aspects. This might be an important policy in areas that are most prone to corruption and fraud, such as in construction and public procurement. Policies on rotation seem to be rather more common in business-life in which many companies rotate their in-buyers in order to avoid too close relationships between the buyers and the sellers.

4.4 Ethical leadership

Theories of leadership have traditionally focused on leadership styles, traits and situational factors which have a special impact on the behaviour of the leader. Ethical leadership discusses issues of morality and ethical values in managerial work. Ethical leader should consider his/her duties, consequences of his/her actions and virtues. In other words, the ethical implications of his/her managerial function. Basically, in public administration the most important ethical choices are not between right and wrong or good and bad but among contrasting perceptions of proper behaviour (Dubnic & Kelly 2005).

According to Northouse (2004, 311), foundations of ethical leadership are community building, respect of others, serving others, showing justice and manifesting honesty. The concept of ethical leadership was operationalised into topics such as leads by example (walks the talk), uses core values, treats personnel equally, has moral character (integrity and honesty)²⁵. Respondents were asked to evaluate how managers generally behave in their respective country. As Table 11 suggests, ethical leadership was more common in the old member states compared to the new member states²⁶. However, the result is based on a narrow sample and more data would be needed to make strong conclusions.

(JUJOKE) organised by the Finnish Institute of Public Management (HAUS). However, this particular programme focused more on issues concerning strategic management, administrative reforms and Finland's new membership in the European Union.

²⁴ This is important also because there is evidence that unethical behaviour is mostly an elitist problem related to leadership (Bossaert & Demmke 2005, 114).

²⁵ For more information concerning the measured 13 qualities of ethical leadership see the questionnaire form in appendix 2, page 37.

²⁶ The main differences between the old and the new member states were found from the issues regarding (1) using core values as instruments, (2) treating personnel equally and (3) having integrity (honesty, truthfulness, moral character). Correspondingly, the similarities were found from (1) handling conflicts and crises, (2) accountability, (3) consistency and (4) loyalty.

Table 11: Extent of Ethical Leadership by Old and New Member States (N=26)

	Mean	N	Std. Dev.
old member states	1,18	15	,26
new member states	1,41	11	,35
Total	1,28	26	,30

1 = manager usually behaves in this way
 2 = manager rarely behaves in this way
 3 = managers do not behave in this way

Some countries report that ethical leadership is an integral part of their management systems. For example, in Estonia promotion of civil-service ethics is one of the core competences in the Senior Civil Service Competence Framework. In Ireland, the conduct of managers is seen as a key element in setting the standards expected of staff. Ethical issues can be discussed through the Performance Management and Development System (PMDS). According to the data, in most countries there is no separate policy of ethical leadership. Rather, it is carried out at the agency-level.

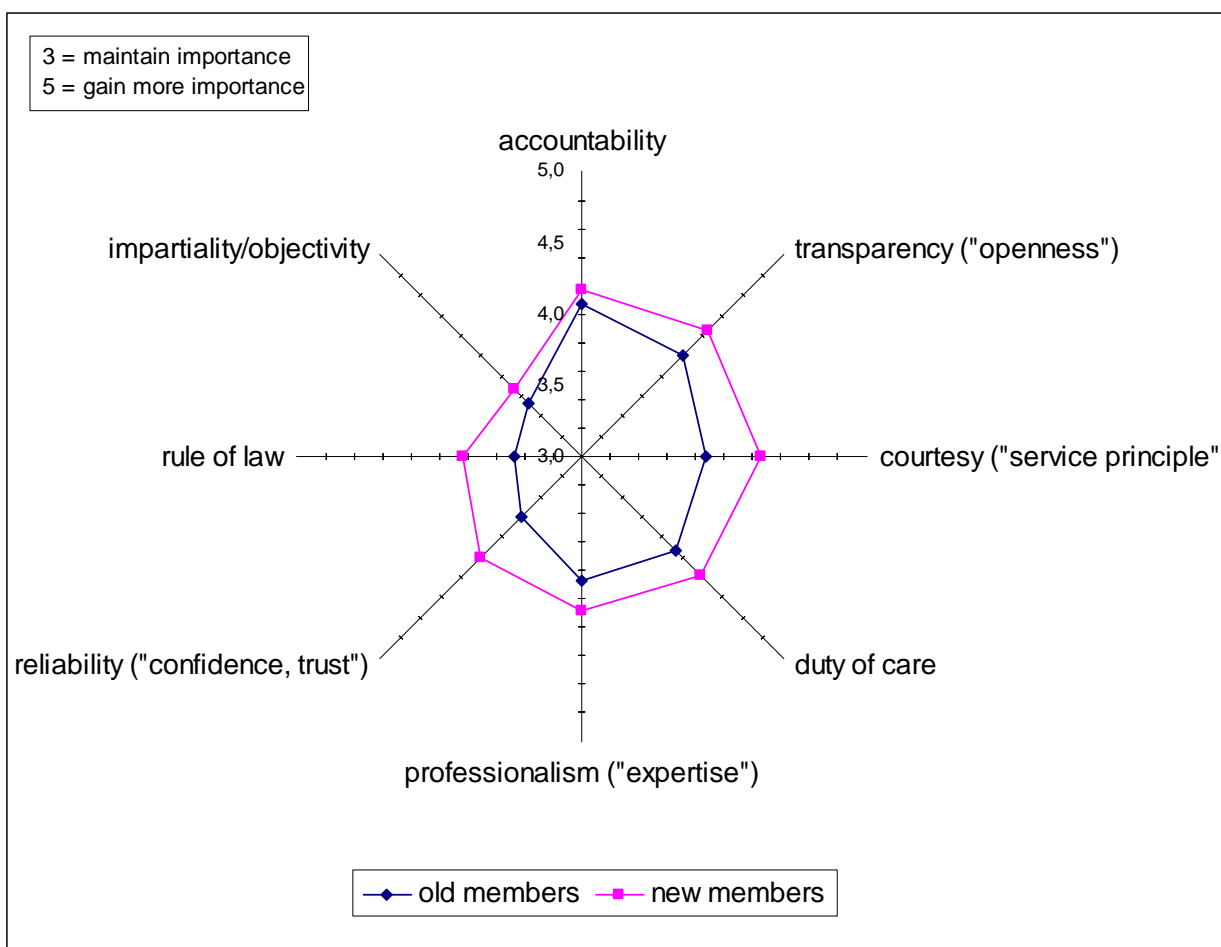
5 Prospects of public-service ethics

5.1 Core values in the near future

Respondents were also asked how significant the core values will grow in the near future. Naturally, this question is dependent on the respondent's interpretation. However, since most of the respondents are in a position that affords them a broad perspective on the whole state apparatus, we can consider their answers as indicative of the development.

There are some differences between the views of the old and the new member states, as Figure 4 illustrates. The new member states seem to be more active in strengthening the core values. Core values that are presently²⁷ the strongest – lawfulness and impartiality/objectivity – will maintain their status. However, other core values that are presently considered relatively weaker will strengthen their position. This applies especially to accountability that has the highest rating among the new member countries as well as the old member countries. This amply reflects the administrative reforms that have taken place in the EU member states during the last decade. More information can be obtained from Table 17 (see page 45) where the answers are grouped by individual countries.

Figure 4: Growth in Significance of Core Values in the near Future as Envisaged by Old and New Member States (N=27)



In conclusion, it is reasonable to assume that the significance of the core values will endure in the future. It is also reasonable to suggest that the Ethics Framework has quite

²⁷ For the present situation see sections 3.1. and 3.2. on pages 7-10.

successfully defined the core values, as they effectively cover the values of the national administrations. These values have a strong position in the member states presently and they are likely to retain this position in the future as well.

5.2 Impact of the Ethics Framework

One of the main goals of the Ethics Framework was to generate discussion and raise awareness of ethical issues. According to the information received, the Ethics Framework has had its strongest impact on the state-administration level compared to regional level, local level and large-scale public level (Table 12). This result was not unexpected, since in many countries the Ethics Framework was not circulated across other levels of government. Also, all member states do not have regional administration, and many respondents were not aware of its possible impact on the local-administration level.

Table 12: Impact of the Ethics Framework on Generating Discussion and Raising Awareness of Ethical Issues by Country and EC (N=28)

	state	regional	local	public
Austria	2			
Belgium	2			
Cyprus	2		1	1
Czech Republic	2	3	2	
Denmark	2	2	2	2
Estonia	2	1	1	1
Finland	2	1	1	1
France	1	1	1	1
Germany	2	2	2	2
Greece	2	2	2	2
Hungary	3	2	2	2
Ireland	2	2	2	2
Italy	2	1	1	2
Latvia	2	2	2	2
Lithuania	2	2	2	2
Luxembourg	1	1	1	1
Malta	3		3	3
the Netherlands	3	2	2	1
Poland	2	2	2	1
Portugal	1	1	1	1
Slovakia	2	2	1	1
Slovenia	2		1	1
Spain	3	3	3	3
Sweden	1	1	1	1
United Kingdom	1	1	1	1
European Commission	2			
Bulgaria	3	2	2	3
Romania	3		3	2
<i>mean</i>	2,04	1,71	1,68	1,63

3	= strong effect
2	= some effect
1	= no effect
	= not known or not applicable

When we classify the data into two groups of old and new member states, we observe that the Framework has exerted a bigger effect on the new member states (Table 13). Similar result is obtained if we analyse the effect by country's CPI score²⁸ or by the extent of corrupt practices provided by this survey. It becomes evident that the Framework has had a greater impact on those new member states that are currently fighting against corruption. In the case of old member states, the Ethics Framework has had smaller impact since the core values have traditionally been an integral part of their administrative culture and many of the tools proposed in the Framework were already in use. This allows us the possibility to conclude that the introduction of the Ethics Framework has been useful to those countries that are still in the process of strengthening the ethical practices.

Table 13: Impact of the Ethics Framework on Generating Discussion and Raising Awareness of Ethical Issues by Old and New Member States (N=27)

		state level	regional level	local level	large-scale public level
old member states	Mean	1,80	1,54	1,54	1,54
	N	15	13	13	13
	Std. Deviation	,676	,660	,660	,660
new member states	Mean	2,33	2,00	1,83	1,73
	N	12	8	12	11
	Std. Deviation	,492	,535	,718	,786
Total	Mean	2,04	1,71	1,68	1,63
	N	27	21	25	24
	Std. Deviation	,649	,644	,690	,711

3 = strong effect

2 = some effect

1 = no effect

We also received some information on how the Ethics Framework was actually used. Three member states – Cyprus, Denmark and Slovakia – informed that they had used the Framework in the process of developing a code of ethics. Cyprus further indicated that the Ethics Framework was discussed on the state public-administration level and its core values were compared with the ethics provisions included in legislation to see whether there were any significant gaps or differences. Cyprus is currently in the process of drafting a code of ethics and the Framework was reported to be a useful reference.

In Czech Republic, an evaluating analysis concerning ethical practices in the regional public administration is under preparation. In Estonia, the recommendations included in the Ethics Framework have been taken into account in developing a national framework. Portugal has set a working group with the aim to prepare a document to address ethical questions along with the management of conflict of interests and submit proposals for improvement within the framework of the reform of Public Administration. However, it was reported that presently these issues were not a main concern due to the structural changes in progress. In Malta, the Ethics Framework was used to draw up white paper for new Public Administration Act. Romania has used the definitions of the Framework to clarify the meaning of certain items. European Commission reports that the Ethics Framework is used as a reference in the compulsory training for newcomers.

Respondents were also asked about their assessment of the EUPAN's work concerning public-service ethics. On the whole, the respondents found the EUPAN's work on ethics and integrity relevant to the development of national integrity systems. This applies both to the objectives of the EUPAN's work and to the measures such as the Ethics Framework²⁹. Several respondents commented that the exchange of information and sharing best practices was useful in the development of national integrity systems.

²⁸ See Table 23 on page 49.

²⁹ Actually, the objectives and the measures correlate so well that it seems the respondents do not make a distinction between them. Only in 6 cases the answers differ from each other.

5.3 Work on ethics and its connection to the Lisbon Strategy

Only two respondents did not find any connection between ethics and the attainment of the goals of the revised Lisbon Strategy on economic growth and jobs. Two thirds of the respondents saw that the work on ethics had mainly an indirect contribution while one-third believed it was more direct³⁰. However, this distinction may not be very informative since what one respondent considered indirect contribution, other regarded it direct contribution. On the whole, the respondents argued that a public administration operating according to the core values, such as transparency and accountability, achieved better results, and integrity built trust and created a good environment for other economic and social forces. It was also mentioned that work on ethics led to the reduction of corruption, thus improving economic growth. However, respondents did not generally indicate any overall strategy concerning how the work on ethics in practice had been linked or integrated to support the Lisbon strategy.

It is a well-established fact that even the most desirable vision (strategy content) is of no use without effective actions and strategy implementation (Määttä 2006, 24). Based on the responses received, it seems that the connection between the work on ethics and the Lisbon Strategy is quite vague or rhetorical rather than based on a clear systematic strategy. This might partly be due to the fact that public-service ethics is not a clear-cut technical issue that can be taken as an accounting reform. Instead, ethics permeate all actions that civil servants take and fail to take, and it takes several generations to build an ethically sound administrative system. How public-service ethics then should be considered in relation to the Lisbon Strategy is a question that needs more consideration. According to one source, some of the national Lisbon programmes include components such as increasing transparency and fighting corruption (Määttä 2006, 64). However, these actions are dependent on the particular situation of each member state.

5.4 Main future issues and priorities as envisaged by the member states and the European Commission

The main issues and priorities reported by the member states seem to be very divergent. This is understandable, since the stages of development of national public administration are far from identical. However, some common tendencies can be pointed out³¹. First, there is a considerable amount of activity among the member states to introduce code of conducts, as in Belgium, Cyprus, Denmark, Hungary, Lithuania, Luxembourg and Slovakia. Also, almost all member countries have their code of ethics (compare Table 2 on page 13). Latvia reports that they have already developed normative documents and now they intend to improve the implementation of ethical principles. The Netherlands is trying to improve the cohesion of integrity instruments within organisations and the implementation of ethics and integrity provisions.

Second, several countries are working to improve training on ethical values and standards. Bulgaria, Cyprus, Czech and Estonia are making a strong effort to reform their training systems. Bulgaria has plans to include ethical issues in the annual performance assessments. Sweden's approach is to engage the public administration as a whole in discussing questions on ethics and the role of civil servants.

Third, many countries are taking measures to fight against corruption. However, it does not seem to be such a predominant agenda as we expected. Austria, Denmark and Germany have each taken some actions to prevent corruption. Austria is going to ratify the Convention on Corruption (Council of Europe), acceding to GRECO and taking preventive measures through awareness raising and training. Denmark provides guidelines concerning

³⁰ See Table 24: Respondents' Opinion on the Contribution of Work on Public Service Ethics to the Attainment of the Goals of the Revised Lisbon Strategy (N=28) on page 49.

³¹ For more information see the complete list of responses in Table 25, pages 50-53.

gifts and other benefits. Germany and Czech are also working with this issue. Only in Poland the fight against corruption is the most important issue. Currently, most efforts are concentrated on prosecution but more emphasis will be placed on corruption prevention.

Fourth, some actions have been taken to strengthen the various bodies responsible for public-service ethics. In Greece, the role of parliamentary committees and Greek Ombudsman will be reinforced. In the Netherlands, integrity counsellors will be appointed within government organisations and the Dutch Bureau for Ethics and Integrity Stimulation (BIOS) will be enforced. Romania is establishing a network of ethic counsellors that will be coordinated by National Agency of Civil Servants.

Fifth, we assumed that the new issues, i.e. whistle-blowing, post-employment restrictions and regulations concerning lobbyism, would be addressed by many countries but only few member states focused on them. In Cyprus, employees are encouraged to report misconduct. This is now even obligatory since the amendment in the Public Service Law. Reporting misconduct has been difficult due to the small size of the country and it is not well embedded in local culture. Czech intends to introduce measures concerning whistle-blowers' protection. Germany and the European Commission are working on the regulations concerning lobbyism. Restrictions with regard to post-employment are under consideration in Finland³².

³² However, on the contrary, France seems to be allowing civil servants to get a job outside administration, for example starting their own business.

6 Final remarks

As can be discerned from the findings of this report, public-service ethics is an issue that is taken seriously in every member state. However, member states are at different stages of development and measures that are considered necessary in one country may be deemed irrelevant in others. The authors of this research find the work done under the Dutch and Irish Presidencies on public-service ethics very important and the introduction of the Ethics Framework has been a significant contribution. Although all member states do not need the Ethics Framework, it has helped many new member states to recognise their blind spots and to design their own integrity systems. The Framework is a good reference and it helps the member states in the drafting of their own code of ethics. The authors also support the informal open working party collaboration to identify and disseminate the best practices³³. They also consider the model of integrity policy adopted in the Netherlands very promising.

The making of informed decisions on public-service ethics necessitates us to acquire a thorough knowledge of them. We should know where we stand now and have a clear vision of where we are heading to. This requires more independent research. Owing to the broad nature of the present survey, several important questions remained unanswered including, among others, how the codes of ethics are enforced³⁴, do the codes apply also to the politicians, what kind of effect the new management systems such as performance-related pay have on ethics, and so on. It is important to compare countries but we also need to compare organisations within the countries – for example, how cognisant the civil servants actually are of ethical values and standards of their organisation. This would provide us crucial information about the training needs and would afford us better knowledge of the role of the managers in promoting ethical behaviour.

Last but not least, it is important to remember that one cannot draw ethical conclusions from empirical material. For instance, simply by asking respondents' opinions we cannot determine which values are essential and which standards one should follow³⁵. As an empirical work, this comparative study belongs to the realm of descriptive ethics as it tells how the things are. What ought to be done is a normative question and should be answered accordingly.

³³ However, the local conditions have to be carefully taken into account before new practices are introduced. For example, standards on whistle-blowing do not necessarily fit all environments.

³⁴ For example, the Hungarian response stated that the enforcement of the code has been difficult. There were plans to adopt it as a law, or as an appendix attached to law. However, none of them were yet adopted.

³⁵ In ethics this principle is known as Hume's guillotine.

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Annex 1: Data collection

Date of receiving the responses from the member states

1	Malta	14.7.2006
2	France	25.7.2006
3	Luxembourg	4.8.2006
4	Portugal	4.8.2006
5	Slovenia	8.8.2006
6	Cyprus	16.8.2006
7	Estonia	16.8.2006
8	Poland	18.8.2006
9	Spain	18.8.2006
10	Bulgaria	18.8.2006
11	Denmark	18.8.2006
12	Latvia	18.8.2006
13	Finland	21.8.2006
14	Belgium	21.8.2006
15	Austria	21.8.2006
16	Sweden	21.8.2006
17	Lithuania	22.8.2006
18	Czech Republic	22.8.2006
19	Slovakia	23.8.2006
20	Germany	23.8.2006
21	Romania	25.8.2006
22	European Commission	30.8.2006
23	Hungary	1.9.2006
24	The Netherlands	1.9.2006
25	Greece	6.9.2006
26	Ireland	7.9.2006
27	Italy	8.9.2006
28	United Kingdom	28.9.2006

Annex 2: Survey questionnaire



July 4, 2006

Dear colleagues,

Attached you will find our questionnaire on ethics. The aim of this survey is to capture the developments that have occurred in the Member States since the ethics issue was last discussed during the Dutch and Irish Presidencies. The survey has been commissioned to **Prof. Ari Salminen** of Vaasa University and **Senior Assistant Timo Moilanen** of Helsinki University.

This survey will also constitute an element in the Dutch ethics project which Peter van der Gaast introduced during the HRWG meeting in Vienna in February.

The deadline for the replies is the **21st of August, 2006**.

Best regards,

Asko Lindqvist

Chair - HRWG

Questionnaire on the Ethics of the EU Member States
A follow-up study

July 4, 2006

In March 2004 Christoph Demmke and Danielle Bossaert of the European Institute of Public Administration (EIPA), Maastricht, conducted a survey on the ethics of public service of the EU member states. The survey led the Dutch Presidency to propose an **Ethics Framework** for the Public Sector of the EU member states. In their meeting in November 2004, the Directors General responsible for the Public Administration agreed on the common values included in the document and invited each Member State to consider how best to communicate the document to the public services³⁶. The Directors General also requested that a follow-up be made by the end of 2006.

Commissioned by the Ministry of Finance and the Finnish Presidency, the present survey is a follow-up to the earlier study. Its key aim is to capture the changes that have occurred since the introduction of the Ethics Framework by the member states following the first survey. It is conducted by Professor Ari Salminen of Vaasa University and Senior Assistant Timo Moilanen of Helsinki University.

The questionnaire consists of five themes split into 19 questions. Though replies to the questions are necessarily subjective in nature, they should to the extent possible reflect a broad view within your administration. Please mark your options and write comments in this e-document. If you have technical difficulties in filling out this document, we can send you the questionnaire in the file format of your choice.

Please reply by filling out this questionnaire and sending it to Mr. Timo Moilanen by e-mail at timo.moilanen@helsinki.fi by the **21st of August 2006** at the latest. You may answer in English, French or German. The survey findings will be briefly presented at the Human Resources Working Group meetings in Helsinki 11.-12.9.2006 and/or in Brussels 31.10.2006. The full research report will be published before the Directors General meeting in December 2006.

Thank you in advance for your co-operation and valuable comments.

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³⁶ In case you need more information the Ethics Framework is attached in the e-mail containing this questionnaire. It is also available on the CIRCA website.

I Core Ethical Values

The Ethics Framework for the Public Sector specifies the core values common to public administrations in all member states. We are interested in finding out how these values are reflected in your country's official documents and administrative practices. We would also like to know your opinion on how the importance of these values will be changing in the near future.

1. How are the core values reflected in the **official documents** of your country (i.e. legislation, regulations, government resolutions, codes of ethics, strategic plans etc.)?

Please mark the option that you find most applicable to the situation in your country. If the value is explicitly embodied in several official documents then select the option *recognised*. If the value is not mentioned in official documents – even if it would be commonly shared – then select the option *unrecognised*. In many cases, the answer falls somewhere in between.

- | | | | |
|--|--------------|--|------------|
| a) principle of the rule of law | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |
| b) impartiality / objectivity | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |
| c) reliability (“confidence, trust”) | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |
| d) transparency (“openness”) | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |
| e) duty of care | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |
| f) courtesy as well as willingness to help in
a respectful manner (“service principle”) | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |
| g) professionalism (“expertise”) | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |
| h) accountability | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |

i) other values of central importance, which?

2. How are the core values reflected in the **administrative practices** in your country (i.e. the real-life public service values)?

- | | | | |
|--|--------------|--|------------|
| a) principle of the rule of law | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |
| b) impartiality / objectivity | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |
| c) reliability (“confidence, trust”) | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |
| d) transparency (“openness”) | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |
| e) duty of care | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |
| f) courtesy as well as willingness to help in
a respectful manner (“service principle”) | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |
| g) professionalism (“expertise”) | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |
| h) accountability | unrecognised | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | recognised |

i) other values of central importance, which?

3. How significant in your view will these values grow in the **near future** in your country?

If you believe that the value is not likely to change, put your mark in the middle of the scale.

- | | | | |
|--|-----------------|--|-----------------|
| a) principle of the rule of law | less importance | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | more importance |
| b) impartiality / objectivity | less importance | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | more importance |
| c) reliability (“confidence, trust”) | less importance | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | more importance |
| d) transparency (“openness”) | less importance | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | more importance |
| e) duty of care | less importance | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | more importance |
| f) courtesy as well as willingness to help in a
respectful manner (“service principle”) | less importance | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | more importance |
| g) professionalism (“expertise”) | less importance | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | more importance |

h) accountabilityless importance more importance

i) other values of central importance, which?

4. As described above, the core values can be manifested in several ways. How easy is it for a civil servant or a citizen to find out what the official public service values are?

For example, a well-written and implemented code of ethics is a powerful tool that clarifies the values and standards of public action. Values can be manifested in administrative law, too. However, if values and standards are scattered in numerous laws it may be more difficult to find them.

- official values are very easy to find out
 official values are easy to find out
 official values are difficult to find out
 official values are very difficult to find out

Comments:

II Standards of Conduct

5. Below is a list of issues that are regulated in many states by law and/or ethical codes. In some countries, these issues are not formally regulated. They are part of administrative culture, habits and tradition. What is the situation in your country? Are there any specific standards concerning

Please note that the options *Law* and *Ethical Code* are not exclusive. You can mark both options if needed. If the Ethical Code has a legal status in your country you can mark both options and write a comment below.

	Law	Ethical Code	Unregulated
a) handling of confidential information	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) acceptance of gifts or favours	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) regulations on outside activities (e.g., reporting perquisite positions/ secondary occupations or asking for permission)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d) regulations on financial interests (e.g., declaration of financial interests) ..	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e) regulations on revolving door (e.g., post-employment restrictions)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f) use of public resources (e.g., phone, internet, e-mail)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g) avoiding conflict of interest in purchasing and contracting (e.g., procurement rules, separation of responsibilities)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h) tendering regulations on purchases that do not exceed the European tendering procedure (i.e. estimated purchase price less than 154.014 euros)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

6. Please make a list of relevant legislation concerning the above issues that are relevant in defining the official public service values and standards of conduct.

For example, in Finland the list would contain the Constitution, the State Civil Servants' Act, the Penal Code, the Administrative Procedure Act, the Act on Openness of Government Activities and the Act on Public Procurement.

7. Has your government announced an ethical code or an official declaration of values? Mark the appropriate options (several marks possible).

For example, in Finland the Government has made a Decision in Principle on state personnel policy line, listing and describing the official state administration values. In addition to that, most of the agencies have published their own core values (usually as an integral part of their management system). However, despite the value statements, there is no general code of ethics on the governmental level.

- general declaration of core values
 branch-specific declaration of core values (e.g., executive, legislative, judicial)
 agency-specific declaration of core values
- general code of ethics
 branch-specific codes of ethics (e.g., executive, legislative, judicial)
 agency-specific codes of ethics

Comments:

Please send a copy of the code to the survey conductors (see the address above). The attached Ethics Framework is a good example of a code.

III Implementing, promoting and stimulating integrity

8. Ethical behaviour can be promoted through management systems. Here the focus is on the managerial issues, in particular how leadership and human resource management systems contribute to public integrity.

A = there is a generic systematic process that all agencies use / are supposed to use

B = procedures and processes vary between agencies (agency-specific models)

C = ethical aspects are not systematically taken into account in human resource management practices

A B C

- recruitment:** are values and standards *systematically* taken into account when selecting new personnel (e.g., applicants knowledge on ethics and integrity are tested, ethical dilemmas in assessments are used)?
- training:** do training programs address public service values and ethical issues (e.g., how to act in a conflict of interest situation etc.)
- mobility:** is there a policy of mobility (e.g., the use of job rotation in order to prevent corruption, controlling potential conflict of interest situations)
- communication:** do organisations emphasise that integrity is an integral part of public service (e.g., organisation has clear, specific and well communicated values, standards and regulations)?
- leadership:** is there a specific component in the training programmes for managers to promote high ethical standards (e.g., emphasise that leader sets the example and is also responsible that the personnel acts in an appropriate manner)

Comments:

9. Many countries have introduced a number of measures to encourage professional management. Below is a list of qualities that correspond to what could be called as **ethical leadership**. Based on your knowledge, how well are these elements incorporated into current managerial practices in your country?

Professional management

A = managers **usually** behave in this way

B = managers **rarely** behave in this way

C = managers **do not** behave in this way

A B C

- | | | | |
|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | leads by his/her own example |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | uses core values as instruments |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | treats personnel equally |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | handles conflicts and crises |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | is accountable for his/her actions |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | feels responsible for decisions |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | secures expertise within the organisation (e.g., competence, experience) |

- | | | | |
|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | has integrity (honesty and truthfulness, moral character) |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | is competent (technical and interpersonal knowledge and skills) |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | is consistent (reliability, predictability; does what he/she says) |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | is open (gives the full truth, not half truths) |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | is loyal towards co-workers (protects and saves the face for another person, respect between employees) |

is loyal towards the government of the day

is loyal towards one's own organisation

Comments:

IV Integrity offenses

10. Below is a list of actions that are considered unethical. To what extent do these practices take place in your country?

A = Virtually does not exist

B = Exists to a small extent (marginal problem)

C = Exists to some extent (minor problem)

D = Exists to a great extent (major problem)

E = Cannot say

- | | A | B | C | D | E |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| a) petit corruption ("bureaucratic corruption" such as bribery, kickbacks, gratuities, sweeteners, speed or grease money etc.) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b) grand corruption ("political corruption", like petit corruption but takes place at the at the highest levels of political authority) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c) favouritism (e.g. nepotism, political patronage) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| d) fraud and theft of resources | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| e) conflict of interest through jobs and other outside activities | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| f) abuse and manipulation of information | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

- | | | | | | |
|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| g) sexual harassment | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| h) discrimination on basis of sex | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| i) discrimination on basis of ethnicity | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| j) waste and abuse of resources (e.g., reporting ill falsely,
minimal effort and commitment) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| k) private time misconduct (e.g., drunk driving etc) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| l) improper lobbying (actions such as buying influence that
violate fairness, transparency and/or common good) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| m) other unethical actions, what? | | | | | |

11. The Ethics Framework states three categories of instruments to deal with **ethic-violation situations**. Are these instruments used in your country?

- A = is actually in use (exists and is used)
 B = is formally in use (exists but is not used)
 C = does not exist

- | | A | B | C |
|--|--------------------------|--------------------------|--------------------------|
| counselling | | | |
| a) confidential integrity counsellor | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b) other respective bodies (e.g., Committee on Standards in
Public Life in UK) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| reporting procedure | | | |
| c) formal reporting procedures (e.g., what to report, to whom etc.) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| d) informal reporting procedures (e.g., part of periodic - typically
annual - development discussions)..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| e) protection of whistle blowers | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| sanctions | | | |
| f) legal sanctions (e.g., punitive measures in the penal code) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| g) disciplinary mechanisms (warning, termination of employment) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| h) other instruments, what | | | |

12. Do you think that it would be useful to develop any of the above instruments in your country if they do not exist at present? Are there any plans to introduce such instruments in the future?

Comments:

V Questions concerning the reception of the Ethical Framework

13. Has the introduction of the Ethics Framework generated discussion and raised awareness of ethical issues in your country?

- | | no
effect | some
effect | strong
effect |
|---|--------------------------|--------------------------|--------------------------|
| a) on state administration level | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b) on regional administration level | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c) on local administration level | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| d) on large-scale public level | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

14. Have you used the **Ethics Framework as a checklist** to evaluate or benchmark your country's integrity system?

- have not used
 have used, how

15. What are the **main issues and priorities** (i.e. development challenges) concerning public service ethics that your country needs to improve the most in the future?

16. Do you find the **EUPAN's work on ethics and integrity** of public service relevant to the development of national integrity systems?

- a) objectives irrelevant relevant
b) means (such as the Ethics Framework) irrelevant relevant

Comments:

17. Do you think that the work concerning the ethics of public service will contribute to the attainment of the goals of the revised **Lisbon Strategy**³⁷ on Economic Growth and Jobs?

Several marks possible.

- no contribution
 indirect contribution, what
 direct contribution, what

18. We would like to know to what extent your answers apply to the different levels of government in your country in terms of values and ethical issues such as in:

For example in Finland the rules and regulations concerning the ethical standards are very similar in state central and regional administration but differ to some extent in local administration. In this case, the marks would be a) 100% b) 100% and c) 50%.

	100%	75%	50%	25%	0%
a) state central administration (e.g., ministries, central agencies) ...	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b) regional administration (e.g., Länder, provincial units)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c) local administration (e.g., municipalities)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

19. Please give your additional comments:

³⁷ <http://ec.europa.eu/growthandjobs/>

Respondent:
Title:
Organisation:
<u>Contact details</u>
Address:
Phone: Mobile:
E-mail: Fax:

Annex 3: Additional survey findings

Table 14: Reflection of Core Values in Official Documents by Country and the European Commission (N=28)

	A	B	C	D	E	F	G	H	mean
Austria	5	5	5	4	5	5	4	4	4,63
Belgium	5	5	5	5	5	4	5	4	4,75
Cyprus	5	5	3	3	4	4	4	3	3,88
Czech Republic	5	5	5	4	5	5	5	5	4,88
Denmark	5	5	4	5	4	3	4	4	4,25
Estonia	5	5	4	5	1	2	4	5	3,88
Finland	5	5	5	5	4	5	5	5	4,88
France	5	4	4	5	3	5	5	5	4,50
Germany	5	5	5	5	5	5	5	5	5,00
Greece	5	4	4	4	4	4	4	4	4,13
Hungary	5	5	3	3	4	4	5	5	4,25
Ireland	5	5	5	5	5	5	5	5	5,00
Italy	5	3	3	4	3	2	2	3	3,13
Latvia	5	5	5	5	5	4	5	4	4,75
Lithuania	4	4	4	4	4	4	4	4	4,00
Luxembourg	5	4	1	1	3	2	1	1	2,25
Malta	5	5	5	5	5	5	5	5	5,00
the Netherlands	5	5	5	4	5	5	5	5	4,88
Poland	5	5	4	4	5	5	5	4	4,63
Portugal	5	5	4	5	4	4	3	4	4,25
Slovakia	5	5	5	5		5	5	5	5,00
Slovenia	5	5	5	5	5	5	5	5	5,00
Spain	5	5	5	5	5	5	5	5	5,00
Sweden	5	5	4	5	5	5	4	5	4,75
United Kingdom	5	5	5	5	5	5	5	5	5,00
European Commission	5	5	5	5	5	5	5	5	5,00
Bulgaria	5	5	5	5	5	5	5	5	5,00
Romania	5	5	5	5	5	5	5	5	5,00
mean	4,96	4,79	4,36	4,46	4,37	4,36	4,43	4,43	

A = rule of law
 B = impartiality/objectivity
 C = reliability ("confidence, trust")
 D = transparency ("openness")
 E = duty of care
 F = courtesy ("service principle")
 G = professionalism
 H = accountability

5 = fully recognised
 4 = well recognised
 3 = recognised
 2 = somewhat recognised
 1 = unrecognised

Table 15: Reflection of Core Values in Administrative Practices by Country and the European Commission (N=28)

	A	B	C	D	E	F	G	H	mean
Austria	5	5	5	4	5	5	4	4	4,63
Belgium	5	4	3	3	3	3	4	2	3,38
Cyprus	5	4	3	3	4	4	4	4	3,88
Czech Republic	5	4	4	4	4	4	5	5	4,38
Denmark	5	5	5	5	5	5	5	5	5,00
Estonia	4	3	3	3	3	3	4	3	3,25
Finland	5	5	5	5	4	4	5	4	4,63
France	5	4	4	4	4	5	5	4	4,38
Germany	5	5	4	4	3	3	3	5	4,00
Greece	4	4	4	4	4	4	4	4	4,00
Hungary	3	2	3	3	3	2	4	2	2,75
Ireland	5	5	5	5	5	5	5	5	5,00
Italy	4	3	3	3	3	3	3	3	3,13
Latvia	4	4	3	3	4	3	4	3	3,50
Lithuania	4	4	3	4	4	3	4	4	3,75
Luxembourg	5	5	4	2	3	3	3	2	3,38
Malta	5	5	5	5	5	5	5	5	5,00
the Netherlands	5	5	5	4	4	4	4	4	4,38
Poland	5	4	4	4	5	3	4	4	4,13
Portugal	5	5	4	5	4	3	3	3	4,00
Slovakia	5	4	4	4		4	4	4	3,63
Slovenia	5	4	4	5	4	5	5	4	4,50
Spain	5	5	5	5	5	5	5	5	5,00
Sweden	5	4	3	4	4	5	4	4	4,13
United Kingdom	5	5	5	5	5	5	5	5	5,00
European Commission	5	5	5	5	5	5	5	5	5,00
Bulgaria	5	4	3	4	4	4	3	4	3,88
Romania	4	3	4	4	3	3	4	3	3,50
mean	4,71	4,25	4	4,04	4,04	3,93	4,18	3,89	

A = rule of law
 B = impartiality/objectivity
 C = reliability ("confidence, trust")
 D = transparency ("openness")
 E = duty of care
 F = courtesy ("service principle")
 G = professionalism
 H = accountability

5 = fully recognised
 4 = well recognised
 3 = recognised
 2 = somewhat recognised
 1 = unrecognised

Table 16: Reflection of Core Values in Official Documents vs. Reflection of Core Values in Administrative Practices by Country and the European Commission (N=28)

	A1	A2	B1	B2	C1	C2	D1	D2	E1	E2	F1	F2	G1	G2	H1	H2
Austria	5	5	5	5	5	5	4	4	5	5	5	5	4	4	4	4
Belgium	5	5	5	4	5	3	5	3	5	3	4	3	5	4	4	2
Cyprus	5	5	5	4	3	3	3	3	4	4	4	4	4	4	3	4
Czech Republic	5	5	5	4	5	4	4	4	5	4	5	4	5	5	5	5
Denmark	5	5	5	5	4	5	5	5	4	5	3	5	4	5	4	5
Estonia	5	4	5	3	4	3	5	3	1	3	2	3	4	4	5	3
Finland	5	5	5	5	5	5	5	5	4	4	5	4	5	5	5	4
France	5	5	4	4	4	4	5	4	3	4	5	5	5	5	5	4
Germany	5	5	5	5	5	4	5	4	5	3	5	3	5	3	5	5
Greece	5	4	4	4	4	4	4	4	4	4	4	4	4	4	4	4
Hungary	5	3	5	2	3	3	3	3	4	3	4	2	5	4	5	2
Ireland	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5
Italy	5	4	3	3	3	3	4	3	3	3	2	3	2	3	3	3
Latvia	5	4	5	4	5	3	5	3	5	4	4	3	5	4	4	3
Lithuania	4	4	4	4	4	3	4	4	4	4	4	3	4	4	4	4
Luxembourg	5	5	4	5	1	4	1	2	3	3	2	3	1	3	1	2
Malta	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5
the Netherlands	5	5	5	5	5	5	4	4	5	4	5	4	5	4	5	4
Poland	5	5	5	4	4	4	4	4	5	5	5	3	5	4	4	4
Portugal	5	5	5	5	4	4	5	5	4	4	4	3	3	3	4	3
Slovakia	5	5	5	4	5	4	5	4	.	.	5	4	5	4	5	4
Slovenia	5	5	5	4	5	4	5	5	5	4	5	5	5	5	5	4
Spain	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5
Sweden	5	5	5	4	4	3	5	4	5	4	5	5	4	4	5	4
United Kingdom	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5
European Commission	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5
Bulgaria	5	5	5	4	5	3	5	4	5	4	5	4	5	3	5	4
Romania	5	4	5	3	5	4	5	4	5	3	5	3	5	4	5	3
mean	4,96	4,71	4,79	4,25	4,36	4,00	4,46	4,04	4,37	4,04	4,36	3,93	4,43	4,18	4,43	3,89

title 1 = reflected in
official documents
title 2 = reflected in
administrative practices

A = rule of law
B = impartiality/objectivity
C = reliability ("confidence, trust")
D = transparency ("openness")
E = duty of care
F = courtesy ("service principle")
G = professionalism
H = accountability

5 = fully recognised
4 = well recognised
3 = recognised
2 = somewhat recognised
1 = unrecognised

Table 17: Growth in Significance of Core Values in the Near Future by Country and the European Commission (N=28)

	A	B	C	D	E	F	G	H	mean
Austria	3	3	3	4	3	3	4	5	3,50
Belgium	4	5	4	5	4	4	4	4	4,25
Cyprus	3	3	4	4	4	4	4	4	3,75
Czech Republic	5	4	4	5	5	5	5	5	4,75
Denmark	3	3	3	3	3	3	3	3	3,00
Estonia	3	4	4	4	4	4	4	4	3,88
Finland	3	3	3	3	5	3	3	3	3,25
France	3	3	3	4	4	5	3	4	3,63
Germany	3	3	3	4	3	3	3	3	3,13
Greece	5	5	5	5	5	5	5	5	5,00
Hungary	5	5	5	5	4	5	4	5	4,75
Ireland	3	3	3	4	4	4	4	4	3,63
Italy	3	3	4	5	4	4	4	5	4,00
Latvia	3	3	3	5	4	5	5	5	4,13
Lithuania	3	4	4	4	4	4	3	3	3,63
Luxembourg	3	3	3	3	3	3	3	3	3,00
Malta	4	4	4	4	4	4	4	4	4,00
the Netherlands	3	3	3	3	4	4	5	4	3,63
Poland	5	3	4	4	5	4	4	5	4,25
Portugal	4	4	4	4	4	4	4	4	4,00
Slovakia	3	3	3	4		4	4	3	3,43
Slovenia	3	4	4	3	4	4	3	4	3,63
Spain	5	5	5	5	5	5	5	5	5,00
Sweden	3	3	4	3	3	4	4	4	3,50
United Kingdom	4	4	4	5	5	4	4	5	4,38
European Commission	3	3	3	4	3	3	3	3	3,13
Bulgaria	4	3	4	4	4	3	4	4	3,75
Romania	5	4	5	5	4	5	5	4	4,63
<i>mean</i>	3,61	3,57	3,75	4,11	4	4	3,93	4,07	

A = rule of law
 B = impartiality/objectivity
 C = reliability ("confidence, trust")
 D = transparency ("openness")
 E = duty of care
 F = courtesy ("service principle")
 G = professionalism
 H = accountability

5 = more importance ++
 4 = more importance +
 3 = maintain importance
 2 = less importance -
 1 = less importance --

Table 18: Ease with which Official Values can be Accessed in Official Documents by Old and New Member States (N=27)

	Mean	N	Std. Deviation
old member states	2,13	15	,640
new member states	2,00	12	,603
Total	2,07	27	,616

- 1 = very easy to find out
 2 = easy to find out
 3 = difficult to find out
 4 = very difficult to find out

Table 19: Ease with which Official Values can be Accessed in Official Documents by Old and New Member States (N=27)

		official values are very easy to find out	official values are easy to find out	official values are difficult to find out	Total
old member states	Count	2	9	4	15
	%	13,3%	60,0%	26,7%	100,0%
new member states	Count	2	8	2	12
	%	16,7%	66,7%	16,7%	100,0%
Total	Count	4	17	6	27
	%	14,8%	63,0%	22,2%	100,0%

Table 20: Regulation of Specific Ethical Issues by Means of Legislation and/or Ethical Codes by Country and the EC (N=28)

	Austria		Belgium		Cyprus		Czech		Denmark		Estonia		Finland		France		Germany		Greece		Hungary		Ireland		Italy		Latvia		
	law	code	law	code	law	code	law	code	law	code	law	code	law	code	law	code	law	code	law	code	law	code	law	code	law	code	law	code	
handling of confidential information	1	0	1	0	1	0	1	1	1	1	1	0	1	1	1	1	1	0	1	0	1	0	1	1	1	1	1	1	0
acceptance of gifts or favours	1	0	1	0	1	0	1	1	1	1	1	1	1	1	0	1	1	0	1	0	1	0	0	1	1	1	1	1	0
avoiding conflict of interest in ...	1	0	1	0	1	0	1	1	0	1	1	0	1	1	1	0	1	0	1	0	1	0	0	1	1	1	1	1	0
regulations on outside activities	1	0	1	0	1	0	1	0	1	1	1	0	1	1	0	0	0	1	0	1	0	0	0	1	1	1	1	1	0
tendering regulations	1	0	1	0	1	0	1	0	0	1	1	0	1	0	1	0	1	0	1	0	1	0	.	.	0	0	1	1	0
regulations on financial interests	1	0	1	0	1	0	1	1	0	1	1	0	1	1	0	1	0	0	0	1	0	0	0	1	1	1	1	1	0
regulations on revolving door	0	0	0	0	0	0	1	0	1	0	1	0	0	0	1	0	1	0	1	0	1	0	0	1	1	0	1	1	0
use of public resources	0	1	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	1	1	0	0	0	0	1	0	1	0	1	
<i>total</i>	6	1	6	0	6	0	7	4	4	7	7	1	6	5	4	3	6	1	8	0	7	0	1	7	6	6	7	1	

	Lithuania		Luxembourg		Malta		Netherlands		Poland		Portugal		Slovakia		Slovenia		Spain		Sweden		UK		EC		Bulgaria		Romania	
	law	code	law	code	law	code	law	code	law	code	law	code	law	code	law	code	law	code	law	code	law	code	law	code	law	code	law	code
handling of confidential information	1	1	1	0	1	1	1	1	1	1	1	0	1	0	1	0	1	1	1	1	0	1	1	0	1	0	1	1
acceptance of gifts or favours	1	0	1	0	1	1	1	1	1	1	1	0	1	0	1	1	1	1	1	1	0	1	1	0	1	1	1	1
avoiding conflict of interest in ...	1	0	1	0	1	1	1	1	1	1	1	0	1	0	1	0	1	1	1	0	0	1	1	0	1	1	1	1
regulations on outside activities	1	0	1	0	1	1	1	1	1	1	1	0	1	0	1	1	1	1	1	0	0	1	1	0	1	1	1	0
tendering regulations	1	0	0	0	1	1	1	1	1	0	1	0	1	0	1	0	1	0	1	0	1	0	1	1	0	1	0	1
regulations on financial interests	1	0	0	0	1	1	1	1	1	0	1	0	1	0	1	0	1	1	1	0	0	1	1	0	1	1	1	1
regulations on revolving door	1	0	0	0	1	1	0	1	0	1	1	0	1	0	0	0	1	0	0	0	0	1	1	0	0	1	1	0
use of public resources	1	0	0	0	1	1	0	1	1	0	1	0	1	0	1	0	0	1	0	1	0	1	0	1	0	1	1	1
<i>total</i>	8	1	4	0	8	8	6	8	7	5	8	0	8	0	7	2	7	6	6	2	2	8	7	1	6	6	8	5

Notes:

Belgium: Regulations on financial interests concern only senior officials with six years mandate (more executive and parliamentary).

Denmark: Some regulations may only apply to certain personnel groups. For instance, explicit regulations on outside activities (QC) primarily apply to civil servants/employees at higher levels. Ethical Code is used to indicate the foreseen of Code of Conduct and also situations where the issue is dealt with in personnel policies or specific sectoral policies.

France: There are no regulations on outside activities strictly speaking, but a civil servant is required to act, whether s/he is on duty or not, in a way that does not offend the dignity of the public service (e.g., no drunk driving).

Germany: Law includes all relevant regulations.

Italy: National Collective Agreements (for each category of public workers) are used to make clear these aspects, in order to make them accepted by the civil servant at the time of hiring.

Romania: Besides legislation and other codes of conduct, there are also handbooks or different kinds of guides which explain ethical provisions such as conflict of interest and disciplinary sanctions.

Slovenia: Preventing Corruption Act requires each politician to declare all his property, including financial interests.

Sweden: Regulations on revolving door apply with a few exceptions.

Table 21: Extent of Corrupt Practices by CPI Score

		A	B	C	D	E	F
Low CPI score	Mean	3,00	3,25	3,75	3,00	2,86	3,00
	N	8	8	8	8	7	8
	Std. Deviation	0,53	0,71	0,46	0,53	0,38	0,76
Medium CPI score	Mean	2,30	2,11	2,40	2,00	2,30	2,10
	N	10	9	10	10	10	10
	Std. Deviation	0,82	0,93	0,84	0,82	0,82	0,74
High CPI score	Mean	1,88	1,43	2,25	1,57	1,89	1,67
	N	8	7	8	7	9	6
	Std. Deviation	0,64	0,53	0,89	0,53	0,60	0,52
Total	Mean	2,38	2,29	2,77	2,20	2,31	2,29
	N	26	24	26	25	26	24
	Std. Deviation	0,80	1,04	0,99	0,87	0,74	0,86

A = petit corruption ("bureaucratic corruption")

B = grand corruption ("political corruption")

C = favouritism (e.g. nepotism, political patronage)

D = fraud and theft of resources

E = conflict of interest through jobs and other outside activities

F = improper lobbying (actions such as buying influence that violate fairness, transparency and/or common good)

Table 22: Correlation between Corrupt Practices and the CPI Score

		X_corrupt	cpi_2005
corrupt practices	Pearson Correlation	1	-,821(**)
	Sig. (2-tailed)		,000
	N	22	21
cpi_2005	Pearson Correlation	-,821(**)	1
	Sig. (2-tailed)	,000	
	N	21	27

** Correlation is significant at the 0.01 level (2-tailed).

Table 23: Impact of the Ethics Framework on Generating Discussion and Raising Awareness of Ethical Issues by Corruption Perception Index (N=27)

CPI 2005, 3 groups		state level	regional level	local level	large-scale public level
Low CPI ranking (score below 5)	Mean	2,25	2,14	2,00	1,86
	N	8	7	8	7
	Std. Deviation	,463	,378	,535	,690
Medium CPI ranking (score 5-7.5)	Mean	2,20	1,67	1,67	1,78
	N	10	6	9	9
	Std. Deviation	,632	,816	,866	,833
High CPI ranking (score over 7,5)	Mean	1,67	1,38	1,38	1,25
	N	9	8	8	8
	Std. Deviation	,707	,518	,518	,463
Total	Mean	2,04	1,71	1,68	1,63
	N	27	21	25	24
	Std. Deviation	,649	,644	,690	,711

Table 24: Respondents' Opinion on the Contribution of Work on Public Service Ethics to the Attainment of the Goals of the Revised Lisbon Strategy (N=28)

	Frequency	Percent
no contribution	2	7
indirect contribution	17	61
direct contribution	9	32
Total	28	100

Table 25: Main Future Issues and Priorities Concerning Public-service Ethics as Envisaged by the Member States and the European Commission (N=26)

Corruption

Austria	Austria is in the process of ratifying the Civil Law Convention on Corruption of the Council of Europe and acceding to GRECO; improvement of corruption prevention through awareness raising and training; improvement of resource allocation through transparency by means of performance indicators, reporting and cost accounting
Czech R.	To minimize the space for corruption
Denmark	Overall guidelines on how to handle offers of gifts or benefits etc. from citizens and enterprises, various situations in which public employees are not allowed to receive gifts and other benefits etc. from citizens and enterprises are foreseen to be included in the Code of Conduct, which is currently being drafted; In addition to a reference to the Penal Code's provision on bribery, various situations in which public employees are not allowed to receive gifts and other benefits will be described.
Germany	Erarbeitung von Grundsätzen zur Ethik im öffentlichen Dienst im Hinblick auf Lobbyismus; Ergänzung der Empfehlungen zu der Richtlinie der Bundesregierung zur Korruptionsprävention in Gelösch: einzelnen Bundesländern, wie z.B. in Gelösch: der Bundesverwaltung zur Harmonisierung der Praxis. Umgang mit Anschlussstätigkeiten nach dem Ausscheiden, wenn die "Durchlässigkeit" des Öffentlichen Dienstes erhöht wird.
Poland	The most important issue linked with ethics is the combat against corruption. Currently, most efforts are concentrated on prosecution of already committed crimes, but there is a strong need for better prevention measures.

Training and promotion of ethical behaviour

Austria	Improvement of corruption prevention through awareness raising and training
Bulgaria	Introduction of large-scale training system; inclusion of the ethics issues in the annual performance assessment of the public servants; introduction of written rules and procedures and balancing between the compliance-based and integrity-based approach to public-service management.
Cyprus	Some of the main development challenges include finding the right methods to enhance ethical behaviour and prevent ethical misconduct. Thus, focus must be placed on developing and providing the appropriate training tools that will motivate employees to adopt ethical values and reflect them in their day-to-day professional conduct.
Czech	To put emphasis on education and training on ethics
Estonia	Commitment of top managers and political leaders to public-service ethics and values, providing training opportunities to all public servants
Italy	To make the public employee conscious of pursuing the public interest

Sweden	To engage the public administration as a whole in discussing questions about ethics and the role of civil servants.
European Commission	Extension of existing training for newcomers and managers by additional awareness raising actions for all personnel following the Commission-wide Ethics Day organised in July 2006 (a one-day training initiative to raise awareness of ethical issues amongst Commission staff). A Commission Communication on Ethics is planned for early 2007 to illustrate the application of the current ethical rules and practices.

Code of ethics and implementation of ethics and integrity provisions

Belgium	Introduce a code of conduct
Cyprus	Furthermore, ethical provisions must be more clearly communicated and emphasized. This will be facilitated by the introduction of an integral code of ethics.
Denmark	A code of conduct is currently being drafted
Hungary	Many significant structural changes are in progress actually in the area of public service, which are leading towards a transparent, accountable, effective and service focused administration. Hungary is challenging to adopt an official code of ethics, this shall constitute one of the main priorities of development.
Latvia	We have developed a normative documentation, but it should be improved, however the main problem is related with implementation of ethical principles in practice and we shall work on this more we are doing now.
Lithuania	The Code of Ethics has to be passed. As it was mentioned above, the project of the Code of ethics has been propound for the Parliament but it is not passed yet.
Luxembourg	Implementation of the code of conduct
Netherlands	Improving the implementation of ethics and integrity provisions, improving the cohesion of integrity instruments within organisations, appointing integrity coordinators within organisations, developing values-based integrity tools (in addition to already existing compliance-based instruments), and enforcing the Dutch Bureau for Ethics and Integrity Stimulation (BIOS)
Slovakia	The code of ethical behaviour for political representatives, similar ethical standards also for all public servants as there are for civil servants, especially for municipality officials
Romania	Improving the control and monitoring tools for assuring an ethic environment within public authorities and institutions - establishing a network of ethic counsellors coordinated by National Agency of Civil Servants - proposing to the National Institute
European Commission	Revise and where possible simplify current practice on the application of the Staff Regulations in ethical matters to provide better information to staff as to the standards of conduct that are expected of them

Strengthening the various bodies

Greece	Reinforcement of the role that parliamentary committees play on integrity and transparency and the role that I.C.B.P.A. play on internal control of the public-administration issues, and the role of the mediation of the Greek Ombudsman between public administration and private individuals, for the purpose of protecting citizens' rights, ensuring their compliance with the rule of law rights, observing the rule of rights and combating maladministration
Netherlands	Appointing integrity coordinators within organisations and enforcing the Dutch Bureau for Ethics and Integrity Stimulation (BIOS)
Romania	Establishing a network of ethic counsellors coordinated by National Agency of Civil Servants - proposing to the National Institute

Lobbyism

Germany	Erarbeitung von Grundsätzen zur Ethik im öffentlichen Dienst im Hinblick auf Lobbyismus; Ergänzung der Empfehlungen zu der Richtlinie der Bundesregierung zur Korruptionsprävention in Gelösch: einzelnen Bundesländern, wie z.B. in Gelösch: der Bundesverwaltung zur Harmonisierung der Praxis. Umgang mit Anschließtätigkeiten nach dem Ausscheiden, wenn die "Durchlässigkeit" des Öffentlichen Dienstes erhöht wird.
European Commission	As outlined in the Green Book on the European Transparency Initiative, establishing <ul style="list-style-type: none"> - a registration and accreditation system for lobbyists - a voluntary code for lobbyists and - a monitoring system.

Whistle-blowing

Cyprus	In terms of reporting actual misconduct (whistleblowing), an important challenge exists in motivating employees to engage in this action (which according to a recent amendment in the Public Service Law, is now obligatory), as this is not an easy task in the context of a small size society and it is not well embedded in the local culture.
Czech R	To introduce measures concerning whistleblowers' protection

Post-employment restrictions

Finland	Post employment regulations to be considered
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Other issues and priorities

Czech R	To increase the transparency in public administration and consequently improve its quality
France	Allowing the civil servants to get a job outside the administration, e. g. by setting up a business of their own, in order to fight against unemployment and to improve relationships between the public and the private sector, with due respect to the ethical principles of the public service (dedication, neutrality...)

Ireland	Ethical standards in the Irish Civil Service have traditionally been of a very high standard. The modernisation of the Irish Civil Service.
Malta	More equality of opportunity
Slovenia	Impartiality / objectivity, reliability ("confidence, trust"), duty of care, accountability, favouritism (e.g. nepotism, political patronage), conflict of interest through the jobs and other outside activities, waste and abuse of resources
United Kingdom	The question of accountability and the deal with Ministers