REPORT TO: **POLICY AND RESOURCES COMMITTEE – 27 JUNE 2022**

REPORT ON: **LOCAL CODE OF CORPORATE GOVERNANCE**

REPORT BY: **EXECUTIVE DIRECTOR OF CORPORATE SERVICES**

REPORT NO: **140-2022**

1   PURPOSE OF REPORT

1.1   To present to Committee the Council's Local Code of Corporate Governance.

2   RECOMMENDATIONS

It is recommended that the Committee:

2.1   approves the annual compliance review and updated Local Code of Corporate Governance as detailed in Appendix 1.

2.2   notes the progress against the 2021/2022 improvement action plan in Appendix 2.

2.3   approves the areas for improvements listed in Appendix 3 for 2022/2023.

2.4   notes the progress against the seven core principles of good governance from the CIPFA/SOLACE Delivering Good Governance in Local Government Framework (2016) listed in Appendix 4.

2.5   notes the impact of the coronavirus pandemic on the Council's governance arrangements as detailed in paragraphs 5.5. and 5.6.

3   FINANCIAL IMPLICATIONS

3.1   None.

4   BACKGROUND

4.1   In 2016, CIPFA extensively revised the Code in its publication "Delivering Good Governance in Local Government: Framework" and the accompanying Guidance notes for Scottish Authorities, 2016 edition. The contents of the attached arise as a result of consideration of the Code including the requirement to improve accountability to the public and stakeholders by explaining how the authority has resolved any governance issues raised in the previous year's statement. An Annual Governance Statement is included in the Council's Annual Accounts and is also reported separately to Scrutiny Committee.

4.2   The annual compliance review seeks to maintain a high standard of corporate governance and to ensure continuous improvement. Previous compliance reviews suggest a high level of compliance with the guidelines, although areas for improvement were identified and acted upon. These improvements included the implementation of the corporate performance management system, the development of performance reporting on the Council's website and the development of a Risk Management Policy and Strategy. In addition, all national reports issued by relevant regulatory bodies are now referred to the Scrutiny Committee and/or the relevant service committee where appropriate.

5   CURRENT COMPLIANCE REVIEW

5.1   The current compliance review against existing guidance, to consider Corporate Governance arrangements and their implications for the authority, was carried out by key council officers and agreed by the Council Leadership Team.

5.2   Consistent use of the same scoring mechanism supports year on year monitoring of improvement and allows the Council to assess the extent of its compliance with the guidelines as presented in Appendix 4. The scoring mechanism suggests that the Council is 98% (2020/2021: 97%) compliant with the guidelines which, given their wide scope, is considered very good.

5.3   The scoring mechanism was used to assist and prepare the Improvement Agenda in Appendix 3 whereby senior officers identified areas where compliance with the code could be improved during the year. This also helps inform the overall Improvement Agenda in the Council's Annual Governance Statement.

5.4   In addition, as part of the Annual Governance Statement Executive Directors from each service are required to complete a self-assessment checklist in conjunction with their senior management teams, of their own governance, risk management and internal control arrangements. This exercise involves the completion of a 74-point checklist covering eight key governance areas of Service Planning and Performance Management; Internal Control Environment; Fraud Prevention and Detection; Budgeting, Accounting and Financial Control; Risk Management and Business Continuity; Asset Management; Partnerships; and Information Governance. That again indicated a high level of compliance, with an overall score above 91% (2020/2021: 90%).

5.5   The Local Code of Corporate Governance (LCCG) assesses governance in place during 2021/2022. The entire financial year was affected by coronavirus, and the conclusion on whether or not governance is fit for purpose should reflect normal operations, the LCCG is required to reflect the circumstances at the time of publication and therefore, it should be recognised that coronavirus has impacted on governance arrangements since March 2020 and continues to do so up to the time of publication and is expected to continue for some time. As the pandemic progressed into 2021/2022 the impact reduced but the council continued to take steps to ensure adherence to all Scottish Government advice to remain Covid-19 safe for Elected Members, employees, service users and members of the public.

Leadership

A corporate level Incident Management Team (IMT) was established at the outset to consider the challenges and the Council's responses, including instigating the corporate level business continuity plan, supported by individual project and service level plans. At the start of the emergency the IMT communicated daily briefing updates to employees but as the situation progressed the frequency of communications to staff reduced accordingly. In addition, service area management team meetings were held regularly with further detailed communications provided to service employees, including updates on the situation, details of the actions being taken and guidance for safe working practices. Regular briefing meetings were also held with political group leaders to ensure they were kept up to date with the impact and response to the crisis.

In a very short space of time the Council had to move rapidly to support an environment whereby the majority of its staff were required to work from home or from alternative premises. In the space of a few days the Council moved from a position where 25% of IT consuming staff worked remotely to having 75% of those working remotely. This access has been achieved with no degradation in performance and, crucially, no weakening of security whilst maintaining the same method of operation for staff they would experience in the office. Having a reliable IT platform which immediately enabled remote working allowed the council to respond to the new requirements of the Covid response in quickly deploying resources and to be flexible as the situation evolved.

Decision Making Processes

- The impact of the coronavirus affected the governance arrangements of the Council and its services, and there will be some aspects experienced by all service areas, for example changes to the Council's decision-making arrangements and the conduct of meetings were introduced in March 2020 following a meeting with senior Elected Members on 19 March 2020.

Alternative governance arrangements for full committee meetings were implemented as soon as practical thereafter, with the introduction of virtual Council committee meetings commencing in June 2020, the first example being the Scrutiny Committee.

A return to the full scheduled timetable of committee meetings followed during August 2020. Enhanced transparency has also been achieved by the recording and publishing of Committee meetings on the Council website from 24 August 2020.

5.6   Local Response and Risk Management Arrangements

Other aspects affected by the coronavirus crisis reflected changes to the organisation's priorities and programmes. These fall into the following broad categories:

- Impact on business as usual in the delivery of services;
- Increased demand for certain Council services such as crisis grants;
- New areas of activity as part of the national response to coronavirus and any related operational and governance issues, e.g. implementation of new policies, processes, procedures and guidance, as well as the provision of emergency assistance such as Business Support Grants, Self-Employed Hardship Fund, Transitional Support Fund for Childcare Providers, Self-Isolation Support Grant, Business Hardship, Low Income Pandemic Payments, and Fuel Support Payments;
- The funding and logistical consequences of delivering the local government response, e.g. changes to decision-making arrangements, new collaborative arrangements, funding and cash flow challenges. In April 2020, a report by the Executive Director of Corporate Services advised Elected Members of the various actions implemented by the Council and the Scottish and UK Governments in response to the on-going Covid-19 emergency, and set out the associated financial implications (Report 144-2020). The financial position around the Council's response to the Covid-19 emergency is being closely and regularly monitored and updated reports on the financial implications as well as the financial recovery plan was reported to committee in August 2020 (Report 198-2020) , December 2020 (Report 308-2020) , February 2021 (Report 61-2021), and April 2021 (Report 120-2021). Since April 2021 the financial position around the Council's response to the Covid-19 emergency has been embedded in monthly revenue monitoring reports to the Policy and Resources Committee. In addition, an update on the overall financial impact for financial year 2021/2022 will be included within the Unaudited Annual Accounts that will be submitted to elected members in June 2022. An internal audit review of arrangements for Covid 19 Funding is underway and any agreed actions will be taken to Scrutiny Committee in due course. Finally, as part of the updated service planning processes services were requested to review those items included within the Covid 19 Recovery Plan that were considered to have an ongoing impact and ensure that actions to address these priorities were reflected in these plans. These plans, together with any subsequent progress updates, have been considered by various committees throughout the past year;
- Assessment of the longer-term disruption and consequences arising from the coronavirus pandemic, e.g. some existing projects and programmes may have been put on hold, new priorities and objectives introduced, new risks identified or existing risks escalated. The Council has formulated a Covid-19 Recovery Risk Register (Report 193-2020) and a Recovery Plan in August 2020 (Report 185-2020) with a subsequent progress update reported in May 2021 (Report 157-2021) and will continue to review and update these regularly in response to changing circumstances;
- A report detailing the Council's response to the Covid 19 emergency was also reported to committee in August 2020 (Report 189-2020)   This report provided an overview of the Council's response to date, demonstrating both the scale and breadth of the work undertaken by staff in collaboration with partners and local communities; and
- The Scrutiny Committee in September 2020 considered three Audit Scotland reports on Covid 19 issues, Covid 19 Guide for Audit and Risk Committees (Report 213-2020), Covid 19 Emerging Fraud Risks (Report 214-2020), and Covid 19 Implications for Public Finances in Scotland (Report 221-2020). The Scrutiny Committee in September 2021 considered the annual Audit Scotland report, Local Government in Scotland Overview for 2020/2021 (Report 267-2021) which provides an overview of the wider challenges which have been facing councils in tackling the Covid-19 pandemic.

The responses to the pandemic are being continually considered at a Council and regional level. By the time the crisis is over the Council may have conducted or be in the process of reviewing lessons learnt from its response. This review has been added as a suitable area for inclusion as one of the organisation's significant governance issues and has been included as an improvement area.

Dundee City Council is working closely with partners across the City to deal with the impact of Coronavirus. Officers are monitoring the local situation daily and following the advice given by Scottish Government, UK Government (where appropriate) and NHS public health experts. The Council continues to consider appropriate actions based on the national guidance.

6   POLICY IMPLICATIONS

6.1   This report has been subject to an assessment of any impacts on Equality and Diversity, Fairness and Poverty, Environment and Corporate Risk. There are no major issues.

7   CONSULTATIONS

7.1   The Council Leadership Team have been consulted on the content of this report.

8   BACKGROUND PAPERS

8.1   CIPFA's Delivering Good Governance in Local Government: Framework (2016) and corresponding Guidance Notes for Scottish Local Authorities (2016).

ROBERT EMMOTT   **9 JUNE 2022**
EXECUTIVE DIRECTOR OF CORPORATE SERVICES

DUNDEE CITY COUNCIL

LOCAL CODE OF CORPORATE GOVERNANCE (2021/2022)

FOREWORD

Dundee City Council strives to meet the highest standards of corporate governance to help ensure that it meets its objectives. The Council is determined to ensure that it delivers the best possible services to city residents. It has developed a modern and effective local democracy that responds quickly and flexibly, and delivers high quality services when and where people need them.

The Council is committed to effective decision-making that is transparent and open to genuine scrutiny. To support this, it provides on its website (www.dundeecity.gov.uk) details of its plans, policies, procedures and performance.

DEFINITION

Corporate governance is the system by which Dundee City Council directs and controls its functions and relates to its community. An Annual Governance Statement is included in the Council's Annual Accounts each year and is also reported separately to Scrutiny Committee.

THE CODE

The Local Code of Corporate Governance for the Council consists of seven main principles of good governance derived from CIPFA's Delivering Good Governance in Local Government: Framework (2016):-
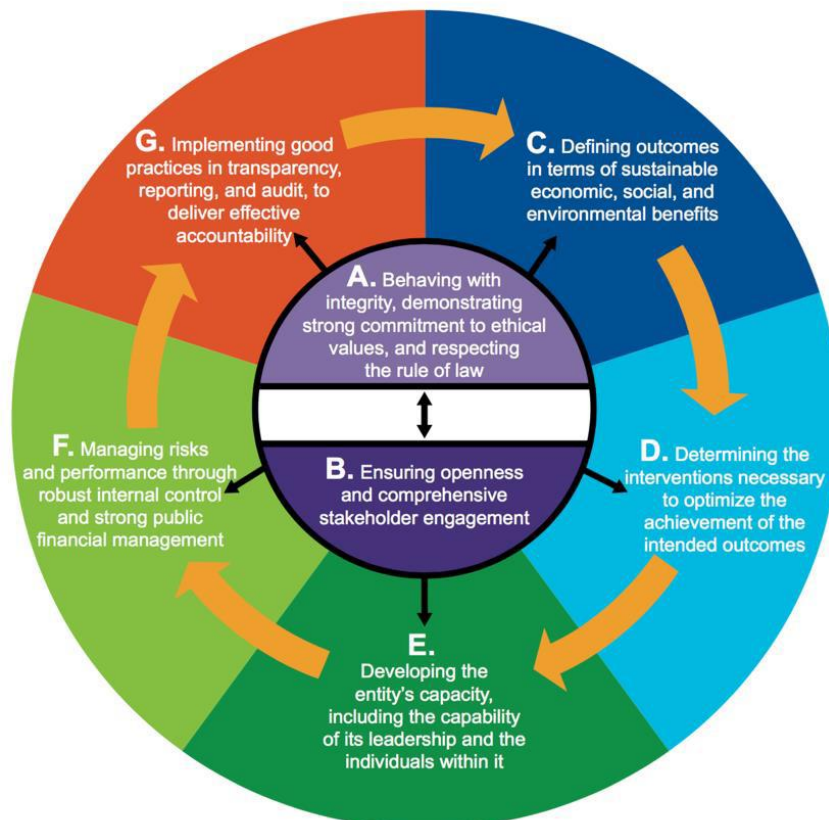
BEHAVING WITH INTEGRITY, DEMONSTRATING STRONG COMMITMENT TO ETHICAL VALUES AND RESPECTING THE RULE OF LAW

The Council is committed to the seven principles of Good Governance. The Council has introduced an Ethical Values Framework which is underpinned by these principles and is comprised of a framework of policies, procedures, behaviours and values by which the Council is controlled and governed. The documents that make up this framework provide the structures and guidance that Elected Members and Officers require in order to ensure effective governance across the organisation.

The recent Best Value Self-Evaluation (Report 68-2020) presented to committee in February 2020 covered eight Best Value themes, one of which was Governance and Accountability. The report highlighted the Council's commitment to the Local Code of Corporate Governance, the fact that good financial governance and scrutiny arrangements are in place, and that the roles and responsibilities of the statutory posts and Executive Directors are clearly set out in the Council's Standing Orders. This self-evaluation report also puts forward key improvement actions covering all eight themes which indicates that the Council is committed to continuous improvement not only to meet its basic standards but to be able to demonstrate advanced or exemplary practice.

The corresponding Accounts Commission Best Value Assurance Report on Dundee City Council which was published in September 2020 and reported to Committee in November 2020 (Report 284-2020) describes the Council's numerous strengths under the Governance and Accountability theme. It also highlights that this was one of only two themes that did not have any further areas of improvement that hadn't already been identified by the Council and reported to either Policy and Resources or Scrutiny Committee as part of its improvement agenda which is informed by the Local Code of Corporate Governance and the results from the governance self-assessment checklists completed by the Council's Service areas. This indicates that the Council's current corporate governance assurance process is a robust system of self-assessment.

The position around the Council's progress against the key improvement actions in the Best Value Self-Evaluation report is being closely and regularly monitored and updated reports on progress was reported to committee in April 2021 (Report 128-2021) and November 2021 (Report 292-2021).

The Council's Our People and Workforce Strategy incorporating the Our People Charter outlines the Council's values, rights and responsibilities. It sets out the strategic direction and ambitions for the workforce, linked to the City and Council plans with four clear themes - Equality, Diversity and Fairness, Enhancing Our Leadership, Managing Our People, Developing Our People. It promotes a workplace learning culture and begins to address the challenge of the workforce demographics and the challenges that digital innovations present to traditional ways of working.

The Council has a range of systems and procedures in place to ensure that members and employees of the authority are not influenced by prejudice or conflicts of interest in dealing with its citizens. The Council maintains a continually updated Register of Members Interests which is available for inspection by members of the public. In addition, there is also an Officer's Register of Interest with recently expanded scope to include high risk posts.

The Council has Members and Officers Codes of Conduct in addition to the Standing Orders of the Council, Financial Regulations, Tender Procedures and Delegation of Powers and Disciplinary Procedures. The Council has a "Whistle Blowing" policy in place with a formal system to support the reporting of concerns received via a number of mechanisms, including a dedicated phone line and online form for Whistle blowing and Fraud Reporting to provide for the direct reporting of problems to senior managers without fear of recrimination.

The National Code of Conduct, the Disciplinary Procedures and the Local Code on Corporate Governance are also applicable in general terms to any external organisations to which elected members and/or officers are appointed. Such organisations must also comply with the Following the Public Pound Guidelines which is covered by a separate report to Committee.

The Council is committed to equal opportunities including both the elimination of discrimination and the use of positive action measures to ensure that employment opportunities, service provision and access to civic life are bias free and made equally and easily available to people from target groups.

ENSURING OPENNESS AND COMPREHENSIVE STAKEHOLDER ENGAGEMENT

The overarching plan for Dundee City is contained within the Local Outcomes Improvement Plan: City Plan 2017-2026. This document is prepared in partnership with other public sector organisations where mutual objectives have been established. Progress towards strategic actions and key performance indicators in both the City and Council Plans are now presented in a combined report to the Council Leadership Team, the Council's Scrutiny Committee, the Policy and Resources Committee and the Dundee Partnership Management Group twice yearly (Report 169-2020), (Report 269-2020), (Report 211-2021), and (Report 299-2021).

The Council maintains a register of all consultation exercises undertaken with its stakeholders. These exercises inform the development of future service provision. The Council also publishes a comparative Performance Report whereby its performance is compared to the performance of similar urban authorities in its Family Groups as defined by the Improvement Service, these performance indicators are known as the Local Government Benchmarking Framework indicators. Each of the indicators in this report are also

reported in detail on the Dundee Performs pages on the Council's website so that stakeholders can form an idea of how our performance compares to that of our peers.

The Council's revised Performance Management Framework for 2021-24 was approved in March 2021 (Report 66-2021). It sets out how the Council will consistently plan and manage performance and improvements to its services. This will enable key decision makers, both elected members and officers, to take necessary action based on facts about current performance.

The Council has also established eight Local Community Planning Partnerships (LCCPs) whereby stakeholders are consulted about community needs. These projects feed in to the wider planning process at corporate level. As with Council Meetings, all meetings of the Local Community Planning Partnerships are open to the public and full minutes of the meetings are recorded. The LCCPs combine national and City-wide priorities with local priorities to shape action. Each area has a local community plan, due for review at their mid-point in late 2020. The Elected Members from each ward engage with community representatives and representatives from third and public sector partner organisations based on local priorities. Each LCCP is chaired by a senior manager from within the Council and meets quarterly. The work of the LCPPs builds on over a decade of developing Dundee's Decentralisation Strategy and working to promote local co-ordination within the strategic priorities of the City. Quarterly Decentralisation Meetings provide the opportunity for the LCPP Chairs and Communities Officers to meet with senior management to discuss the links between local and City-wide strategies.

The community planning process is well regarded and the Council is committed to re-energising local community planning. Participatory budgeting is being extended. A report on Mainstreaming Participatory Budgeting was approved by Council Leadership Team (CLT) in February 2021 which will help to progress this issue. Community representatives and partners are consulted on and assist in the delivery of local solutions making use of the Community Empowerment Act to improve participation and devolve more local funding and assets.

The Council works effectively with a wide range of partners and stakeholders which has enabled a clear set of priorities to be identified which respond to the needs of communities in both the short and the longer term. The Dundee Partnership structure includes arrangements for overall governance along with a LCPP for each ward. The Council is the lead partner within the wider Dundee Partnership and coordinates the majority of the ongoing and strategic activity relating to community engagement. It is co-chaired by the Chief Executives of Dundee City Council and NHS Tayside and Membership consists of senior leaders from a wide range of public sector partners along with additional representatives from the Third Sector, Universities and Colleges, Chamber of Commerce and Scottish Government Liaison Team. There are also two Elected Members (The Council Leader and Major Opposition Group Leader) and two community representatives on this group.

In 2017/2018 the Council encouraged stakeholder engagement through the Dundee Decides website to allow local residents the opportunity to decide how the Council should spend the Community Infrastructure Fund. Since then the Engage Dundee consultation has been launched asking people in Dundee to tell public services, voluntary organisations and community groups what the priorities are where they live. The Engage Dundee 2021 survey focused on how communities will "build back better" after the Coronavirus pandemic and lockdowns. The consultation exercise sought the public's views on five key aspects of community life: travel, spaces, support, community spirit and community living. It explores a range of topics, including housing, the environment, parks, public transport and health. Dundee City Council, Dundee Volunteer and Voluntary Action and community groups worked together through the initiative to collect information directly from citizens across Dundee. The information collected through the Engage Dundee 2021 process will be used to inform Local Community Plans, Participatory Budgeting projects and local action across Dundee.

In addition, improvements have been made to some Council services as a result of listening to customers and service users. These improvements are reported to Policy and Resources Committee annually (Report 60-2021). The Annual Citizens Survey measures satisfaction with the main themes within strategic plans. Survey results are reported within the annual reports at City level and for LCPP areas as well as being incorporated within annual monitoring reports for the City Plan / Council Plan. Results are also reported to Committee and to the wider Dundee Partnership.

A Community Wealth Building report was approved at committee in November 2021 (Report 313-2021). This set out the basis for the introduction of a proposed community wealth building approach for the Council. The Council engaged with the Centre for Local Economic Strategies (CLES) to support the development of this. Community Wealth Building is a people-centred approach to local economic development, which redirects wealth back into the local economy, and places control and benefits into the hands of local people. It is a maturing of economic development, where traditional public sector policy has focused on the redistribution of wealth after it is created, and community wealth building focuses on mechanisms to ensure that wealth is shared as it's created. Community wealth building is not opposed to

economic growth but concerned with the distribution of that growth with a core focus of growing social and environmental benefits into all economic activity.

DEFINING OUTCOMES IN TERMS OF SUSTAINABLE ECONOMIC, SOCIAL AND ENVIRONMENTAL BENEFITS

The strategic plan for the city is governed by the City Plan 2017-2026. This includes detailed information about the actions that public agencies and their partners will take to achieve our vision for the city. The plans present an integrated approach to public investment and service provision. They also include the promotion of joint working with NHS (Tayside) and other public bodies. The Council has also prepared the Council Plan 2017-2022 which adopts the related targets and priorities expressed in the City Plan.

Individuals and groups from all sections of the community are encouraged to contribute to and participate in the work of the authority. The development of Local Community Planning Partnerships, Community Councils and Community Representative Bodies for areas of the city within the boundaries of each parliamentary constituency is designed to encourage more grassroots participation in Council decision-making and to bring the Council closer to the people. Local Community Engagement Strategies and Local Community Plans have been developed for each multi-member ward as means of identifying and responding to local issues and involving communities in the planning and delivery of public services. In addition, the Council solicits views on a wide range of decisions and maintains a listing of community groups and voluntary organisations and invites their opinion on possible developments likely to affect them. A recent development has been the introduction of Dundee Decides, which allow communities the opportunity to help direct how the Community Infrastructure Fund is spent. Since then the Engage Dundee consultation has been launched asking people in Dundee to tell public services, voluntary organisations and community groups what the priorities are where they live.

DETERMINING THE INTERVENTIONS NECESSARY TO OPTIMISE THE ACHIEVEMENT OF THE INTENDED OUTCOMES

The Council's combined annual Revenue and Capital Budget is of the order of £500 million. Budget compared to actual expenditure is closely scrutinised and overspends and underspends reported to Policy & Resources Committee on a regular basis in order that members are kept fully and timeously aware of any significant departures from the budgeted position. In the course of the year, any departures from the budgeted position can be mitigated by the movement of resources from one budget heading to another in order to smooth out overall annual spend.

The Council's revised Corporate Performance Management Framework for 2021-24 which was approved in March 2021 (Report 66-2021) aims to provide an overview of the Council's approach to performance management and the range of public reporting that takes place throughout the year. Performance is monitored and reported on the Council's Corporate Performance Management System. The framework aims to document the range of reports that are produced or are planned to be produced for Members. This includes publishing information for the public reporting of performance. The reporting of performance to Elected Members, the public and other stakeholders helps to ensure accountability. Elected Members have a key role in prioritising and scrutinising improvement activity through the Committee process. In order to better equip Elected Members to meet their responsibilities in relation to managing performance, officers delivered training in March 2019 on performance management (including how to measure performance in relation to improved outcomes and PSIF, the Council's model of self-assessment aimed at driving performance improvement).

Strategic Service Area Scorecards have been developed for each of the five Council services, Leisure & Culture Dundee (L&CD) and Dundee Health & Social Care Partnership (DH&SCP). The scorecards relating to individual teams within each of the five Strategic Service Areas continue to be developed. The acceptance of ownership of these indicators by senior officers and elected members is key to their development. Key to the success of the Performance Scorecards is the utilisation of the Corporate Performance Management System which enables performance monitoring, recording and reporting. Each service has a scorecard in the Corporate Performance Management system containing the key performance indicators and actions from the City Plan, Council Plan, Fairness Action Plan and Local Government Benchmarking Framework (LGBF). Existing scorecards will be updated in line with the updated Performance Management Framework and Service Plans for 2021-24. In addition, progress updates against individual Service Plans are reported regularly to the relevant committee.

Over the remainder of the 2022/2023 financial year, the Council will be developing the reports to be drawn down from the Corporate Performance Management system in order that the best and most up-to-date performance information is readily available. Reports will be available for all tiers of the Council from Committee level down to team and individual level.

This will help ensure that performance issues are deeply embedded within the Council's work ethos at all levels improving services to all stakeholders.

DEVELOP THE ENTITY'S CAPACITY, INCLUDING THE CAPABILITY OF ITS LEADERSHIP AND THE INDIVIDUALS WITHIN IT

The Council has an induction programme for all employees which sets out the Council's vision and values. Individual service areas also deliver service specific induction. The Council is linked into national Workforce and Learning and Development agendas which are professionally specific and related to regulated and integrated services. The Council also works closely with other agencies on national Workforce and Leadership priorities through Convention of Scottish Local Authorities (CoSLA) and the Society of Personnel and Development Scotland (SPDS) and is represented on many national workforce groups.

The Council has specific leadership meetings in place to ensure a consistent and strategic message is discussed and disseminated. The Council Leadership Team meets monthly for topic specific focus on key strategic areas. The wider Council Leadership Team also meets monthly with separate service team meetings following this, ensuring a route for the cascade of information to the wider workforce. Regular Chief Executive Blogs are communicated using the Council's OneDundee intranet giving leadership messages and information which transcends individual services.

The Council has established a twice-yearly Leadership Conference for Senior Managers and officers to discuss emerging issues within Dundee and beyond. Senior leaders are involved in a number of groups at a national level. Leading Team Dundee, the Council's flagship development and engagement programme for leaders or those developing a leadership role, hold regular events, linked to the Leadership Conference themes or other key strategic or developmental issues. The Council also supports a range of accredited and in-house leadership development activity that supports personal and professional development as a leader.

The Council's Our People and Workforce Strategy incorporating the Our People Charter outlines the Council's values, rights and responsibilities. It sets out the strategic direction and ambitions for the workforce, linked to the City and Council Plans with clear themes: equality, diversity and fairness, enhancing leadership, managing our people and developing our people. It promotes a workplace learning culture and begins to address the challenge of the workforce demographics and the challenges that digital innovations present to traditional ways of working.

The MyLearning Hub refers to My Contribution. The Council encourages employees to seek improvement to working practices and come up with solutions and ideas to continually improve the way things are done. By ensuring skills in performance management, service design and continuous improvement, the Council will have the ability to review the services that are provided to citizens and suggest better ways to deliver outcomes. An empowered workforce is crucial to the Council's journey towards having a positive culture of innovation, improvement and change. The Hub also contains a wide range of information on leadership, professional development, qualifications and continuous improvement opportunities available for all employees to consider.

Job descriptions and person specifications are available for all posts advertised. The Employee Performance and Development Review Framework links employee objectives to the priorities in the Strategic Service Area Scorecards within the Council Plan and the Council's Corporate Performance Management system records and monitor progress against key strategic projects.

MANAGING RISKS AND PERFORMANCE THROUGH ROBUST INTERNAL CONTROL AND STRONG PUBLIC FINANCIAL MANAGEMENT

The Council has a developed Risk Management Policy and Strategy (Report 58-2019). This states that Dundee City Council is dedicated to the management of risk in order to:-

- safeguard its stakeholders
- protect its property
- ensure compliance with its statutory obligations
- preserve and enhance service delivery
- maintain effective stewardship of public funds
- protect its reputation and promote a favourable corporate image.

The main priorities within this policy are the identification, evaluation and control of risks which threaten the Council's ability to deliver services to the public. A comprehensive Risk Management Framework is in place. This includes:

- a revised Risk Management Policy and Strategy which incorporates governance / reporting arrangements, corporate risk appetite and risk assessment scoring matrix

- Corporate Risk Register in place and reported to Elected Members
- a Risk Management Working Group (RMWG) which meets quarterly – this includes a Risk Management Champion from each Service, other members of senior management and is chaired by the Executive Director of Corporate Services
- Risk management procedural guidelines
- Formal adoption of risk management software within the Council's Corporate Performance Management System to enable effective monitoring of the council's risks.

The Council has a high-level Business Continuity Plan which sets out the arrangements by which the Council aims to continue to deliver its critical services in the event of an emergency event. Critical services are identified through a process of identification and analysis contained within risk registers. The Business Continuity Strategy continues to be developed and will require to be revisited in response to the Covid 19 crisis and will likely require to change from being neatly documented and allocated against defined events to assurance around leadership, delegation, built-in flexibility, and defining capabilities.

Resources aimed at improving internal control within the Council are allocated according to priorities determined by the Internal Audit Annual Audit Plan 2021/2022 reflecting the changing risks and priorities of the Council.

The Council's accounts include an annual corporate governance statement.

The Council's revised Corporate Performance Management Framework for 2021-24 which was approved in March 2021 (Report 66-2021) aims to provide an overview of the Council's approach to performance management and the range of public reporting that takes place throughout the year. Performance is monitored and reported on the Council's Corporate Performance Management System. The framework aims to document the range of reports that are produced or are planned to be produced for Members. This includes publishing information for the public reporting of performance.

The reporting of performance to Elected Members, the public and other stakeholders helps to ensure accountability. Elected Members have a key role in prioritising and scrutinising improvement activity through the Committee process. In order to better equip Elected Members to meet their responsibilities in relation to managing performance, officers delivered training in March 2019 on performance management (including how to measure performance in relation to improved outcomes and PSIF, the Council's model of self-assessment aimed at driving performance improvement).

The City Plan (LOIP) Annual Progress (Report 223-2019) includes outcomes measures across five priority themes. All Strategic Services are required to produce a service plan and scorecard showing their contribution to the priorities. The Council Plan adopts many of the City Plan targets. The Council Plan contains the Strategic Service Area Scorecards. The Council Plan Annual Progress (Report 198-2019) contains Key Performance Indicators (KPI's). The approach to performance monitoring and reporting has been strengthened by adding a six-month mid-year performance report to the established process of annual reporting. Progress towards strategic actions and key performance indicators in both the City and Council Plans are now presented in a combined report to the Council Leadership Team, the Council's Scrutiny Committee, the Policy and Resources Committee and the Dundee Partnership Management Group twice yearly (Report 169-2020), (Report 269-2020), (Report 211-2021), and (Report 299-2021). As many of the KPI's are in both the City Plan and Council Plan, this is a more effective way of reporting.

The overall performance of the Council is monitored through The Council Plan and includes indicators from the LGBF and National Performance Framework. The Council uses the Annual Local Government Benchmarking Framework as a significant comparative analysis tool and an annual report is submitted to the Policy and Resources Committee followed by the Scrutiny Committee (Report 106-2021). A comparison report will be made to Committee every year and excerpts included on the Council's website on a user friendly basis Dundee Performs.

The Improvement Service has also set up a number of benchmarking groups designed to improve performance throughout Scotland. These groups meet regularly and their findings reports to Committee to improve service delivery. Dundee City Council has representatives on all these working groups to ensure full participation in this important process.

The Council fosters relationships and partnerships with other public, private and voluntary organisations in delivering services that meet the needs of the local community.

The Council also responds to findings and reviews of Audit Scotland, other statutory bodies and its own Internal Audit Service.

IMPLEMENTING GOOD PRACTICES IN TRANSPARENCY, REPORTING AND AUDIT TO DELIVER EFFECTIVE ACCOUNTABILITY

The Council is committed to the transparency and scrutiny of its services and processes including decision-making. To that end a Scrutiny Committee was established in April 2009 with the principal remit of considering Performance Inspection reports on the authority.

The Council has in place a range of measure to support reporting and accountability including:

- an effective Council Committee structure;
- a Community Asset Transfer Strategy;
- a Council website that is maintained and developed;
- a "Dundee Performs" section on the Council website;
- a Council intranet system for sharing information internally;
- the Our People and Workforce Strategy;
- integrated Impact Assessments ensures that all likely impacts of reports have been considered and provide details of any mitigation action required to overcome negative impacts;
- a Digital Strategy to guide investment in ICT;
- the OneDundee extranet which provides access to corporate information and policies to employees who do not have day-to-day access to IT facilities;
- a social media policy which empowers service areas to harness these powerful communications channels while mitigating the potential risks;
- a Corporate Integrity Group;
- a Corporate Compliance Group;
- regular progress reports against the City Plan and the Council Plan;
- three-year service plans for all service areas. Regular performance reports in relation to the service plans began to be reported to relevant Committees from November 2021
- a performance management framework
- a Senior Officer Resilience Group
- participation in the National Fraud Initiative strategy for sharing and cross-matching data with regular reports to Committee;
- a long-term Financial Outlook and Financial Strategy 2020-30;
- formal revenue and capital budgetary control systems and procedures;
- a Risk Management Policy and Strategy, Corporate and Service Risk Registers, Risk Management Improvement Plan, and Covid-19 Recovery Risk Register;
- a Corporate Governance Assurance Statement Group;
- a Strategic GDPR (General Data Protection Regulation) Group;
- a Recovery Plan from Covid-19 emergency for the Council and its Services; and
- a Community Wealth Building Strategy.

The Internal Audit Service operates in accordance with the Public Sector Internal Audit Standards and reports functionally to the Scrutiny Committee. Internal Audit undertakes an annual programme of work, which is reported to the Scrutiny Committee. The Senior Manager – Internal Audit also provides an annual independent opinion on the adequacy and effectiveness of the Council's governance, risk management and control framework.

The roles and responsibilities of Councillors and Officers are clearly defined in the Standing Orders of the authority, the Scheme of Delegation of Powers to Officers of the Council, the Scheme of Tender Procedures and the Scheme of Financial Regulations.

The Council has corporate guidance on recruitment and selection and ensures that all officers involved are appropriately trained for their roles. Councillors' Professional Development is also available. Councillors on the Personnel Appointments Sub-Committee must undertake Fair Selection training. There is also further bespoke training for Elected Members sitting on the Licensing Committee and the Development Management Committee and Councillors have also received training on the Ethical Standards regime and Performance Management.

The Council has a well-developed programme for supporting Elected Members to perform their role effectively including a half day "essential briefing" after each election, a series of "meet the managers" sessions, issuing induction notebooks produced by the Improvement Service and organising a series of other briefings and seminars. These sessions often focus on delivering change, particularly when new legislation or policies are being proposed. In addition, sessions are delivered on topics of interest or concern. Sessions are offered at various times during the day / evening to maximise opportunities for those Members who work or have other commitments to attend. The Council has adopted the Continuing Professional Development Framework for Elected Members developed by The Improvement Service.

The [Scheme of Members' Salaries, Pensions and Expenses](#) sets out the terms of Councillors' remuneration. Details of all Councillors' expenses are published on the internet and in the local press on an annual basis.

The Council's Chief Executive is responsible to the authority for all aspects of executive management.

The Chief Executive, Executive Director of Corporate Services and Head of Democratic and Legal Services are responsible for ensuring that agreed procedures are followed and that all applicable statutes, regulations and statements of good practice are complied with.

The Executive Director of Corporate Services is responsible for ensuring appropriate advice is given to the Council on all financial matters, keeping proper financial records and accounts and maintaining an effective system of internal financial control under the terms of the Financial Regulations.

The Chief Social Work Officer is responsible for ensuring the provision of effective professional advice to the Council - elected members and officers - in the authority's provision of Social Work services.

The Chief Education Officer is responsible for ensuring the provision of effective professional advice to the Council - elected members and officers - in the provision of Education services.

The roles of senior officers are defined in agreed Job Descriptions. Employee performance is reviewed on an annual basis through Employee Performance and Development Review Schemes.

DUNDEE CITY COUNCIL

CONTINUOUS IMPROVEMENT AGENDA FOR 2021/2022 – WITH PROGRESS UPDATES

The Council's Corporate Governance working group identified the following areas for improvement to be taken forward during 2021/2022. Full details are included in the Council's Local Code of Corporate Governance (Report 182-2021) and the 2020/2021 Annual Governance Statement (Report 183-2021).

ORIGINAL IMPROVEMENT AGENDA ON 2020/2021 LOCAL CODE OF CORPORATE GOVERNANCE AND ANNUAL GOVERNANCE STATEMENT REPORTS						PROGRESS UPDATES	
	Improvement	Source	Details	Respons-ible Officer	Target Completion Date	Actual Completion Date	Comments (e.g. Estimated Completion Date, Reasons for delays, etc.)
1	Update Corporate Asset Management Strategy.	Local Code of Corporate Governance 2017/2018. (Principle E: Developing the Entity). Report 223-2017	Carried forward from 2020/2021. In progress.	Executive Director of Corporate Services.	31/12/21		In view of resource constraints caused by the pandemic, it was agreed that this action will be commissioned externally with a view to concluding this strategy by end 2022. An external appointment has been commissioned and work has now started.
2	Continue to develop Business Continuity Strategy.	Local Code of Corporate Governance 2017/2018. (Principle F: Managing Risk). Report 223-2017	Carried forward from 2020/2021. In progress.	Service Manager - Community Safety and Resilience.	31/03/22		There has been some limited progress with review and reassessment of Service Business Continuity plans, in areas of the Council which have not been fully engaged in supporting citizens throughout the Pandemic. There has been no Corporate "space" to reflect on lessons learned from the Pandemic and build that learning into Continuity plans to date. Many Services, including the Council's resilience team have until recently remained in full response mode to a public health emergency. This state is reflected at Local Resilience Partnership Level where little progress has been able to have been made with Covid recovery planning. Acute pandemic pressures as anticipated have now reduced. A revised completion date of 31 December 2022 has been agreed with our Audit partners. The benefit of an additional temporary staff resource (Graduate trainee) in the resilience team has been deployed to guide Service Business Continuity Leads. *
3	Develop programme for consideration of the suitability of key Operational IT	Annual Governance Statement 2018/2019. (Self-Assessment Checklist (SAC):	Carried forward from 2020/2021. In progress.	Head of Customer Services and IT.	31/12/21		This programme is currently being considered and will be included in the Council's IT Improvement Strategy that will be completed by October 2022. *

		Internal Control Environment section). [Report 214-2018](#)					
4	Replace Construction Services' Costing System.		Carried forward from 2020/2021. In progress.	Head of Constru-ction and Head of Customer Services and IT.	31/12/22		The replacement of Construction Services costing system is part of a suite of packages being developed across two IT solutions involving Housing and Construction Services. Phase 2 of the development and implementation of the Integrated Housing Management (Civica Cx) System is being scheduled at present and will include a range of IT modules to replace existing bespoke in-house IT systems for core Housing functions. This includes the development and implementation for the end to end Housing Repairs system which will integrate with the Total Mobile Solution for Construction Services and in turn allow for the end to end process of Construction Service from costing and finance through to operational flexible delivery of construction workstreams. In partnership, services are working with both Civica and Total Mobile to deliver an end to end Repairs IT system which will harness the benefits of automation, mobile and flexible working efficiencies across both services. Target completion date for the build is April 2023 with operational roll throughout the first 6 months of 2023/2024. *
5	Revise Corporate Fraud Policy.	Internal Audit Report (Ref 2018/21).	Carried forward from 2020/2021. In progress.	Senior Manager – Internal Audit.	31/12/21		Final consultation of the policy is underway and the document will be considered by Council Leadership Team and then circulated to all staff and elected members thereafter. *
6	Develop Service Area Scorecards in the Corporate Performance Management system.	Internal Audit Report 2017/22, 23 and 24. [Report 374-2018](#)	Carried forward from 2020/2021. In progress.	Transform-ation and Perform-ance Manager.	30/06/21	07/06/21	Three-year service plans are now in place for all service areas. Action completed on 7/6/2021. The first performance reports in relation to the service plans were reported to relevant Committees starting in November 2021.
7	Engage with Elected Members on proposals for future personal development and maximise their opportunity to participate.	Local Government in Scotland: Challenges and Performance 2019 [Report 166-2019](#) External Audit Report to Members on the Audit of DCC's 2018/2019 Accounts [Report](#)	Carried forward from 2020/2021. In progress. Support the development and tracking of individual personal development plans. Explore opportunities to learn from best practice elsewhere.	Head of Democratic and Legal Services / Head of Human Resources and Business Support.	31/12/21		Induction and Continued Professional Development (CPD) for Elected Members has been developed and is currently being implemented for the newly elected members following the Scottish Local Elections on 5th May 2022.

		338-2019 Best Value Self-Assessment Report 68-2020				
8	Develop a future needs analysis and workforce plan within each service area for the short, medium and long term in line with the Our People and Workforce Strategy.	Best Value Self-Assessment Report 68-2020	Carried forward from 2020/2021. In progress. To ensure staff skills match service delivery requirements and align workforce and strategic planning to ensure citizen's needs are being met in accordance with agreed priorities and statutory duties.	Head of Human Resources and Business Support.	30/04/22		Workforce Plans: Service Plans are currently in place and associated workforce plans have been completed in most service area. A new People Strategy will be developed in 2022 and will include our approach to future needs analysis for our workforce which will align with the new Council Plan. *
9	Address recurring areas for improvement in public protection in external scrutiny reports and internal self-evaluation activities.	Best Value Self-Assessment Report 68-2020	Carried forward from 2020/2021. In progress.	Council Leadership Team	31/03/22	10/02/22	The Transforming Public Protection (TPP) Oversight Group, chaired by the Chief Social Work Officer, led a substantive review and initial recommendations on TPP Programme 2 were made to the Chief Officers Group (COG) in February 2022 identifying 11 transformation workstreams to be delivered over a three-year period. The Chief Officers Group approved the outline programme and Project Initiation Documents (PIDs) that will inform a full programme plan are being developed for each of the 11 proposed workstreams. Learning from the first TPP Programme has informed the approach to undertaking PIDs, with a focus on multi-agency involvement to secure a shared understanding of workstream aims, activities and impact measurement and reporting. Action completed. The TPP Programme 2 will be support by investment made by the Council to further enhance strategic support capacity for public protection issues. It should be noted that the work undertaken within the original TPP programme and impact of the programme activities is positively reflected within the Joint Inspection of Services for Children at Risk of Harm report. This includes progress made in strengthening practice in relation to the use of chronologies, the use of a strategic risk register, inclusive and effective leadership by the COG and Child Protection Committee, and improvements in single agency approaches to case file auditing.
10	Embed Information Governance Assurance	Corporate Governance Assurance Statement	Carried forward from 2020/2021. Ensure results are reflected in	Information Govern-ance Manager /	28/02/22	01/02/22	A new section has been included in the 2021/2022 Annual Governance Statement self-assessment checklist covering a range of Information Governance issues. This was discussed and finalised at the CGASG meeting in February 2022. Action

	checklist in annual corporate governance assurance process.	Group's (CGASG) review of Annual Governance process.	2021/2022 Annual Governance Statement.	Head of Corporate Finance.			completed.
11	Review the Council's response to Covid 19 crisis.		Carried forward from 2020/2021. In progress. Including lessons learned, good practice, and areas for improvement.	Chief Executive / Executive Director of Corporate Services.	31/03/22		The ongoing financial impact of Covid has been monitored throughout the year and is submitted to Policy and Resources Committee as part of the regular financial monitoring reports. In addition, an update on the overall financial impact for financial year 2021/2022 will be included within the Unaudited Annual Accounts that will be submitted to elected members in June 2022. An internal audit review of arrangements for Covid 19 Funding is underway and any agreed actions will be taken to Scrutiny Committee in due course. Finally, as part of the updated service planning processes services were requested to review those items included within the Covid 19 Recovery Plan that were considered to have an ongoing impact and ensure that actions to address these priorities were reflected in these plans. These plans, together with any subsequent progress updates, have been considered by various committees throughout the past year. *
12	Implement-ation of the CIPFA Financial Management (FM) Code.	Corporate Governance Assurance Statement Group's review of Annual Governance process. 2021/2022 is the first year of full compliance.	New action for 2021/2022. In progress. Ensure results are reflected in 2021/2022 Annual Governance Statement.	Executive Director of Corporate Services.	30/06/22	29/06/22	A new self-assessment checklist has been formulated covering all the key questions in CIPFA's FM Code. This will be completed during the 2021/2022 corporate governance process for inclusion of a compliance (or explanation of the reasons for non-compliance) paragraph in the Annual Governance Statement in the 2021/2022 Unaudited Accounts. Further actions to address any areas identified as requiring significant improvement will be included in the Improvement Agenda Action Plan for next year. On schedule for completion by target date.
13	Identify the most appropriate apps in O365 to improve Council Services.	Annual Governance Statement 2020/2021. (Self-Assessment Checklist (SAC): Internal Control Environment section).	New action for 2021/2022. In progress.	Head of Learning & Organis-ational Develop-ment.	31/03/22		This is currently being progressed by Learning and Organisational Development and IT and also within the Council's transformation programme. *

* Carried forward items have been included in Appendix 3 with new target completion dates

DUNDEE CITY COUNCIL

CONTINUOUS IMPROVEMENT AGENDA FOR 2022/2023

The Council's Corporate Governance working group has identified the following areas for improvement, full details are included in the Council's Local Code of Corporate Governance, to be taken forward during 2022/2023:

	Improvement	Source	Details	Responsible Officer	Target Completion Date
1	Update Corporate Asset Management Strategy.	Local Code of Corporate Governance 2017/2018. (Principle E: Developing the Entity). Report 223-2017	Carried forward from 2020/2021. In progress.	Executive Director of Corporate Services.	31/12/22
2	Continue to develop Business Continuity Strategy.	Local Code of Corporate Governance 2017/2018. (Principle F: Managing Risk). Report 223-2017	Carried forward from 2020/2021. In progress.	Service Manager - Community Safety and Resilience.	31/12/22
3	Develop programme for consideration of the suitability of key Operational IT systems.	Annual Governance Statement 2018/2019. (Self-Assessment Checklist (SAC): Internal Control Environment section). Report 214-2018	Carried forward from 2020/2021. In progress.	Head of Customer Services and IT.	31/10/22
4	Replace Construction Services' Costing System.		Carried forward from 2020/2021. In progress.	Head of Construction and Head of Customer Services and IT.	30/04/23
5	Revise Corporate Fraud Policy.	Internal Audit Report (Ref 2018/21).	Carried forward from 2020/2021. In progress.	Senior Manager – Internal Audit.	31/08/22
6	Engage with Elected Members on proposals for future personal development and maximise their opportunity to participate.	Local Government in Scotland: Challenges and Performance 2019 Report 166-2019 External Audit Report to Members on the Audit of DCC's 2018/2019 Accounts Report 338-2019 Best Value Self-Assessment Report 68-2020	Carried forward from 2020/2021. In progress. Support the development and tracking of individual personal development plans. Explore opportunities to learn from best practice elsewhere.	Head of Democratic and Legal Services / Head of Human Resources and Business Support.	31/08/22
7	Develop a future needs analysis and workforce plan within each service area for the short, medium and long term in line with the Our People and Workforce Strategy.	Best Value Self-Assessment Report 68-2020	Carried forward from 2020/2021. In progress. To ensure staff skills match service delivery requirements and align workforce and strategic planning to ensure citizen's needs are being met in accordance with agreed priorities and statutory duties.	Head of Human Resources and Business Support.	31/03/23

8	Review the Council's response to Covid 19 crisis.		Carried forward from 2020/2021. In progress. Including lessons learned, good practice, and areas for improvement.	Chief Executive / Executive Director of Corporate Services.	30/09/22
9	Identify the most appropriate apps in O365 to improve DCC Services.	Annual Governance Statement 2020/2021. (Self-Assessment Checklist (SAC): Internal Control Environment section).	Carried forward from 2021/2022. In progress.	Head of Learning and Organisational Development.	31/12/22
10	Review the Long-term Financial Strategy to reflect the impact of Covid 19.	Audit Scotland's 2021/2022 Annual Audit Report, recommendation 4.	New for 2022/2023.	Executive Director of Corporate Services.	30/09/22
11	Develop Risk Board to oversee legislative changes.	Annual Governance Statement 2020/2021. (Self-Assessment Checklist (SAC): Internal Control Environment section).	New for 2022/2023.	Executive Director of Corporate Services.	31/03/23

The Council's Local Code of Corporate Governance 2021/2022 reflects the requirements of the CIPFA/SOLACE Delivering Good Governance in Local Government Framework published in 2016 and the supporting Guidance Note for Scottish Authorities published in November 2016. For each of the seven core principles of good governance, the CIPFA/SOLACE Delivering Good Governance in Local Government Framework (2016) provides supporting principles and a range of specific requirements that should be reflected in local authorities' Local Codes of Corporate Governance. The supporting Guidance Note for Scottish Authorities (2016) provides more detail and examples of evidence such as systems, processes and documentation that may be used to demonstrate local compliance with these principles.

The CIPFA/SOLACE template detailed within the Guidance Note for Scottish Authorities has been followed in developing the Council's Local Code of Corporate Governance. As part of the self-assessment process the Council's arrangements have been evaluated using the scoring system summarised in the table below:

EVALUATION	DEFINITION
4	Fully compliant with the requirement of the local code
3	Mostly compliant with the requirements of the local code
2	Partially compliant with local code requirements
1	Not compliant with local code requirements

The information gathered from the 2021/2022 self-assessment of the Council's governance arrangements and detailed in the attached schedules has been used to inform the areas to be included in the Council's improvement plan for the year.

PRINCIPLE A		Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law			
Supporting Principle		**The local code should reflect the requirements for local authorities to:**		**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
1	Behaving with integrity	1.1	Ensure members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation.	Councillors' and Employees' induction. Councillors' and Employees' Codes of Conduct. Head of Service sign off of Local Code. Employee Performance and Development Review. Employee handbook. Communication Strategy 2018-2021 and annual progress updates. Ethical Values Framework. Social Media Policy. Data Protection Policy. Data Breach Management Procedure. General Data Protection Regulation (GDPR) Employee Handbook Leadership of Public Protection Arrangements reports. Open Data Policy. Annual Corporate Fraud Team Activity and Performance Report, including Whistleblowing.	4	N
		1.2	Ensure members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood.	Council Vision. Council Principles. Council Plan. Communication Strategy 2018-2021 and annual progress updates. Human Resources My View. Freedom of Information procedures. Data Protection Act compliance. Record Retention schedules. Leadership Conference, programme and values. Members' approval process.	4	N
		1.3	Lead by example and use these standard operating principles or values as a framework for decision making and other actions.	Declaration of interest made at meetings. Conduct at meetings. Shared values guide decision making. Develop and maintain an effective Scrutiny Committee. Annual Governance Statement. Compliance with CIPFA's Financial Management Code.	4	N
		1.4	Demonstrate, communicate and embed, the standard	Anti-fraud and corruption policies. Up-to-date register of interests.	3	Y

| | | operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively. | Up-to-date register of gifts and hospitality.
Whistle-blowing policy in place and widely available.
Annual Corporate Fraud Team Activity and Performance Report, including Whistleblowing.
Complaints policy and ensuing improvements.
Improving Services through Listening to Customers and Service Users.
Councillors' and Employees' Codes of Conduct.
Minutes show declarations of interest.
Our People and Workforce Strategy 2019-2022.
Our People Charter.
Pension newsletter.
Service newsletters.
Intranet.
Employee handbook.
Corporate Integrity Group.
Compliance Group.
Risk Management Policy and Strategy.
Corporate Procurement Strategy 2018-2020.
Anti-Bribery Policy.
Anti-Money Laundering Policy and Risk Register.
Dedicated Corporate Fraud Team (CFT).
National Fraud Initiative (NFI) biennial exercise participation and additional pensions data matching.
Public reporting of Whistleblowing, NFI, CFT and Integrity Group cases / outcomes.
Serious Organised Crime Group.
Social Media Policy.
Data Protection Policy.
Data Breach Management Procedure.
Performance Management Framework 2021-2024.
Open Data Policy. | | |

PRINCIPLE A (cont'd)		Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law			
Supporting Principle		**The local code should reflect the requirements for local authorities to:**		**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
2	Demonstrating strong commitment to ethical values	2.1	Seek to establish, monitor and maintain the organisation's ethical standards and performance.	Scrutiny of ethical decision making. Championing ethical guidance at governing body level. Ethical Values Framework. Performance Management Framework 2021-2024.	4	N
		2.2	Underpin personal behaviour with ethical values and ensure they permeate all aspects of the organisation's culture and operation.	Provision of ethical awareness training. Integrated Impact Assessments. Equality outcomes. Ethical Values Framework. Our People and Workforce Strategy 2019-2022. Our People Charter. Social Media Policy. Data Protection Policy. Open Data Policy.	4	N
		2.3	Develop and maintain robust policies and procedures which place emphasis on agreed ethical values.	Appraisal processes take account of values and ethical behaviour. Staff recruitment policy. Procurement policy. Ethical Values Framework.	4	N
		2.4	Ensure that external providers of services are required to act with integrity and in compliance with high ethical standards expected by the organisation.	Agreed values in partnership working. Protocols for partnership working. Partnership document of agreed values. Pension Fund ethics.	3	Y
3	Respecting the rule of law	3.1	Ensure members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations.	Statutory provisions. Statutory guidance is followed. Standing Orders.	4	N
		3.2	Create the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements.	Job descriptions and specifications. Compliance with CIPFA's Statement on the Role of the Chief Financial Officer. Compliance with CIPFA's Financial Management Code. Terms of reference. Committee support.	4	N

PRINCIPLE A (cont'd)	Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law				
Supporting Principle		**The local code should reflect the requirements for local authorities to:**		**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
		3.3	Strive to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders.	Record of legal advice provided by officers. Record of other professional advice. Procurement and tendering procedures. Financial regulations.	4	N
		3.4	Deal with breaches of legal and regulatory provisions effectively.	Monitoring officer provisions. Record of legal advice provided by officers. Statutory provisions. Whistleblowing Policy.	4	N
		3.5	Ensure corruption and misuse of power are dealt with effectively.	Anti-fraud corruption policies and procedures. Corporate Integrity Group. Compliance Group. Dedicated Corporate Fraud Team. Anti-Bribery Policy. Anti-Money Laundering Policy and Risk Register. Annual Corporate Fraud Team Activity and Performance Report, including Whistleblowing.	3	Y

PRINCIPLE B		Ensuring openness and comprehensive stake holder engagement			
Supporting Principle		**The local code should reflect the requirements for local authorities to:**		**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
1	Openness	1.1	Ensure an open culture through demonstrating, documenting and communicating, the organisation's commitment to openness.	Annual Report. Freedom of Information Act publication scheme. Online Council Tax information. Council's goals and values. Council website. Scrutiny Committee held in public. Corporate Procurement Strategy and tender procedures. Register of Gifts and Hospitality. Register of Interests. Dundee Decides / Engage Dundee. Communication Strategy 2018-2021. Performance Management Framework 2021-2024. Best Value Assurance Report – Action Plan Progress Updates. Open Data Policy.	4	N
		1.2	Make decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification of the reasoning for keeping a decision confidential should be provided.	Record of decision-making and supporting materials. Agenda and Minutes of Scrutiny Committee. Documented follow-up requests. Changing for the Future Reviews. Public Sector Improvement Framework (PSIF) and self-evaluation. Best Value self-evaluation. Best Value Assurance Report – Action Plan Progress Updates.	4	N

		1.3	Provide clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensure that the impact that the impact and consequences of those decisions are clear.	Decision-making protocols. Report pro-formas. Record of professional advice in reaching decisions. Meeting reports show details of advice given. Discussion between members and officers on the information needs of members to support decision-making. Agreement on the information that will be provided and timescales. Calendar of dates for submitting, publishing and distributing timely reports is adhered to. Integrated Impact Assessments.	4	N

PRINCIPLE B (cont'd)		Ensuring openness and comprehensive stake holder engagement			
Supporting Principle		**The local code should reflect the requirements for local authorities to:**	**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
		1.4 Use formal and informal consultation and engagement to determine the most appropriate and effective interventions / courses of action.	Community Strategy. Use of consultation feedback. Citizen survey. Dundee Decides / Engage Dundee. Mainstreaming Participatory Budgeting. Improving Services through Listening to Customers and Service Users. Performance Management Framework 2021-2024. Community Wealth Building in Dundee.	4	Y
2	Engage comprehensively with institutional stakeholders	2.1 Effectively engage with institutional stakeholders to ensure that the purpose, objectives, and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably.	Communication Strategy 2018-2021 and annual progress updates. Dundee Decides / Engage Dundee. Mainstreaming Participatory Budgeting. Improving Services through Listening to Customers and Service Users. Performance Management Framework 2021-2024. Community Wealth Building in Dundee.	4	N
		2.2 Develop formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.	Database of stakeholders with whom the authority should engage and for what purpose and a record of an assessment of the effectiveness of any changes. Performance Management Framework 2021-2024. Community Wealth Building in Dundee.	4	N
		2.3 Ensure that partnerships are based on trust, a shared commitment to change, a culture that promotes and accepts challenge among partners and that the value of partnership working is explicit.	Partnership framework. Partnership protocols. Community Councils. Dundee Partnership. Performance Management Framework 2021-2024. Community Wealth Building in Dundee.	4	N

PRINCIPLE B (cont'd)	Ensuring openness and comprehensive stake holder engagement				
Supporting Principle		**The local code should reflect the requirements for local authorities to:**		**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
3	Engage stakeholders effectively including individual citizens and service users	3.1	Establish a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service provision is contributing towards the achievement of intended outcomes.	Record of public consultations. Partnership framework. Dundee Decides / Engage Dundee. Mainstreaming Participatory Budgeting. Improving Services through Listening to Customers and Service Users. Performance Management Framework 2021-2024. Community Wealth Building in Dundee.	4	N
		3.2	Ensure that communication methods are effective and that members and officers are clear about their roles with regard to community engagement.	Communication Strategy 2018-2021 and annual progress updates.	4	N
		3.3	Encourage, collect and evaluate the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs.	Communication Strategy 2018-2021 and annual progress updates. Joint needs assessment. Local Community Planning Partnerships. Dundee Decides / Engage Dundee. Improving Services through Listening to Customers and Service Users. Community Councils. Community Representation Bodies. Citizen Survey. Performance Management Framework 2021-2024. Community Wealth Building in Dundee.	4	N
		3.4	Implement effective feedback mechanisms in order to demonstrate how their views have been taken into account.	Communication Strategy 2018-2021 and annual progress updates. Consultations. Dundee Decides / Engage Dundee. Improving Services through Listening to Customers and Service Users. Citizen Survey. Community Councils. Community Representation Bodies.	4	N

		3.5	Balance feedback from more active stakeholder groups with other stakeholder groups to encourage inclusivity.	Processes for dealing with competing demands within the community, for example consultation. Dundee Decides / Engage Dundee. Improving Services through Listening to Customers and Service Users. Citizen Survey. Community Councils. Community Representation Bodies.	4	N
		3.6	Take account of the interests of future generations of tax payers and service users.	Reports. City and Council Plans. Joint strategic needs assessment. Long-term Financial Outlook and Financial Strategy 2020-2030. City Centre Strategic Investment Plan Progress Report, including Stakeholder consultation. Capital Plan. Covid 19 Recovery Plan progress and update reports. Financial Implications of the Council's Response to the Covid 19 Emergency and Financial Recovery Plan and update reports.	4	N

PRINCIPLE C		Defining outcomes in terms of sustainable economic, social and environmental benefits			
Supporting Principle		**The local code should reflect the requirements for local authorities to:**	**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
1	Define outcomes	1.1 Have a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions.	Vision used as a basis for corporate and service planning. City and Council Plans, with twice yearly progress updates against strategic actions and key performance indicators in both Plans presented in a combined report to the Council Leadership Team, to Committee, and the Dundee Partnership Management Group. Communication Strategy 2018-2021 and annual progress updates. Council Leadership Team meetings. Service plans and regular progress updates. Thematic plans. Performance Management Framework 2021-24. Sustainable Procurement Policy. Dundee Climate Change Action Plan.	4	N
		1.2 Specify the intended impact on or changes for stakeholders including citizens and service users. It could be immediately or over the course of a year or longer.	Community engagement or involvement. Corporate and Service Performance Scorecards. Community strategy. Integrated Impact Assessment Tool. Dundee Climate Change Action Plan. Dundee Decides / Engage Dundee. Mainstreaming Participatory Budgeting. Improving Services through Listening to Customers and Service Users. Community Wealth Building in Dundee. City and Council Plans, with twice yearly progress updates against strategic actions and key performance indicators in both Plans presented in a combined report to the Council Leadership Team, to Committee, and the Dundee Partnership Management Group.	4	Y
		1.3 Deliver defined outcomes on a sustainable basis within the resources that will be available.	Regular reports on progress to Committee. Performance Management Framework 2021-24.	4	N

| | | 1.4 | Identify and manage risks to the achievement of outcomes. | Performance trends are established and reported upon.
Risk Management Policy and Strategy, Corporate and Services' Risk Registers, Risk Management Improvement Plan with regular updates to committee.
Risk Management Working Group (Quarterly)
Integrity Group with standing agenda item of horizon scanning.
Internal audit function.
Integrated Impact Assessment. | 4 | N |
| | | 1.5 | Manage service users' expectations effectively with regard to determining priorities and making the best use of the resources available. | An agreed set of quality standard measures for each service element are included in service plans.
Service quality comparators and analysis.
Local Government Benchmarking Framework-Annual Public Performance Reports.
Processes for dealing with competing demands within the community.
Improving Services through Listening to Customers and Service Users. | 4 | N |

PRINCIPLE C (cont'd)		Defining outcomes in terms of sustainable economic, social and environmental benefits				
Supporting Principle		**The local code should reflect the requirements for local authorities to:**		**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
2	Sustainable economic, social and environmental benefits	2.1	Consider and balance the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision.	Capital investment is structured to achieve appropriate life spans and adaptability for future use so that resources are spent on optimising social, economic and environmental well-being: - Capital programme, - Capital Investment Strategy, - Capital Strategy. Long-term Financial Outlook and Financial Strategy 2020-2030. Integrated Impact Assessment. Best Value Assurance Report – Action Plan Progress Updates.	4	N
		2.2	Take a longer-term view with regard to decision-making taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints.	Discussion between members and officers on the information needs of members to support decision-making. Record of decision-making and supporting materials. Risk Management Policy and Strategy, Corporate Risk Register and Risk Management Improvement Plan. Risk Management Working Group Long-term Financial Outlook and Financial Strategy 2020-2030. Capital Plan.	4	N
		2.3	Determine the wider public interest associated with balancing conflicting interests between achieving the various economics, social and environmental benefits through consultation where possible. In order to ensure appropriate trade-offs.	Record of decision-making and supporting materials. Protocols for consultation. Dundee Decides / Engage Dundee. Improving Services through Listening to Customers and Service Users. Integrated Impact Assessment.	4	N

		2.4	Ensure fair access to services.	Protocols ensure fair access and statutory guidance is followed. Customer Charter. Equalities Mainstreaming Report. Fairness Strategy.	4	N

PRINCIPLE D	Determine the interventions necessary to optimise the achievement of the intended outcomes.				
Supporting Principle		**The local code should reflect the requirements for local authorities to:**		**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
1	Determining interventions	1.1	Ensure decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and include the risks associated with those options.	Discussion between members and officers on the information needs of members to support decision-making. Decision-making protocols. Option appraisal guidance and template. Agreement of information that will be provided and timescales.	4	N
		1.2	Consider feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts.	Financial strategy. Customer surveys used for service planning. Stakeholder surveys. Councillors' constituent feedback. Internal feedback. Complaints / Compliments feedback. Improving Services through Listening to Customers and Service Users. Performance Management Framework 2021-2024. Dundee Decides / Engage Dundee.	4	N
2	Planning interventions	2.1	Establish and implement robust planning and control cycles that cover strategic and operational plans, priorities and targets.	Calendar of dates for developing and supporting plans. Performance Management Framework 2021-2024.	4	N
		2.2	Engage with internal and external stakeholders in determining how services and other courses of action should be planned and delivered.	Community plans. Participatory Budgeting: Dundee Decides. Citizen Survey. Employee Survey. Community Councils. Community Representation Bodies. Improving Services through Listening to Customers and Service Users. Dundee Decides / Engage Dundee.	4	N

		2.3	Consider and monitor risks facing each partner when working collaboratively including shared risks.	Partnership framework. Risk Management Policy and Strategy, Corporate and Services' Risk Registers and Risk Management Improvement Plan, and Risk Management Framework. Risk Management Working Group Pan-Tayside Chief Internal Auditors meeting. Tayside Wide Risk Management Group (IJB/Health and local authority reps)	4	N	
		2.4	Ensure arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances.	Planning protocols.	4	N	
		2.5	Establish appropriate Key Performance Indicators (KPI's) as part of the planning process to identify how the performance of services and projects is to be measured.	KPI's have been established and approved for each service element and included in the Council Plan and are reported upon regularly (Currently under review for inclusion in Performance Scorecards from Corporate Performance Management system). Service Plans with regular progress updates.	4	N	
		2.6	Ensure capacity exists to generate the information required to review service quality regularly.	Reports include detailed performance results and highlight areas where corrective action is necessary. Corporate Performance Management system. Performance Management Framework 2021-2024. Best Value Assurance Report – Action Plan Progress Updates.	4	N	
		2.7	Prepare budgets in accordance with organisational objectives, strategies and the medium term financial plan.	Evidence that budgets, plans and objectives are aligned. Capital Investment Strategy. Capital Strategy. Three-year Revenue Budget. Long-term Financial Outlook and Financial Strategy 2020-2030. Financial Implications of the Council's Response to the Covid 19 Emergency and Financial Recovery Plan and update reports.	4	N	

		2.8	Inform medium and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy.	Budget guidance and protocols. Long-term Financial Outlook and Financial Strategy 2020-2030. Corporate plans. Capital Investment Strategy. Capital Strategy. Three-Year Revenue Budget. Financial Implications of the Council's Response to the Covid 19 Emergency and Financial Recovery Plan and update reports.	4	N

PRINCIPLE D (cont'd)		Determine the interventions necessary to optimise the achievement of the intended outcomes.			
Supporting Principle		**The local code should reflect the requirements for local authorities to:**	**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
3	Optimising achievement of intended outcomes	3.1 Ensure the medium-term financial strategy integrates and balances service priorities, affordability and other resource constraints.	Feedback surveys and exit / decommissioning strategies. Long-term Financial Outlook and Financial Strategy 2020-2030. Three-Year Revenue Budget. Budget Guidance and Protocols. Financial Implications of the Council's Response to the Covid 19 Emergency and Financial Recovery Plan and update reports.	4	N
		3.2 Ensure the budget process is all inclusive, taking into account the full cost of operations over the medium and longer-term.	Budgeting guidance and protocols. Long-term Financial Outlook and Financial Strategy 2020-2030. Corporate plans. Capital Investment Strategy. Capital Strategy. Three-Year Revenue Budget. Financial Implications of the Council's Response to the Covid 19 Emergency and Financial Recovery Plan and update reports.	4	N
		3.3 Ensure the medium-term financial strategy sets the context for on-going decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage.	Financial strategy. Long-term Financial Outlook and Financial Strategy 2020-2030. Corporate plans. Capital Investment Strategy. Capital Strategy. Capital Plan. Three-Year Revenue Budget. Financial Implications of the Council's Response to the Covid 19 Emergency and Financial Recovery Plan and update reports.	4	N
		3.4 Ensure the achievement of "social value" through service planning and commissioning.	Service Performance Scorecards demonstrate consideration of "social value." Achievement of "social value" is monitored and reported upon. Corporate Procurement Strategy. Equalities. Integrated Impact Assessments.	4	Y

PRINCIPLE E	Developing the entity's capacity, including the capability of its leadership and the individuals within it				
Supporting Principle		**The local code should reflect the requirements for local authorities to:**		**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
1	Develop the entity's capacity	1.1	Review operations, performance and use of assets on a regular basis to ensure their continuing effectiveness.	Regular review of activities, outputs and planned outcomes. Property Asset Management Plan.	3	Y
		1.2	Improve resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's resources are allocated so that outcomes are achieved effectively and efficiently.	Utilisation of research and benchmarking exercises e.g. APSE, CIPFA, Insight. LGBF indicators. LGBF-Annual Public Performance Reports. Improvement Service benchmarking study groups. Changing for the Future Board. Efficiency savings. Public Sector Improvement Framework. STEP programme. Performance Management Framework 2021-2024. Benchmarking via professional national groups e.g. SLACIAG.	4	N
		1.3	Recognise the benefits of partnerships and collaborative working where added value can be achieved.	Integrated Joint Board. Other Joint Boards, Joint Committees, and Arms-Length External Organisations (ALEOs). Effective operation of partnerships which deliver agreed outcomes. Joint Consultation Arrangements including with the Trades Unions. Local Outcomes Improvement Plan: City Plan. Community Plan. Pan Tayside Chief Internal Auditors meeting. Community Wealth Building in Dundee.	4	N
		1.4	Develop and maintain an effective workforce plan to enhance the strategic allocation of resources.	Organisational development plan. CPD and e-learning. Our People and Workforce Strategy. Our People Charter. Employee and member briefings.	3	Y

PRINCIPLE E (cont'd)		Developing the entity's capacity, including the capability of its leadership and the individuals within it			
Supporting Principle		**The local code should reflect the requirements for local authorities to:**		**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
2	Develop the capability of the entity's leadership and other individuals.	2.1	Develop protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained.	Job descriptions. Person specifications. Chief Executive and Executive Directors have considered how best to establish and maintain effective communication.	4	N
		2.2	Publish a statement that specifies the types of decisions that are delegated and those reserved for the collective decision-making of the governing body.	Scheme of delegation reviewed at least annually in the light of legal or organisational changes. Standing orders and financial regulations which are reviewed on a regular basis.	4	N
		2.3	Ensure the leader and the chief executive have clearly defined and distinctive leadership roles within a structure, whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority.	Clear statement of respective roles and responsibilities and how they will be put into practice.	4	N

PRINCIPLE E (cont'd)	Developing the entity's capacity, including the capability of its leadership and the individuals within it				
Supporting Principle		**The local code should reflect the requirements for local authorities to:**	**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
		2.4 Develop the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by	Access to courses / information briefings on new legislation. Leadership strategy and programme. Collective training events. Improvement Service masterclasses and courses. Leading Team Dundee. Leadership Conference.	4	N
		- ensuring members and staff have access to appropriate induction tailored to their role and that on-going training and development matching individual and organisational requirements is available and encouraged	Induction programme. Personal development plans for members and officers. Employee Performance and Development Framework.	3	Y
		- ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensure that they are able to update their knowledge on a continuing basis.	For example, for members this may include - - scrutinise and challenge, - recognise when outside expert advice is required, - promote trust, - work in partnership, - lead the organisation, - act as a community leader. (through CPD training and IS masterclasses). Other externally developed management programmes.	3	Y

PRINCIPLE E (cont'd)	Developing the entity's capacity, including the capability of its leadership and the individuals within it				
Supporting Principle		The local code should reflect the requirements for local authorities to:	Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
		- ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from both internal and external governance weaknesses	Elected Members CPD. National Code of Conduct. Members Checklist. Efficient systems and technology used for effective support. Arrangements for succession planning. Documented shared values. Communicated shared values.	4	N
		2.5 Ensure that there are structures in place to encourage public participation.	Residents' panels. Stakeholder forum terms of reference. Strategic partnership frameworks. Community Councils. Suggestion schemes. Participatory Budgeting: Dundee Decides / Engage Dundee. Mainstreaming Participatory Budgeting. Improving Services through Listening to Customers and Service Users. Community Wealth Building in Dundee.	4	N
		2.6 Take step to consider the leadership's own effectiveness and ensure leaders are open to constructive feedback from peer review and inspections.	Review individual member performance on a regular basis taking account of their attendance and considering any training or development needs. Peer reviews.	4	N
		2.7 Hold staff to account through regular performance reviews which take account of training or development needs.	Training and development plan. Staff development plans linked to appraisals. Implement appropriate Human Resource policies and ensure they are working effectively. Personal Harassment Procedure. Disciplinary Procedures. Our People and Workforce Strategy 2019-2022. Anti-Bribery Policy.	4	N

PRINCIPLE E (cont'd)	Developing the entity's capacity, including the capability of its leadership and the individuals within it				
Supporting Principle		The local code should reflect the requirements for local authorities to:	Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
		2.8 Ensure arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing.	Human Resource policies. Regular health e-mail bulletins. Healthy Living Initiative. Occupational Health. Healthy Working Lives Group. Health and Wellbeing Framework 2018-2021. Policy on Promoting Health and Attendance. Tayside Mental Health and Wellbeing Strategy.	4	N

PRINCIPLE F		Managing risks and performance through robust internal control and strong public financial management.			
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
1	Managing risk	1.1	Recognise that risk management is an integral part of all activities and must be considered in all aspects of decision-making.	Risk management protocol. Risk Management Policy and Strategy. Corporate and Service level Risk Registers. Risk Management Improvement Plan. Risk Management Framework. Risk Management Working Group Risk training and guidance. E-learning courses on risk.	4	N
		1.2	Implement robust and integrated risk management arrangements and ensure that they are working effectively.	Risk Management Policy and Strategy, Corporate and Services' Risk Registers, Risk Management Improvement Plan, and Risk Management Framework.	4	N
		1.3	Ensure that responsibilities for managing individual risks are clearly allocated.	Risk management protocol. Risk Management Policy and Strategy, Corporate and Services' Risk Register, Risk Management Improvement Plan includes allocation of actions to responsible officers and groups, and Risk Management Framework. Corporate Risk Management Working Group and Risk Champions.	4	N
2	Managing performance	2.1	Monitor service delivery effectively including planning, specification, execution and independent post-implementation review.	Performance map showing all key activities have performance measures. Benchmark information. Calendar of dates for submitting, publishing and distributing timely reports that are adhered to. Performance Management Framework 2021-2024.	4	N
		2.2	Make decisions based on relevant, clear, objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook.	Discussion between members and officers on the information needs of members to support decision-making. Publication of agendas and minutes of meetings. Agreement on the information that will be needed and timescales. Integrated Impact Assessments.	4	N

PRINCIPLE F (cont'd)		Managing risks and performance through robust internal control and strong public financial management.			
Supporting Principle		The local code should reflect the requirements for local authorities to:	Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
		2.3 Ensure an effective scrutiny function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible.	The role and responsibility for scrutiny has been established and is clear. Agenda and minutes of scrutiny meetings. Evidence of improvements as a result of scrutiny. Terms of reference. Training for members. Membership of scrutiny committee drawn from opposition groups.	4	N
		2.4 Provide members and senior management with regular reports on service delivery plans and on progress towards outcome achievement.	Calendar of dates for submitting, publishing and distributing timely reports that are adhered to. Performance reports. Quarterly performance reports. Statutory Performance Indicators. LGBF-Annual Public Performance Reports. Other indicators. Performance Management Framework 2021-24. Best Value Assurance Report – Action Plan Progress Updates.	4	N
		2.5 Ensure there is consistency between specification stages (such as budgets) and post-implementation reporting.	Financial standards, guidance. Financial Regulations and Standing Orders.	4	N
3	Robust internal control	3.1 Align the risk management strategy and policies on internal control with achieving objectives.	Risk Management Policy and Strategy, Corporate and Services' Risk Registers, Risk Management Improvement Plan, and Risk Management Framework. Internal Audit Annual Plan and progress updates. Internal and external audit reports. Annual Report of Senior Manager – Internal Audit.	4	N

PRINCIPLE F (cont'd)		Managing risks and performance through robust internal control and strong public financial management.			
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
N		3.2	Evaluate and monitor risk management and internal control on a regular basis.	Risk Management Improvement Plan has been formally approved and adopted and is reviewed and updated on a regular basis. Senior Manager – Internal Audit reviews governance, risk management and control annually.	4	N
Y		3.3	Ensure effective counter fraud and anti-corruption arrangements are in place.	Compliance with CIPFA Code of Practice on Managing the Risk of Fraud and Corruption. Anti-fraud and corruption policies. Up-to-date register of interests. Up-to-date register of gifts and hospitality. Whistle-blowing policy in place and widely available. Annual Corporate Fraud Team Activity and Performance Report, including Whistleblowing. Complaints policy and ensuing improvements. Members and officers code of conduct. Minutes show declarations of interest. People Strategy. Pension newsletter. Intranet. Employee handbook. Corporate Integrity Group. Compliance Group. Risk Management Policy and Strategy. Corporate Procurement Strategy 2018-2020. National Fraud Initiative. Anti-Bribery Policy. Anti-Money Laundering Policy and Risk Register. Serious Organised Crime Group.	3	Y

PRINCIPLE F (cont'd)	Managing risks and performance through robust internal control and strong public financial management.				
Supporting Principle		**The local code should reflect the requirements for local authorities to:**		**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
		3.4	Ensure additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor.	Annual Governance Statement. Effective internal audit service is resourced and maintained. Senior Manager - Internal Audit's annual opinion on the organisation's governance, risk management and control framework. Annual Internal Audit Plan. Internal Audit Plan Progress Reports. PSIAS External Quality Assessment.	4	N
		3.5	Ensure an audit committee or equivalent group or function which is independent of the executive.	Scrutiny Committee complies with best practice. Terms of reference. Membership. Training. Senior Manager – Internal Audit reports functionally to the Scrutiny Committee and meets all members from the committee on an annual basis to discuss the risks facing the organisation.	4	N
4	Managing data	4.1	Ensure effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data.	Data management framework and procedures. Designated Data Protection Officer. Data Protection policies and procedures. Record Retention. Data Protection Policy. Data Breach Management Procedure. Dedicated Information Governance resources. IT Strategy. Data Centre Upgrade.	4	Y
		4.2	Ensure effective arrangements are in place and operating effectively when sharing data with other bodies.	Data sharing agreements. Data sharing register. Data processing agreements. IT Strategy.	4	N
		4.3	Review and audit regularly the quality and accuracy of data used in decision-making and performance monitoring.	Data quality procedures and reports. Data validation procedures.	4	N

PRINCIPLE F (cont'd)		Managing risks and performance through robust internal control and strong public financial management.			
Supporting Principle		The local code should reflect the requirements for local authorities to:	Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
5	Strong public financial management	5.1 Ensure financial management supports both long-term achievement of outcomes and short-term financial and operational performance.	Financial management supports the delivery of services and transformational change as well as securing good stewardship. Long-term Financial Outlook and Financial Strategy 2020-2030. Three-Year Revenue Budget. Capital Plan. Capital Investment Strategy. Capital Strategy. Financial Implications of the Council's Response to the Covid 19 Emergency and Financial Recovery Plan and update reports.	4	N
		5.2 Ensure well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.	Budget monitoring reports. Long-term Financial Outlook and Financial Strategy 2020-2030. Three-Year Revenue Budget. Capital Plan. Capital Investment Strategy. Capital Strategy. Financial Implications of the Council's Response to the Covid 19 Emergency and Financial Recovery Plan and update reports. Compliance with CIPFA's Financial Management Code.	4	N

PRINCIPLE G		Implement good practices in transparency, reporting and audit to deliver effective accountability.			
Supporting Principle		**The local code should reflect the requirements for local authorities to:**	**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
1	Implement good practice in transparency	1.1 Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate.	Website. Performance Bulletin. Public meetings. Council agendas, minutes and recordings available online.	4	N
		1.2 Strike a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand.	Annual Report. Performance data published on website. Performance Management Framework 2021-2024. Executive Summaries from all Internal Audit Reports presented to Scrutiny Committee.	4	N
2	Implementing good practices in reporting	2.1 Report at least annually on performance, value for money and the stewardship of resources.	Formal annual report which includes key points raised by external scrutineers and service users' feedback on service delivery LGBF Annual Report. Performance Management Framework 2021-2024.	4	N
		2.2 Ensure members and senior managers own the results.	Appropriate approvals. Performance Scorecards. Members training. Performance Management Framework 2021-2024.	4	N

PRINCIPLE G (cont'd)		Implement good practices in transparency, reporting and audit to deliver effective accountability.			
Supporting Principle		**The local code should reflect the requirements for local authorities to:**		**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
		2.3	Ensure robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publish the results on this assessment including an Action Plan for improvement and evidence to demonstrate good governance (annual governance statement).	Annual Governance Statement. Local Code of Corporate Governance Report. Compliance with CIPFA's Financial Management Code.	4	N
		2.4	Ensure that the Framework is applied to jointly managed or shared service organisations as appropriate.	Annual Governance Statement. Partnership agreements. Partnership principles and objectives. Memoranda of Understanding.	4	N
		2.5	Ensure the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations.	Format follows best practice as advised by the Improvement Service. LGBF performance indicators. Other performance indicators. Performance Management Framework 2021-2024.	4	N
3	Assurance and effective accountability.	3.1	Ensure that recommendations for corrective action made by external audit are acted upon.	Recommendations have informed positive improvement.	4	N

PRINCIPLE G (cont'd)	Implement good practices in transparency, reporting and audit to deliver effective accountability.				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
		3.2	Ensure an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon.	Compliance with CIPFA's Statement on the Role of the Head of Internal Audit. Compliance with Public Sector Internal Audit Standards. EQA report. Meetings held with all Scrutiny Committee Elected Members annually as part of the Internal Audit planning process.	4	N
		3.3	Welcome peer challenge, reviews and inspections from regulatory bodies and implement recommendations.	Recommendations have informed positive improvement. Inspectorate reports. EQA.	4	N
		3.4	Gain assurance on risks associated with delivering services through third parties which is evidenced in the annual governance statement.	Annual Governance Statement. Risk Management Policy and Strategy, Corporate Risk Register and Risk Management Improvement Plan.	4	N
		3.5	Ensure that when working in partnership, arrangements for accountability are clear and that the need for wider accountability has been recognised and met.	Community strategy. City Plan. Agreed values in partnership working. Protocols for partnership working. Partnership Framework.	4	N