

ITEM No ...10.....

REPORT TO: SCRUTINY COMMITTEE – 9 DECEMBER 2020
REPORT ON: LOCAL CODE OF CORPORATE GOVERNANCE
REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES
REPORT NO: 158-2020

1 PURPOSE OF REPORT

1.1 To present to Scrutiny 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 2019/2020 improvement action plan in Appendix 2.
- 2.3 approves the areas for improvements listed in Appendix 3 for 2020/2021.
- 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 & 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 Management 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, in line with last year, the Council continues to be 96% 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 55-point checklist covering seven 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; and Partnerships. That again indicated a high level of compliance, with an overall score above 92% (2018/2019: 89%).
- 5.5 The Local Code of Corporate Governance (LCCG) assesses governance in place during 2019/2020. Whilst the majority of the financial year was unaffected 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.

Decision Making Processes

The impact of the coronavirus affected the governance arrangements of the Council and its services, for example changes to the Council's decision-making arrangements and the conduct of meetings were introduced following a meeting with senior Elected Members on 19 March. The following procedures were implemented for Council Committee business immediately following that meeting:

- All non-essential Committee business was deferred to ensure that all Elected Members and Council Officers could concentrate the maximum possible time and effort on supporting the City through the crisis;
- Observing the Council's existing Scheme of Delegation of Powers to Officers ([Standing Orders](#) pages 153-199) in order to ensure that Services acted in accordance with the powers which the Council had already delegated;
- All essential Committee business which was not covered by the Scheme of Delegation of Powers to Officers was dealt with as Urgent Matters Arising Between Meetings (i.e. by the Chief Executive / relevant Executive Director, in consultation with the nominated Member of the Administration Group, nominated Members of the Labour Group, Conservative Group and Liberal Democrat Group, the Independent Member and the Lord Provost); and
- To facilitate the conduct of the Council's business over the Summer period as the City of Dundee continued to respond to COVID-19 and gradually exit Lockdown, a short-life Recovery Sub-Committee of the Council was established in June 2020 to deal with matters of an urgent nature, which the Chief Executive or Head of Democratic and Legal Services believed could not wait until the next ordinary meeting of the Committee concerned. The operating arrangements for the Recovery Sub-Committee were as follows:
 - Membership - seven members of the Administration, four members of the Labour Group, one member of the Conservative Group and one member of the Liberal Democrat Group. In terms of Standing Order 45(3), substitutions will be permitted;
 - Chair - Leader of the Administration or nominee;
 - Quorum - five members;
 - Dates - to be arranged for Mondays at 6pm when required (in person or remotely as appropriate);
 - Remit - to deal with any urgent business arising during the Summer period; and
 - Powers - full delegated powers to deal with all business laid before it.

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. Essential Council business items that had been dealt with as Urgent Matters Arising Between Meetings were reported to the relevant committees for noting.

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 and Self-Isolation Support Grant;
- 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](#)) and December 2020 ([Report 308-2020](#));
- 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 ([Report 185-2020](#)) 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 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.

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. This was again highlighted by

the Councils response to the Covid crisis. 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.

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 Management 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).

GREGORY COLGAN
EXECUTIVE DIRECTOR OF CORPORATE SERVICES

23 NOVEMBER 2020

DUNDEE CITY COUNCIL**LOCAL CODE OF CORPORATE GOVERNANCE (2019/2020)****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.

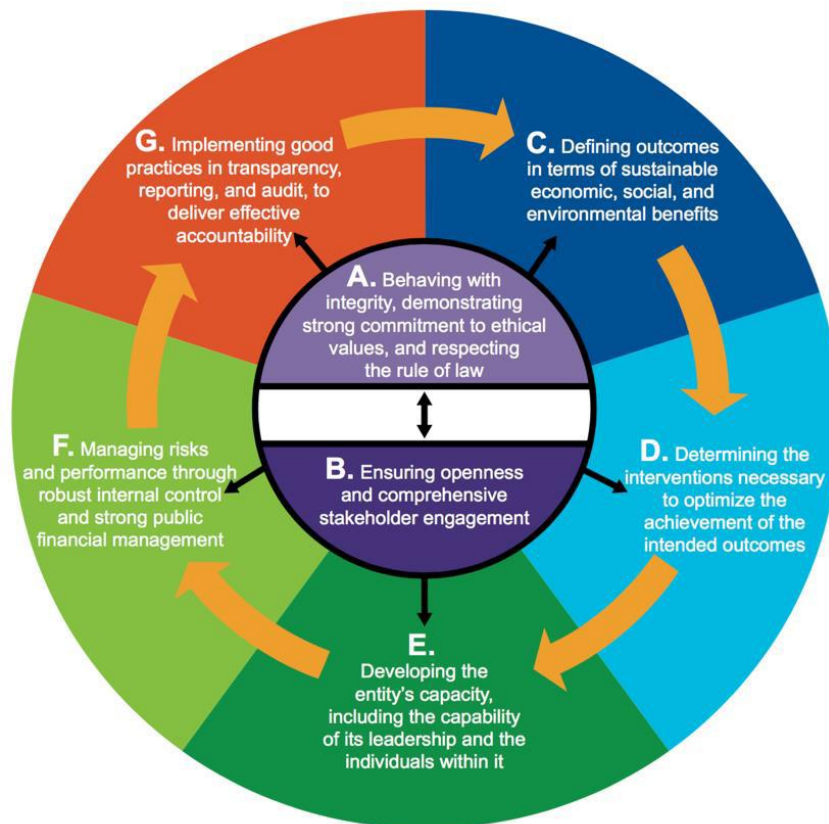
The Council is committed to effective decision-making that is transparent and open to genuine scrutiny. To support this, it provides on its website (www.dundeeccity.gov.uk) details of its plans, policies, procedures and performance.

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 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 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.

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 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. 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.

Recently the Council has 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.

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. 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.

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.

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 Corporate Performance Management Framework 2018-2022 ([Report 252-2018](#)) 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.

Over the remainder of the 2020/2021 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 Executive Management Team meets monthly for topic specific focus on key strategic areas. The wider Council Management 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 and Executive Director 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](#), reflecting the changing risks and priorities of the Council.

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

The Corporate Performance Management Framework 2018-2022 ([Report 252-2018](#)) 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 Management Team, the Council's Scrutiny Committee, the Policy and Resources Committee and the Dundee Partnership Management Group twice yearly ([Report 366-2019](#)). 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 Local Government Benchmarking Framework (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 103-2019](#)). 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.

Recent notable performance improvements include:-

- Restructuring of Council Committees
- User friendly Performance Bulletin in the local newspaper
- Progress on Dundee Waterfront
- Community Asset Transfer Strategy
- Implementation of a new Council website
- Implementation of a new Council intranet system
- Implementation of a new Our People and Workforce Strategy
- Adoption of 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
- Implementation of a new Digital Strategy to guide investment in ICT
- The launch of a new "extranet" - OneDundee On The Move - which has extended access to corporate information and policies to employees who do not have day-to-day access to IT facilities
- The launch of a new social media policy which empowers service areas to harness these powerful communications channels while mitigating the potential risks, for example embedding social media into the Council's Customer Services, allows stakeholders to engage with the Council in a different and convenient way. The "answer once for everyone" nature of social media is being harnessed to reduce call volumes.

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.

Job Descriptions have been produced for members in general and for the Leader of the Administration in particular.

DUNDEE CITY COUNCIL**CONTINUOUS IMPROVEMENT AGENDA FOR 2019/2020 – WITH PROGRESS UPDATES**

The Council's Corporate Governance working group identified the following areas for improvement to be taken forward during 2019/2020. Full details are included in the Council's Local Code of Corporate Governance (<https://www.dundee.gov.uk/reports/reports/202-2019.pdf>) and the 2018/2019 Annual Governance Statement (<https://www.dundee.gov.uk/reports/reports/224-2019.pdf>).

ORIGINAL IMPROVEMENT AGENDA ON 2018/2019 LOCAL CODE OF CORPORATE GOVERNANCE AND ANNUAL GOVERNANCE STATEMENT REPORTS						PROGRESS UPDATES	
	Improvement	Source	Details	Responsible Officer	Target Completion Date	Actual Completion Date	Comments (e.g. Estimated Completion Date, Reasons for delays, etc.)
1	Develop Ethical Values Framework.	Local Code of Corporate Governance 2017/2018. (Principle A: Integrity & Ethics). Report 223-2017	Carried forward from 2018/2019. In progress.	Head of Democratic and Legal Services.	30/9/2019	13/3/2020	Approved at Corporate Services Management Team (CSMT) on 10/1/2020. Circulated to all staff on 13/3/2020.
2	Update Corporate Asset Management Strategy.	Local Code of Corporate Governance 2017/2018. (Principle E: Developing the Entity). Report 223-2017	Carried forward from 2018/2019. In progress.	Executive Director of Corporate Services.	31/3/2020		Likely to be delayed until 31/12/2020. * Property Asset Management Plan was approved at City Development Committee on 27/1/2020 Report 37-2020
3	Develop Risk Management Framework.	Local Code of Corporate Governance 2017/2018. (Principle F: Managing Risk). Report 223-2017	Carried forward from 2018/2019. In progress.	Executive Director of Corporate Services.	30/9/2019	30/11/2019	A comprehensive Risk Management Framework is in place. This includes: <ul style="list-style-type: none"> • a revised Risk Management Policy & 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 Pentana risk

							management software to enable effective monitoring of the council's risks.
4	Continue to develop Business Continuity Strategy.	Local Code of Corporate Governance 2017/2018. (Principle F: Managing Risk). Report 223-2017	Carried forward from 2018/2019. In progress.	Service Manager - Community Safety and Resilience.	31/3/2020		<p>Two full day training sessions for Services organised and delivered during 2019.</p> <p>Services were originally required to submit their completed BCP's by 31 March 2020. Item was discussed at Senior Officer Resilience Group on 24 January 2020 with reminders sent out to attendees at the Business Continuity Workshops.</p> <p>These 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 as the industry standard will swing far more to assurance around leadership, delegation, built-in flexibility in organisations, and defining capabilities.</p> <p>*</p>
5	Launch a new Social Media Policy.	Local Code of Corporate Governance 2018/2019. (Principle B: Openness & engagement). P&R Report 190-2018	Carried forward from 2018/2019. In progress. Source: Corporate Communication Strategy 2018-2021.	Service Manager Communications.	30/9/2019	12/9/2019	Social media policy and supporting handbook issued to employees.
6	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 2018/2019. In progress.	Head of IT and Customer Services.	31/12/2019		The Council has developed an IT Strategy which will include this action to review the suitability of organisational systems. Revised target date of 31/12/2020. *
7	Re-launch Anti-Money Laundering Policy and Guidance.	Annual Governance Statement 2018/2019. (SAC: Fraud Prevention & Detection section). Report 214-2018	Carried forward from 2018/2019. In progress.	Financial Services and Investment Manager.	31/5/2019		In progress. Expected to complete by end of March 2020 but delayed due to Covid 19 crisis. Revised target date of 31/12/2020. *
8	Develop Service level Risk Registers	Annual Governance Statement 2018/2019. (SAC: Risk Management & Business Continuity section). Report 214-2018	Carried forward from 2018/2019. In progress.	CMT.	30/9/2019	30/11/2019	Service level risk registers have been developed from a series of comprehensive workshops and follow-up actions across all service areas. These have now largely reached 'business as usual' stage, and further

							discussions and monitoring will be ongoing on this basis. Risk register development has now extended to more granular risk registers in relation to specific areas of higher risk and this will also be ongoing.
9	Develop a Serious Organised Crime Guide.	Serious Organised Crime Newsletter, June 2018. Issue 1		Head of Corporate Finance.	31/3/2020		Work ongoing with Public Relations on awareness raising. Expected to be complete by 31/3/2020, but delayed due to Covid 19 crisis. Revised target date of 31/12/2020. * In Dec 2019, Police Scotland's "Spotting Signs of SOC" material on Intranet and Awareness Raising sessions were held.
10	Replace Construction Services' Costing System.			Head of Construction and Head of IT and Customer Services.	31/3/2020		In progress. Work has been done to establish that the Total Repairs software purchased to support the Repairs & Maintenance operations will suffice as a contract costing system for all of Construction operations. Recently, the Total Mobile Group has acquired Cloud Dialogs, a provider of cloud-based Repairs Management solutions, which will supersede the Total Repairs product. An assessment of the feasibility of transitioning to Cloud Dialogs is planned. Currently in discussions with the provider to re-plan the implementation, likely 'go live' date will be no later than 31/3/2021. *
11	Develop further the Governance Arrangements in place with significant partnerships.		Further consideration to be given to Health and Social Care and Tay Cities Deal (TCRJC also mentioned in IA 2019/20 Audit Plan).	Executive Director of Corporate Services.	31/3/2020		Governance arrangements will be reviewed for significant partnerships with the Head of Democratic and Legal Services to determine whether current arrangements are appropriate. Revised target date of 31/12/2020. *
12	Develop further the Governance Arrangements in place with		Adoption / Formalising of the Property, Housing and Construction Services	Executive Director of Neighbourhood Services, City Development, and	31/3/2020		Oversight arrangements for joint working between Housing, Property and Construction have been refined throughout 2019/2020 and a Steering

	significant partnerships.		Partnership is key action for 2019.	Corporate Services.			Group and an Executive Group are in place. Personnel changes in various key positions within the partner services have delayed us in terms of formalising the existing partnership working but this will be prioritised over the remainder of the financial year. *
13	Develop Data Protection Policy.	Internal Audit section (Ref 2012/36).		Information Governance Manager.	31/12/2019	September 2019	Signed off as per new procedures by CSMT. Email on 5 Nov 2019 to Senior Management to cascade. Added to external website: https://www.dundee.gov.uk/service-area/corporate-services/democratic-and-legal-services/data-protection and OneDundee: https://onedundee.dundee.gov.uk/local-government-employees-lge/data-protection
14	Develop Reportable Incidents Policy.	Internal Audit section (Ref 2012/36).		Information Governance Manager.	31/12/2019	September 2019	Signed off as per new procedures by CSMT. Email on 5 Nov 2019 to Senior Management to cascade. Added to One Dundee: https://onedundee.dundee.gov.uk/local-government-employees-lge/data-protection
15	Revise Corporate Fraud Policy.	Internal Audit section (Ref 2014/08).		Senior Manager – Internal Audit.	31/3/2020		Update on planned improvements to the Corporate Fraud and Corruption Policy: The Council's Fraud Governance Internal Audit Report (No. 2018/21) details that, from a review of the document, it could be enhanced in view of good practice policy documents by either introducing/ incorporating the following or improving on what already exists: <ul style="list-style-type: none"> • Statement of intent – from senior executive. • Defining fraudulent activity properly – giving examples in sufficient detail. • A detailed fraud risk register is maintained, which is refreshed regularly and updated if there is a material change in the Council which impacts on fraud risk. • How does the policy apply to Council

							<p>staff – Making it more relevant; roles and responsibilities section could be more fraud specific.</p> <ul style="list-style-type: none"> • The organisation's obligations under the policy, and the team's; what red flags are and what to do to report suspicions. • Checklist of what to do and not to do when fraud is suspected. • Reference to Public Interest Disclosure Act. • Confidentiality - including a statement, in the fraud policy, ensuring that confidentiality will be maintained (where possible). • If proven / if not proven – what will happen. • The policy should refer to the current fraud governance and reporting arrangements. • Links to intranet, with up to date contact details. • Links to other relevant policies. <p>We are currently working on developing a comprehensive Corporate Fraud Risk Register, which should also help inform the content of the policy.</p> <p>The revised Corporate Fraud Policy has been drafted and is awaiting review before it can be finalised. *</p>
16	Formally map out all Emergency Planning duties & responsibilities.	Internal Audit Report 2016/27. Report 44-2018		Executive Director of Neighbourhood Services.	31/3/2020	30/11/19	Duties and responsibilities mapped out in renewed Generic Emergency Plan and through working paper produced for Senior Officer Resilience Group.
17	Develop Service Area Scorecards in the Corporate Performance Management system.	Internal Audit Report 2017/22, 23 and 24. Report 374-2018		Transformation and Performance Manager.	31/3/2020		In progress. Service Area Scorecards are being developed, continued training on Corporate Performance Management System is being provided and scorecards set up for Executive Directors to discuss with their teams that incorporate the key priority targets, actions and risks. *

18	Develop a new Workforce Strategy.	Council Plan 2017-2022 Progress Report. Report 251-2018		Head of Human Resources and Business Support.	31/3/2020	30/9/2019	Our People and Workforce Strategy was approved by P&R Committee on 30 September 2019.
19	Develop Long-Term Financial Planning for Revenue Resources.	External Audit Annual Audit Report 2017/2018 Report 308-2018 and Audit Scotland's Local Government in Scotland: Challenges and Performance 2019. Reports 166-2019		Executive Director of Corporate Services.	31/12/2019	19/8/2019	Long-Term Financial Outlook and Financial Strategy 2020-2030 approved at Policy & Resources Committee.

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

DUNDEE CITY COUNCIL**CONTINUOUS IMPROVEMENT AGENDA FOR 2020/2021**

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 2020/2021:

	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 2019/2020. In progress.	Executive Director of City Development.	31/12/2020
2	Continue to develop Business Continuity Strategy.	Local Code of Corporate Governance 2017/2018. (Principle F: Managing Risk). Report 223-2017	Carried forward from 2019/2020. In progress.	Service Manager - Community Safety and Resilience.	31/3/2021
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 2019/2020. In progress.	Head of IT and Customer Services.	31/12/2020
4	Re-launch Anti-Money Laundering Policy and Guidance.	Annual Governance Statement 2018/2019. (SAC: Fraud Prevention & Detection section). Report 214-2018	Carried forward from 2019/2020. In progress.	Financial Services and Investment Manager.	31/12/2020
5	Develop a Serious Organised Crime Guide.	Serious Organised Crime Newsletter, June 2018. Issue 1	Carried forward from 2019/2020. In progress.	Head of Corporate Finance.	31/12/2020
6	Replace Construction Services' Costing System.		Carried forward from 2019/2020. In progress.	Head of Construction and Head of IT and Customer Services.	31/3/2021
7	Develop further the Governance Arrangements in place with significant partnerships.		Carried forward from 2019/2020. In progress. Further consideration to be given to Health and Social Care and Tay Cities Deal (TCRJC also mentioned in Internal Audit 2019/2020 Audit Plan).	Executive Director of Corporate Services.	31/12/2020
8	Develop further the Governance Arrangements in place with significant partnerships.		Carried forward from 2019/2020. In progress. Adoption / Formalising of the Property, Housing and Construction	Executive Director of Neighbourhood Services, City Development, and Corporate Services.	31/12/2020

			Services Partnership is key action for 2020.		
9	Revise Corporate Fraud Policy.	Internal Audit section (Ref 2014/08).	Carried forward from 2019/2020. In progress.	Senior Manager – Internal Audit.	31/12/2020
10	Develop Service Area Scorecards in the Corporate Performance Management system.	Internal Audit Report 2017/22, 23 and 24. Report 374-2018	Carried forward from 2019/2020. In progress.	Transformation and Performance Manager.	31/12/2020
11	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 Report 68-2020	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.	31/3/2021
12	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 Report 68-2020	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.	31/3/2021
13	Strengthen the arrangements around capital projects.	Best Value Self-Assessment Report 68-2020 Report 68-2020	Ensure that robust business cases and regular and consistent Gateway reviews and post-project evaluations are undertaken for significant capital project.	Executive Director of Corporate Services.	31/3/2021
14	Address recurring areas for improvement in public protection in external scrutiny reports and internal self-evaluation activities.	Best Value Self-Assessment Report 68-2020 Report 68-2020		CMT	31/3/2021
15	Continue to improve Community Empowerment.	Best Value Self-Assessment Report 68-2020 Report 68-2020	Maintain the momentum gained from the Engage Dundee programme, this included the CoSLA award winning participatory budget process "Dundee Decides".	Service Manager – Communities.	31/3/2021
16	Embed regular monitoring and reporting on progress towards the UN sustainable development goals within performance reporting.	Best Value Self-Assessment Report 68-2020 Report 68-2020	The City-Wide Climate Change Action Plan is reported to Committee and this process needs to include wider sustainability goals.	Transformation and Performance Manager.	31/3/2021

17	Continue to embed a culture of improvement across the organisation.	Best Value Self-Assessment Report 68-2020 Report 68-2020	Managers and Leaders will ensure employees contribution to continuous improvement is supported, managed and reviewed.	Transformation and Performance Manager.	31/3/2021
18	Assess and report on the potential impacts of Brexit, including the development and implementation of a comprehensive contingency plan.	Local Government in Scotland Financial Overview 2018/2019 Report 54-2020 Brexit Update Report 6-2020 Internal Audit Annual Audit Plan 2019/2020 Report 154-2019 Report 154-2019.		Head of Chief Executives Service.	31/12/2020
19	Embed Information Governance Assurance checklist in annual corporate governance assurance process.	Corporate Governance Assurance Statement Group's review of Annual Governance process.	Ensure results are reflected in 2020/2021 Annual Governance Statement.	Information Governance Manager / Head of Corporate Finance.	31/3/2021
20	Review the Council's response to Covid 19 crisis.		Including lessons learned, good practice, and areas for improvement.	Chief Executive / Executive Director of Corporate Services.	31/3/2021

The Council's Local Code of Corporate Governance 2019/2020 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 2019/2020 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. Ethical Values Framework. Social Media Policy. Data Protection Policy. Data Breach Management Procedure.	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. 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.	4	N
		1.4	Demonstrate, communicate and embed, the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively.	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. 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.	4	N

				<p>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 & Strategy. Corporate Procurement Strategy 2018-2020. Anti-Bribery Policy. 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.</p>		
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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.	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.	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. Terms of reference. Committee support.	3	Y

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.	4	N

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. Communication Strategy 2018-2021. Performance Management Framework 2018-2022.	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.	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.	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. Improving Services through Listening to Customers & Service Users. Performance Management Framework 2018-2022.	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.	Corporate Communication Strategy 2018-2021. Dundee Decides. Improving Services through Listening to Customers & Service Users. Performance Management Framework 2018-2022.	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 2018-2022.	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 2018-2022.	3	Y

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. Performance Management Framework 2018-2022.	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.	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. Joint needs assessment. Local Community Planning Partnerships. Dundee Decides. Community Councils. Community Representation Bodies. Citizen Survey. Performance Management Framework 2018-2022.	4	Y
		3.4	Implement effective feedback mechanisms in order to demonstrate how their views have been taken into account.	Communication Strategy 2018-2021. Consultations. 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. 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. Joint strategic needs assessment. Long-term Financial Outlook and Financial Strategy 2020-2030.	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. Council Plan. Communication Strategy 2018-2021. Council Management Team meetings. Local Outcomes Improvement Plan (City Plan). Service plans. Thematic plans. Performance Management Framework 2018-22. 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.	3	Y
		1.3	Deliver defined outcomes on a sustainable basis within the resources that will be available.	Regular reports on progress to Committee.	3	Y
		1.4	Identify and manage risks to the achievement of outcomes.	Performance trends are established and reported upon. Risk Management Policy & Strategy, Corporate and Services' Risk Registers, Risk Management Improvement Plan with regular updates to committee. Integrity Group with standing agenda item of horizon scanning. Internal audit function.	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. Processes for dealing with competing demands within the community.	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: <ul style="list-style-type: none"> - Capital programme, - Capital Investment Strategy, - Capital Strategy. Long-term Financial Outlook and Financial Strategy 2020-2030.	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 & Strategy, Corporate Risk Register & Risk Management Improvement Plan. Long-term Financial Outlook and Financial Strategy 2020-2030.	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.	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 appraisals. Agreement of information that will be provided and timescales.	3	Y
		1.2	Consider feedback from citizens and service users when making decisions about service improvements or where service 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. Complaints feedback. Councillors' constituent feedback. Internal feedback. Complaints / Compliments feedback. Improving Services through Listening to Customers & Service Users. Performance Management Framework 2018-2022.	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.	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. Community Councils. Community Representation Bodies.	4	Y
		2.3	Consider and monitor risks facing each partner when working collaboratively including shared risks.	Partnership framework. Risk Management Policy & Strategy, Corporate and Services' Risk Registers & Risk Management Improvement Plan and Risk Management Framework. Pan-Tayside Chief Internal Auditors meeting.	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)	
		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).	3	Y
		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 2018-2022.	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.	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.	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. Changes as a result. Medium-term Financial Plan. Three-Year Revenue Budget. Budget Guidance & Protocols.	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.	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. Three-Year Revenue Budget.	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.	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. Improvement Service benchmarking study groups. Changing for the Future Board. Efficiency savings. Public Sector Improvement Framework. STEP programme. Performance Management Framework 2018-2022. 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. 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.	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.	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.	3	Y
	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. Whistle-blowing Policy. 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.	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 & Strategy. Corporate and Service level Risk Registers. Risk Management Improvement Plan. Risk Management Framework. 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 & Strategy, Corporate and Services' Risk Registers, Risk Management Improvement Plan, and Risk Management Framework. Annual Internal Audit Plan identifies planned reviews against areas of risk identified in the ICT Resilience Report.	4	N
		1.3	Ensure that responsibilities for managing individual risks are clearly allocated.	Risk management protocol. Risk Management Policy & 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 2018-2022.	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.	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.	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. Other indicators. Performance Management Framework 2018-22.	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.	3	Y
3	Robust internal control	3.1	Align the risk management strategy and policies on internal control with achieving objectives.	Risk Management Policy & Strategy, Corporate and Services' Risk Registers, Risk Management Improvement Plan, and Risk Management Framework. Internal Audit Annual Plan and progress updates. Audit reports. Annual Report of Senior Manager – Internal Audit.	4	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.	3	Y

			Internal Audit currently reviewing the arrangements.		
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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)	
		3.3	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. Complaints policy and ensuing improvements. Members and officers code of conduct. Minutes show declarations of interest. People Strategy. Pension newsletter. Service newsletters. Intranet. Employee handbook. Corporate Integrity Group. Compliance Group. Risk Management Policy & Strategy. Corporate Procurement Strategy 2018-2020. National Fraud Initiative. Anti-Bribery Policy.	4	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	4	N

				annual basis to discuss the risks facing the organisation.		
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.	3	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.	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.	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 and minutes 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 2018-2022. 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 2018-2022.	4	N
		2.2	Ensure members and senior managers own the results.	Appropriate approvals. Performance Scorecards. Members training. Performance Management Framework 2018-2022.	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.	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 2018-2022.	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 & Strategy, Corporate Risk Register & 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

