

ITEM No ...6....

REPORT TO: POLICY AND RESOURCES COMMITTEE – 3 JUNE 2019

REPORT ON: LOCAL CODE OF CORPORATE GOVERNANCE

REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES

REPORT NO: 202-2019

1 PURPOSE OF REPORT

1.1 To review and update the Council's Local Code of Corporate Governance.

2 RECOMMENDATIONS

It is recommended that the Committee:-

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

2.2 notes the progress against the 2018/2019 improvement action plan in Appendix 2.

2.3 approves the implementation of the improvements listed in Appendix 3 for 2019/2020.

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 review seeks to maintain a high standard of corporate governance and to ensure continuous improvement. Previous compliance reviews suggested a high level of compliance with the guidelines although areas of improvement were identified and acted upon. These included the implementation of the corporate performance management systems, the development of performance reporting on the Council's website and the development of a Risk Management Policy & Strategy. 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 issues 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 the Appendix. The scoring mechanism suggests that the Council is 96% (2017/2018 = 94%) 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 will also help 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 complete a self-assessment checklist, in conjunction with their senior management teams, of their own governance, risk management and internal control arrangements. This involved 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. This again indicated a high level of compliance, with an overall score above 89% (2017/2018: 87%).

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

17 May 2019

DUNDEE CITY COUNCIL**LOCAL CODE OF CORPORATE GOVERNANCE (2018/2019)****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.

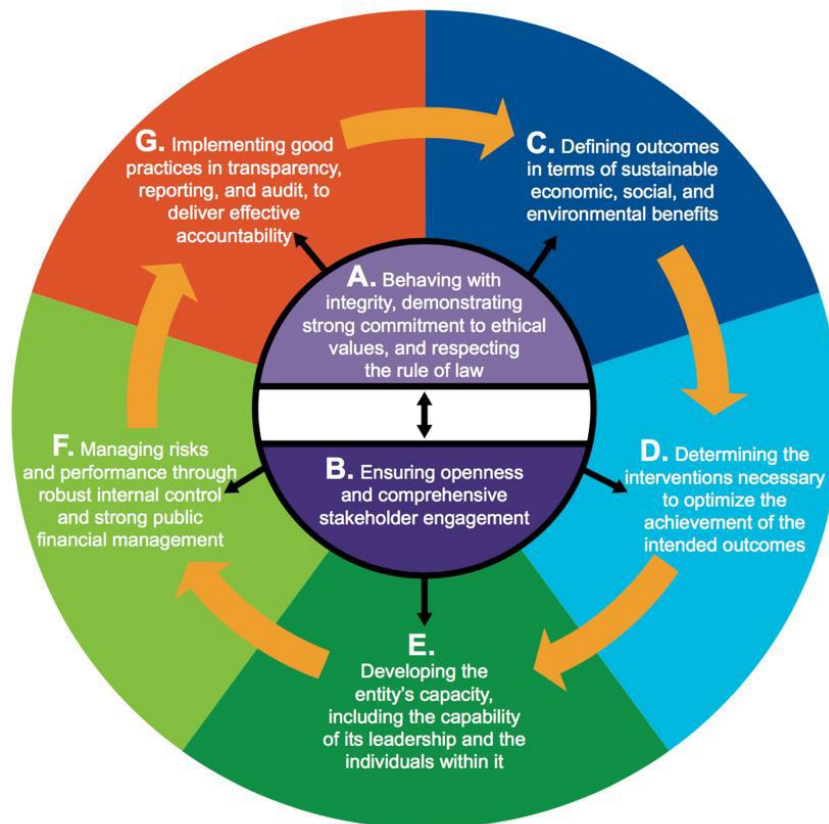
The Council is committed to effective decision-making that is transparent and open to genuine scrutiny. To support this, it provides on its website (www.dundeeccity.gov.uk) details of its plans, policies, procedures and performance.

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 approved an 'Our People' strategy based on the four themes - Equality, Diversity and Fairness, Enhancing Our Leadership, Managing Our People, Developing Our People.

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.

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 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. 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 & Resources Committee annually.

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 Revenue and Capital Budgets 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.

For many years, the Council has reported Key Performance Indicators (KPI's) both annually and quarterly to the Scrutiny Committee. The quarterly performance indicators in particular were established to act as an early warning signal to alert members regarding key service areas where actual performance was lower than anticipated. This process enabled both elected member and senior officers to take corrective action during the course of the year to bring annual performance back on track by the year end.

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 are in the process of being developed. The acceptance of ownership of these indicators by senior officers and elected members is key to their development. It is anticipated that the first scorecards will be reported in mid to late 2019. 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 2019/2020 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

New members and officers are required to complete an induction programme designed to provide background information on a local authority's core activities as well as keeping the individual up-to-date with current issues of interest with which the Council is involved.

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. This states that "Dundee City Council is dedicated to the management of risk in order to:-

- safeguard its employees
- protect its property
- preserve and enhance service delivery
- maintain effective stewardship of public funds
- 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. 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 Risk Management Framework continues to be progressed with the development of a Corporate Risk Register including a Risk Management Improvement Plan. The Business Continuity Strategy continues to be developed.

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 Council also publishes, on an annual basis, Statutory Performance Measures. On a quarterly basis performance is reported to the Scrutiny Committee by a combination of the corporate performance management database and Statutory Performance Indicators information by way of traffic light reporting.

In 2013, the Society of Local Authority Chief Executives in conjunction with the Improvement Service developed a number of new indicators specifically aimed at facilitating performance comparison from authority to authority through the use of family groupings.

The Council's [performance and that of its peer group](#) was reported to Committee in April 2019 for the financial year 2017/2018. 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 will meet regularly over the next two years 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 is committed to efficiency savings and on an annual basis identifies efficiency savings achieved by implementing this initiative.

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 inspectors 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

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 provides an 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.

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**IMPROVEMENT AGENDA FOR 2018/2019**

ORIGINAL IMPROVEMENT AGENDA ON P&R REPORT						PROGRESS UPDATES	
Improvement	Principle	Code Reference	Responsible Officer	Target Completion Date	Details	Actual Completion Date	Comments (e.g. Estimated Completion Date, Reasons for delays, etc.)
1 Develop Ethical Values Framework	A	2.1-2.4	Head of Democratic and Legal Services	31/7/2018	Carried forward from 2017/2018.* In progress.		In progress. Awaiting finalisation of the Anti-Bribery Policy.
2 Communication Strategy 2017-2020 to be launched	B	2.1, 3.2-3.4	Service Manager Communications	31/7/2018	Carried forward from 2017/2018.* Reported to P&R Committee in April 2019.	31/7/2018	
3 Roll Out Integrated Impact Assessment Tool	C	1.2	<i>(was Sustainability and Climate Change Manager)</i> . Changed to Community Planning Manager.	31/7/2018	Carried forward from 2017/2018.* Rollout already commenced.	31/7/2018	Development of the Integrated Impact Assessment Tool is complete and work is ongoing to embed use of this across services.
4 Align quarterly performance reports with services	D	2.4	Transformation and Performance Manager	31/7/2018	Carried forward from 2017/2018.*	20/8/2018	P&R Committee adopted Performance Management framework that includes Council Plan. Performance reports going twice per annum to P&R & Scrutiny. First report delivered on 20/8/2018.
5 Update Corporate Asset Management Strategy	E	1.1	<i>Was Executive Director of City Development.</i> Changed to Executive Director of Corporate Services (as chair of Capital Governance Group).	31/8/2018	Carried forward from 2017/2018.* In progress.		Will be taken forward and discussed with the Council's Capital Governance Group. Revised timescales to be agreed.
6 Develop Risk Management Framework	F	1.1-1.2	Executive Director of Corporate Services	30/6/2018	Carried forward from 2017/2018.* In progress.		The Council's Corporate Risk Register was developed during 2017/2018 and approved at P&R Committee at its meeting on 23 April 2018. An updated Corporate Risk Register

							<p>was approved at P&R on 10 December 2018 following a review by the Council Management Team along with a new Risk Management Policy & Strategy document.</p> <p>A formal Risk Management Improvement Plan is in place to ensure the Council's Risk Management Framework is appropriately developed and an update on the implementation of the actions contained within it was also provided to the P&R Committee on 10 December 2018. It is envisaged that all of the actions will have been addressed by 30 September 2019.</p> <p>The P&R report from the 10 December was also presented to the Council's Scrutiny Committee on 13 February 2019.</p>	
7	Continue to develop Business Continuity Strategy	F	1.3	Service Manager - Community Safety and Resilience	31/12/2018	Carried forward from 2017/2018.* In progress.	In progress. Training programme agreed with training provider. Workshops scheduled for late June 2019.	
8	Provide Performance Training for Elected Members	G	2.2	Transformation and Performance Manager	31/7/2018	Carried forward from 2017/2018.*	26/3/2019	
9	Develop Governance Arrangements to support the revised Risk Management arrangements	F	1.1 – 1.2	Head of Corporate Finance / Corporate Risk Management Co-ordinator	30/6/2018	Source: Corporate Risk Register.	10/12/2018	<p>Governance arrangements incorporated into a new Risk Management Policy & Strategy document – <i>refer items 6 & 10</i>. This was approved at P&R Committee on 10 December 2018 and subsequently presented to Scrutiny Committee, following a review by the Council Management Team.</p>
10	Review and revise the Council's Risk Management Strategy	F	1.1 – 1.2	Head of Corporate Finance / Corporate Risk Management Co-ordinator	30/9/2018	Source: Corporate Risk Register.	10/12/2018	<p>A new Risk Management Policy & Strategy document incorporating Risk Appetite and assessment parameters was approved by the P&R Committee at its meeting on 10 December 2018 and subsequently presented to Scrutiny Committee.</p>

11	Launch a new Social Media Policy	B	3.2	Service Manager Communications	31/10/2018	Source: Corporate Communication Strategy 2018-2021.		Draft policy and guidance out for internal consultation. Due to be rolled out in Quarter 1 2019/2020.
12	Develop & implement a comprehensive contingency plan / strategy for the possible impact of Brexit	D	1.1	Head of Chief Executive's Services	31/3/2019	Source: P&R Cttee: Brexit Update 28-2018 (Feb 2018) & 2018/19 Internal Audit Plan 119-2018 (April 2018).	7/1/2019	Planning has taken place, through the establishment of a Brexit Advisory Team of officers and a Cross Party Group including MSPs, MPs and councillors. Those groups have considered issues such as the rights of citizens, impact on employees, funding, Council finances, impact on the city economy and resilience planning in the event of a 'no deal' Brexit. Update reports have been provided to P&R Committee, and the Council continues to liaise closely with COSLA. The terms of any deal between the UK and EU, and therefore the detailed implications for the city, still remain uncertain at the time of writing.

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

DUNDEE CITY COUNCIL**IMPROVEMENT AGENDA FOR 2019/2020**

	Improvement	Source	Details	Responsible Officer	Target Completion Date
1	Develop Ethical Values Framework.	Local Code of Corporate Governance 2017/2018. (Principle 1: Integrity & Ethics). Report 223-2017	Carried forward from 2018/2019.	Head of Democratic and Legal Services.	30/9/2019
2	Update Corporate Asset Management Strategy.	Local Code of Corporate Governance 2017/2018. (Principle 5: Developing the Entity). Report 223-2017	Carried forward from 2018/2019.	Executive Director of Corporate Services.	31/3/2020
3	Develop Risk Management Framework.	Local Code of Corporate Governance 2017/2018. (Principle 6: Managing Risk). Report 223-2017	Carried forward from 2018/2019.	Executive Director of Corporate Services.	30/9/2019
4	Continue to develop Business Continuity Strategy.	Local Code of Corporate Governance 2017/2018. (Principle 6: Managing Risk). Report 223-2017	Carried forward from 2018/2019.	Service Manager - Community Safety and Resilience.	31/3/2020
5	Launch a new Social Media Policy.	Local Code of Corporate Governance 2018/2019. (Principle 2: Openness & engagement). P&R Report 190-2018	Carried forward from 2018/2019. Source: Corporate Communication Strategy 2018-2021.	Service Manager Communications.	30/9/2019
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.	Head of IT & Customer Services.	31/12/2019
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.	Financial Services & Investment Manager.	31/5/2019
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.	CMT.	30/9/2019
9	Develop a Serious Organised Crime Guide.	Serious Organised Crime Newsletter, June 2018. Issue 1		Head of Corporate Finance.	31/3/2020
10	Replace Construction Services' Costing System.			Head of Construction & Head of IT & Customer Services.	31/3/2020

11	Develop further the Governance Arrangements in place with significant partnerships.		Further consideration to be given to Health & Social Care and Tay Cities Deal (TCRJC also mentioned in IA 2019/20 Audit Plan).	Executive Director of Corporate Services.	31/3/2020
12	Develop further the Governance Arrangements in place with significant partnerships.		Adoption / Formalising of the Property, Housing and Construction Services Partnership is key action for 2019.	Executive Director of Neighbourhood Services, City Development, & Corporate Services.	31/3/2020
13	Develop Data Protection Policy.	Internal Audit section (Ref 2012/36).		Information Governance Manager.	31/12/2019
14	Develop Reportable Incidents Policy.	Internal Audit section (Ref 2012/36).		Information Governance Manager.	31/12/2019
15	Revise Corporate Fraud Policy.	Internal Audit section (Ref 2014/08).		Senior Manager – Internal Audit.	31/3/2020
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
17	Develop Service Area Scorecards in the Corporate Performance Management system.	Internal Audit Report 2017/22, 23 and 24. Report 374-2018		Transformation & Performance Manager.	31/3/2020
18	Develop a new Workforce Strategy.	Council Plan 2017-2022 Progress Report. Report 251-2018		Head of Human Resources & Business Support.	31/3/2020
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 & Performance 2019 Scrutiny Agenda April 2019 .		Executive Director of Corporate Services.	31/12/2019

The Council's Local Code of Corporate Governance 2018/2019 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 2018/2019 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.	Members and officers induction. Members and officers Code of Conduct. Head of Service sign off of Local Code. Employee Performance and Development Review. Staff handbook. Communication Strategy 2018-2021.	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. 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. Members and officers code of conduct. Minutes show declarations of interest. People Strategy. Employee Survey. Pension newsletter. Service newsletters. Intranet.	4	N

				<p>Employee handbook. Corporate Integrity Group. Risk Management Policy & Strategy. Corporate Procurement Strategy 2018-2020. (Final draft) 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.</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.	3	Y
		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.	3	Y
		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.	3	Y
		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.	4	N

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

PRINCIPLE B (cont'd)		Ensuring openness and comprehensive stake holder engagement				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
3	Engage stakeholders effectively including individual citizens and service users	3.1	Establish a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service provision is contributing towards the achievement of intended outcomes.	Record of public consultations. Partnership framework. 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	N
		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.	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 2018-2022.	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.	3	Y
		1.3	Deliver defined outcomes on a sustainable basis within the resources that will be available.	Regular reports on progress to Committee.	4	N
		1.4	Identify and manage risks to the achievement of outcomes.	Performance trends are established and reported upon. Risk Management Policy & Strategy, Corporate Risk Register & Risk Management Improvement Plan. Integrity Group with standing agenda item of horizon scanning. Internal audit function.	3	Y
		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. 	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.	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.	4	N
		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	N
		2.3	Consider and monitor risks facing each partner when working collaboratively including shared risks.	Partnership framework. Risk Management Policy & Strategy, Corporate Risk Register & Risk Management Improvement Plan. 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
		2.4	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
		2.5	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
		2.6	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.	4	N
		2.7	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. Medium-term financial plan. Corporate plans. Capital Investment Strategy. Capital Strategy. Three Year Revenue Budget.	3	Y

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. Medium-term financial plan. 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. Medium-term financial plan. 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.	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 Strategy. Our People Charter. Employee and member briefings.	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	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.	4	N
			- 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.	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)
		- 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.	4	N
		2.6 Take step to consider the leadership's own effectiveness and ensure leaders are open to constructive feedback from peer review and inspections.	Review individual member performance on a regular basis taking account of their attendance and considering any training or development needs. Peer reviews.	4	N
		2.7 Hold staff to account through regular performance reviews which take account of training or development needs.	Training and development plan. Staff development plans linked to appraisals. Implement appropriate Human Resource policies and ensure they are working effectively. Personal Harassment Procedure. Disciplinary Procedures. Whistle-blowing Policy. Our People Strategy. (Final draft) Anti-Bribery Policy.	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)
		2.8	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.	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 training and guidance. E-learning courses on risk.	3	Y
		1.2	Implement robust and integrated risk management arrangements and ensure that they are working effectively.	Risk Management Policy & Strategy, Corporate Risk Register & Risk Management Improvement Plan. Annual Internal Audit Plan identifies planned reviews against areas of risk identified in the ICT Resilience Report.	3	Y
		1.3	Ensure that responsibilities for managing individual risks are clearly allocated.	Risk management protocol. Risk Management Policy & Strategy, Corporate Risk Register & Risk Management Improvement Plan includes allocation of actions to responsible officers and groups. 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 2018-2022.	4	N
		2.5	Ensure there is consistency between specification stages (such as budgets) and post-implementation reporting.	Financial standards, guidance. Financial Regulations and Standing Orders.	4	N
3	Robust internal control	3.1	Align the risk management strategy and policies on internal control with achieving objectives.	Risk Management Policy & Strategy, Corporate Risk Register & Risk Management Improvement Plan. Internal Audit Annual Plan. Audit reports. Annual Report of Senior Manager – Internal Audit.	3	Y
		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	3	Y

			annually. 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. Employee Survey. Pension newsletter. Service newsletters. Intranet. Employee handbook. Corporate Integrity Group. Risk Management Policy & Strategy. Corporate Procurement Strategy 2018-2020. National Fraud Initiative.	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. 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. Medium-term Financial Plan. 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. Medium-term Financial Plan. 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.	3	Y

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

