

REPORT TO: POLICY AND RESOURCES COMMITTEE - 8 JUNE 2015

REPORT ON: LOCAL CODE OF CORPORATE GOVERNANCE

REPORT BY: CHIEF EXECUTIVE

REPORT NO: 211-2015

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 Review and updated Local Code of Corporate Governance as detailed in Appendix 1.
- 2.2 notes the progress on previous improvement areas in Appendix 2.
- 2.3 approves the implementation of the improvements listed in Appendix 3.
- 2.4 notes the scores recorded against the guidelines in Appendix 4.
- 2.5 agrees the code should be updated as a project on the internet.

3 FINANCIAL IMPLICATIONS

- 3.1 None.

4 BACKGROUND

- 4.1 The Council previously reviewed its Local Code of Corporate Governance in 2014 and has now developed an annual review process.
- 4.2 Previous reviews suggested a high level of compliance with the guidelines although areas of improvement were identified and acted upon. These included the development of a new Performance Report and a review of website publications.. All national reports issued by relevant regulatory bodies are now submitted to the Council Management Team and referred to the Scrutiny Committee where appropriate.
- 4.3 In addition, the Council includes an Annual Governance Statement in its Annual Report and Accounts.

5 CURRENT COMPLIANCE REVIEW

- 5.1 The current review was carried out by a working group of senior officers who reviewed the existing guidance and met to consider Corporate Governance issues and their implications for the authority.
- 5.2 The scoring mechanism previously adopted was retained to assess the detailed extent of the Council's compliance with the guidelines as presented in Appendix 4. The scoring mechanism suggests that the Council is 90% 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 the working group identified areas where performance could be improved in the near future.
- 5.4 The internet is a useful means of being able to link the Code to the supporting documents which form the basis of this report. In many cases these documents are lengthy. A unique project for Corporate Governance has been established on the Council website to facilitate their access and this will be updated for the current review.

6 FUTURE REVIEWS

- 6.1 Reviews will continue to be carried out on an annual basis and linked to the annual accounts preparation cycle which will include the preparation of Assurance Statements by the Council's Service Departments.

7 POLICY IMPLICATIONS

- 7.1 This report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti-Poverty, Equality Impact Assessment and Risk Management. There are no major issues.

8 CONSULTATION

- 8.1 The Director of Corporate Services and the Head of Democratic and Legal Services have been consulted on the content of this report.

9 BACKGROUND PAPERS

- 9.1 None.

**DAVID R MARTIN
CHIEF EXECUTIVE**

01 JUNE 2015

DUNDEE CITY COUNCIL**LOCAL CODE OF CORPORATE GOVERNANCE (2015)****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, delivering 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. It therefore provides on its website (www.dundee.gov.uk) details of its plans, procedures and performance.

DEFINITION

Corporate governance is the system by which Dundee City Council directs and controls its functions and relates to its community. A Corporate Governance Assurance Statement is included in the Council's Annual Report and Accounts each year.

THE CODE

The Local Code of Corporate Governance for the Council consists of six main elements:-

- Creating and implementing a vision for Dundee
- Members and officers roles and responsibilities
- Promoting values and high standards of conduct and behaviour
- Transparency, scrutiny and risk
- Effectiveness and development of members and officers
- Stakeholder engagement to ensure accountability

CREATING AND IMPLEMENTING A VISION FOR DUNDEE

The strategic plan for the city is governed by the Single Outcome Agreement 2012-2017. Further detailed information is included in the Community Plan 2012-2017 which describes 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 2012-2017. 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.

MEMBERS AND OFFICERS ROLES AND RESPONSIBILITIES

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 Councillors' Salaries 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, 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 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 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.

PROMOTING VALUES AND HIGH STANDARDS OF CONDUCT AND BEHAVIOUR

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.

The Council has a Members/Officers Code of Conduct in addition to the Financial Regulations, Standing Orders and Disciplinary Procedures. The Council has a "Helpline for Employees - Disclosure of Information" policy in place 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.

TRANSPARENCY, SCRUTINY AND RISK

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:-

- Implementation of model Complaints Handling Procedure
- Modernisation of Communication Strategy
- Progress on Dundee Waterfront
- Community Asset Transfer Strategy
- UNESCO City of Design Designation
- Online website collection of accounts

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.

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

The Council's accounts now include a corporate governance statement.

The Council reports regularly and publicly on the progress made towards achieving its vision in the Annual Performance Report which is published in September.

NB 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 performance 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 March 2014 for the financial year 2013/14. A comparison report will be made to Committee every year and excerpts included on the Council's website on a user friendly basis.

The Improvement Service has also set up 15 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 Dundee Partnership has put its Single Outcome Agreement Delivery Plan in place for 2013 to 2017. Performance on this will be reported through the Council's existing performance reporting mechanisms. As of March 2015 of the 262 activities included in the agreement 53% of items had maintained performance, 34% had improved performance and only 13% had performance declines.

The Council is also committed to the Efficient Government programme 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 Section.

EFFECTIVENESS AND DEVELOPMENT OF MEMBERS AND OFFICERS

The Council regards the training of its Elected Members and Officers as a high priority. To that end each Member and Officer has his/her own Personal Development Plan where training requirements are discussed in detail.

Personal Development Plans are reviewed on an annual basis as a minimum but may be more frequent if necessary.

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 Framework links employee objectives to Service Plans and the Council Plan and the Council operates an on-line Performance Management system to keep the monitoring of key tasks up-to-date. This system has recently been enhanced with improved user-friendly reporting functions.

The Council has also set up eight Local Community Planning Partnerships which participate in the work of the authority and contribute to the Council Plan and the wider Community Plan.

STAKEHOLDER ENGAGEMENT TO ENSURE ACCOUNTABILITY

The overarching plan for Dundee City is contained within the Single Outcome Agreement with further detail provided in the Community Plan 2012-2017.

Both documents are 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. An annual Performance Report is published which provides information on key consultation exercises and itself contains an on-line feedback mechanism in order that stakeholders may put forward their views for consideration. The report also contains a separate section on progress on The Single Outcome Agreement which is also published in the local press. The report includes poor as well as good performance.

The Council has also established eight Local Community Planning Partnership Projects 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.

APPENDIX 2**DUNDEE CITY COUNCIL****CORPORATE GOVERNANCE****IMPROVEMENT AGENDA FOR 2014/15**

Improvement	Principle	Code Reference	Responsible Officer	Completion Date
1 Create a restructured interactive Performance Report	1	1.4	Principal Performance and Improvement Officer	Completed 31/3/15
2 Establish a Council Benchmarking Group	1	2.1	Principal Performance and Improvement Officer	Superseded by Improvement Service Benchmarking Groups
3 Introduce Integrated Impact Assessment Tool	1, 4	3.1, 1.2	Sustainability and Climate Change Manager	31/12/15 Carried forward
4 Review Option Appraisal processes	4	1.2	Head of Corporate Finance	Completed 31/3/15
5 Review role and performance of Scrutiny Committee	4	1.4	Chief Executive	Completed 31/3/15
6 Further develop Departmental Business Continuity Plans	4	3.1	Risk and Resilience Manager	Carried forward 31/3/16
7 Roll out e-learning course on risk management to all staff	4	3.1	Risk and Resilience Manager	Carried forward 31/3/16
8 Further develop Elected Member Training	5	2.3	Corporate Planning Officer	Carried forward 31/12/15
9 Remove obsolete publications from website	6	2.6	Head of Communication and Policy	Completed 31/3/15

APPENDIX 3**DUNDEE CITY COUNCIL****IMPROVEMENT AGENDA FOR 2015/16**

Improvement	Principle	Code Reference	Responsible Officer	Completion Date
1 Implement Covalent 2 Performance System	2	2.1	Performance and Improvement Manager	31/12/15
2 Introduce Integrated Impact Assessment Tool	3	3.1	Sustainability and Climate Change Manager	31/12/15
3 Implement Dundee Performs Internet Project	4	1.2	Principal Performance Improvement Officer	31/12/15
4 Further develop Business Continuity Strategy	4	3.1	Risk and Resilience Manager	31/3/16
5 Roll out e-learning course	4	3.1	Risk and Resilience Manager	31/3/16
6 Re-launch Whistleblowing Policy	4	3.2	Head of Human Resources and Business Support	31/12/15
7 Implement Performance Training for Elected Members	5	2.3	Principal Performance Improvement Officer	31/3/15
8 Implementation of new Intranet and Internet sites	6	2.6	Head of Communication and Policy	31/3/16

DUNDEE CITY COUNCIL – SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2014/15

The Council's Local Code of Corporate Governance 2014/15 reflects the requirements of the CIPFA/SOLACE Delivering Good Governance in Local Government Framework published in 2007 and the supporting Guidance Note for Scottish Authorities published in May 2008. For each of the six core principles of good governance outlined in the Good Governance Standard for Public Services (2004), the CIPFA/SOLACE Delivering Good Governance in Local Government Framework 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 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 2014/15 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.

DUNDEE CITY COUNCIL – SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2014/15

PRINCIPLE 1		Focusing on the Purpose of the Authority and on Outcomes for the Community and Creating and Implementing a Vision for the Local Area				
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	Exercising strategic leadership by developing and clearly communicating the Authority's purpose, vision and its intended outcome for citizens and service users.	1.1	Develop and promote the Authority's purpose and vision.	Council Plan. Communication Strategy. Service Plan. Council Management Team Meetings. Changing for the Future Board. Single Outcome Agreement (SOA). Departmental Service Plans.	4	N
		1.2	Review on a regular basis the Authority's vision for the local area and its impact on the Authority's governance arrangements.	Continuous Review of Authority's Vision. Review of Local Code of Corporate Governance, Tourism Action Plan, SOA, Economic Strategy, Corporate Plan. Customer/Stakeholder surveys.	4	N
		1.3	Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners.	Community Plan. Record of Partnerships Vision being determined. Role and scope of each partner defined. Dundee Partnership Meetings.	4	N
		1.4	Publish an annual report on a timely basis to communicate the Authority's activities and achievements, its financial position and performance.	Annual Report (including SOA). Annual Financial Statements; service users feedback on services delivery. Performance Report. Departmental Services Plans.	4	N
2	Ensuring that users receive a high quality of service whether directly or in partnership or by commissioning.	2.1	Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available.	Quality standard measures. Customer surveys used for service planning. Service quality comparators and analysis. Corporate Guidance on Service Planning. Performance Reporting. Departmental Service Plans. Performance Indicators. LGBF Indicators Govmetrics Customer Charter.	3	Y

DUNDEE CITY COUNCIL – SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2014/15

PRINCIPLE 1 (cont'd)		Focusing on the Purpose of the Authority and on Outcomes for the Community and Creating and Implementing a Vision for the Local Area				
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)
		2.2	Put in place effective arrangements to identify and deal with failure in service delivery.	Regular reports on service delivery. Performance Trends. Formal policies and procedures regularly reviewed on scheduled basis. Analysis of corporate complaints. Scrutiny Committee. Review of Capital Project Programme Risk Management reports. External assurance reports. Department Continuity Plans. Corporate Complaints. STEP System Thinking Empowers People programme.	4	N
3	Ensuring that the Authority makes best use of resources and that tax payers and service users receive excellent value for money.	3.1	Decide how value for money is to be measured and make sure that the Authority or partnership has the information needed to review value for money and performance effectively. Measure the environmental impact of policies, plans and decisions.	Public Sector Improvement Framework. (PSIF) Self assessment. Corporate Procurement Strategy. On-line Performance Management System. Covalent Performance System Efficiency Savings. Changing for the Future Board. Corporate Improvement Programme Policy Implications include Environmental Impact Assessments. LGBF Indicators External Agencies	3	Y

DUNDEE CITY COUNCIL – SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2014/2015

PRINCIPLE 2		Members and Officers Working Together to Achieve a Common Purpose with Clearly Defined Functions and Roles				
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	Ensuring effective leadership throughout the Authority and being clear about executive and non executive functions and of the roles and responsibilities of the scrutiny function.	1.1	Set out a clear statement of the respective roles and responsibilities of members generally and of senior officers.	Job descriptions. Members/officers' protocol. Code of Corporate Governance and Improvement Plan. Employee Performance and Development Review framework and development. Financial Regulations. National Code of Conduct. Scrutiny Terms of Reference. Leadership Training. Councillors Code of Conduct. Elected Members Continuing Professional Development.	4	N
2	Ensuring that a constructive working relationship exists between Authority members and officers and that the responsibilities of members and officers are carried out to a high standard.	2.1	Determine a scheme of delegation and ensure that it is monitored and updated when required.	Review of Scheme of Delegation Standing Orders and Financial Regulations as required. Regular meetings between Chief Executive and Leader of the Administration. Extended and regular meetings of Council Management Team.	4	N
		2.2	Make the Chief Executive responsible and accountable to the Authority for all aspects of operational management.	Chief Executive job description and appraisal arrangements. Performance Management systems and annual Employee Performance and Development Review of Chief Officers.	4	N
		2.3	Develop protocols to ensure that the Leader and Chief Executive negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained.	Job descriptions for the Chief Executive and the Leader of the Administration. Elected member induction and Councillors Code of Conduct and Councillors CPD. Weekly Meeting. Appraisal,	4	N

DUNDEE CITY COUNCIL – SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2014/2015

PRINCIPLE 2 (cont'd)		Members and Officers Working Together to Achieve a Common Purpose with Clearly Defined Functions and Roles				
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	Make a senior officer (section 95 officer) responsible to the Authority for ensuring appropriate advice is given on all financial matters, for keeping proper financial records and accounts and for maintaining effective systems of internal financial control.	Director of Corporate Services appointed S.95 officer. S.95 officer job description. Accounts in compliance with statutory and professional reporting standards. Annual Report of Chief Internal Auditor. Job descriptions of treasurer to Boards. Unqualified External Audit certificates. Annual Governance Statement.	4	N
		2.5	Make a senior officer (usually the monitoring officer) responsible to the Authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with.	Monitoring officer in place. Schemes of delegation, standing orders and financial regulations. Internal and External audit reports highlighting breaches in Standing Orders or Financial Regulations.	4	N
3	Ensuring relationships between the Authority, its partners and the public are clear so that each know what to expect of the other.	3.1	Develop protocols to ensure effective communication between members and officers in their respective roles.	Protocols developed, implemented and reviewed as required. Guidance to members/officers on outside bodies.	4	N
		3.2	Ensure that an established scheme for remuneration of members and officers and an effective structure for managing the process are in place.	Scheme for member remuneration and allowances. Pay and grading structure. Process for establishing and grading posts.	4	N
		3.3	Ensure that effective mechanisms exist to monitor service delivery.	Key performance indicators and comparators. Quarterly performance reports to Committee. On-line Performance Management System. Annual report by Department on service performance. Scrutiny Committee. Service Level Agreements with partners. Service Agreement with Leisure and Culture Dundee. Management Agreements. Contractual Agreements.	4	N

DUNDEE CITY COUNCIL – SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2014/2015

PRINCIPLE 2 (cont'd)		Members and Officers Working Together to Achieve a Common Purpose with Clearly Defined Functions and Roles			
Supporting Principle		The local code should reflect the requirements for local authorities to:	Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
		3.4 Ensure that the Authority's vision, corporate plans, priorities and targets are developed, through robust mechanisms, and in consultation with the local community and other key stakeholders and that they are clearly articulated and disseminated.	Protocols for consultation. Consultation with general public and specific stakeholders. Service Planning and Performance Guidelines. Local Community Plans. Equality Action Groups and Dundee Equality Partnership. Guidance from Individual Partnership Bodies. Dundee Partnership Plan. Local Community Partnerships and Plans.	4	N
		3.5 When working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and the Authority.	Councillor's Code of Conduct. Service Level Agreements and Management Agreements. Memoranda of Understanding. Guidance on roles and responsibilities. Service Agreements. Contractual Agreements.	4	N
		3.6 When working in partnership: ensure that there is clarity about the legal status of the partnership. Ensure that representatives of organisations both understand and make clear to all other partners the extent of their Authority to bind their organisation to partner decisions.	Partnership principles and objectives. Definition of roles. Statements of funding sources. Protocols e.g. Waterfront, V&A. Service Level Agreements and Management Agreements. Memorandum of Understanding.	4	N

DUNDEE CITY COUNCIL – SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2014/2015

PRINCIPLE 3		Promoting Values for the Authority and Demonstrating the Values of Good Governance through Upholding High Standards of Conduct and Behaviour				
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	Ensuring Authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.	1.1	Ensure that the Authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect.	Codes of conduct. Standing Orders. Schedules and minutes of meetings. Governance Statement. Data Protection. Freedom of Information Procedures. Record Retention Schedules. Leadership Conference. Chief Executive briefing. Breakfast meetings with employees. Flexible working	4	N
		1.2	Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the Authority, its partners and community are defined and communicated through codes of conduct and protocols.	Codes of conduct. Staff handbook. Corporate Fraud Policy. Complaints procedures. Anti-fraud and corruption policies. Members/officer protocols. Members/staff induction procedures. Managing absence and Promoting Attendance Personal Harassment Procedure. Employee Performance and Development Framework. Disciplinary Procedures.	4	N
		1.3	Put in place arrangements to ensure that members and employees of the Authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice.	Standing orders. Codes of Conduct. Financial Regulations. Register of interests. Procedures for dealing with conflict of interests. Registers of gifts and hospitality. Employee and Customer Helpline. Equality Impact Assessments. Equality Outcomes. Procurement strategy and Procedures. Corporate Fraud Policy.	4	N

DUNDEE CITY COUNCIL – SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2014/2015

PRINCIPLE 3 (cont'd)		Promoting Values for the Authority and Demonstrating the Values of Good Governance through Upholding High Standards of Conduct and Behaviour				
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	Ensuring that organisational values are put into practice and are effective.	2.1	Develop and maintain shared values, including leadership values both for the organisation and staff reflecting public expectations and communicating these with members, staff, the community and partners.	Codes of conduct; Documented shared values; Communicated shared values. Leadership programme and values. Single Outcome Agreement; Council Plan. Departmental Service Plans. Corporate Improvement Programme.	4	N
		2.2	Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards and monitor their continuing effectiveness in practice.	National Codes of Conduct adopted. Regular review of Council policies as appropriate. Monitoring standards and conditions. Equality-Outcomes. Procurement Policies.	4	N
		2.3	Develop and maintain an effective standards committee (or ensure the function is undertaken by an appropriate equivalent).	Referred to Head of Democratic and Legal Services; Standards Commission for Scotland.	4	N
		2.4	Use the organisations shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the Authority.	Council Plan and Service Plans. Corporate Parenting. Single Outcome Agreement; Community Plan; Joint Consultation arrangements; including with Trade Unions. Equality Impact Assessments.	4	N
		2.5	In pursuing the vision of a partnership agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partner's behaviour both individually and collectively.	Protocols for partnership working. Partnership Document of agreed values. Single Outcome Agreement. Fairness strategy.	4	N

DUNDEE CITY COUNCIL – SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2014/2015

PRINCIPLE 4		Taking Informed and Transparent Decisions which are Subject to Effective Scrutiny and Managing Risk				
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	Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny.	1.1	Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the Authority's performance overall and that of any organisation for which it is responsible.	Scrutiny Committee. Agenda and minutes of the above. Documented follow-up requests. Service committee. Corporate Improvement Programme. Changing for the Future Board. Best Value Reviews. PSIF and self-evaluation. LCPP.	4	N
		1.2	Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.	Service Agreement. Internal Audit function. Corporate Risk Management Group. Elected Members Scrutiny training. Record of decisions and supporting evidence. Record of professional advice. Risk assessment; Impact assessment. Use of option appraisal. Equality Impact and Environmental Assessments.	3	Y
		1.3	Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice.	Councillors and officers codes of conduct. Declarations of interests and registration. Register of gifts and hospitality received. Procurement Strategy and Tender Procedures.	4	N
		1.4	Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the functions of such a committee.	Scrutiny Committee (includes remit of former Audit and Risk Management Sub-Committee.) Review of Scrutiny Committee complete and reported to Committee	4	N

DUNDEE CITY COUNCIL – SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2014/2015

PRINCIPLE 4 (cont'd)		Taking Informed and Transparent Decisions which are Subject to Effective Scrutiny and Managing Risk				
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)
		1.5	Ensure that effective transparent and accessible arrangements are in place for dealing with complaints.	Corporate Complaints procedure. Separate published arrangements for Social Work.	4	N
2	Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs.	2.1	Ensure that those making decisions, whether for the Authority or partnership are provided with information that is fit for purpose- relevant, timely and gives clear explanations of technical issues and their implications.	Discussions on general information needs of Elected Members. Guidance on report formats. Improved Calendar of dates for Committee Reports. Regular meetings between the Chief Executive and the Administration, Chief Officers and conveners and Oppositions as required. Officer attendance at Pre-Agenda meetings. Local Community Plan consultation.	4	N
		2.2	Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately.	Record of decision making and supporting materials. Consultation paragraph in Committee reports.	4	N
3	Ensuring that an effective risk management system is in place.	3.1	Ensure that risk management is embedded into the culture of the Authority, with members and managers at all levels recognising that risk management is part of their jobs.	Risk management strategy. Risk registers. Risk training and guidance to staff. Scrutiny-Committee. Standing Orders and Financial Regulations. Departmental Business Continuity Plans. Corporate Risk Management Group. Corporate Risk Register. Risk Management Framework. E-learning course on risk.	3	Y
		3.2	Ensure that arrangements are in place for whistle blowing which staff and all those contracting with the Authority have access.	Employee Helpline made available Fraud Hotline.	3	Y

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PRINCIPLE 4 (cont'd)		Taking Informed and Transparent Decisions which are Subject to Effective Scrutiny and Managing Risk				
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)
4	Using their legal powers to the full benefit of the citizens and communities in their areas.	4.1	Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities.	Standing Orders Monitoring officer. Asset Transfer Strategy. Devolved Budget to community areas.	4	N
		4.2	Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law.	Monitoring officer. Elected Member Induction training and consultation paragraph in committee reports.	4	N
		4.3	Observe all specific legislative requirements placed upon them, as well as requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justices - into their procedures and decision making processes.	Monitoring officer.	4	N

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PRINCIPLE 5		Developing the Capacity and Capabilities of Members and Officers to be Effective				
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	Making sure that members and officers have the skills, knowledge, experience and resources they need to perform their roles well.	1.1	Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.	Employee Performance and Development Reviews. Learning and development plans. Induction. Employee and member briefings. Continuing Professional Development and E-learning.	4	N
		1.2	Ensure that the statutory officers have the skills, resources, and support necessary to perform effectively in their roles and that these roles are properly understood throughout the Authority.	Job descriptions. Person specifications. Learning and Development Plans. Employee Performance and Development Review arrangements for all Chief Officers. Leadership programme. Continuing Professional Development Framework.	4	N
2	Developing the capability of people with governance responsibilities and evaluating their performance as individuals and as a group.	2.1	Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.	Learning and development activity. Employee Performance and Development Review. Collective training events. Continuing Professional Development Framework.	4	N
		2.2	Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed.	Elected Member Continuing Professional Development by Improvement Services. Learning and Development Plans. Externally Developed Management Programmes	4	N

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PRINCIPLE 5 (cont'd)		Developing the Capacity and Capabilities of Members and Officers to be Effective				
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 that arrangements are in place for reviewing the performance of the Council as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs.	Council Plan. Scrutiny Committee. Best Value Audit. Continuing Professional Development Framework for Elected Members. Accounts Commission. Members Checklist. PSIF. STEP. Annual Performance Report.	3	Y
3	Encouraging new talent for membership of the Authority so that best use can be made of individual's skills and resources in balancing continuity and renewal.	3.1	Ensure that effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the Authority.	Strategic partnership frameworks. Stakeholder forums. Area forum roles. Strategic Community Engagement Strategy. Local Community Engagement Strategy. Website pre-election encouragement. Youth Council. Local Community Planning Partnerships. Equality Action Groups. Dundee Equality Forum.	4	N
		3.2	Ensure that career structures are in place for members and officers to encourage participation and development.	Continuing Professional Development. Convenerships, Depute Convenerships. Job description for Senior Councillors. Leadership Programme.	4	N

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PRINCIPLE 6		Engaging with Local People and Other Stakeholders to Ensure Robust Public 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	Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders and including partnerships, develops constructive accountability relationships.	1.1	Make clear to themselves, all staff and the community, to whom they are accountable and for what.	Community Planning Strategy. Consultation exercises. Council Plan Standing Orders. Service Plans Job Descriptions. Equality Action Groups. Scrutiny Committee. Audit and external inspections.	4	N
		1.2	Consider those institutional stakeholders to whom the Authority is accountable and assess the effectiveness of the relationships and any changes required.	List of institutional stakeholders. Joint Working Arrangements. Dundee Partnership.	4	N
		1.3	Produce an annual report on the activity of the scrutiny function.	Performance Reports. Single Outcome Agreement. Financial Statements.	4	N
2	Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the Authority or in partnership or by commissioning.	2.1	Ensure clear channels of communication are in place with all sections of the community and other stakeholders and put in place monitoring arrangements to ensure that they operate effectively.	Communication strategy. Processes for dealing with competing demands. Community Planning Structures. Strategic Community Engagement Strategy. Local Community Engagement Strategy. Interpretation and Translation Services. Equality Action Groups. Review of Service delivery models. Tenant Participation Strategy. Dundee Youth Council Housing Inspection Group Customer surveys. City Wide Parent Forum. Electronic communication channels.	4	N
		2.2	Hold meetings in public unless there are good reasons for confidentiality.	Promotion of meetings. Records of Council meetings. Compliance with access to Information Act.	4	N

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PRINCIPLE 6 (cont'd)		Engaging with Local People and Other Stakeholders to Ensure Robust Public 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 that arrangements are in place to enable the Authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands.	Record of public consultations. Annual Consultations. Community Consultations. Employee Consultations. Tenant Consultations. Waterfront Consultations. Equality Action Groups. Opportunities for deputations to committees. Statutory Consultations and Community Consultations. Local Community Plans. Health and Social Care Partnership Consultations	4	N
		2.4 Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has changed as a result.	Partnership framework. Communication strategy. Dundee Partnership Management Group. Equality Action Groups. Community Consultation Annual Review.	4	N
		2.5 On an annual basis, publish a performance plan giving information on the Authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and satisfaction of service users in the previous period.	Annual Performance Report. Inspectorate Reports. Public Performance Reports. Annual Budget Setting Report. Financial Statements. Council Tax Leaflet. Statutory Performance Indicators. Council Website Reports. Annual Statutory Reports.	4	N

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PRINCIPLE 6 (cont'd)		Engaging with Local People and Other Stakeholders to Ensure Robust Public 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)
		2.6	Ensure that Authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so.	Standing Orders. Compliance with Freedom of Information Act. Record Retention Schedules. Compliance with Data Protection Act. Housing newsletter to all households. Council Tax Leaflet. Statutory Performance Indicators. Pension Patter. Departmental newsletters. Website. Employee Handbook. Dundee Partnership website. Council Plan and Service Plans. Customer Service Review.	3	Y
3	Making best use of human resources by taking an active and planned approach to meet responsibility to staff.	3.1	Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.	Monthly Strategic Meeting with Trade Unions. Joint Consultative Committees. Employee Surveys. Corporate, departmental management teams. National Agreements with unions. Dundee Negotiating Committee for teachers. Health and Safety Committees (Corporate and Departmental). Departmental liaison meetings with Trade Unions.	4	N