ITEM No …8…………..

REPORT TO: POLICY AND RESOURCES COMMITTEE – 21 JUNE 2021

REPORT ON: LOCAL CODE OF CORPORATE GOVERNANCE

REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES

REPORT NO: 182-2021

1   PURPOSE OF REPORT

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

2   RECOMMENDATIONS

It is recommended that the Committee:-

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

2.2   notes the progress against the 2020/2021 improvement action plan in Appendix 2.

2.3   approves the areas for improvements listed in Appendix 3 for 2021/2022.

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

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

3   FINANCIAL IMPLICATIONS

3.1   None.

4   BACKGROUND

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

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

5   CURRENT COMPLIANCE REVIEW

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

5.2   Consistent use of the same scoring mechanism supports year on year monitoring of improvement and allows the Council to assess the extent of its compliance with the guidelines as presented in Appendix 4.   The scoring mechanism suggests that the Council is 97% (2019/2020: 96%) compliant with the guidelines which, given their wide scope, is considered very good.

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

5.4 In addition, as part of the Annual Governance Statement Executive Directors from each service are required to complete a self-assessment checklist in conjunction with their senior management teams, of their own governance, risk management and internal control arrangements. This exercise involves the completion of a 55-point checklist covering seven key governance areas of Service Planning and Performance Management; Internal Control Environment; Fraud Prevention and Detection; Budgeting, Accounting and Financial Control; Risk Management and Business Continuity; Asset Management; and Partnerships. That again indicated a high level of compliance, with an overall score above 90% (2019/2020: 92%).

5.5 The Local Code of Corporate Governance (LCCG) assesses governance in place during 2020/2021. The entire financial year was affected by coronavirus, and the conclusion on whether or not governance is fit for purpose should reflect normal operations, the LCCG is required to reflect the circumstances at the time of publication and therefore, it should be recognised that coronavirus has impacted on governance arrangements since March 2020 and continues to do so up to the time of publication and is expected to continue for some time.

Leadership

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

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

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

- All non-essential Committee business was deferred to ensure that all Elected Members and Council Officers could concentrate the maximum possible time and effort on supporting the City through the crisis;
- Observing the Council's existing Scheme of Delegation of Powers to Officers (Standing Orders pages 153-199) in order to ensure that Services acted in accordance with the powers which the Council had already delegated;
- All essential Committee business which was not covered by the Scheme of Delegation of Powers to Officers was dealt with as Urgent Matters Arising Between Meetings (i.e. by the Chief Executive / relevant Executive Director, in consultation with the nominated Member of the Administration Group, nominated Members of the Labour Group, Conservative Group and Liberal Democrat Group, the Independent Member and the Lord Provost); and

- To facilitate the conduct of the Council's business over the Summer period as the City of Dundee continued to respond to COVID-19 and gradually exit Lockdown, a short-life Recovery Sub-Committee of the Council was established in June 2020 to deal with matters of an urgent nature, which the Chief Executive or Head of Democratic and Legal Services believed could not wait until the next ordinary meeting of the Committee concerned.

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

A return to the full scheduled timetable of committee meetings followed during August 2020. Essential Council business items that had been dealt with as Urgent Matters Arising Between Meetings were reported to the relevant committees for noting.

Enhanced transparency has also been achieved by the recording and publishing of Committee meetings on the Council website from 24 August 2020.

5.6   Local Response and Risk Management Arrangements
Other aspects affected by the coronavirus crisis reflected changes to the organisation's priorities and programmes. These fall into the following broad categories:
- Impact on business as usual in the delivery of services;
- Increased demand for certain Council services such as crisis grants;
- New areas of activity as part of the national response to coronavirus and any related operational and governance issues, e.g. implementation of new policies, processes, procedures and guidance, as well as the provision of emergency assistance such as Business Support Grants, Self-Employed Hardship Fund, Transitional Support Fund for Childcare Providers and Self-Isolation Support Grant;
- The funding and logistical consequences of delivering the local government response, e.g. changes to decision-making arrangements, new collaborative arrangements, funding and cash flow challenges. In April 2020, a report by the Executive Director of Corporate Services advised Elected Members of the various actions implemented by the Council and the Scottish and UK Governments in response to the on-going Covid-19 emergency, and set out the associated financial implications (Report 144-2020). The financial position around the Council's response to the Covid-19 emergency is being closely and regularly monitored and updated reports on the financial implications as well as the financial recovery plan was reported to committee in August 2020 (Report 198-2020), December 2020 (Report 308-2020), February 2021 (Report 61-2021), and April 2021 (Agenda Report 120-2021);
- Assessment of the longer-term disruption and consequences arising from the coronavirus pandemic, e.g. some existing projects and programmes may have been put on hold, new priorities and objectives introduced, new risks identified or existing risks escalated. The Council has formulated a Covid-19 Recovery Risk Register (Report 193-2020) and a Recovery Plan (Report 185-2020) and will continue to review and update these regularly in response to changing circumstances;
- A report detailing the Council's response to the Covid 19 emergency was also reported to committee in August 2020 (Report 189-2020) This report provided an overview of the Council's response to date, demonstrating both the scale and breadth of the work undertaken by staff in collaboration with partners and local communities; and
- The Scrutiny Committee in September 2020 considered three Audit Scotland reports on Covid 19 issues, Covid 19 Guide for Audit and Risk Committees (Report 213-2020), Covid 19 Emerging Fraud Risks (Report 214-2020), and Covid 19 Implications for Public Finances in Scotland (Report 221-2020).

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

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

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).

ROBERT EMMOTT   27 MAY 2021
EXECUTIVE DIRECTOR OF CORPORATE SERVICES

DUNDEE CITY COUNCIL

LOCAL CODE OF CORPORATE GOVERNANCE (2020/2021)

FOREWORD

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

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

DEFINITION

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

THE CODE

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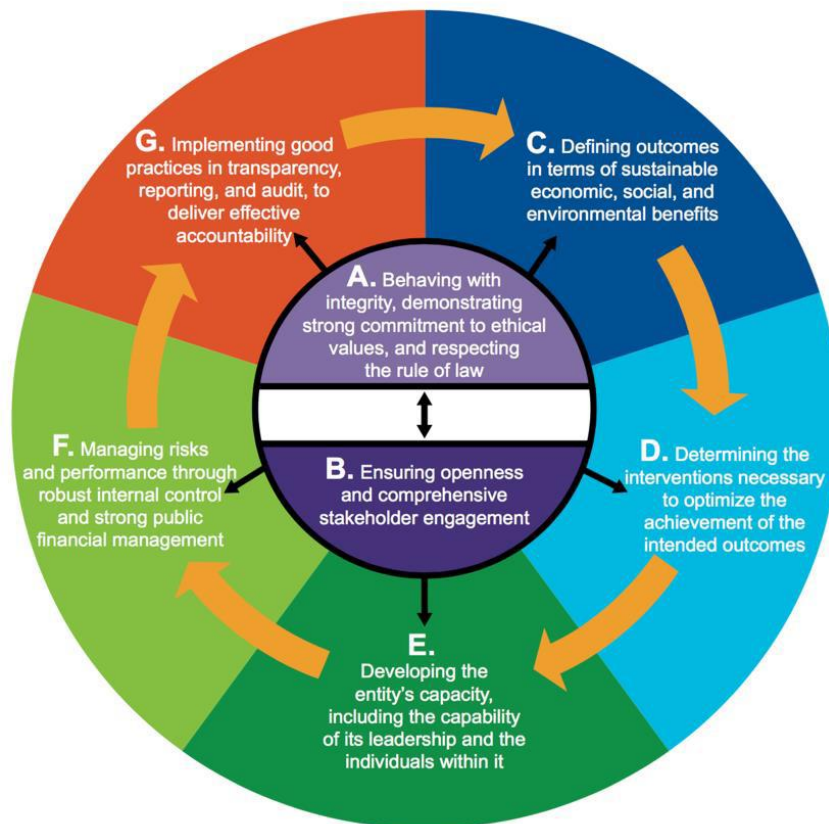
BEHAVING WITH INTEGRITY, DEMONSTRATING STRONG COMMITMENT TO ETHICAL VALUES AND RESPECTING THE RULE OF LAW

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

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

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

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

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

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

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

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

ENSURING OPENNESS AND COMPREHENSIVE STAKEHOLDER ENGAGEMENT

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

The Council maintains a register of all consultation exercises undertaken with its stakeholders. These exercises inform the development of future service provision. The Council also publishes a comparative Performance Report whereby its performance is compared to the performance of similar urban authorities in its Family Groups as defined by the Improvement Service, these performance indicators are known as the Local Government Benchmarking Framework indicators. Each of the indicators in this report are also reported in detail on the Dundee Performs pages on the Council's website so that stakeholders can form an idea of how our performance compares to that of our peers.

The Council's revised Performance Management Framework for 2021-24 was approved in March 2021 (Agenda Report 66-2021). It sets out how the Council will consistently plan and manage performance

and improvements to its services. This will enable key decision makers, both elected members and officers, to take necessary action based on facts about current performance.

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

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

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

Recently the Council has encouraged stakeholder engagement through the Dundee Decides website to allow local residents the opportunity to decide how the Council should spend the Community Infrastructure Fund.

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

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

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

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

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

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

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

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

Over the remainder of the 2021/2022 financial year, the Council will be developing the reports to be drawn down from the Corporate Performance Management system in order that the best and most up-to-date performance information is readily available. Reports will be available for all tiers of the Council from Committee level down to team and individual level.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Resources aimed at improving internal control within the Council are allocated according to priorities determined by the Internal Audit Annual Audit Plan 2020/2021 reflecting the changing risks and priorities of the Council.

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

The Council's revised Corporate Performance Management Framework for 2021-24 which was approved in March 2021 (Agenda Report 66-2021) aims to provide an overview of the Council's approach to performance management and the range of public reporting that takes place throughout the year. Performance is monitored and reported on the Council's Corporate Performance Management System.

The framework aims to document the range of reports that are produced or are planned to be produced for Members. This includes publishing information for the public reporting of performance.

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

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

The overall performance of the Council is monitored through The Council Plan and includes indicators from the LGBF and National Performance Framework. The Council uses the Annual Local Government Benchmarking Framework as a significant comparative analysis tool and an annual report is submitted to the Policy and Resources Committee followed by the Scrutiny Committee (Report 103-2019). A comparison report will be made to Committee every year and excerpts included on the Council's website on a user friendly basis Dundee Performs.

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

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

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

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

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

Recent notable performance improvements include:-

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

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

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

The Council has corporate guidance on recruitment and selection and ensures that all officers involved are appropriately trained for their roles. Councillors' Professional Development is also available. Councillors on the Personnel Appointments Sub-Committee must undertake Fair Selection training. There is also further bespoke training for Elected Members sitting on the Licensing Committee and the Development Management Committee and Councillors have also received training on the Ethical Standards regime and Performance Management.
The Council has a well-developed programme for supporting Elected Members to perform their role effectively including a half day "essential briefing" after each election, a series of "meet the managers" sessions, issuing induction notebooks produced by the Improvement Service and organising a series of other briefings and seminars. These sessions often focus on delivering change, particularly when new legislation or policies are being proposed. In addition, sessions are delivered on topics of interest or concern. Sessions are offered at various times during the day / evening to maximise opportunities for those Members who work or have other commitments to attend. The Council has adopted the Continuing Professional Development Framework for Elected Members developed by The Improvement Service.

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

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

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

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

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

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

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

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

APPENDIX 2

DUNDEE CITY COUNCIL

CONTINUOUS IMPROVEMENT AGENDA FOR 2020/2021 – WITH PROGRESS UPDATES

The Council's Corporate Governance working group identified the following areas for improvement to be taken forward during 2020/2021. Full details are included in the Council's Local Code of Corporate Governance (https://www.dundeecity.gov.uk/reports/reports/158-2020.pdf) and the 2019/2020 Annual Governance Statement (https://www.dundeecity.gov.uk/reports/reports/157-2020.pdf).

	ORIGINAL IMPROVEMENT AGENDA ON 2019/2020 LOCAL CODE OF CORPORATE GOVERNANCE AND ANNUAL GOVERNANCE STATEMENT REPORTS					PROGRESS UPDATES	
	Improvement	**Source**	**Details**	**Responsible Officer**	**Target Completion Date**	**Actual Completion Date**	**Comments** (e.g. Estimated Completion Date, Reasons for delays, etc.)
1	Update Corporate Asset Management Strategy.	Local Code of Corporate Governance 2017/2018. (Principle E: Developing the Entity). **Report 223-2017**	Carried forward from 2019/2020. In progress.	Executive Director of Corporate Services.	31/12/2020		Council Management Team is exploring the potential benefits and costs of producing a centralised Corporate Asset Management Plan, and seeking to study other similar documents produced by other Councils. As an interim measure, Service Asset Management Plans and Registers will be updated for each relevant asset class, including Corporate Property, IT, Roads, Structures, Housing Revenue Account and Fleet, with oversight through the Annual Governance Statements administered by Corporate Finance. Target completion date: 31/12/2021.
2	Continue to develop Business Continuity Strategy.	Local Code of Corporate Governance 2017/2018. (Principle F: Managing Risk). **Report 223-2017**	Carried forward from 2019/2020. In progress.	Service Manager - Community Safety and Resilience.	31/3/2021		In our response to the Coronavirus pandemic, DCC has demonstrated our resilience and ability to quickly adapt in order to maintain essential services and to provide appropriate responses to the pandemic on a range of additional workstreams, often via effective partnership working with the Local Resilience Partnership, NHS Tayside and the Third Sector. Business Continuity Plans will require to be revised to pick up lessons learned

							from the Council's pandemic response. This is estimated to be completed by 31 March 2022.
3	Develop programme for consideration of the suitability of key Operational IT systems.	Annual Governance Statement 2018/2019. (Self-Assessment Checklist (SAC): Internal Control Environment section). **Report 214-2018**	Carried forward from 2019/2020. In progress.	Head of Customer Services and IT.	31/12/2020		Covid severely impacted IT priorities in 2020 and continues to do so. This requirement will be revisited during 2021 with the intention of completing the review by the end of 2021.
4	Re-launch Anti-Money Laundering Policy and Guidance.	Annual Governance Statement 2018/2019. (SAC: Fraud Prevention & Detection section). **Report 214-2018**	Carried forward from 2019/2020. In progress.	Financial Services and Investment Manager.	31/12/2020	26/4/2021	Revised Anti-Money Laundering Policy and Risk Register was approved by P&R Committee on 26 April 2021 (Report 123-2021)
5	Develop a Serious Organised Crime Guide.	Serious Organised Crime Newsletter, June 2018. **Issue 1**	Carried forward from 2019/2020. In progress.	Head of Corporate Finance.	31/12/2020	17/3/2021	Serious Organised Crime (SOC) guide approved by SOC Group on 22/1/2021. Serious Organised Crime Guide was published on OneDundee on 17/3/21.
6	Replace Construction Services' Costing System.		Carried forward from 2019/2020. In progress.	Head of Construction and Head of Customer Services and IT.	31/3/2021		Progress towards replacing Construction Systems continues to be directly affected by the implementation of the new Housing system Civica Cx which it is dependent on. The first phase of Civica Cx has now been implemented. With plans being set for the next phase which includes Housing Repairs. From there a plan for the implementation of construction systems can be set. Background preparation of the new Construction system has been progressed. The intention is to complete this by the end of 2021. Further to above, it is anticipated that Total Repairs operational trials will be completed by April 2022 and fully operational late 2022 when the new depot building is completed.
7	Develop further the Governance Arrangements in place with significant partnerships.		Carried forward from 2019/2020. In progress. Further consideration to be given to Health and Social Care and Tay Cities Deal (TCRJC	Executive Director of Corporate Services.	31/12/2020	2/3/2021	The Dundee Health and Social Care Partnership's Annual Performance Report was reviewed by the Policy and Resources Committee on 11 January 2021 (Item 6 refers) and its Financial Arrangements were reviewed by the Council's Scrutiny Committee on 10

			also mentioned in Internal Audit 2019/2020 Audit Plan).				February 2021 (Item 4 refers). Tay Cities Deal: a DCC Internal Audit review of Governance is presently in the planning stage (Scrutiny Committee 10 February Item 5 refers). The Corporate Services Management Team, having regard to the services provided to the Dundee Health and Social Care Partnership and the Tay Cities Deal, are satisfied that no Service Level Agreements require to be in place with either of these organisations. This action can therefore be marked as completed. Future planned work: The Integration Scheme, which sets out the governance arrangements between the council and NHS Tayside in relation to the provision of health and social care services, is being revised over the course of 2021/2022. As part of this work a full review of how corporate support service is provided to each of the Tayside IJB's will be carried out to inform future arrangements.
8	Develop further the Governance Arrangements in place with significant partnerships.		Carried forward from 2019/2020. In progress. Adoption / Formalising of the Property, Housing and Construction Services Partnership is key action for 2020.	Executive Director of Neighbourhood Services, City Development, and Corporate Services.	31/12/2020	3/11/2020	Oversight arrangements for the Construction Services Partnership Agreement approved by Council Management Team on 3/11/2020.
9	Revise Corporate Fraud Policy.	Internal Audit section (Ref 2014/08).	Carried forward from 2019/2020. In progress.	Senior Manager – Internal Audit.	31/12/2020		Work is ongoing in line with previous comments. There is also a requirement to ensure, as part of this process, that the suite of fraud mitigation policies are aligned (e.g. including Whistle-blowing Policy, Anti-Bribery Policy, etc). It was agreed at the most recent Integrity Group meeting that the deadline for completing this task will be 31/12/21.
10	Develop Service Area Scorecards in the Corporate	Internal Audit Report 2017/22, 23 and 24. **Report 374-2018**	Carried forward from 2019/2020. In progress.	Transformation and Performance	31/12/2020		Each service has a scorecard in the Corporate Performance Management

	Performance Management system.			Manager.			system containing the key performance indicators and actions from the City Plan, Council Plan, Fairness Action Plan and LGBF. Existing scorecards will be updated in line with the updated Performance Management Framework and Service Plans for 2021-24 which are due to be finalised by June 2021.
11	Engage with Elected Members on proposals for future personal development and maximise their opportunity to participate.	Local Government in Scotland: Challenges and Performance 2019 Report 166-2019 External Audit Report to Members on the Audit of DCC's 2018/2019 Accounts Report 338-2019 Best Value Self-Assessment Report 68-2020	Support the development and tracking of individual personal development plans. Explore opportunities to learn from best practice elsewhere.	Head of Democratic and Legal Services / Head of Human Resources and Business Support.	31/3/2021		Elected members equalities training in the diary and dates set. Further discussions planned for further Continuing Professional Development. Target completion date 31/12/2021.
12	Develop a future needs analysis and workforce plan within each service area for the short, medium and long term in line with the Our People and Workforce Strategy.	Best Value Self-Assessment Report 68-2020	To ensure staff skills match service delivery requirements and align workforce and strategic planning to ensure citizen's needs are being met in accordance with agreed priorities and statutory duties.	Head of Human Resources and Business Support.	31/3/2021		Future Needs Analysis: Services have access to up-to-date workforce planning data, guidance and courses on succession planning to assist them in their workforce planning. They are already supported to fill gaps identified through existing workforce planning and EPDR processes by our business partnering approach. MyLearn contains employee records of learning and development gained during their time with DCC and this will be further developed to record learning and development gained out with the workplace and their CPD, with a view to it becoming a skills register. The desired outcome for this action is that current workforce skills against future needs have been assessed and that a strategic workforce plan exists to ensure the Council can meet its priorities. This task will involve assessing and aggregating the individual service workforce plans and any skills gaps identified during this process will be considered when developing the Council's workforce plan. Workforce Plans: Service Plans are

							currently being developed by each service area. Workforce planning is an integral part of service planning and this will therefore be progressed as the service planning process develops further. Workforce Plans are due for completion in December 2021 and as a result, it is proposed that the target completion date for the Future Needs Analysis is extended to April 2022.
13	Strengthen the arrangements around capital projects.	Best Value Self-Assessment Report 68-2020	Ensure that robust business cases and regular and consistent Gateway reviews and post-project evaluations are undertaken for significant capital project.	Executive Director of Corporate Services.	31/3/2021	19/5/2021	Business Case and Option Appraisal Guidance approved by Capital Governance Group in December 2020 and CMT in March 2021. Operational templates developed and circulated on 19/5/2021.
14	Address recurring areas for improvement in public protection in external scrutiny reports and internal self-evaluation activities.	Best Value Self-Assessment Report 68-2020		CMT	31/3/2021		Transforming Public Protection: Planned activity within the programme has been adversely impacted over the last six months by the COVID-19 pandemic as a range of resources required to be diverted to maintain essential services and provide a range of enhanced approaches to mitigate the impact of lockdown conditions on the most vulnerable citizens. However, over the last year progress has been made in relation to: the implementation of practice improvement programmes focused on chronologies and risk assessment; the development of a strategic risk register and options for restructuring of the multi-agency protecting people strategic and governance structure; and, in relation to the re-design of multi-agency screening approaches. A detailed action update has been provided against all incomplete sub actions. PP Enhanced Leadership Support and Scrutiny: This area of the work programme is at the most advanced stage, with a range of planned activities

						having been completed. Work is continuing to focus on restructuring of governance and strategic structures and refocusing on core functions, supported by the development of a risk register. Much of the leadership activity is becoming embedded as business as usual culture and approach at the COG.
15	Continue to improve Community Empowerment.	Best Value Self-Assessment Report 68-2020	Maintain the momentum gained from the Engage Dundee programme, this included the CoSLA award winning participatory budget process "Dundee Decides".	Service Manager – Communities.	31/3/2021	28/2/2021	Report on Mainstreaming Participatory Budgeting approved by Council Management Team (CMT) in February 2021. Operational templates and guidance now being completed and a further report to CMT on direction of travel is planned for April 2021.
16	Embed regular monitoring and reporting on progress towards the UN sustainable development goals within performance reporting.	Best Value Self-Assessment Report 68-2020	The City-Wide Climate Change Action Plan is reported to Committee and this process needs to include wider sustainability goals.	Transformation and Performance Manager.	31/3/2021	8/3/2021	The City and Council Plan annual report, approved in August 2020 aligned the priority actions with the UN sustainable development goals and the revised Performance Management Framework approved by Committee in March 2021 Agenda Papers 8/3/2021 embeds the UN Sustainable Development goals. Performance against the goals will be embedded into future performance reports in relation to corporate and service plans where relevant.
17	Continue to embed a culture of improvement across the organisation.	Best Value Self-Assessment Report 68-2020	Managers and Leaders will ensure employees contribution to continuous improvement is supported, managed and reviewed.	Transformation and Performance Manager.	31/3/2021	8/3/2021	The Performance Management Framework was approved by Policy and Resources Committee in March 2021 Agenda Papers 8/3/2021. The framework sets out performance reporting to committees and established service planning. The Framework also sets out clear roles and responsibilities in relation to performance management which will support the Council to embed a culture of continuous improvement across the organisation. The Framework was launched on OneDundee and a link to the Framework was added to Dundee Performs, the performance module on

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						the Council's website.
18	Assess and report on the potential impacts of Brexit, including the development and implementation of a comprehensive contingency plan.	Local Government in Scotland Financial Overview 2018/2019 Report 54-2020 Brexit Update Report 6-2020 Internal Audit Annual Audit Plan 2019/2020 Report 154-2019 .		Head of Chief Executives Service.	31/12/2020	Improvement Action Completed on 31/12/20. Work will continue as necessary to meet ongoing requirements	A Cross Party Group of politicians and an officers' Brexit Advisory Team have met regularly to assess the impact of Brexit and make any preparations possible to mitigate the consequences. Update reports have been submitted to the Policy and Resources Committee. These have covered issues such as resilience arrangements at a time when a 'no deal' Brexit was possible, engagement with the UK and Scottish Governments and COSLA, communications with the public and businesses, publicising citizens' rights (especially in relation to the EU settlement scheme (EUSS)), assessing the effect on local economy/businesses, implications for Council workforce, procurement/supply issues, food insecurity, regulatory matters, funding and other impacts on Council finances. Risk assessments have been done. Work continues after the end of the transition period on 31 December 2020, with a particular focus on encouraging applications to the EUSS, assisting the Chamber of Commerce in its support for local businesses, monitoring any impact on costs and supply chains of the new trade arrangements, and seeking to influence and prepare for the UK Shared Prosperity Fund which will replace European funding.
19	Embed Information Governance Assurance checklist in annual corporate governance assurance process.	Corporate Governance Assurance Statement Group's review of Annual Governance process.	Ensure results are reflected in 2020/2021 Annual Governance Statement.	Information Governance Manager / Head of Corporate Finance.	31/3/2021		Awareness of this action was raised via the Strategic GDPR Group. The Information Governance (IG) audit checklist was trialled in early 2020 with limited returns by Services due to the pandemic. As part of the wider Governance Audit, the IG audit was re-submitted to Services to complete for the current year. There were limited responses. In order to streamline the process it has been agreed to include IG issues in the

						2021/2022 Annual Governance Statement self-assessment checklist to ensure responses from Services and sign-off from Executive Directors. Revised target date of 28/2/2022.
Review the Council's response to Covid 19 crisis.		Including lessons learned, good practice, and areas for improvement.	Chief Executive / Executive Director of Corporate Services.	31/3/2021		Regular reports to the Policy & Resources Committee on the Council's response and plans including Look Back at DCC Covid 19 Response Report 189-2020, Covid 19 Recovery Plan Report 185-2020, and Financial Implications of the Council's Response to the Covid 19 Emergency Update and Financial Recovery Plan Report 198-2020 updated December 2020 Report 308-2020, February 2021 Report 61-2021, and April 2021 Report 120-2021. Action will be ongoing until the after the recovery process.

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

DUNDEE CITY COUNCIL

CONTINUOUS IMPROVEMENT AGENDA FOR 2021/2022

The Council's Corporate Governance working group has identified the following areas for improvement, full details are included in the Council's Local Code of Corporate Governance, to be taken forward during 2021/2022:

	Improvement	Source	Details	Responsible Officer	Target Completion Date
1	Update Corporate Asset Management Strategy.	Local Code of Corporate Governance 2017/2018. (Principle E: Developing the Entity). **Report 223-2017**	Carried forward from 2020/2021. In progress.	Executive Director of Corporate Services.	31/12/2021
2	Continue to develop Business Continuity Strategy.	Local Code of Corporate Governance 2017/2018. (Principle F: Managing Risk). **Report 223-2017**	Carried forward from 2020/2021. In progress.	Service Manager - Community Safety and Resilience.	31/3/2022
3	Develop programme for consideration of the suitability of key Operational IT systems.	Annual Governance Statement 2018/2019. (Self-Assessment Checklist (SAC): Internal Control Environment section). **Report 214-2018**	Carried forward from 2020/2021. In progress.	Head of Customer Services and IT.	31/12/2021
4	Replace Construction Services' Costing System.		Carried forward from 2020/2021. In progress.	Head of Construction and Head of Customer Services and IT.	31/12/2022
5	Revise Corporate Fraud Policy.	Internal Audit section (Ref 2014/08).	Carried forward from 2020/2021. In progress.	Senior Manager – Internal Audit.	31/12/2021
6	Develop Service Area Scorecards in the Corporate Performance Management system.	Internal Audit Report 2017/22, 23 and 24. **Report 374-2018**	Carried forward from 2020/2021. In progress.	Transformation and Performance Manager.	30/6/2021
7	Engage with Elected Members on proposals for future personal development and maximise their opportunity to participate.	Local Government in Scotland: Challenges and Performance 2019 Report 166-2019 External Audit Report to Members on the Audit of DCC's 2018/2019 Accounts Report 338-2019 Best Value Self-Assessment Report 68-2020	Carried forward from 2020/2021. In progress. Support the development and tracking of individual personal development plans. Explore opportunities to learn from best practice elsewhere.	Head of Democratic and Legal Services / Head of Human Resources and Business Support.	31/12/2021
8	Develop a future needs analysis and workforce plan within each service area for	Best Value Self-Assessment Report 68-2020	Carried forward from 2020/2021. In progress.	Head of Human Resources and Business Support.	30/4/2022

	the short, medium and long term in line with the Our People and Workforce Strategy.		To ensure staff skills match service delivery requirements and align workforce and strategic planning to ensure citizen's needs are being met in accordance with agreed priorities and statutory duties.		
9	Address recurring areas for improvement in public protection in external scrutiny reports and internal self-evaluation activities.	Best Value Self-Assessment Report 68-2020	Carried forward from 2020/2021. In progress.	CMT	31/3/2022
10	Embed Information Governance Assurance checklist in annual corporate governance assurance process.	Corporate Governance Assurance Statement Group's review of Annual Governance process.	Carried forward from 2020/2021. In progress. Ensure results are reflected in 2021/2022 Annual Governance Statement.	Information Governance Manager / Head of Corporate Finance.	28/2/2022
11	Review the Council's response to Covid 19 crisis.		Carried forward from 2020/2021. In progress. Including lessons learned, good practice, and areas for improvement.	Chief Executive / Executive Director of Corporate Services.	31/3/2022
12	Implementation of the CIPFA Financial Management Code.	Corporate Governance Assurance Statement Group's review of Annual Governance process. 2021/2022 is the first year of full compliance.	New action for 2021/2022. Ensure results are reflected in 2021/2022 Annual Governance Statement.	Executive Director of Corporate Services.	30/6/2022
13	Identify the most appropriate apps in O365 to improve DCC Services.	Annual Governance Statement 2020/2021. (Self-Assessment Checklist (SAC): Internal Control Environment section).	New action for 2021/2022.	Head of Learning & Organisational Development.	31/3/2022

The Council's Local Code of Corporate Governance 2020/2021 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 2020/2021 self-assessment of the Council's governance arrangements and detailed in the attached schedules has been used to inform the areas to be included in the Council's improvement plan for the year.

PRINCIPLE A		Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law			
Supporting Principle		**The local code should reflect the requirements for local authorities to:**		**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
1	Behaving with integrity	1.1	Ensure members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation.	Councillors' and Employees' induction. Councillors' and Employees' Codes of Conduct. Head of Service sign off of Local Code. Employee Performance and Development Review. Employee handbook. Communication Strategy 2018-2021. Ethical Values Framework. Social Media Policy. Data Protection Policy. Data Breach Management Procedure.	4	N
		1.2	Ensure members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood.	Council Vision. Council Principles. Council Plan. Communication Strategy 2018-2021. Human Resources My View. Freedom of Information procedures. Data Protection Act compliance. Record Retention schedules. Leadership Conference, programme and values. Members' approval process.	4	N
		1.3	Lead by example and use these standard operating principles or values as a framework for decision making and other actions.	Declaration of interest made at meetings. Conduct at meetings. Shared values guide decision making. Develop and maintain an effective Scrutiny Committee. Annual Governance Statement.	4	N
		1.4	Demonstrate, communicate and embed, the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively.	Anti-fraud and corruption policies. Up-to-date register of interests. Up-to-date register of gifts and hospitality. Whistle-blowing policy in place and widely available. Complaints policy and ensuing improvements. Improving Services through Listening to Customers and Service Users. Councillors' and Employees' Codes of Conduct. Minutes show declarations of interest. Our People and Workforce Strategy 2019-2022. Our People Charter. Pension newsletter.	4	N

| | | | | Service newsletters. Intranet. Employee handbook. Corporate Integrity Group. Compliance Group. Risk Management Policy and Strategy. Corporate Procurement Strategy 2018-2020. Anti-Bribery Policy. Anti-Money Laundering Policy and Risk Register. Dedicated Corporate Fraud Team (CFT). National Fraud Initiative (NFI) biennial exercise participation and additional pensions data matching. Public reporting of Whistleblowing, NFI, CFT and Integrity Group cases / outcomes. Serious Organised Crime Group. Social Media Policy. Data Protection Policy. Data Breach Management Procedure. Performance Management Framework 2021-2024. | | |

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

PRINCIPLE A (cont'd)	Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law				
Supporting Principle		**The local code should reflect the requirements for local authorities to:**		**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
		3.3	Strive to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders.	Record of legal advice provided by officers. Record of other professional advice. Procurement and tendering procedures. Financial regulations.	4	N
		3.4	Deal with breaches of legal and regulatory provisions effectively.	Monitoring officer provisions. Record of legal advice provided by officers. Statutory provisions. Whistleblowing Policy.	4	N
		3.5	Ensure corruption and misuse of power are dealt with effectively.	Anti-fraud corruption policies and procedures. Corporate Integrity Group. Compliance Group. Dedicated Corporate Fraud Team. Anti-Bribery Policy. Anti-Money Laundering Policy and Risk Register.	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 2021-2024. Best Value Assurance Report – Action Plan Progress Updates.	4	N
		1.2	Make decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification of the reasoning for keeping a decision confidential should be provided.	Record of decision-making and supporting materials. Agenda and Minutes of Scrutiny Committee. Documented follow-up requests. Changing for the Future Reviews. Public Sector Improvement Framework (PSIF) and self-evaluation. Best Value self-evaluation. Best Value Assurance Report – Action Plan Progress Updates.	4	N
		1.3	Provide clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensure that the impact that the impact and consequences of those decisions are clear.	Decision-making protocols. Report pro-formas. Record of professional advice in reaching decisions. Meeting reports show details of advice given. Discussion between members and officers on the information needs of members to support decision-making. Agreement on the information that will be provided and timescales. Calendar of dates for submitting, publishing and	4	N

				distributing timely reports is adhered to. Integrated Impact Assessments.		

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)**
		1.4	Use formal and informal consultation and engagement to determine the most appropriate and effective interventions / courses of action.	Community Strategy. Use of consultation feedback. Citizen survey. Dundee Decides / Engage Dundee. Mainstreaming Participatory Budgeting. Improving Services through Listening to Customers and Service Users. Performance Management Framework 2021-2024.	4
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 / Engage Dundee. Mainstreaming Participatory Budgeting. Improving Services through Listening to Customers and Service Users. Performance Management Framework 2021-2024.	4
		2.2	Develop formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively.	Database of stakeholders with whom the authority should engage and for what purpose and a record of an assessment of the effectiveness of any changes. Performance Management Framework 2021-2024.	4
		2.3	Ensure that partnerships are based on trust, a shared commitment to change, a culture that promotes and accepts challenge among partners and that the value of partnership working is explicit.	Partnership framework. Partnership protocols. Community Councils. Dundee Partnership. Performance Management Framework 2021-2024.	3

Note: The "Requires Improvement (Y/N)" column values are: 1.4 = Y, 2.1 = N, 2.2 = N, 2.3 = Y.

PRINCIPLE B (cont'd)		Ensuring openness and comprehensive stake holder engagement			
Supporting Principle		**The local code should reflect the requirements for local authorities to:**	**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
3	Engage stakeholders effectively including individual citizens and service users	3.1 Establish a clear policy on the type of issues that the organisation will meaningfully consult with or involve individual citizens, service users and other stakeholders to ensure that service provision is contributing towards the achievement of intended outcomes.	Record of public consultations. Partnership framework. Dundee Decides / Engage Dundee. Mainstreaming Participatory Budgeting. Improving Services through Listening to Customers and Service Users. Performance Management Framework 2021-2024.	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 / Engage Dundee. Improving Services through Listening to Customers and Service Users. Community Councils. Community Representation Bodies. Citizen Survey. Performance Management Framework 2021-2024.	4	Y
		3.4 Implement effective feedback mechanisms in order to demonstrate how their views have been taken into account.	Communication Strategy 2018-2021. Consultations. Dundee Decides / Engage Dundee. Improving Services through Listening to Customers and Service Users. Citizen Survey. Community Councils. Community Representation Bodies.	4	N
		3.5 Balance feedback from more active stakeholder groups with other stakeholder groups to encourage inclusivity.	Processes for dealing with competing demands within the community, for example consultation. Dundee Decides / Engage Dundee. Improving Services through Listening to	4	N

				Customers and Service Users. Citizen Survey. Community Councils. Community Representation Bodies.		
		3.6	Take account of the interests of future generations of tax payers and service users.	Reports. Joint strategic needs assessment. Long-term Financial Outlook and Financial Strategy 2020-2030. City Centre Strategic Investment Plan Progress Report, including Stakeholder consultation. Capital Plan. Covid 19 Recovery Plan. Financial Implications of the Council's Response to the Covid 19 Emergency and Financial Recovery Plan.	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 2021-24. Sustainable Procurement Policy. Dundee Climate Change Action Plan.	4	N
		1.2 Specify the intended impact on or changes for stakeholders including citizens and service users. It could be immediately or over the course of a year or longer.	Community engagement or involvement. Corporate and Service Performance Scorecards. Community strategy. Integrated Impact Assessment Tool. Dundee Climate Change Action Plan. Dundee Decides / Engage Dundee. Mainstreaming Participatory Budgeting. Improving Services through Listening to Customers and Service Users.	4	Y
		1.3 Deliver defined outcomes on a sustainable basis within the resources that will be available.	Regular reports on progress to Committee. Performance Management Framework 2021-24.	3	Y
		1.4 Identify and manage risks to the achievement of outcomes.	Performance trends are established and reported upon. Risk Management Policy and Strategy, Corporate and Services' Risk Registers, Risk Management Improvement Plan with regular updates to committee. Integrity Group with standing agenda item of horizon scanning. Internal audit function. Integrated Impact Assessment.	4	N
		1.5 Manage service users' expectations effectively with	An agreed set of quality standard measures for each service element are included in service	4	N

			plans. Service quality comparators and analysis. Processes for dealing with competing demands within the community. Improving Services through Listening to Customers and Service Users.		
	regard to determining priorities and making the best use of the resources available.				

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

			through consultation where possible. In order to ensure appropriate trade-offs.	Integrated Impact Assessment.		
		2.4	Ensure fair access to services.	Protocols ensure fair access and statutory guidance is followed. Customer Charter. Equalities Mainstreaming Report. Fairness Strategy.	4	N

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

PRINCIPLE D (cont'd)		Determine the interventions necessary to optimise the achievement of the intended outcomes.			
Supporting Principle		**The local code should reflect the requirements for local authorities to:**	**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
		2.4 Ensure arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances.	Planning protocols.	4	N
		2.5 Establish appropriate Key Performance Indicators (KPI's) as part of the planning process to identify how the performance of services and projects is to be measured.	KPI's have been established and approved for each service element and included in the Council Plan and are reported upon regularly (Currently under review for inclusion in Performance Scorecards from Corporate Performance Management system).	3	Y
		2.6 Ensure capacity exists to generate the information required to review service quality regularly.	Reports include detailed performance results and highlight areas where corrective action is necessary. Corporate Performance Management system. Performance Management Framework 2021-2024. Best Value Assurance Report – Action Plan Progress Updates.	4	N
		2.7 Prepare budgets in accordance with organisational objectives, strategies and the medium term financial plan.	Evidence that budgets, plans and objectives are aligned. Capital Investment Strategy. Capital Strategy. Three-year Revenue Budget. Long-term Financial Outlook and Financial Strategy 2020-2030. Financial Implications of the Council's Response to the Covid 19 Emergency and Financial Recovery Plan.	4	N
		2.8 Inform medium and long-term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy.	Budget guidance and protocols. Long-term Financial Outlook and Financial Strategy 2020-2030. Corporate plans. Capital Investment Strategy. Capital Strategy. Three-Year Revenue Budget. Financial Implications of the Council's Response	4	N

			to the Covid 19 Emergency and Financial Recovery Plan.		

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

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

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

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

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

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

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

PRINCIPLE F (cont'd)		Managing risks and performance through robust internal control and strong public financial management.			
Supporting Principle		**The local code should reflect the requirements for local authorities to:**	**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
		2.3 Ensure an effective scrutiny function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible.	The role and responsibility for scrutiny has been established and is clear. Agenda and minutes of scrutiny meetings. Evidence of improvements as a result of scrutiny. Terms of reference. Training for members. Membership.	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 2021-24. Best Value Assurance Report – Action Plan Progress Updates.	4	N
		2.5 Ensure there is consistency between specification stages (such as budgets) and post-implementation reporting.	Financial standards, guidance. Financial Regulations and Standing Orders.	3	Y
3	Robust internal control	3.1 Align the risk management strategy and policies on internal control with achieving objectives.	Risk Management Policy and Strategy, Corporate and Services' Risk Registers, Risk Management Improvement Plan, and Risk Management Framework. Internal Audit Annual Plan and progress updates. Audit reports. Annual Report of Senior Manager – Internal Audit.	4	N
		3.2 Evaluate and monitor risk management and internal control on a regular basis.	Risk Management Improvement Plan has been formally approved and adopted and is reviewed and updated on a regular basis. Senior Manager – Internal Audit reviews	4	Y

				governance, risk management and control annually. Internal Audit currently reviewing the arrangements.		

PRINCIPLE F (cont'd)			Managing risks and performance through robust internal control and strong public financial management.			
Supporting Principle			**The local code should reflect the requirements for local authorities to:**		**Evidence to Demonstrate Compliance**	**Evaluation Level (1 - 4)**	**Requires Improvement (Y/N)**
		3.3	Ensure effective counter fraud and anti-corruption arrangements are in place.	Compliance with CIPFA Code of Practice on Managing the Risk of Fraud and Corruption. Anti-fraud and corruption policies. Up-to-date register of interests. Up-to-date register of gifts and hospitality. Whistle-blowing policy in place and widely available. Complaints policy and ensuing improvements. Members and officers code of conduct. Minutes show declarations of interest. People Strategy. Pension newsletter. Service newsletters. Intranet. Employee handbook. Corporate Integrity Group. Compliance Group. Risk Management Policy and Strategy. Corporate Procurement Strategy 2018-2020. National Fraud Initiative. Anti-Bribery Policy. Anti-Money Laundering Policy and Risk Register. Serious Organised Crime Group.	3	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.	4	N

				Senior Manager – Internal Audit reports functionally to the Scrutiny Committee and meets all members from the committee on an annual basis to discuss the risks facing the organisation.		
4	Managing data	4.1	Ensure effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data.	Data management framework and procedures. Designated Data Protection Officer. Data Protection policies and procedures. Record Retention. Data Protection Policy. Data Breach Management Procedure. Dedicated Information Governance resources. IT Strategy. Data Centre Upgrade.	4	Y
		4.2	Ensure effective arrangements are in place and operating effectively when sharing data with other bodies.	Data sharing agreements. Data sharing register. Data processing agreements. IT Strategy.	4	N
		4.3	Review and audit regularly the quality and accuracy of data used in decision-making and performance monitoring.	Data quality procedures and reports. Data validation procedures.	4	N

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

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

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

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