

**REPORT TO: POLICY & RESOURCES COMMITTEE - 28 JUNE 2010**

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

**REPORT BY: CHIEF EXECUTIVE**

**REPORT NO: 245-2010**

**1 PURPOSE OF REPORT**

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

**2 RECOMMENDATIONS**

It is recommended that the Committee:-

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

**3 FINANCIAL IMPLICATIONS**

- 3.1 None.

**4 BACKGROUND**

- 4.1 The Council previously reviewed its Local Code of Corporate Governance in 2009 and has now developed an annual review process.
- 4.2 Previous reviews suggested a high level of compliance with the guidelines although areas of improvement were identified and acted upon. There included introducing Personal Development Plans for Elected Members and including an Annual Governance Statement within the Annual Accounts.

**5 CURRENT COMPLIANCE REVIEW**

- 5.1 The current review was carried out by a working group of senior officers who had a series of meetings to consider Corporate Governance issues and their implications for the authority.
- 5.2 A scoring mechanism was adopted to assess the detailed extent of the Council's compliance with the guidelines as presented in Appendix 3. The scoring mechanism suggests that the Council is over 90% compliant with the existing guidelines which given their wide scope is considered very good.
- 5.3 The scoring mechanism was instrumental in arriving at the Improvement Agenda in Appendix 2 whereby the Council identified areas where performance could be improved in the near future.
- 5.4 The internet is a useful means of being able to link the Code to the supporting documents which form the basis of this report. In many cases these documents are lengthy. A unique project for Corporate Governance is intended to be established on the Council website to facilitate their access.

## **6 FUTURE REVIEWS**

- 6.1 Reviews will be carried out on an annual basis and linked to the annual accounts preparation cycle.
- 6.2 The Council is advised that separate guidance will also be issued on Corporate Governance for Partnerships. At present this guidance is in draft format only. It is intended that this is an area which will be given priority in future reviews.

## **7 POLICY IMPLICATIONS**

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

## **8 CONSULTATION**

- 8.1 The Chief Executive, Depute Chief Executive and the Assistant Chief Executive have been consulted in the content of this report.

## **9 BACKGROUND PAPERS**

- 9.1 Report 277-2009 Local Code on Corporate Governance.

**DAVID K DORWARD**  
**CHIEF EXECUTIVE (FINANCE)**

**15 JUNE 2010**

**DUNDEE CITY COUNCIL**

**LOCAL CODE OF CORPORATE GOVERNANCE (2010)**

**FOREWORD**

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

The Council is committed to effective decision-making that is transparent and open to genuine scrutiny. It therefore provides on its website ([www.dundee.gov.uk](http://www.dundee.gov.uk)) details of its plans, procedures and performance.

**DEFINITION**

Corporate governance is the system by which Dundee City Council directs and controls its functions and relates to its community.

**THE CODE**

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

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

**CREATING AND IMPLEMENTING A VISION FOR DUNDEE**

The strategic plan for the city is governed by the Single Outcome Agreement 2009-2012. Further detailed information is included in the Community Plan 2010-2012 which describes the actions that public agencies and their partners will take to achieve our vision for the city. The plans present an integrated approach to public investment and service provision. They also include the promotion of joint working with NHS (Tayside) and other public bodies.

The Council has also prepared the Council Plan 2010-2012. Individuals and groups from all sections of the community are encouraged to contribute to and participate in the work of the authority. The development of Local Community Planning Partnerships, Community Councils and Community Representative bodies for areas of the city within the boundaries of each parliamentary constituency is designed to encourage more grassroots participation in Council decision-making and to bring the Council closer to the people. Local Community Engagement Strategies and Local Community Plans have been developed for each multi-member ward as means of identifying and responding to local issues and involving communities in the planning and delivery of public services. In addition, the Council solicits views on a wide range of decisions and maintains a listing of community groups and voluntary organisations and invites their opinion on possible developments likely to affect them.

## **MEMBERS AND OFFICERS ROLES AND RESPONSIBILITIES**

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

The Council has Corporate guidance on Recruitment and Selection and ensures that all officers involved are appropriately trained for their roles. Councillors' Professional Development is also available. Councillors on the 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 Quality Committee and Councillors have also received training on the new Ethical Standards regime.

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

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

The Chief Executive and the Director of Finance are responsible for ensuring that agreed procedures are followed and that all applicable statutes, regulations and statements of good practice are complied with.

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

## **PROMOTING VALUES AND HIGH STANDARDS OF CONDUCT AND BEHAVIOUR**

The Council has a range of systems and procedures in place to ensure that members and employees of the authority are not influenced by prejudice or conflicts of interest in dealing with its citizens. The Council maintains a continually updated "Register of Members' Interests" which is available for inspection by members of the public.

The Council has a Members/Officers Code of Conduct in addition to the Financial Regulations, Standing Orders and Disciplinary Procedures. The Council has a "Helpline for Employees - Disclosure of Information" policy in place to provide for the direct reporting of problems to senior managers without fear of recrimination.

The National Code of Conduct, the Disciplinary Procedures and the Local Code on Corporate Governance are also applicable in general terms to any external organisations to which members and/or officers are appointed. A summary of these in generic terms is listed in Appendix 4. Such organisations must also comply with the Following The Public Pound Guidelines which is covered by a separate report to committee.

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

## TRANSPARENCY, SCRUTINY AND RISK

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

Also in 2009, the Council demonstrated its commitment to transparency and scrutiny during the Best Value 2 Pathfinder Audit undertaken by Audit Scotland.

This audit was positive about the many improvements that the Council had made but identified three areas in which it needs to improve more quickly:-

- There is evidence of progress against the strategic priorities agreed by the council and its partners. Some progress has been made in tackling poor education attainment, developing a more broadly-based knowledge economy for Dundee, improving the built environment and reducing crime. However, success in reducing health and significant social inequality has been more limited. The Council needs to do more to promote equalities in its services and within the Council itself.
- There has been general improvement in overall service performance, as measured by available indicators. This has been coupled with good and increasing customer and resident satisfaction. This has been achieved from a modest real terms rise in the resources applied each year by the Council.
- However, not all key services have been performing well. Significant concerns have been raised about housing and child protection services within Dundee. The council and its partners are addressing these issues as a matter of priority, but there remains considerable work to be done before plans for improvement are fully implemented.

In addition, there remains a need for the Council to put in place an effective approach to elected member scrutiny of decision-making and performance. Recent change to political management arrangements to introduce scrutiny have not been sufficient to address longstanding concerns on this issue. The council needs to ensure that it is more open and transparent, with better discussion of key issues in public meetings.

The Council has a developed Risk Management Policy. This states that "Dundee City Council is dedicated to the management of risk in order to:-

- safeguard the health and safety of its employees
- protect its property
- preserve and enhance service delivery
- maintain effective stewardship of public funds
- promote a favourable corporate image"

The main priorities within this policy are the identification, evaluation and control of risks which threaten the Council's ability to deliver services to the public. The Council has a high level Business Continuity Plan which sets out the arrangements by which the Council aims to continue to deliver its critical services in the event of an emergency event. Critical services are identified through a process of identification and analysis contained within risk registers enshrined within Departments' Service Plans.

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

The Council's accounts include a statement and assessment of the authority's internal control mechanisms and their effectiveness.

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

NB The Council also publishes, on an annual basis, Statutory Performance Measures. On a quarterly basis performance is reported to the Improvement Value and Efficiency Sub-Committee by a combination of performance database and Statutory Performance Indicators information by way of traffic light reporting.

A programme of Best Value Reviews has been undertaken within the Council examining the rationale for providing each service and considering the best method of service delivery.

The role of the Improvement and Efficiency Sub-Committee of the Policy & Resources Committee has expanded to deal with efficiencies and performance monitoring, the latter now being monitored by an on-line Planning Database which contains details of all the Council's Plans. To this has been added an on-line Performance Database.

The Council has now put its Single Outcome Agreement in place. Performance on this will be reported through the Dundee Partnership and through the Council's existing performance reporting mechanisms.

The Council is also committed to the Efficient Government programme and on an annual basis identifies efficiency savings achieved by implementing this initiative.

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

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

## **EFFECTIVENESS AND DEVELOPMENT OF MEMBERS AND OFFICERS**

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

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

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

All posts within the Council are supported by a job description and personal specification. Performance reviews form an integral part of the Staff Performance and Development Reviews and the Council operates an on-line Performance Management system to keep the monitoring of key tasks up-to-date. Career grade structures are in place to assist with succession planning.

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

## **STAKEHOLDER ENGAGEMENT TO ENSURE ACCOUNTABILITY**

The overarching plan for Dundee City is contained within the Single Outcome Agreement with further detail provided in the Community Plan 2010-2012.

Both documents are prepared in partnership with other public sector organisations where mutual objectives have been established.

The Council maintains a register of all consultation exercises undertaken with its stakeholders. These exercises inform the development of future service provision. An annual Performance Report is published which provides information on key consultation exercises and itself contains an on-line feedback mechanism in order that stakeholders may put forward their views for consideration. The report also contains a separate section on progress on The Single Outcome Agreement which is also published in the local press. The report includes poor as well as good performance.

The Council has also established a number of Local Community Planning Partnerships whereby stakeholders are consulted about community needs. These projects feed in to the wider planning process at corporate level. As with Council Meetings, all meetings of the Community Partnerships are open to the public and full minutes of the meetings are recorded.

**DUNDEE CITY COUNCIL****CORPORATE GOVERNANCE****IMPROVEMENT AGENDA**

<b><u>IMPROVEMENT</u></b>	<b><u>PRINCIPLE</u></b>	<b><u>CODE REFERENCE</u></b>	<b><u>FURTHER REFERENCE</u></b>
1 Review Partnership Structures.	1	1.3, 3.5	(B.V.2 - P.9)
2 Publish a Customer Excellence Standard.	1	2.1	(Council Plan - P23)
3 Approve Annual Report of Best Value Reviews to address VFM issues.	1	3.1	
4 Consistency of application of Equality Impact Assessments.	3	1.3	
5 Re-assert the Council's values through communication.	3	2.4, 2.5	
6 Produce corporate guidance and training on option appraisal.	4	1.2	(B.V.2 - P12)
7 More Consistent Application of Environmental Impact Assessments.	4	1.2	
8 Review Scrutiny within the Council.	4	1.1, 1.4	(B.V.2 - P11)
9 Further embed risk management within the Council.	4	1.2, 3.1	
10 Further develop elected member training and development programme.	5	2.1, 2.2, 2.3	(B.V.2 - Various)



**DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10**

The Council's Local Code of Corporate Governance 2009/10 reflects the requirements of the new CIPFA/SOLACE Delivering Good Governance in Local Government Framework published in 2007 and the supporting Guidance Note for Scottish Authorities published in May 2008. For each of the six core principles of good governance outlined in the Good Governance Standard for Public Services (2004), the new CIPFA/SOLACE Delivering Good Governance in Local Government Framework provides supporting principles and a range of specific requirements that should be reflected in local authorities' Local Codes of Corporate Governance. The supporting Guidance Note for Scottish Authorities provides more detail and examples of evidence such as systems, processes and documentation that may be used to demonstrate local compliance with these principles.

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

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

The information gathered from the 2009/10 self assessment of the Council's governance arrangements and detailed in the attached schedules has been used to inform the areas to be included in the Council's improvement plan for the year.

## DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10 (cont'd)

PRINCIPLE 1		Focusing on the Purpose of the Authority and on Outcomes for the Community and Creating and Implementing a Vision for the Local Area				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
1	Exercising strategic leadership by developing and clearly communicating the Authority's purpose, vision and its intended outcome for citizens and service users	1.1	Develop and promote the Authority's purpose and vision	Corporate Plan; Communication Strategy; Service Plan; Corporate Management Team Meetings, Single Outcome Agreement	4	N
		1.2	Review on a regular basis the Authority's vision for the local area and its impact on the Authority's governance arrangements	Review of Authority's Vision; Review of Local Code of Corporate Governance compatibility with Partnership Goals; Customer/Stakeholder surveys.	4	N
		1.3	Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all partners	Community Plan; Record of Partnerships Vision being determined. Role and scope of each partner defined. Dundee Partnership Meetings.	3	Y
		1.4	Publish an annual report on a timely basis to communicate the Authority's activities and achievements, its financial position and performance	Annual Report (including SOA) Annual Financial Statements; service users feedback on services delivery. Performance Report	4	N
2	Ensuring that users receive a high quality of service whether directly or in partnership or by commissioning	2.1	Decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available	Quality standard measures; customer surveys used for service planning; service quality comparators and analysis; Corporate Guidance on Service Planning and Performance Reporting.	3	Y
		2.2	Put in place effective arrangements to identify and deal with failure in service delivery	Regular reports on service delivery; Performance Trends; Analysis of corporate complaints; Audit and Risk Management Sub-Committee; External assurance reports. Department Continuity Plans.	4	N

## DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10 (cont'd)

PRINCIPLE 1 (cont'd)		Focusing on the Purpose of the Authority and on Outcomes for the Community and Creating and Implementing a Vision for the Local Area				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
3	Ensuring that the Authority makes best use of resources and that tax payers and service users receive excellent value for money	3.1	Decide how value for money is to be measured and make sure that the Authority or partnership has the information needed to review value for money and performance effectively. Measure the environmental impact of policies, plans and decisions.	Best Value Service Reviews EFQM Self-Assessment Process as part of Public Sector Improvement Framework; Corporate Procurement Strategy; On-line performance Management System; Efficiency Savings.  Lean service reviews.	2	Y

## DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10 (cont'd)

PRINCIPLE 2		Members and Officers Working Together to Achieve a Common Purpose with Clearly Defined Functions and Roles				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
1	Ensuring effective leadership throughout the Authority and being clear about executive and non executive functions and of the roles and responsibilities of the scrutiny function	1.1	Set out a clear statement of the respective roles and responsibilities of members generally and of senior officers	Job descriptions; Members officers' protocol; Code of Corporate Governance and Improvement Plan; Staff appraisals and development; Financial Regulations;	4	N
2	Ensuring that a constructive working relationship exists between Authority members and officers and that the responsibilities of members and officers are carried out to a high standard	2.1	Determine a scheme of delegation and ensure that it is monitored and updated when required	Review of Scheme of Delegation, Standing Orders and Financial Regulations as required.  Regular meetings of Chief Officers Management Team.	4	N
		2.2	Make the Chief Executive responsible and accountable to the Authority for all aspects of operational management	Chief Executive job description and appraisal arrangements; Performance Management System. Annual appraisal of Chief Officers.	4	N
		2.3	Develop protocols to ensure that the leader and chief executive negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained	Job descriptions for the Chief Executive and the leader of the Administration.	4	N

## DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10 (cont'd)

PRINCIPLE 2 (cont'd)		Members and Officers Working Together to Achieve a Common Purpose with Clearly Defined Functions and Roles				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
		2.4	Make a senior officer (section 95 officer) responsible to the Authority for ensuring appropriate advice is given on all financial matters, for keeping proper financial records and accounts and for maintaining effective systems of internal financial control	Director of Finance appointed S.95 officer. S.95 officer job description. Accounts in compliance with statutory and professional reporting standards. Annual Report of Chief Internal Auditor. Job descriptions of treasurer to Boards.  Clean External Audit certificates.	4	N
		2.5	Make a senior officer (usually the monitoring officer) responsible to the Authority for ensuring that agreed procedures are followed and that all applicable statutes and regulations are complied with	Monitoring officer in place Schemes of delegation, standing orders and financial regulations. Internal audit reports highlighting breaches in Standing Orders or Financial Regulations.	4	N
3	Ensuring relationships between the Authority, its partners and the public are clear so that each know what to expect of the other	3.1	Develop protocols to ensure effective communication between members and officers in their respective roles	Protocols developed. Guidance to members/officers on outside bodies.	4	N
		3.2	Ensure that an established scheme for remuneration of members and officers and an effective structure for managing the process are in place	Scheme for member remuneration and allowances. Structured pay scales. Process for approving, grading and addressing appeals.	4	N
		3.3	Ensure that effective mechanisms exist to monitor service delivery	Key performance indicators and comparators; Quarterly performance reports to committee; On-line Performance Management System.	4	N

## DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10 (cont'd)

PRINCIPLE 2 (cont'd)		Members and Officers Working Together to Achieve a Common Purpose with Clearly Defined Functions and Roles				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
		3.4	Ensure that the Authority's vision, corporate plans, priorities and targets are developed, through robust mechanisms, and in consultation with the local community and other key stakeholders and that they are clearly articulated and disseminated	Protocols for consultation; Consultation surveys.  Service Planning and Performance Guidelines.	4	N
		3.5	When working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and the Authority	Partnership business documents.  SLA's; Management Agreements.  Guidance on roles and responsibilities.	3	Y
		3.6	When working in partnership: ensure that there is clarity about the legal status of the partnership. Ensure that representatives or organisations both understand and make clear to all other partners the extent of their Authority to bind their organisation to partner decisions	Partnership principles and objectives. Definition of roles and responsibilities. Statements of funding sources. Protocols e.g. Waterfront, V&A.	4	N

## DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10 (cont'd)

PRINCIPLE 3		Promoting Values for the Authority and Demonstrating the Values of Good Governance through Upholding High Standards of Conduct and Behaviour				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
1	Ensuring Authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance	1.1	Ensure that the Authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect	Codes of conduct; Standing Orders; Schedules and minutes of meetings; Governance Statement. Freedom of Information Procedures Annual meeting calendar agreed; published on website; Corporate Record Retention Schedules.	4	N
		1.2	Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the Authority, its partners and community are defined and communicated through codes of conduct and protocols	Codes of conduct; Performance appraisals; Complaints procedures; Anti-fraud and corruption policies; Members/officer protocols; Members/staff induction procedures.	4	N
		1.3	Put in place arrangements to ensure that members and employees of the Authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice	Standing orders; Codes of Conduct; Financial Regulations; Register of interests; Procedures for dealing with conflict of interests; Registers of gifts and hospitality.  Whistleblowing Policy and Procedures.  Equality Impact Assessments.	3	Y
2	Ensuring that organisational values are put into practice and are effective	2.1	Develop and maintain shared values, including leadership values both for the organisation and staff reflecting public expectations and communicating these with members, staff, the community and partners	Codes of conduct; Documented shared values; Communicated shared values.  Single Outcome Agreement; Community Planning Vision and Guiding Principles established. Council Plan.	4	N

## DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10 (cont'd)

PRINCIPLE 3 (cont'd)		Promoting Values for the Authority and Demonstrating the Values of Good Governance through Upholding High Standards of Conduct and Behaviour				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
		2.2	Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards and monitor their continuing effectiveness in practice	Adopt National Codes of conduct.  Regular review of Council policies as appropriate.	4	N
		2.3	Develop and maintain an effective standards committee (or ensure the function is undertaken by an appropriate equivalent)	Referred to Depute Chief Executive; Standards Commission for Scotland.	4	N
		2.4	Use the organisations shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the Authority	Evidence shared values guide decision-making.  Council Plan.  Single Outcome Agreement; Community Plan; Joint Consultation arrangements; Shared premises and co-location	3	Y
		2.5	In pursuing the vision of a partnership agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partner's behaviour both individually and collectively.	Protocols for partnership working. Document of agreed values. Single Outcome Agreement.	3	Y



## DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10 (cont'd)

PRINCIPLE 4		Taking Informed and Transparent Decisions which are Subject to Effective Scrutiny and Managing Risk				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
1	Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny	1.1	Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the Authority's performance overall and that of any organisation for which it is responsible	Scrutiny committee; Improvement and Efficiency Sub-Committee Agenda and minutes of the above. Documented follow-up requests. Service committees. Audit and Risk Management Sub-Committee.	3	Y
		1.2	Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based	Record of decisions and supporting evidence; Record of professional advice; Risk assessment. Impact assessment; use of option appraisal. Equality Impact and Environmental Assessments.	2	Y
		1.3	Put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice	Members and officers code of conduct; Declarations of interest; Register of gifts and hospitality received; Examples of exclusion of those with personal interest. Procurement Strategy. Tender Procedures; Codes of Conduct.	4	N
		1.4	Develop and maintain an effective audit committee (or equivalent) which is independent of the executive functions or make other appropriate arrangements for the discharge of the functions of such a committee	Audit and Risk Management Sub-Committee - Terms of reference Memberships Training	3	Y

## DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10 (cont'd)

PRINCIPLE 4 (cont'd)		Taking Informed and Transparent Decisions which are Subject to Effective Scrutiny and Managing Risk				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
		1.5	Ensure that effective transparent and accessible arrangements are in place for dealing with complaints	Corporate Complaints procedure. Separate published arrangements for Education and Social Work.	4	N
2	Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs	2.1	Ensure that those making decisions, whether for the Authority or partnership are provided with information that is fit for purpose- relevant, timely and gives clear explanations of technical issues and their implications	Discussions on general information needs of Elected Members; Description of pre-determined report formats; Calendar of dates for Committee Reports. Regular meetings between the Chief Executive and the Administration; Officer attendance at Pre-Agenda and Committee meetings. Local Community Plan consultation.	4	N
		2.2	Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately	Record of decision making and supporting materials. Consultation paragraph in Committee reports	4	N
3	Ensuring that an effective risk management system is in place	3.1	Ensure that risk management is embedded into the culture of the Authority, with members and managers at all levels recognising that risk management is part of their jobs	Risk management strategy; Risk registers; Risk training and guidance to staff; Audit and Risk Management Sub-Committee; Standing Orders and Financial Regulations Business Continuity Plans.	3	Y
		3.2	Ensure that arrangements are in place for whistle blowing which staff and all those contracting with the Authority have access	Whistle blowing policy approved by committee; Policy made available to all stakeholders.	4	N

## DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10 (cont'd)

PRINCIPLE 4 (cont'd)		Taking Informed and Transparent Decisions which are Subject to Effective Scrutiny and Managing Risk				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
4	Using their legal powers to the full benefit of the citizens and communities in their areas	4.1	Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities	Standing Orders Monitoring officer;	4	N
		4.2	Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law	Monitoring officer; Elected Member Induction training. Consultation paragraph in committee reports.	4	N
		4.3	Observe all specific legislative requirements placed upon them, as well as requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justices - into their procedures and decision making processes	Monitoring officer.	4	N

## DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10 (cont'd)

PRINCIPLE 5		Developing the Capacity and Capabilities of Members and Officers to be Effective				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
1	Making sure that members and officers have the skills, knowledge, experience and resources they need to perform their roles well	1.1	Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis	Staff Performance and Development Reviews; Training and development plans; Induction courses; Update information courses. Continuing Professional Development.	4	N
		1.2	Ensure that the statutory officers have the skills, resources, and support necessary to perform effectively in their roles and that these roles are properly understood throughout the Authority	Job descriptions; Person specifications; Training and development plans. Covered by Chief Officers Appraisal arrangements.	4	N
2	Developing the capability of people with governance responsibilities and evaluating their performance as individuals and as a group	2.1	Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively	Training plans; Staff Performance and Development Review. Collective training events. Continuing Professional Development.	3	Y
		2.2	Develop skills on a continuing basis to improve performance, including the ability to scrutinise and challenge and to recognise when outside expert advice is needed	Councillor - Development Plans Training Scrutiny Leadership Induction	3	Y

## DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10 (cont'd)

PRINCIPLE 5 (cont'd)		Developing the Capacity and Capabilities of Members and Officers to be Effective				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
		2.3	Ensure that arrangements are in place for reviewing the performance of the administration as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs	Council Plan. Scrutiny Committee. Best Value Audit. Personal Development Plans.	3	Y
3	Encouraging new talent for membership of the Authority so that best use can be made of individuals skills and resources in balancing continuity and renewal	3.1	Ensure that effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the Authority	Community engagement; Website pre-election encouragement.	4	N
		3.2	Ensure that career structures are in place for members and officers to encourage participation and development	Career Grade structures for officers. Continuing Professional Development. Convenerships, Depute Convenerships. Job description for Senior Councillors.	4	N

## DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10 (cont'd)

PRINCIPLE 6		Engaging with Local People and Other Stakeholders to Ensure Robust Public Accountability				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
1	Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders and including partnerships, develops constructive accountability relationships	1.1	Make clear to themselves, all staff and the community, to whom they are accountable and for what	Community Planning Strategy; Consultation exercises. Council Plan Standing Orders. Service Plans Job Descriptions.	3	Y
		1.2	Consider those institutional stakeholders to whom the Authority is accountable and assess the effectiveness of the relationships and any changes required	List of institutional stakeholders.	4	N
		1.3	Produce an annual report on the activity of the scrutiny function	Performance Report; Minutes of Scrutiny and other Committee	4	N
2	Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the Authority or in partnership or by commissioning	2.1	Ensure clear channels of communication are in place with all sections of the community and other stakeholders and put in place monitoring arrangements to ensure that they operate effectively	Communication strategy; Processes for dealing with competing demands. Community Planning Structures. Community Engagement Strategy. Interpretation and Translation Services.	4	N
		2.2	Hold meetings in public unless there are good reasons for confidentiality	Promotion of meetings; Records of Council meetings Compliance with Access to Information Act.	4	N

## DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10 (cont'd)

PRINCIPLE 6 (cont'd)		Engaging with Local People and Other Stakeholders to Ensure Robust Public Accountability				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
		2.3	Ensure that arrangements are in place to enable the Authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands	Record of public consultations; Annual Consultations; Community Consultations; Employee Consultations; Tenant Consultations; Waterfront Consultations; New Leisure Centre Consultations; Dundee House Consultation. Equality Community Forums. Opportunities for deputations to committees.	4	N
		2.4	Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has changed as a result	Partnership framework; Communication strategy; Dundee Partnership Management Group.	4	N
		2.5	On an annual basis, publish a performance plan giving information on the Authority's vision, strategy, plans and financial statements as well as information about its outcomes, achievements and satisfaction of service users in the previous period	Annual Performance Report; Inspectorate Reports; PPR Reports; Annual Budget Setting Report; Financial Statements; Council Tax Leaflet; Statutory Performance Indicators; Council Website Reports.	4	N

## DUNDEE CITY COUNCIL - SELF ASSESSMENT FOR LOCAL CODE OF CORPORATE GOVERNANCE 2009/10 (cont'd)

PRINCIPLE 6 (cont'd)		Engaging with Local People and Other Stakeholders to Ensure Robust Public Accountability				
Supporting Principle		The local code should reflect the requirements for local authorities to:		Evidence to Demonstrate Compliance	Evaluation Level (1 - 4)	Requires Improvement (Y/N)
		2.6	Ensure that Authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so	Standing Orders; Compliance with Freedom of Information Act. Corporate Record Retention Schedules. Compliance with Data Protection Act. Housing newsletter to all households. Council Tax Leaflet. Statutory Performance Indicators.	4	N
3	Making best use of human resources by taking an active and planned approach to meet responsibility to staff		Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making	Monthly Strategic Meeting with Trade Unions. Joint Consultative Committees. Employee Surveys. Corporate, departmental management teams. National Agreements with unions. Dundee Negotiating Committee for teachers. Health and Safety Committees (Corporate and Departmental).	4	N