

Dumfries and Galloway Council Code of Corporate Governance

SUMMARY OF PRINCIPLES

Principle 1 - Focusing on the purpose of the authority, on outcomes for the community and creating and implementing a vision for the local area

Principle 2 - Members and Officers working together to achieve a common purpose with clearly-defined functions and roles

Principle 3 - Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Principle 4 - Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

Principle 5 - Developing the capacity and capabilities of Members and Officers to be effective

Principle 6 - Engaging with local people and other stakeholders to ensure robust public accountability

NOTE – please also refer to accompanying Code of Governance guidance as at December 2010

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Dumfries and Galloway Council Code of Corporate Governance

Principle 1 - Focusing on the purpose of the authority, on outcomes for the community and creating and implementing a vision for the local area

Supporting principle	Evidence of meeting requirements
<p>1.1 Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcomes for citizens and service users.</p>	<p>Council Priorities</p> <ol style="list-style-type: none"> 1. Council agreed amendments to Partnership Agreement proposed by the new Administration on 1 October 2013 which includes the 7 Council Priorities and the Council's commitments to delivering them. This Agreement is being used to develop the business plan for each Service. <p>Council's Priorities</p> <ol style="list-style-type: none"> 2. These have been updated and communicated widely to staff. 3. The Council Administration have led an extensive Budget Consultation, outlining their focus and commitment and prioritisation of investment. <p>Annual Report on progress of the Priorities and Commitments submitted to full Council.</p> <p>Dumfries and Galloway Council - 19 July 2013 - Item 5</p>

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Principle 1 - Focusing on the purpose of the authority, on outcomes for the community and creating and implementing a vision for the local area


Supporting principle	Evidence of meeting requirements
<p>1.1 cont'd Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcomes for citizens and service users.</p>	<p>Annual accounts 2012/13 including Statement of Internal Finance Control</p> <p>AUDIT OF THE COUNCIL'S 2012/13 ANNUAL ACCOUNTS - REPORT BY HEAD OF FINANCE Minute of Audit and Risk Mgmt Cttee-24 Sept 2013-item 3</p> <p>REPORT BY EXTERNAL AUDIT ON THE 2012/13 AUDIT OF DUMFRIES AND GALLOWAY COUNCIL - REPORT BY HEAD OF FINANCE</p> <p>Dumfries and Galloway Council 28 Nov 2013-item 10</p>

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Supporting principle	Evidence of meeting requirements
<p>1.1 cont'd Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcomes for citizens and service users.</p>	<ol style="list-style-type: none"> 1. The Dumfries and Galloway Strategic Partnership has agreed the region's new  Dumfries and Galloway Single Outcome Agreement 2013-2016 [337kb] which will run from 2013-16. This is the main partnership planning document for the region. 2. The Council's thematic priorities have been adopted by community planning partners as the priorities for the region. 3. Six-monthly reports on the indicators and targets in the SOA to the Strategic Partnership based on a new performance framework; annual progress report in Broadcast. 4. SOA on web and promoted to partners and staff; posters of SOA objectives and indicators distributed to partners

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<p>1.1 cont'd Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcomes for citizens and service users.</p>	<p>Budget Consultation 2014/15</p> <p>Building the local economy - a consultation</p> <p>Dumfries and Galloway Council's Labour SNP Administration agreed to hold a public consultation exercise on its draft Budget - Building the Local Economy.</p> <p>As part of this exercise a series of Area Committee Community meetings were held; the survey was available in all Customer Service Centres and in all libraries as well as online.</p> <p>Approximately 90 people participated in the Area Committee meetings with 55 people returning paper surveys and 105 completing the online form.</p> <p>This document now gives an overview of the results from each part of the consultation.</p> <p>Council Budget 2014/15 webpage</p> <p>Equality Outcomes 2013-16</p>

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<p>1.1 cont'd Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcomes for citizens and service users.</p>	<p>Public Performance reporting:</p> <p>Broadcast, the Council's public performance reporting publication is sent out every Autumn. The statutory performance indicators are advertised annually and available on dumgal.gov.uk</p> <p>Council Performance webpage</p> <p>Community Planning website http://www.dumgal.gov.uk/communityplanning/</p>

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<p>1.1 cont'd Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcomes for citizens and service users.</p>	<p>Corporate Customer Services Programme Board Improving customer services is a key priority for Dumfries and Galloway Council. The Corporate Customer Services Programme Board leads the strategic development and implementation of the overall corporate customer service developments and issues for Dumfries and Galloway Council. Corporate Customer Services Programme Board webpage</p> <ul style="list-style-type: none"> • Antisocial behaviour strategy Within Dumfries and Galloway a partnership approach has been developed to tackle antisocial behaviour involving statutory and voluntary agencies including Dumfries and Galloway Council, Registered Social Landlords, Dumfries and Galloway Constabulary and NHS Dumfries and Galloway. • Antisocial Behaviour Strategy 2011-14

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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	Evidence of meeting requirements
<p>1.2 Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning.</p>	<p>Social Work Services Sub Committee meets on conjoined basis with NHS Committee (Community Health Social Care Partnership Board) to ensure that the provision of Health and Social Care Services contributes to the delivery of the priorities of both organisations as agreed and set out in the Single Outcome Agreement.</p> <p>Social Work Services Business Plan 2012 - 2015</p> <p>Social Work Department Objectives</p> <ul style="list-style-type: none"> • To make prevention and early intervention social work services core business • To promote and deliver positive personal outcomes and greater personal choice and control • To safeguard and protect people in Dumfries and Galloway • To have a culture that strives towards excellence and develops a confident, competent workforce • To prioritise and maximise the effective use of available resources <p>D&G Compact between the public sector and third sector signed by the Council in April 2008. Action Plan includes sharing of resources.</p> <p>D&G Compact</p>

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Principle 1

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<p>1.2 cont'd Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning.</p>	<p>The programme of Social Work reviews set out in 2009 has been superseded by the corporate implementation of PSIF (Public Service Improvement Framework) and a programme of assessment and improvement planning using this framework is underway. The initial assessment was at a strategic level and the service is currently undertaking an assessment in respect of adult care services. The outcomes of these assessments will feed into the overall improvement plan within the service and is further informed by external scrutiny activity.</p> <p>A programme of high cost package reviews commenced November 2012 as part of the Way Forward programme of work to ensure individual outcomes are being met as well as ensuring the most effective use of the available resource. Social Work reviews of all adult care packages is underway as part of the Way Forward programme. Reviews across all other parts of the series are programmed within the care planning process.</p> <ul style="list-style-type: none"> • New Public Health Committee formed by the NHS has council link officer and elected member appointment

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1.2 cont'd Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning.	Examples of good partnership projects: SWS personalisation (extract from SWS rep 26.1.12 by Heather Collington - The 10 Step approach to personalisation developed in Dumfries and Galloway involves service users considering what outcomes they hope to achieve rather than simply what services they wish to receive.) Core to the personalised approach is a focus on outcomes rather than needs and a shared understanding of what someone wants to achieve, the process of putting together a personal plan which considers the resources available to the individual including their own resources, their family, community and then considering what additional resource might be required as how that could be sourced. It is these issues of choice and control and the approach to planning which are key to achieving high quality outcomes. Case histories provided by HC have backed up the effectiveness of this approach. STARS (Short-Term Augmented Response Service) – Judith Proctor

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<p>1.2 cont'd</p> <p>Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning.</p>	<p><u>Short Term Augmented Response Service (STARS)</u></p> <p>In 2009, following a need to respond to immediate Social Work budget pressures, the STARS (Short Term Augmented Response Service) remit expanded to include responding to the majority of discharges from Dumfries and Galloway Royal Infirmary over a short period.</p> <p>Following a successful evaluation, which informed the Council's Care at Home Strategy, a threefold increase in the capacity of the Service has been achieved by the incremental transfer of 30 wte support workers from the Council's Care and Support Service. At the same time, the focus of the Service has moved to include maximising long term independence through the provision of re-ablement for a period of up to six weeks. These developments have enabled the Service to support 1,039 patients in 2011/12 and this is projected to increase to over 1,200 in 2012/13. Outcomes for people have included increased confidence and ability to stay at home while the partnership has maintained its good performance on Delayed Discharges and has seen a reduction in ongoing long term packages of Social Care for those people who have received the Service.</p> <ul style="list-style-type: none"> • Neighbourhood Renewal Masterplan <p>A multi million pound Neighbourhood Renewal Masterplan (2006-2012) is improving the social housing in South Central Stranraer and North West Dumfries, and will contribute to building sustainable communities with a flourishing local economy.</p> <p>Neighbourhood Renewal webpage</p>

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<p>1.2 cont'd Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning.</p>	<p>Support for diversity communities</p> <ol style="list-style-type: none"> 1. Establishment and support for communities of interest/voluntary groups in relation to age, race, sexuality, faith, disability. SLAs in place for those funded through Strategic Third Sector budget. <p>D&G Compact</p> <ol style="list-style-type: none"> 2. Impact Assessment screening undertaken of Plans and Strategies including equalities impact. <p>D&G Council 28 March 2013 - Item 10 - Equality Outcomes</p>

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<p>1.2 cont'd</p> <p>Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning.</p>	<ul style="list-style-type: none">• <u>Inspector8</u> (training young people aged 12 - 26 years to become inspectors of council services) – running on a needs basis when requests are made to any of the 4 area teams

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<p>1.3 Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money.</p>	<p>Proposed Local Development Plan webpage</p> <p>The consultation period for the Proposed Local Development Plan (LDP) ran from January 28th to March 11th 2013.</p> <p>The Proposed LDP was arrived at following extensive engagement and consultation through the Call for Sites process, Main Issues Report and Further Consultation on Sites and Policies.</p> <p>The Proposed LDP has been split into the following four sections to make them easier to download.</p> <ul style="list-style-type: none"> •  Section 1 - Proposed LDP policies (including Vision and Spatial Strategy) [2Mb] •  Section 2 - Proposed LDP proposals map (region-wide) [3Mb] •  Section 3 - Proposed LDP inset maps (individual settlements) [14Mb] •  Section 4 - Proposed LDP Appendices [229kb]

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<p>1.3 cont'd Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money.</p>	<p>Workforce Strategy 2011 – 2014</p> <ul style="list-style-type: none"> • Plan effectively for our future needs • Build on the skills and capability of our workforce • Encourage and support improvement • Improve leadership and management capacity • Be an employer of choice • Encourage and support future employment • Enable and advise <p style="text-align: center;">Policy and Resources Cttee-July 2011-Workforce Strategy report</p> <p>6 monthly updates to committee on the workforce establishment - Policy and Resources Cttee report-Sept 2013</p>

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<p>1.3 cont'd Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money.</p>	<p>Scheme for Administration of Member Remuneration, Expenses and Travelling – May 2012 - gives details of approved duties</p> <p>Sch for Admin of Mbr Remun, Exps, Travel</p> <p>Service Review – Our Council is facing unprecedented reductions in its financial resources; with year on year reductions on revenue budgets and increasing needs and demand for services. To be able to address the challenge this presents it is important that there are fundamental reviews of service provision. A Service Review Toolkit has been prepared to assist elected members and officers in meeting this challenge.</p> <p>Service Review Toolkit on Connect</p> <p>The options from Service Reviews completed to date have been included in the 2014/15 Budget Consultation.</p>

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<p>1.3 cont'd Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money.</p>	<p>Dumfries and Galloway Council agreed the Partnership Agreement proposed by the Labour and SNP Administration on 1 October 2013. The Agreement includes our Council's priorities and our commitments to delivering them. This Agreement will now underpin our Council's work and be used to develop the business plan for each service.</p> <p>Our Council's priorities are:</p> <ul style="list-style-type: none"> • We will provide a good start in life for all our children • We will prepare our young people for adulthood and employment • We will care for our older and vulnerable people • We will support and stimulate our local economy • We will maintain the safety and security of our region • We will protect and sustain our environment • We will improve the way our council works <p>Statutory Performance Indicators Dumfries and Galloway Council's SPIs</p> <p>It is a requirement of the Local Government Act 1992 that each local authority collects and publishes annual information relating to its performance. The Accounts Commission specifies some of the performance information and gives councils discretion to report additional information relevant to local priorities.  SPIs Report 2011/2012 [455kb]  Individual Scorecards for SPI 2012/2013  SPIs Report 2010/2011 [363kb]</p>

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Principle 2

Members and Officers working together to achieve a common purpose with clearly-defined functions and roles

Supporting principle	Evidence of meeting requirements
<p>2.1 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.</p>	<p>Our Improvement approach – Our Council’s commitment to continuous improvement and the adoption of the Public Sector Improvement Framework demonstrates our belief that we need to be more self-aware of our strengths and our weaknesses and that we need to be more proactive about identifying improvement opportunities. We have a Planning & Performance Framework in place – we use PSIF to ensure that we are critically honest in our evaluation of our performance to allow us to learn from our results and improve in what we do.</p> <p>To ensure that we properly evaluate and scrutinise our Services we have invested in training and have 11 officers accredited in EFQM, these officers are responsible for facilitating all PSIF assessments across our Council and supporting services in the development of improvement actions.</p> <p>Refresher training is organised for March 2014 to continue our commitment to this programme and ensure that there is sufficient capacity within services to continue this approach. In addition, Corporate Improvement Officers are involved in assessing Quality Awards and Excellence Awards for COSLA and Quality Scotland to gain experience and knowledge of more formally assessing organisations externally to support the identification of improvements and gain knowledge of other approaches which can be considered within Dumfries and Galloway Council.</p> <p style="text-align: right;">/...cont’d</p>

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Supporting principle	Evidence of meeting requirements
<p>2.1 cont'd 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.</p>	<p>\...cont'd Our Improvement approach</p> <p>Our improvement and planning and performance activities are both based on 'plan-do-review-revise'. The key improvement activities and steps are as follows: Review - We evaluate and scrutinise our services through PSIF, Service Reviews, Benchmarking and Process Review.</p> <p>We have developed an Improvement Framework which makes these tools and resources readily available to support improvement activity.</p> <p>We have invested in Lean Six Sigma training to support Process Review as a way to improve the efficiency of our processes and service delivery. We have trained 9 officers across the Chief Executive Service in this approach and are currently finalising proposals to increase this capacity.</p> <p>Revise - We learn and improve through networking with others, participating in benchmarking activities, developing and implementing improvement plans and through staff and customer engagement.</p>

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<p>2.1 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.</p>	<p style="text-align: center;"><i>/...cont'd</i></p> <p>Plan - We prioritise and plan as part of our business planning through research & best practice, benchmarking and through planning our transformational change activities.</p> <p>Do – We action and deliver through continuous improvement activity, staff and customer engagement as well as through planned improvement activity.</p> <p>Role of Scrutiny and Performance Committee to scrutinise the performance of the Council in relation to its policy objectives, priorities and performance targets on individual service areas.</p> <p>Scheme of Administration and Delegation to Committees sets out the functions of and delegation to Committees and Sub-Committees Scheme of Administration and Delegation to Committees</p> <p>A separate Scheme of Delegation to Officers provides the framework and guidance for and the powers given to Officers and is currently under review by the Council Scheme of Delegation to Officers</p> <p>Members' and Senior Councillor Role descriptions adopted by Council November 2013 and published on website Role description for Councillors</p>


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Principle 2

Members and Officers working together to achieve a common purpose with clearly-defined functions and roles

Supporting principle	Evidence of meeting requirements
<p>2.2 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.</p>	<ul style="list-style-type: none"> • Member/Officer Protocol (revised Nov 2013) to enhance and maintain the integrity of Dumfries and Galloway Council; to guide Members and Officers on relations between each other and outside organisations/the media and access to information •  Member and Officer Protocol 2012 [118kb] • M/O Protocol also provides guidance on multi-member ward working arrangements <p>Good relationships between councillors and officers as evidenced by:</p> <ul style="list-style-type: none"> • regular meetings between the Leader, Depute Leader and Chief Executive with the Director Chief Executive Service and Assistant Chief Executive in attendance as required; • weekly meetings between the Administration Business Managers and Director Chief Executive Service • individual liaison meetings with each of the six political groups and the Chief Executive are held every eight weeks with other CMT members/Heads of Service in attendance as required; • informal liaison between individual CMT members and Elected Members is ongoing either on an individual basis or through attendance at political group meetings by invitation <p style="text-align: right;">\cont'd...</p>

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Supporting principle	Evidence of meeting requirements
<p>2.2 cont'd 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.</p>	<p>/...cont'd</p> <ul style="list-style-type: none"> • improved arrangements for disseminating information at a ward level and regularly holding member seminars on key Corporate themes • S95 officer – Head of Finance • Monitoring officer -Director Chief Executive Service Member and Officer Protocol • Social Work Services Sub-Committee meets on a conjoined basis with the NHS Committee - Community Health and Social Care Partnership board (CHSCP)

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<p>2.2 cont'd 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.</p>	<p>Communications protocol Corporate Media Policy</p> <p>Communications Strategy Good communication is vital to Dumfries and Galloway Council. Whoever we are communicating with, we should strive to be clear and consistent in our approach. Our new communication strategy is currently being developed. In the interim period, our old strategy carries the same principles for good communication that our Council embeds in its practices.</p> <p>Communications Strategy 2008-12</p>

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Principle 2

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Supporting principle	Evidence of meeting requirements
<p>2.3 Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other.</p>	<p>Broadcast magazine November 2013 edition of Broadcast</p> <p>Remuneration Scheme for Members- Scheme for Remuneration, Exps, Travel</p> <ul style="list-style-type: none"> • Scheme for Representation on Outside Bodies-sets out implications and responsibilities for councillors on outside bodies Sch for repres'n on Outside Bodies • Elected Member Code of Conduct and Officer Code of Conduct – Councillors' Code of Conduct Code of Conduct - D&G Council Employees


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Supporting principle	Evidence of meeting requirements
<p>2.3 cont'd Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other.</p>	<ul style="list-style-type: none"> • Council Priorities – Council Priorities • Single Outcome Agreement (SOA) <ol style="list-style-type: none"> 1. The Dumfries and Galloway Strategic Partnership has agreed the region's new  Dumfries and Galloway Single Outcome Agreement 2013-2016 [337kb]. This is the main partnership planning document for the region. <p>Community Planning website http://www.dumgal.gov.uk/communityplanning/</p>

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Supporting principle	Evidence of meeting requirements
<p>2.3 cont'd</p> <p>Ensuring relationships between the authority, its partners and the public are clear so that each know what to expect of the other.</p>	<ul style="list-style-type: none">• The D&G Compact between the public and voluntary sectors sets out ten principles and commitments and has an Action Plan detailing required contributions. <p>D&G Compact</p>

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Principle 3

Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Supporting principle	Evidence of meeting requirements
3.1 Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.	Member and Officer Protocol 2012 [118kb] <ul style="list-style-type: none">• M/O Protocol also provides guidance on multi-member ward working arrangements

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Dumfries and Galloway Council Code of Corporate Governance

Principle 3

Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Supporting principle	Evidence of meeting requirements
3.1 cont'd Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.	ELECTED MEMBER DEVELOPMENT 2012-2013 – Dumfries and Galloway Council 22 May 2012 <ul style="list-style-type: none">• Report• Appendix - Proposed Elected Member Development Programme 2012 - 2013 Chairmanship training – Claire Thomson

***Evaluation scale:**

- 1 - not compliant with local code requirements
- 2 - partially compliant with local code requirements
- 3 - fully compliant with the requirements of the local code
- 4 - exceeds the requirements of the local code

Dumfries and Galloway Council Code of Corporate Governance

Principle 3

Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Supporting principle	Evidence of meeting requirements
<p>3.1 cont'd Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.</p>	<ul style="list-style-type: none"> • Codes of Conduct for Members and Officers – Standards Commission Code of Conduct issued to all Members at their induction in May 2012 • Elected Member Code of Conduct and Officer Code of Conduct – Councillors' Code of Conduct Code of Conduct - D&G Council Employees • Declarations of interest at meetings by Members giving reasons - Committee minute Jan 2013-example of declarations of interest <p>Register of Interests kept up to date - Members asked to regularly review; Governance Policy Support Officer emails Members at 6-monthly intervals to remind them to review for any updates</p>

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Dumfries and Galloway Council Code of Corporate Governance

Principle 3

Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Supporting principle	Evidence of meeting requirements
<p>3.1 cont'd Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.</p>	<p>Register of gifts to employees – Financial Code 2 – each Service has a register <u>Financial Code 2</u></p> <p>Meetings in Public-high gate for exempt reports</p>

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Dumfries and Galloway Council Code of Corporate Governance

Principle 3

Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Supporting principle	Evidence of meeting requirements
<p>3.2 Ensuring that organisational values are put into practice and are effective.</p>	<ul style="list-style-type: none"> • link to Council Priorities webpage <p>CMT/CBSG operating arrangements Feb 2013-link to CES sharepoint</p> <ul style="list-style-type: none"> • The Corporate Business Support Group (CBSG) has clear direction from and accountability to CMT to operate as a high level, primary delegated group which provides a key link between CMT and the departmental senior management teams. It meets fortnightly and is chaired by the Head of Corporate Support. • The Corporate Management Team (CMT) provides the strategic leadership to deliver our priorities and assure service and organisation improvement within our Council. It meets fortnightly unless an additional meeting is called for the intervening week and is chaired by the Chief Executive.

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Dumfries and Galloway Council Code of Corporate Governance

Principle 3

Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Supporting principle	Evidence of meeting requirements
<p>3.2 cont'd Ensuring that organisational values are put into practice and are effective.</p>	<ul style="list-style-type: none"> • Remit of Policy & Resources Committee – includes Standards Committee function “Oversight of the Council’s responsibilities in terms of the Ethical Standards and Codes of Conduct for Councillors” • Decisions can only be taken in accordance with statute, Standing Orders and Schemes of Delegation: Dumfries and Galloway Council : Standing Orders and Schemes of Delegation • Monitoring Officer role in ensuring sound governance of the Council’s affairs and the lawfulness and fairness of Council’s decision making • Governance Officer role in ensuring that all reports presented to committee are fit for business and attendance at Committees to ensure meetings conducted lawfully and in accordance with Standing Orders - The Director Chief Executive Service is the Proper Officer for the administration of the Council’s Business and for the proper conduct of Committee meetings <p>Revised committee report-writing guidance</p>

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Dumfries and Galloway Council Code of Corporate Governance

Principle 3

Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Supporting principle	Evidence of meeting requirements
<p>3.2 cont'd Ensuring that organisational values are put into practice and are effective.</p>	<ul style="list-style-type: none"> • Exempt items at Cttee by exception only and require authorisation of Proper Officer with regard to meetings of the authority and its Committees and Sub-Committees – reference to Sections 43 and 50 A-J and Schedules 7 and 7A of the Local Government (Scotland) Act 1973 <p>Performance and Development Review report-5 July 2011</p>

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- 4 - exceeds the requirements of the local code

Dumfries and Galloway Council Code of Corporate Governance

Principle 3

Promoting values for the Authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour

Supporting principle	Evidence of meeting requirements
<p>3.2 cont'd Ensuring that organisational values are put into practice and are effective.</p>	<ul style="list-style-type: none"> • Performance and Development Review (PDR) - reporting on % of staff completion of annual PDR is a Performance Indicator in every business plan; • employee surveys carried out every two years and response rate measured • Impact assessments Impact assessments (IAs) are a way of examining the main functions and policies of an organisation to see whether they have the potential to affect people differently. Carrying out an IA on the Council's policies, practices, decisions, functions and strategies helps identify any negative impact on particular groups of people and therefore allows removal of same. <p>Impact Assessment Summary Sheets webpage</p>

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Dumfries and Galloway Council Code of Corporate Governance

Principle 4

Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

Supporting principle	Evidence of meeting requirements
<p>4.1 Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny.</p>	<ul style="list-style-type: none"> • The Council structure includes a Scrutiny and Performance Committee which scrutinises the performance of the Council in relation to its policy objectives, priorities and performance targets on individual service areas. • Scheme of Admin and Delegation to Committees • Meetings open to the public - reports and agendas published on website and available to public in advance of meetings D&G Council-agendas, committee reports and minutes • Procedures for approving reports for exemption - Exempt items at Cttee by exception only and require authorisation of Proper Officer with regard to meetings of the authority and its Committees and Sub-Committees – reference to Sections 43 and 50 A-J and Schedules 7 and 7A of the Local Government (Scotland) Act 1973 • Members’ Registers of interest – reminders issued to Members 6-monthly by Governance Policy Support Officer

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Dumfries and Galloway Council Code of Corporate Governance

Principle 4

Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

Supporting principle	Evidence of meeting requirements
<p>4.1 cont'd Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny.</p>	<p>Declarations of interest declared at start of Meetings Guidance in code of conduct: Councillors' Code of Conduct</p> <p>Comments, Compliments and Complaints Comments, Compliments and Complaints Webpage The new national 2-Stage Complaints Handling Procedure for Council's services and associated customer-facing leaflets has been published on the Council's website following implementation of the new procedure with effect from 1 April 2013. Audit Scotland will audit all Councils' performance against new standards and timescales in the first year of implementation.</p> <p>Annual Performance Report: Audit and Risk Management Committee 8 January 2013 The Corporate Comments, Compliments and Complaints Annual Performance Report for 2011-2012 was approved by Members and has been published on the Council's website Ann Performance Report-Audit & Risk Mgmt Cttee-8 Jan 2013</p>

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Dumfries and Galloway Council Code of Corporate Governance

Principle 4

Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

Supporting principle	Evidence of meeting requirements
<p>4.2 Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs.</p>	<p>Audit & Risk Management Committee Delegations include: Independent assurance of the adequacy of the risk management framework and the associated control environment within the Council to provide reasonable assurance of effective and efficient operations and compliance with laws and regulations.</p> <p>Delegations to Audit and Risk Management Committee-Section 5.8</p> <ul style="list-style-type: none"> • Performance Management Framework "How Council Services are Performing" webpage <ul style="list-style-type: none"> • Business Plan – details how the service is contributing to the Council’s priorities, service objectives, resources (including staff and assets) that will be applied to achieve these objectives, improvement actions and key performance indicators. • Performance Reports – reports presented to Service/Area Committee providing an update on performance for the services including key performance indicators, measures progress and milestones. • Key Documents – details the latest Policies, Plans and Key Documents relating to how the services go about their business and how they are performing. This can be accessed through a list or a link to services web page.

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Dumfries and Galloway Council Code of Corporate Governance

Principle 4

Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

Supporting principle	Evidence of meeting requirements
<p>4.2 cont'd Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs.</p>	<p>Budget Consultation 2014/15</p> <p>Building the local economy - a consultation</p> <p>Dumfries and Galloway Council's Labour SNP Administration agreed to hold a public consultation exercise on its draft Budget - Building the Local Economy.</p> <p>As part of this exercise a series of Area Committee Community meetings were held; the survey was available in all Customer Service Centres and in all libraries as well as online.</p> <p>Approximately 90 people participated in the Area Committee meetings with 55 people returning paper surveys and 105 completing the online form.</p> <p>This document now gives an overview of the results from each part of the consultation.</p> <p>Council Budget 2014/15 webpage</p> <p>Equality Outcomes 2013-16</p>


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Dumfries and Galloway Council Code of Corporate Governance

Principle 4

Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

Supporting principle	Evidence of meeting requirements
<p>4.2 cont'd Having good-quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs</p>	<ul style="list-style-type: none"> • Financial Regulations as revised January 2013 - set out the responsibilities of the Section 95 Officer and Chief Officers and provide a mandatory framework for financial administration in Dumfries and Galloway Council - Financial Regulations and Codes • Public Forum in Area Committees to provide for feedback to Members - and use of themed Area Committee (Community) meetings example-Nithsdale Community Area Committee minute-21 Feb 2013 • Guidance on report writing is reinforced through training • Scheme of Delegation to Area Committees Scheme of Admin and Delegation to Committees <p> Scrutiny and Performance Handbook [552kb] This handbook provides information and guidance on the operating principles and techniques of the Council's Scrutiny and Performance Committee and particularly how the Committee will undertake its Reviews.</p>

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Dumfries and Galloway Council Code of Corporate Governance

Principle 4

Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

Supporting principle	Evidence of meeting requirements
<p>4.3 Ensuring that an effective risk management system is in place.</p>	<p>Audit & Risk Management Committee <u>Delegations</u></p> <ul style="list-style-type: none"> • Independent assurance of the adequacy of the risk management framework and the associated control environment within the Council to provide reasonable assurance of effective and efficient operations and compliance with laws and regulations. • To review the activities of the Internal Audit function, including its annual work programme and progress against the programme and the outcome of major findings of Internal Audit investigations. • To review all matters relating to external audit, including audit plan, action points and reports, and to monitor implementation of external audit recommendations. • Respond to issues raised in relation to corporate policies, performance information, inspection and audit reports, accident statistics and Health and Safety costs and any other matters deemed necessary. • To set key performance indicators and targets to be monitored by Area Committees. <p>Revised Risk Mgmt Policy-Audit & Risk Cttee report 8 Nov 2012</p> <p>Corporate Risk Register update for 2013-14 Audit & Risk Mgmt Cttee 18 June 2013-Item 6</p>

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Dumfries and Galloway Council Code of Corporate Governance

Principle 4 Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

Supporting principle	Evidence of meeting requirements
<p>4.4 Using their legal powers to the full benefit of the citizens and communities in their areas.</p>	<p>Use of power to advance well-being The Council is empowered under section 20 of the Local Government in Scotland Act 2003 to do anything which it considers is likely to promote or improve the well-being of its area and persons within that area, or either of those.</p> <ul style="list-style-type: none"> • Proper officer roles - part of Scheme of Delegation to Officers May 2012 Scheme of Delegation to Officers • Procurement Standing Orders – November 2012 Procurement Standing Orders <p>Use of discretionary powers for Private Sector Grants Grants and Funding Webpage</p>


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Dumfries and Galloway Council Code of Corporate Governance

Principle 5

Developing the capacity and capabilities of Members and Officers to be effective

Supporting principle	Evidence of meeting requirements
<p>5.1 Making sure that Members and Officers have the skills, knowledge, experience and resources they need to perform their roles well.</p>	<p>ELECTED MEMBER DEVELOPMENT 2012-2013 – Dumfries and Galloway Council 22 May 2012</p> <ul style="list-style-type: none"> • Report • Appendix - Proposed Elected Member Development Programme 2012 - 2013 <p>Workforce Strategy 2011 – 2014</p> <ul style="list-style-type: none"> • Plan effectively for our future needs • Build on the skills and capability of our workforce • Encourage and support improvement • Improve leadership and management capacity • Be an employer of choice • Encourage and support future employment • Enable and advise <p>Policy and Resources Cttee-July 2011-Workforce Strategy report</p> <p> Scrutiny and Performance Handbook [552kb]</p>


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Dumfries and Galloway Council Code of Corporate Governance

Principle 5

Developing the capacity and capabilities of Members and Officers to be effective

Supporting principle	Evidence of meeting requirements
<p>5.1 cont'd Making sure that Members and Officers have the skills, knowledge, experience and resources they need to perform their roles well.</p>	<p> Workforce Strategy 2011 - 2014 [539kb]</p> <p>Staff focus groups Used across the Council to actively engage with employees for their views on potential changes and how to work differently in order to deliver better services. Twice a year, a report will be taken to the Corporate Management Team (CMT) identifying any key themes raised and any subsequent actions based on the feedback.</p>

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Dumfries and Galloway Council Code of Corporate Governance

Principle 5

Developing the capacity and capabilities of Members and Officers to be effective

Supporting principle	Evidence of meeting requirements
<p>5.2 Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group.</p>	<p>Performance Development Review</p> <p>Dumfries and Galloway Council has a genuine commitment to Performance and Development. Every employee within the Council receives an annual Performance Development Review (PDR).</p> <p>Our Council's commitment to Performance and Development is as follows:</p> <ul style="list-style-type: none"> • All participants will fully understand the intentions and the operation of the process • The basis for assessing performance will be objective and measurable • The scheme will be monitored consistently at a senior level • The job holder will be fully involved in agreeing levels of performance and future action • The PDR system will be forward looking with future plans discussed realistically both in light of the employee's abilities and what the employer can offer • The PDR system will be part of a continuous process with regular meetings scheduled in managers' diaries throughout the year so that the PDR meeting itself represents a summary of many other discussions. • Every employee receives the same PDR

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Dumfries and Galloway Council Code of Corporate Governance

Principle 5

Developing the capacity and capabilities of Members and Officers to be effective

Supporting principle	Evidence of meeting requirements
5.2 cont'd Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group.	<ul style="list-style-type: none">• Proposed Elected Member Development Programme 2012 - 2013 Governance Officer training – Claire Thomson

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- 4 - exceeds the requirements of the local code

Dumfries and Galloway Council Code of Corporate Governance

Principle 5

Developing the capacity and capabilities of Members and Officers to be effective

Supporting principle	Evidence of meeting requirements
<p>5.3 Encouraging new talent for membership of the authority so that best use can be made of individual's skills and resources in balancing continuity and renewal.</p>	<ul style="list-style-type: none"> • Training – The Council has an induction programme for employees and Members <p>Policy and Resources Committee - 20 March 2012 Workforce Strategy 2011-14 Six Monthly Progress Report</p> <ul style="list-style-type: none"> • Report • Appendix <p>Policy and Resources Committee - 19 March 2013 Workforce Strategy 2011-14 - Progress Report Workforce Strategy - update</p>

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Dumfries and Galloway Council Code of Corporate Governance

Principle 5

Developing the capacity and capabilities of Members and Officers to be effective

Supporting principle	Evidence of meeting requirements
<p>5.3 cont'd Encouraging new talent for membership of the authority so that best use can be made of individual's skills and resources in balancing continuity and renewal.</p>	<ul style="list-style-type: none"> • Council's recruitment and selection policies • Recruitment Policy - August 2010 (on Council Intranet) • Recruitment Handbook - Sept 2010 (on Council Intranet) • Councillors Role Descriptions <p>Councillors' Role Descriptions</p>

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Dumfries and Galloway Council Code of Corporate Governance

Principle 6

Engaging with local people and other stakeholders to ensure robust public accountability

Supporting principle	Evidence of meeting requirements
<p>6.1 Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.</p>	<ul style="list-style-type: none"> <p>• Scrutiny and Performance Committee Remit Scrutiny and Performance Committee delegations – section 5.7</p> <p>Scrutiny and Performance handbook</p> <p>• Audit and Risk Management Committee - extract from remit Independent assurance of the adequacy of the risk management framework and the associated control environment within the Council to provide reasonable assurance of effective and efficient operations and compliance with laws and regulations.</p> <p>• Police, Fire and Rescue Sub-Committee remit To scrutinise local Police and Fire and Rescue arrangements.</p>


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- 4 - exceeds the requirements of the local code

Dumfries and Galloway Council Code of Corporate Governance

Principle 6

Engaging with local people and other stakeholders to ensure robust public accountability

Supporting principle	Evidence of meeting requirements
<p>6.1 cont'd Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.</p>	<p>Public Performance Reporting - Broadcast magazine issued yearly. Communications inter-service group oversees publication.</p> <p>Statutory PI's published annually on Council website</p> <p>SPI information for 2012/13</p> <p>Council Performance Webpage</p> <p> Museums Forward Plan 2010 - 2015 [473kb]</p>


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Dumfries and Galloway Council Code of Corporate Governance

Principle 6

Engaging with local people and other stakeholders to ensure robust public accountability

Supporting principle	Evidence of meeting requirements
<p>6.1 cont'd Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.</p>	<ol style="list-style-type: none"> 1. The Dumfries and Galloway Strategic Partnership has agreed the region's new  Dumfries and Galloway Single Outcome Agreement 2013-2016 [337kb] which will run from 2012-15. This is the main partnership planning document for the region. 2. The Council's thematic priorities have been adopted by community planning partners as the priorities for the region. 3. Six-monthly reports on the indicators and targets in the SOA to the Strategic Partnership based on an agreed performance framework; annual progress report in Broadcast. 4. SOA on web and promoted to partners and staff; posters of SOA objectives and indicators distributed to partners

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Dumfries and Galloway Council Code of Corporate Governance

Principle 6

Engaging with local people and other stakeholders to ensure robust public accountability

Supporting principle	Evidence of meeting requirements
<p>6.1 cont'd Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.</p>	<p>Older People's Consultative Group (OPCG) - this is a formal and recognised consultation body currently chaired by an Elected Member and in partnership with NHS (non-Exec Director is Vice Chair).</p>


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Dumfries and Galloway Council Code of Corporate Governance

Principle 6

Engaging with local people and other stakeholders to ensure robust public accountability

Supporting principle	Evidence of meeting requirements
<p>6.2 cont'd</p> <p>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, in partnership or by commissioning.</p>	<p>Single Outcome Agreement 2013-2016</p> <p>The Dumfries and Galloway Strategic Partnership has agreed the region's new  Dumfries and Galloway Single Outcome Agreement 2013-2016 [337kb] which will run from 2013-16. This is the main partnership planning document for the region.</p> <p>All business plans have a requirement to indicate forthcoming engagement.</p> <p>How our Services are Performing - webpage</p> <p>National Standards for Community Engagement have been adopted by D&G Council.</p> <p>Scottish Govt - National Stds for Community Engagement</p> <p>The Council's equality outcomes were developed through extensive engagement with our communities, particularly with people who have Protected Characteristics.</p> <p>D&G Council report 28 March 2013-Equality Outcomes</p>

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Dumfries and Galloway Council Code of Corporate Governance

Principle 6

Engaging with local people and other stakeholders to ensure robust public accountability

Supporting principle	Evidence of meeting requirements
6.2 cont'd 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, in partnership or by commissioning.	Dumfries and Galloway Council's website has received a SOCITM 3-star rating (out of 4). An updated Web and Digital Communications Strategy will be developed under the Corporate Business Support Group Workplan 13/14.

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Dumfries and Galloway Council Code of Corporate Governance

Principle 6

Engaging with local people and other stakeholders to ensure robust public accountability

Supporting principle	Evidence of meeting requirements
<p>6.2 cont'd 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, in partnership or by commissioning.</p>	<p>Communication protocols – Corporate media policy annexed to Member and Officer Protocol Member and Officer Protocol-appendix 5</p> <p>Implementation of Customer First programme including customer service centres, customer charter, complaints scheme</p> <ul style="list-style-type: none"> • Cttees open to public unless exempt item Exempt items at Cttee by exception only and require authorisation of Proper Officer with regard to meetings of the authority and its Committees and Sub-Committees – reference to Sections 43 and 50 A-J and Schedules 7 and 7A of the Local Government (Scotland) Act 1973





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Dumfries and Galloway Council Code of Corporate Governance

Principle 6

Engaging with local people and other stakeholders to ensure robust public accountability

Supporting principle	Evidence of meeting requirements
<p>6.2 cont'd 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, in partnership or by commissioning.</p>	<p>Statutory Performance Indicators</p> <p>Dumfries and Galloway Council's SPIs</p> <p>It is a requirement of the Local Government Act 1992 that each local authority collects and publishes annual information relating to its performance. The Accounts Commission specifies some of the performance information and gives councils discretion to report additional information relevant to local priorities.</p> <p>You can access the SPI information using the links below:</p> <ul style="list-style-type: none"> •  SPIs Report 2011/2012 [455kb]  Individual Scorecards for SPI 2011/2012 •  SPIs Report 2010/2011 [363kb] •  SPIs Report 2009/2010 [530kb] <p>Council Performance Webpage</p> <ul style="list-style-type: none"> • Procurement Standing orders Procurement Standing Orders <p>Revised Nov 2012 – set clear rules for procurement of goods, works and services for the Council to ensure that the Council complies with its legal obligations and is fair and accountable in its dealings with contractors and suppliers; also to ensure that Council obtains best value for money and is taking good care of the public pound.</p>

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- 3 - fully compliant with the requirements of the local code
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Dumfries and Galloway Council Code of Corporate Governance

Principle 6

Engaging with local people and other stakeholders to ensure robust public accountability

Supporting principle	Evidence of meeting requirements
<p>6.3 Making best use of human resources by taking an active and planned approach to meet responsibility to staff.</p>	<ul style="list-style-type: none"> • The Council works closely with the recognised Trades Unions through various consultation groups - Local Negotiating Committee for Teachers (LNCT) and the Joint Consultative Group (JCG) which meet on a quarterly basis. • There are monthly meetings between Human Resources and Trades Union representatives and Services and the Financial Challenges Working Group (FCWG). A policy development forum has been established in order to involve Trades Unions in the review and development of policy at an early stage. <p>Operational Stress Analysis Feb 2013 - as part of the Council's commitment to improve the health, safety and welfare for all employees, it has been agreed that a stress analysis will be done to identify key risk areas for stress and areas that can be improved.</p>

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Dumfries and Galloway Council Code of Corporate Governance

Principle 6

Engaging with local people and other stakeholders to ensure robust public accountability

Supporting principle	Evidence of meeting requirements
<p>6.3 cont'd Making best use of human resources by taking an active and planned approach to meet responsibility to staff.</p>	<p>Workforce Strategy 2011 – 2014</p> <ul style="list-style-type: none"> • Plan effectively for our future needs • Build on the skills and capability of our workforce • Encourage and support improvement • Improve leadership and management capacity • Be an employer of choice • Encourage and support future employment • Enable and advise <p>Policy and Resources Cttee-July 2011-Workforce Strategy report</p> <p>Health and Safety</p>

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