

Governance, Risk and Best Value Committee

10.00am, Thursday, 19 June 2014

Corporate Governance Framework 2013/14

Item number	7.3
Report number	
Executive/routine	
Wards	All

Executive summary

The Council operates through a governance framework which brings together an underlying set of legislative requirements, governance principles and management processes. The Council's self assessment for the period 1 April 2013 to 31 March 2014 is provided for information.

Links

Coalition pledges	
Council outcomes	CO25
Single Outcome Agreement	

Corporate Governance Framework 2013/14

Recommendations

- 1.1 To note the corporate governance framework self-assessment which is outlined in appendix one.
- 1.2 To agree that the improvement actions which have been identified will be addressed by implementation of the Corporate Governance Service Plan 2013-2017.

Main report

- 2.1 The Council operates through a governance framework which brings together an underlying set of legislative requirements, governance principles and management processes. This is followed as best practice for developing and maintaining the Council's local code of governance and for discharging accountability for the proper conduct of Council business through the publication of an annual governance self assessment statement that ensures that the adopted practice within the Council is open and transparent.
- 2.2 The Council's self assessment for the period 1 April 2013 to 31 March 2014 is provided for information. Improvement actions are being taken forward in line with the implementation of the Corporate Governance service plan 2013-2017

Measures of success

- 3.1 Governance arrangements will continue to be monitored and self-assessment information provided to the Governance, Risk and Best Value Committee on an annual basis.

Financial impact

- 4.1 There are no direct financial impacts as a result of this report.

Risk, policy, compliance and governance impact

- 5.1 The process of reporting and senior management oversight of the corporate governance framework serves to strengthen the control environment and where appropriate prompt mitigating actions.

Equalities impact

- 6.1 There are no direct equalities impacts as a result of this report.

Sustainability impact

- 7.1 There is no direct sustainability impact as a result of this report.

Consultation and engagement

- 8.1 Consultation with all related service areas is undertaken to prepare the self-assessment.

Background reading/external references

[Corporate Governance Framework – report to Governance, Risk and Best Value Committee – 15 August 2013](#)

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Links

Coalition pledges

Council outcomes CO25 - The Council has efficient and effective services that deliver on objectives

Single Outcome Agreement

Appendices The City of Edinburgh Council Corporate Governance Framework 2013/2014

Appendix one

CITY OF EDINBURGH COUNCIL – CORPORATE GOVERNANCE FRAMEWORK: 2013 - 2014

EVIDENCE SUPPORTING APPLICATION OF THE CORE PRINCIPLES AND SUPPORTING PRINCIPLES

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	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
1.1 Exercise strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcome for citizens and service users.	1.1.1 Develop and promote the authority's purpose and vision.	<ul style="list-style-type: none"> The Council's Strategic Plan update was agreed on 3 December 2013 as part of the Council Performance Framework Review. This set out a new annual review and update process for the strategic plan and began the process of streamlining plans for transformation and service delivery. The LT Vision for Edinburgh (2013) sets out a vision for the city based on a thriving and sustainable city where all forms of deprivation and inequality are reduced. Core strands are now being taken forward through the Edinburgh Partnership's Single Outcome Agreement 2013/16 (see below) and linked plans including the Economic Development Unit Plan, Integrated Childrens' Services Plan, Health and Wellbeing Strategies, COMPACT third sector 	3	<p>The strategic plan is reviewed annually at the Corporate Policy and Strategy Committee in June.</p> <p>Conclude review of Single Outcome Agreement and update for 2013 – 2016.</p> <p>Report to be presented to Council in August 2014 outlining a revised strategic operating</p>

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		<p>Strategy and Community safety work. Further work is underway to reduce the number of priority themes and to better reflect tackling poverty and inequality in the SOA.</p> <ul style="list-style-type: none"> • CEC uses a range of communications to promote the authority's purpose including the City of Edinburgh Council (CEC) website, new/social media, community and partner engagement including strategic and neighbourhood partnerships. • Additionally at a Neighbourhood Partnership level a refreshed communications approach will be presented to Communities and Neighbourhoods Committee on 23 June 2014. This has been developed in response to the review and seeks to increase awareness and encourage greater community and partner involvement in Neighbourhood Partnerships. • Edinburgh's new Community Plan for 2013/16 describes four priority outcomes on (i) an economy delivering investment and jobs, (ii) improved health and wellbeing and health inequalities reduced, (iii) best start in life for children and young people and (iv) safer communities and improved physical and social fabric. • An overview was provided to the Finance and Resources Committee in May 2014 of the Council's approach to strategic workforce 		model.

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		<p>planning, current progress and future developments. A range of strategic development and business planning is being undertaken as the Council adapts to meet the challenges of increasing citizen and customer expectations in a climate of unprecedented financial constraints. A critical element of this process is the development and implementation of a refreshed strategic planning model including new elements such as budget, people and transformational strategies, with an enhanced service and business planning approach. This will be fully aligned to the Council's pledges, outcomes and future state analysis to ensure a successful direction in the short, medium and longer term.</p>		
	<p>1.1.2 Review regularly the authority's vision for the local area and its implications for governance arrangements.</p>	<ul style="list-style-type: none"> • The Edinburgh Partnership Community Plan 13/16 includes an integrated area profile of the city which assessed Edinburgh's needs as of early 2013. This information was published on the Understanding Edinburgh website, but will now be transferred to the big data / Open Data project. • The Partnership has also conducted extensive work on analysing recent census data and performance data from across key stakeholders to inform the new Community Plan 15/18. 	<p>3</p>	<p>Edinburgh Partnership Protocols currently being reviewed for approval by the Edinburgh Partnership in June 2014.</p>

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		<ul style="list-style-type: none"> • The Community Plan was developed with city partners and was subject to public consultation. See report to Edinburgh Partnership Board on 6 June 2013. • A review of performance against Community Plan targets is ongoing and regularly reported into the Board and Executive groups (see above at 1.1) • Accountability for the outcomes in the SOA has been clearly specified and recent Board and Executive away days have led to action to strengthen and simplify governance and accountability arrangements across the partnership. Critical to this development has been the merging of the Executive and Board functions into one accountable body for Community Planning in the City. • A review of Neighbourhood Partnerships was carried out as part of the Council's review of governance arrangements. This was a collaborative approach involving the community and partners. The findings from this process have informed strategic and individual NP improvement plans which aim to strengthen partnership working and community participation at a local level. 		

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	<p>1.1.3 Partnerships are underpinned by a common vision of their work that is understood and agreed by all partners.</p>	<ul style="list-style-type: none"> • The Edinburgh Partnership is the Community Planning Partnership in the city. The Partnership undertakes a self-evaluation at both a strategic and neighbourhood level. This will considered a range of issues including the partnership's vision for the city. • The Community Plan 2013/16 was developed by and submitted on behalf of the Edinburgh Partnership and underpins all partners' work. New partnership agreements will be established to ensure accountability of outcome delivery during 2013/16. • Delivery of the strategic and neighbourhood priorities in the Community Plan are overseen by the Edinburgh Partnership. A Neighbourhood Partnership Convenors Forum and individual Neighbourhood Partnerships also oversee the delivery of Neighbourhood Community Plans. • The work of 12 Neighbourhood Partnerships is informed by local and city priorities. Community at a local level, Neighbourhood Partnerships have Local Community Plans which set out the outcomes, measures and multi-agency actions to meet community ambitions for their areas. The plans provide the basis for collaborative working across the NPs, with this local action directly contributing to the achievement of city priorities. Local Community Plans and information on the Neighbourhood Partnerships 	3	Neighbourhood Partnership Strategic and Local Improvement Plans.

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		are available at www.edinburghnp.gov.uk .		
	1.1.4 Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance.	<ul style="list-style-type: none"> • The Council published its Annual Performance Report, an Annual Report on Statutory Performance Indicators and an annual analysis of performance against National Benchmark indicators recommended by SOLACE and the Improvement Service. • There are detailed arrangements in place for Community Plan reporting every six months. • The Council provides a six monthly formal report of progress against the priorities set out in the Capital Coalition's 'contract with the capital'. The last update was presented to Council on 29 May 2014. • Reports on progress against the Council's Achieving Excellence Performance Framework are scrutinised by the Council Management Team on a monthly basis, with six monthly scrutiny by elected members at the Executive Committees and the Corporate Policy and Strategy Committee. • Local Government Benchmarking Framework is now established with 12/13 data published March 2014. • Edinburgh by Numbers 2014 now includes Council's performance alongside how the city is performing. 	3	<p>Local Government Benchmarking Framework is now established with 12/13 data published March 2014.</p> <p>Edinburgh by Numbers 2014 now includes Council's performance alongside how the city is performing.</p> <p>Annual report on the Corporate Governance Framework presented to the Governance, Risk and Best Value Committee each year.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<ul style="list-style-type: none"> • Annual report on the Corporate Governance Framework presented to the Governance, Risk and Best Value Committee each year. • Other reports include: <ul style="list-style-type: none"> • the Annual Statement of Accounts; and • budget reports and budget monitoring reports. 		
<p>1.2 Users receive a high quality of service whether directly, or in partnership, or by commissioning</p>	<p>1.2.1 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.</p>	<ul style="list-style-type: none"> • The annual performance framework for the Council was presented to the Corporate Policy and Strategy Committee on 3 December 2013. This framework provides an overview of all our key strategies, joining up services to promote a 'one Council' approach to deliver on corporate, political and Community Planning priorities. • Performance dashboards developed as part of this framework incorporate indicators around quality of service, customer perceptions and service response rates. • Data for the framework and dashboards are collated centrally using the Covalent performance management system. • Performance arrangements and customer focus are covered in Service, Divisional, and Thematic plans. • The Council uses a range of standard tools to assess services across the organisation. The Edinburgh People Survey (EPS) was created, 	<p>3</p>	<p>Corporate Governance service plan – customer experience.</p> <p>Establish feasibility of rationalising aspects of survey and research activity in CEC and implementation of findings.</p> <p>Customer Service Excellence to continue to be rolled out across services within the Council.</p>

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		<p>rationalising the Annual Neighbourhood Survey (ANS) and the Edinburgh Residents Survey (ERS). EPS questions provide neighbourhood-level opinion information on universal services, quality of life and organisational reputation – linked to a full suite of demographic information.</p> <ul style="list-style-type: none"> • The Council has a Customer Access Strategy • The Council's Business Intelligence Service leads on Best Value Auditing of Council services to support statutory duties and use external scrutiny to ensure services benchmark with their peers. • The Council's is committed to working with services to achieve Customer Service Excellence accreditation and ensuring that services meet the highest standards for customer service set in the UK. • As part of this work The Council is committed to the implementation and use of self assessment procedures amongst Council services to identify areas for improvement and strengthen service quality. 		
	<p>1.2.2 Effective arrangements to identify and deal with failure in service delivery.</p>	<ul style="list-style-type: none"> • The performance management evidence above in 1.2.1 also applies here. • The Best Value Audit carried out by Audit Scotland in 2012 provided a rigorous assessment of performance across our services. 	<p>2</p>	<p>Audit Scotland Best Value Audit -June 2014. Business Improvement</p>

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		<p>The overall report shows the Council is on the right path to creating an excellent local authority that serves the city effectively and efficiently.</p> <ul style="list-style-type: none"> • Governance Review – Operational Governance has provided an ongoing programme of work to strengthen and enhance the Council’s governance framework and internal controls. It is anticipated that this will, over time, address failures within key areas. • A Corporate Governance Management Team CGMT performance report has been established and is presented to CGMT bi-monthly. 		<p>tool Cognos will be accessible to all users end of June 2014.</p> <p>Further performance dashboards are being developed.</p>
<p>1.3 Make best use of resources so that tax payers and service users receive excellent value for money.</p>	<p>1.3.1 a) Decide how value for money (VFM) is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively.</p> <p>b) Measure the environmental impact of policies, plans and decisions.</p>	<p>a)</p> <ul style="list-style-type: none"> • Best Value approach. • Corporate Performance Reporting reflecting a thematic approach, linking activities more explicitly to the Council’s priority outcomes. This complements the adoption of a more priority based approach to setting the Council’s budget. • Building on these closer links between financial and non-financial factors, the total budget approach to the 2014/2015 budget process brought expenditure, staffing, income and performance data together to provide additional insight into the totality of the Council’s spend. The Better Outcomes for Leaner Delivery (BOLD) project is similarly examining 	<p>2</p>	<p>Building on a series of member-led workstreams, guiding development of budget options for 2014/15, and the BOLD project is scrutinising existing practices and procedures across twelve key areas, one of which is developing the use of benchmarking as a spur to improvement.</p> <p>Wide ranging</p>

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		<p>opportunities across all areas of the Council and not just those that have traditionally formed the focus of scrutiny for efficiencies.</p> <ul style="list-style-type: none"> • Annual Efficiency Statement sets out levels of efficiency achieved per annum. • Financial impacts noted on reports to the Council and its committees with guidance on this area refreshed in May 2013 and included within the revised Financial Regulations. • As far as possible the Council reviews its operating costs in areas such as property, energy, and procurement of supplies and services on a regular basis. Procurement procedures are formally reviewed on an annual basis as part of the procurement capability assessment (PCA). • The Council regularly benchmarks various operating costs and reviews its performance against peer authorities. This process has been given additional impetus through publication of the national SOLACE performance data set and parallel improvements in transparency resulting from the total budget process. • In view of the extent of the challenge in reconciling increasing demand with reducing resources going forward, a series of themed budget work streams was established in 2013, examining savings opportunities through such areas as improved workforce management and 		<p>engagement prior to the setting of the 2014/15 Budget developed a greater understanding of how to make best use of financial resources. This activity will be developed through 2014 for the 2015/16 Budget.</p> <p>The new Chief Communications Officer has been appointed with a remit to improve the Council's reputation and engagement through</p> <ul style="list-style-type: none"> • influencing and supporting all services to understand and manage reputational impact; • delivering and implementing corporate communications,

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		<p>greater use of early intervention and preventative activity. These workstreams are being built upon as part of the BOLD programme.</p> <ul style="list-style-type: none"> • The most recent Edinburgh People’s Survey 2013 indicated that 39% of respondents considered the council to provide good value for money for its citizens. <p>b)</p> <ul style="list-style-type: none"> • Strategic Environmental Assessment is used as appropriate. • Each committee report requires an assessment of impacts against duties in the Climate Change Act 2009 public body duties of mitigation and adaptation • The Sustainable Edinburgh 2020 Strategy was agreed in March 2011 and there is now comprehensive annual reporting on CO2 emissions, air quality, recycling, energy use, economic and social measures. 		<p>media relations and refreshed social media strategies to improve communications with residents, businesses, visitors and partners; and</p> <ul style="list-style-type: none"> • developing and implementing an energising employee communications strategy, supporting our people to be role models and ambassadors for our services.
	1.3.2 Ensure that timely, accurate and impartial financial advice and information is provided to assist in decision making and to ensure that the authority meets its policy and	<ul style="list-style-type: none"> • Programme of staff training undertaken, centred on reconsidering and better understanding the role of the accountant, with greater emphasis upon accounting for decision-making. Senior Management Team monitoring reports have also been reviewed 	3	<p>Corporate Governance service plan – Total Budget</p> <p>The Financial Services</p>

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	<p>service objectives and provides effective stewardship of public money and value for money in its use</p>	<p>to increase clarity and impact, resulting in use of Powerpoint presentations, with very positive feedback received. Opportunities for further improvements and rolling out of best practice across all areas have been identified by divisional working group;</p> <ul style="list-style-type: none"> • All service areas have maintained expenditure within budgeted levels for the last five years, with unallocated reserves also re-established to target levels one year ahead of schedule; • Unqualified financial statements every year since 1996/97; 		<p>Transformation Plan is continuing to re-align activity more towards management accountancy, key transformational and/or risk areas within a context of reducing overall resource levels. Phases 1 and 2 have now been completed and phase 3 is currently being progressed and involves all remaining roles within the service structure.</p> <p>Financial Management Customer Survey to be undertaken by Autumn 2014.</p>

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	<p>1.3.3 Ensure that the authority maintains a prudential financial framework; keeps its commitments in balance with available resources; monitors income and expenditure levels to ensure that this balance is maintained and takes corrective action when necessary</p>	<ul style="list-style-type: none"> • Long-term financial plan established in 2009, covering rolling ten-year timeframe and capturing main drivers of expenditure and changes in income. Assumptions regularly reviewed and reported to Committee; • Comprehensive system of service and corporate monitoring in place, focused on identifying where mitigating/corrective action is required. In view of financial challenges facing Council, this monitoring is being aligned more towards key areas of risk and/or transformation to maximise impact – this approach has been approved by Corporate Management Team (CMT); • Balance sheet monitoring has also been introduced, incorporating greater scrutiny in particular on debtor levels and provisions. • Phase 1 and 2 of the Financial Services Transformation Plan have now been undertaken with appointments to the two senior roles supporting the Head of Finance made in December 2013 (phase 1) and appointments to all Principal and Senior Accountant (or equivalent) roles confirmed in April 2014 (phase 2). 	3	<p>The Financial Services Transformation Plan is continuing to re-align activity more towards management accountancy, key transformational and/or risk areas within a context of reducing overall resource levels. Phases 1 and 2 have now been completed and phase 3 is currently being progressed and involves all remaining roles within the structure.</p>

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	1.3.4 Ensure compliance with CIPFA's Code on a Prudential Framework for Local Authority Capital Finance and CIPFA's Treasury Management Code	<ul style="list-style-type: none"> • Both codes formally adopted, with all activity undertaken in accordance with relevant provisions as set out in detailed procedure manuals developed for each role within section; • Head of Finance responsible for preparing and maintaining treasury policy statement, with amendments requiring consideration and approval by Council; • Annual Treasury Strategy prepared – 2014/15 statement approved by Council on 20 March 2014; • Review of past year's actual performance also reported to Committee; • Prudential indicators for coming year(s) reported to Council as part of Budget motion; • Relevant officers active members of professional groups such as Treasury Management Forum, organising, for example, national conference in 2014; • National award received by Treasury Manager in 2010; • Performance/strategy subject to regular scrutiny by Governance, Risk and Best Value Committee. 	3	

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

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
2.1 Provide effective leadership throughout the authority and be clear about executive and non-executive functions, and of the roles and responsibilities of the scrutiny function.	2.1.1 A clear statement of the respective roles and responsibilities of the executive and of the executive's members individually and the authority's approach towards putting this into practice.	<ul style="list-style-type: none"> • Committee Terms of Reference and Delegated Functions. (revised annually – last revision 29 May 2014) • Procedural Standing Orders for Council and Committee meetings. (both revised annually – last revision Council 29 May 2014) • Scheme of Delegation to Officers – (revised annually – last revision Council 29 May 2014). 	3	Review of political management arrangements – Council 23 October 2014.
	2.1.2 Ensure that the CFO reports directly to the chief executive and is a member of the leadership team with a status at least equivalent to other members. If different organisational arrangements are adopted,	<ul style="list-style-type: none"> • The Chief Financial Officer is the Head of Finance who has a place on the Council's Corporate Management Team alongside the Director of Corporate Governance who is the lead on strategic and corporate financial matters. 	3	

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	<p>explain the reasons publicly, together with how these deliver the same impact</p>	<ul style="list-style-type: none"> The Chief Financial Officer is the Head of Finance and both appointments are made publicly by the Council. 		
	<p>2.1.3 A clear statement of the respective roles and responsibilities of members and senior officers.</p>	<ul style="list-style-type: none"> Committee Terms of Reference and Delegated Functions. (revised annually – last revision 29 May 2014). Procedural Standing Orders for Council and Committee meetings. (both revised annually – last revision 29 May 2014). Scheme of Delegation to Officers – (29 May 2014). Member / Officer Relations Protocol (revised in December 2013). Code of Conduct for Councillors (December 2010). 	3	<p>Operational Governance Framework is revised and reported to Council annually in May.</p>

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2.2A constructive working relationship exists between authority members and officers and that the responsibilities of members and officers are carried out to a high standard.	2.2.1 Determine a scheme of delegation and reserve powers in the constitution, including a formal schedule of those matters specifically reserved for collective decision of the authority, taking account of relevant legislation, and ensure that it is monitored and updated when required.	<ul style="list-style-type: none"> • Committee Terms of Reference and Delegated Functions. (revised annually – last revision 29 May 2014) • Procedural Standing Orders for Council and Committee meetings. (both revised annually – last revision 29 May 2014) • Scheme of Delegation to Officers – 29 May 2014. • Annual update of all operational governance documentation. 	3	Operational Governance Framework is revised and reported to Council annually in May.
	2.2.2 Make the chief executive responsible and accountable to the authority for all aspects of operational management.	<ul style="list-style-type: none"> • Paragraph 4.1, Scheme of Delegation to Officers May 2014. 	3	Operational Governance Framework is revised and reported to Council annually in May.
	2.2.3 Ensure that the authority's governance arrangements allow the CFO direct access to the CEO and to other leadership team members	<ul style="list-style-type: none"> • The Chief Financial Officer reports to the Director of Corporate Governance and is a member of the Corporate Management Team with the Chief Executive and all directors. • Refer to comments at 2.1.2 above. 	3	

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	2.2.4 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.	<ul style="list-style-type: none"> • Scheme of Delegation to Officers (May 2014). • Member / Officer Relations Protocol (revised in December 2013) now includes roles of conveners (including the leader), elected members, officers and the Chief Executive. • Weekly meeting with the Chief Executive, Director of Corporate Governance, Leader and Deputy Leader. 	3	Scheme of Delegation to Officers and Member/Officer Protocol reviewed and approved annually
	2.2.5 Make a senior officer (the 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 an effective system of internal financial control.	<ul style="list-style-type: none"> • Scheme of Delegation to Officers (May 2014 – appendix 8). • Financial Regulations – (May 2013, paragraphs 1.4, 1.5 and 1.8). • Annual Accounts. 	3	Scheme of Delegation to Officers and Financial Regulations reviewed annually (last revision 29 May 2014)
	2.2.6 Appoint a professionally qualified CFO whose core responsibilities include those set out in the Statement on the Role of the CFO in Local Government and ensure that they are properly understood throughout the	<ul style="list-style-type: none"> • A prerequisite of appointment is that the Head of Finance has a full professional qualification, with a wide range of relevant experience at a senior level in accordance with the five specific characteristics of the role of the CFO set out within the Statement. 	3	The Divisional review initiated in November 2013 has at its heart re-aligning the Finance

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	authority	<ul style="list-style-type: none"> The Council's Financial Regulations set out the framework through which the proper officer's Section 95 responsibilities are discharged. These regulations were completely updated in late 2012, alongside a parallel refresh of the Contract Standing Orders. Further updates were approved by Council in May 2013, along with development of complementary, more detailed Finance Rules. A further review and update of the Financial Regulations is expected to be considered by the Council in summer 2014. Briefing sessions with elected members and relevant officers have been convened to publicise the contents, principles and changes within these documents. 		function to support more effectively the role of the Chief Financial Officer, with a number of specific aspects targeted for improvement. Phases 1 and 2 of the review have now been completed, with assignment to the remaining posts in the structure on target to be completed by the end of June 2014.
	<p>2.2.7 Ensure that the CFO:</p> <ul style="list-style-type: none"> leads the promotion and delivery by the whole organisation of good financial 	<ul style="list-style-type: none"> As noted for 2.2.6 above, the means by which the Head of Finance's Section 95 responsibilities are discharged are set out in the Financial 	3	

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	<p>management so that public money is safeguarded at all times and used appropriately, economically, efficiently and effectively; and</p> <ul style="list-style-type: none"> ▪ has a line of professional accountability for finance staff throughout the organisation. 	<p>Regulations. Complementary structural changes, such as the appointment of a designated Commercial and Procurement Manager and re-design and re-alignment of both the accountancy and procurement functions, support delivery of these objectives.</p> <ul style="list-style-type: none"> • Technical and more general management training has been delivered to all professional accountancy staff for onward dissemination of the principles of good financial management throughout the organisation. Principal Accountants attend service senior management team meetings and the Finance function is represented on the boards of the main transformational projects; • Regular financial updates are provided to the Corporate Management Team and to Committees. 		
	<p>2.2.8 Ensure that budget calculations are robust and reserves adequate, in line with CIPFA's guidance</p>	<ul style="list-style-type: none"> • The Long-Term Financial Plan serves as the foundation to the Council's financial planning and informs the level of savings requiring to be brought forward to ensure a balanced overall budget is delivered. The assumptions within the LTFP are regularly reviewed 	3	

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		<p>and reported as appropriate to Committee, the most recent update of which was considered in May 2014;</p> <ul style="list-style-type: none"> • In recognising that the Council's level of unallocated reserves had reached unacceptably low levels in 2007, a target was set to re-establish them to a level equating to approximately 1% of the Council's gross expenditure by March 2012. This target was met a year ahead of schedule; • The need for, and associated level of, other earmarked reserves is subject to regular discussion by officers and with External Audit. These arrangements are part of a system of financial control that has been assessed to be effective by Audit Scotland. An overview of this assessment, alongside identification of key risks facing the Council, is reported to the Finance and Resources Committee in January each year; • Delivery of approved budget savings is tracked throughout the year and reported as part of the year-end outturn. 		

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	<p>2.2.9 Ensure that appropriate management accounting systems, functions and controls are in place so that finances are kept under review on a regular basis. These systems, functions and controls should apply consistently to all activities including partnership arrangements, outsourcing or where the authority is acting in an enabling manner.</p>	<ul style="list-style-type: none"> The Council has a comprehensive system of revenue and capital monitoring in place and the summarised position is regularly considered at Service and Corporate Management Teams. The focus of this monitoring has been realigned more specifically towards high-risk, material and/or transformational areas, allowing available staffing resource to support a range of key initiatives within the Council; Finance activity is subject to a framework of appropriate internal control and a number of further improvements have now been implemented in full following earlier reviews by KPMG and Audit Scotland. The extent of progress made was independently verified in early 2014. 	3	
	<p>2.2.10 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.</p>	<ul style="list-style-type: none"> Member / Officer Protocol – Director of Corporate Governance appointed by the Council as monitoring officer – Section 7.4. (last revision December 2013) Scheme of Delegation to Officers – appendix 8. (last revision May 2014) 	3	

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
<p>2.3 Relationships between the authority, its partners and the public are clear so that each knows what to expect of the other.</p>	<p>2.3.1 Develop protocols to ensure effective communication between members and officers in their respective roles.</p>	<ul style="list-style-type: none"> • Member / Officer Protocol revised in December 2013 now includes information and guidance on the relationship between Members and Officers. • Code of Conduct for Councillors (December 2010) 	<p>3</p>	<p>Member/Officer protocol reviewed annually – due for revision in May 2015</p>
	<p>2.3.2 Establish a scheme for remunerating members and officers and an effective structure for managing the process, including an effective remuneration panel, if applicable.</p>	<ul style="list-style-type: none"> • Committee terms of reference and delegated functions – Recruitment Committee paragraph 20. • Member / Officer Protocol, section 4.15.1 • Elected Members’ Remuneration – guidance notes and provisions from Local Governance (Scotland) Act 2004 (Remuneration) Amendment Regulation 2013, related SSIs and additional SLARC guidance post review. • The Council has a grade and pay structure to ensure consistency, fairness and value for money following completion of the modernising pay project. 	<p>3</p>	<p>Member/Officer protocol reviewed annually – due for revision in May 2015</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
	2.3.3 Effective mechanisms exist to monitor service delivery.	<ul style="list-style-type: none"> • See evidence regarding performance management framework under Principle 1, section 1.1.2, 1.1.4, 1.2.1 and 1.2.2 above. <p>Additional evidence:</p> <ul style="list-style-type: none"> • Mystery shopping has been used extensively across the Council to provide detailed measures of quality of service, accessibility and customer care. • Mystery shopping has undergone review and a new service was re-launched in January 2014. • The Edinburgh partnership provides a useful mechanism to gather partner and community views on service delivery. • Edinburgh People's Survey 	3	<p>Corporate Governance service plan – customer experience.</p> <p>Mystery shopping is linking more directly with Customer Service Excellence across the Council.</p>
	2.3.4 The organisation's vision, strategic plans, priorities and targets are developed through effective mechanisms in consultation with the local community and other key stakeholders, and that they are clearly articulated and	<ul style="list-style-type: none"> • Single Outcome Agreement development process involved joint work with partners and wider public consultation. Extensive work is underway to develop a new Community Plan by March 2015, with a smaller number of genuinely shared priorities, focussed on tackling poverty and inequality. 	2	<p>Corporate Governance service plan – reputation.</p> <p>Consultation toolkit: a practical toolkit for carrying out meaningful consultation and adhering to the</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
	disseminated.	<ul style="list-style-type: none"> • Neighbourhood Partnerships develop plans and priorities collaboratively with local communities. • The Council's Website for Edinburgh's citizens is used to highlight key strategic information/to get feedback/to advise of consultations etc. • Information on city-wide and local Community Planning strategy and priorities is also disseminated via websites. • City wide public consultation on the Council's budget in 2013 will be built upon and developed further in 2014. • Council consultations are posted on the Council's website and highlighted via social media. • CEC and its Community Planning Partners have agreed to adopt the National Standards for Community Engagement. • The Council carries out the Edinburgh People's survey to inform council priorities. • The Council publishes a number of performance reports, including its Annual Performance Report 2012/13 and performance reports every six 		<p>national standards of engagement has been developed and will be launched to elected members and council officers this summer.</p> <p>To support the toolkit an e-learning tool has been set up to educate staff on the principles of consultation.</p> <p>Consultation Hub: will be implemented to improve the management and auditing of all consultations, including feedback on outcomes of each consultation. Improve use of the National Standards for Community Engagement, including via the use of e-consultation</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<p>months to Committees.</p> <ul style="list-style-type: none"> • The Communities and Neighbourhoods Committee provides a key link for community engagement and a consultative approach. • The focus of new political management arrangements on consultation and engagement including the introduction of a Petitions Committee and policy development and review sub committees. • Core best value strategies aligned to sustainability, equality and Community Planning are well developed and articulated across the council, with associated public reporting arrangements in place. 		<p>methods. e.g. a budget simulator and creating a dialogue platform for citizens and community groups to post and share ideas and suggestions.</p>
	<p>2.3.5 Establish a medium term business and financial planning process to deliver strategic objectives including:</p> <ul style="list-style-type: none"> • A medium term financial strategy to ensure sustainable finances; • A robust annual budget process that ensures financial balance; 	<ul style="list-style-type: none"> • As noted elsewhere within this document, the LTFP sets out the Council's medium to longer term financial framework and guides more detailed work around savings formulation. A specific reserves strategy is in place, with the targeted level of unallocated reserves attained a year ahead of schedule. The appropriateness of this level, as well as the various provisions and factors captured within the LTFP, is subject to 	3	<p>Corporate Governance service plan – total budget & risk management.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
	<ul style="list-style-type: none"> • A monitoring process that enables this to be delivered; and • Ensure that these are subject to regular review to confirm the continuing relevance of assumptions used 	<p>on-going review in light of new and/or additional information and good practice elsewhere;</p> <ul style="list-style-type: none"> • The Council's 2013/14 budget process was underpinned by priority-based principles and this realignment of resources towards key outcomes will be built upon for 2014/15 and subsequent years' processes. It is the intention to issue a draft 2014/15 budget in September, triggering a period of public consultation on its content. • The monitoring process is being realigned towards areas of higher risk, materiality and/or transformational projects to free up staff time to facilitate greater service challenge. 		
	<p>2.3.6 When working in partnership, members are clear about their roles and responsibilities, both individually and collectively, in relation to the partnership and to the authority.</p>	<ul style="list-style-type: none"> • Code of Conduct for Councillors (Dec 2010) section 3.18. • Members' / Officers' Protocol (Dec 2013), section 2.1.3. • Induction and training programme for elected members following May 2012 election. Governance training programme for elected members Nov 2012-Feb 2013. Training needs 	2	<p>Member/Officer protocol reviewed annually – due for revision in December 2014.</p> <p>A training plan is being developed for</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<p>analysis undertaken March 2013.</p> <ul style="list-style-type: none"> • Many partner organisations provide organisation specific training/guidance and advice to elected members separately. 		Councillors based on the training requirements identified by political groups.
	<p>2.3.7 When working in partnership, clarify the legal status of the partnership and ensure that partners' representatives understand, and make clear to all other partners, the extent of their authority to bind their organisation to partnership decisions.</p>	<ul style="list-style-type: none"> • A number of individual partnership agreements are in place although the Council does not maintain a comprehensive record of all partnership activity, given the vast range of settings, from formal to less formal arrangements. • Edinburgh Partnership Members' Handbook. • Council companies review commenced with a report to Council in December 2012. Update reports have been provided to Council on 27 June 2013, 26 September 2013, 21 November 2013 and 6 February 2014. • National Guidance has been produced on governance arrangements relating to the Single Outcome Agreement (the SOA now being the city's key strategic framework involving partnership activity). 	3	Governance work programme to ensure all key partnership activity is governed by an appropriate, visible and transparent agreement.

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<ul style="list-style-type: none">Partnerships and Joint Working training is available through Leadership Matters 2.		

Principle 3: Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
3.1 Authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance.	3.1.1 The authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect.	<ul style="list-style-type: none"> • Procedural Standing Orders for Council and Committee Meetings. • Committee Terms of Reference and Delegated Functions. • Member / Officer Protocol (last revision December 2013). • Code of Conduct for Council Employees (last revision August 2012) • Code of Conduct for Councillors – Standards Commission (last revision December 2010). • Whistleblowing Policy agreed in September 2013 and implemented on 12 May 2014. • Anti-bribery Policy (last revision August 2012) • The Council has established an employee engagement strategy which puts the 'employee voice' at the heart of our employment proposition. This was stated over a year ago with the launch of Pride in Our People (PIOP) which engaged leaders 	3	<p>Corporate Governance service plan – high performing workforce.</p> <p>Whistleblowing hotline pilot – quarterly reporting to CMT, Finance and Resources Committee and then Governance, Risk and Best Value Committee</p> <p>In 2014 a new leadership event is being rolled out with an enhanced PIOP local programme</p> <p>Introduction of formal employee suggestion scheme.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<p>in the Council's strategic direction and the role managers were expected to play in engaging their people around our change strategy and direction.</p> <ul style="list-style-type: none"> • Throughout 2013 a series of PIOP local events engaged over 200 staff in the role they play in making change happen locally. Towards the end of 2013 PIOP in Action was developed to ensure that in Directorates people were engaged in action plans, taken from the PIOP local events which were concerned with improving service delivery and outcomes for service users and clients. • An Employee Engagement Board has been established and chaired by the Chief Executive with a representative population from the workforce who meet on a quarterly basis to discuss the engagement and change agenda around four key themes: Communications (what are the great stories around engaged people and what results are they delivering for our customers); Suggestions Scheme (our plans to introduce a formal suggestion scheme for all staff to make suggestions for service improvement); Measurement (a quarterly snapshot temperature check survey which shows the extent to which people feel 		

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<p>engaged and able to contribute to the change process and Impact (what impact are all of these initiatives having on the ground, how are services being improved, how do we know and how does this link with liP and other external accreditation).</p>		
	<p>3.1.2 Standards of conduct and personal behaviour expected of members and staff, working relationships between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols.</p>	<ul style="list-style-type: none"> • Procedural Standing Orders for Council and Committee Meetings (last revision May 2014). • Committee Terms of Reference and Delegated Functions. (last revision May 2014) • Member / Officer Protocol (last revision December 2013). • Code of Conduct for Council Employees (last revision August 2012). • Anti-bribery Policy (last revision August 2012) and Fraud Prevention Policy (last revision October 2013) – including a programme of mandatory training for managers. • Code of Conduct for Councillors – Standards Commission (last revision December 2010). • Equality and Diversity in Employment Policy. • Performance Review and Development 	3	<p>Corporate Governance service plan – high performing workforce and risk management.</p> <p>Organisational Development and Governance includes development of mandatory awareness of and compliance with key council policies.</p> <p>Implementation of appropriate processes, guidance and monitoring relating to politically restricted posts.</p> <p>Member / Officer Protocol (revised in December 2013)</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<p>system - sets our core competencies of behaviour.</p> <ul style="list-style-type: none"> • National Standards for Community Engagement (see 3.3.4 above). • Customer Care arrangements, including a revised Complaints Procedure (last revision March 2013) that complies with the Scottish Public Services Ombudsman's standardised Complaints Handling Procedure for Scottish Local Authorities. 		
	<p>3.1.3 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.</p>	<ul style="list-style-type: none"> • Code of Conduct for Councillors. (last revision December 2010) • Code of Conduct for Council Employees (last revision August 2012) including provisions that require Council staff to declare conflicts of interest. • Gifts and Hospitality Guidelines and Registers. • Member/Officer Protocol. (last revision December 2013) • Mainstreaming Equalities approach is embedded throughout CEC. • Customer Care arrangements, including a revised Complaints Procedure (Mar 2013) that complies with the Scottish Public Services Ombudsman's standardised Complaints Handling Procedure for 	2	<p>Corporate Governance service plan – risk management.</p> <p>Publication of Gifts and Hospitality registers on the CEC website.</p> <p>Implementation of appropriate processes, guidance and monitoring relating to politically restricted posts.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<p>Scottish Local Authorities.</p> <ul style="list-style-type: none"> • Register of Members' Interests is publicly available on the CEC website. • Mandatory key policy awareness 		
<p>3.2 Organisational values are put into practice and are effective.</p>	<p>3.2.1 Shared values, including leadership values for the organisation and staff, reflecting public expectations that are communicated to members, staff, the community and partners.</p>	<ul style="list-style-type: none"> • Council Vision, Values, Pledges, Community Plan, including embedding, where appropriate, into reporting template • Code of Conduct for Councillors (last revision December 2010) • Code of Conduct for Council Employees (Last revision August 2012) • Disciplinary Code (last revision May 2014) • Policy on Fair Treatment at Work (last revision October 2001) • Equality and Diversity in Employment Policy (last revision August 2006) • Whistleblowing Policy (last revision May 2014) • Freedom of Information processes and guidance and the Council's publication scheme. • Performance Review and Development system • Delivery of LM1 and LM2 training programmes. 	<p>3</p>	<p>Corporate Governance service plan – high performing workforce.</p> <p>Whistleblowing hotline pilot – quarterly reporting to CMT, Finance and Resources Committee and then Governance, Risk and Best Value Committee.</p> <p>Shared values are agreed by CMT and are being launched through PIOP Sessions. The latest session at which values were launched was a PIOP event on 9 June 2014.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
	<p>3.2.2 Systems and processes are designed in conformity with appropriate ethical standards, and monitored for continuing effectiveness in practice.</p>	<ul style="list-style-type: none"> • Code of Conduct for Councillors (last revision December 2010). • Code of Conduct for Council Employees (last revision August 2012) and anti bribery provisions. • Disciplinary Code (last revision January 2014). • Policy on Fair Treatment at Work (last revision October 2001). • Equality and Diversity in Employment Policy (last revision September 2006) and regular monitoring reports. • Register of Interests. • Whistleblowing Policy (2014) • Freedom of Information and Data Protection processes and guidance • CEC Equalities, Diversity, and Human Rights Scheme. • Information Governance Strategy approved (November 2013) which established Information Council and annual plan. 	2	<p>Corporate Governance service plan – risk management. This includes a new suite of information compliance policies, processes, guidance and training which have been drafted and will be fully implemented by December 2014.</p> <p>Whistleblowing hotline pilot – quarterly reporting to CMT, Finance and Resources Committee and then Governance, Risk and Best Value Committee</p> <p>Implementation of appropriate processes, guidance and monitoring relating to politically restricted posts.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
	<p>3.2.3 Ensure that systems and processes for financial administration, financial control and protection of the authority's resources and assets are designed in conformity with appropriate ethical standards and monitor their continuing effectiveness in practice</p>	<ul style="list-style-type: none"> • Budgeting systems • Reviews of financial performance reports against forecasts • Preparation and circulation of regular financial monitoring reports • Consideration of internal and external reports of GRBV. • Refresh of Public Interest Disclosure (Whistle blowing) Policy and updating of Anti-Fraud Policy • Development of additional guidance around sustainable and ethical procurement as part of Procurement Handbook which has been approved by CMT. • Implementation of mandatory training on a range of key policies and procedures. 	2	<p>Corporate Governance service plan – total budget and risk management.</p> <p>Improvement plan based on findings of independent report on Internal Controls – March 2014.</p>
	<p>3.2.4 An effective standards committee or appropriate equivalent.</p>	<ul style="list-style-type: none"> • The Council refers complainants to the Standards Commission for Scotland. (The Commission's main task is to ensure that standards of ethical conduct are maintained across local authorities and public bodies and to deal with complaints of misconduct against individual members.) 	3	

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
	<p>3.2.5 Use shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority.</p>	<ul style="list-style-type: none"> • Code of Conduct for Councillors (last revision December 2010) • Code of Conduct for Council Employees (last revision August 2012) • Member / Officer Protocol (last revision December 2013) • Leadership and Development Programme – for employees. • Performance Review and Development system. • Investors in People. • Members have the opportunity to challenge officers submitting reports. • Strategic Governance –agreed capital coalition pledges, Council outcomes and the strategic plan. Updated reports provided to the Corporate Policy and Strategy Committee in June 2014. 	3	<p>Develop further awareness and understanding by staff of the Council’s values once relaunched following committee approval.</p>
	<p>3.2.6 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 partners’ behaviour both individually and collectively.</p>	<ul style="list-style-type: none"> • Individual agreements for partnerships. (EP Partnership Statement is in place, also Induction Pack and Members’ handbook.) • Local Code of Corporate Governance is completed and reported to the Governance, Risk and Best Value Committee annually. 	3	<p>Corporate Governance service plan – reputation.</p>

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

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
<p>4.1 Be rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny.</p>	<p>4.1.1 An effective scrutiny function which encourages constructive challenge and enhances the authority's performance and that of any organisation for which it is responsible.</p>	<ul style="list-style-type: none"> Review of political management arrangements focused on ensuring strengthened scrutiny functions and new Governance, Risk and Best Value Committee set up to replace the audit committee but also take the lead role as the Council's main scrutiny panel. During the review of political management arrangements in October 2013 a survey was undertaken of elected members asking how successful or unsuccessful the introduction of the Governance, Risk and Best Value Committee had been at enhancing scrutiny. 54% responded that it was either fairly successful or very successful. The Council has responded to external scrutiny, in the form of external audit and inspection reports, with improvement plans 	<p>3</p>	<p>Corporate Governance service plan – risk management.</p> <p>Review of political management arrangements report on policy development and review to be reported to Council on 23 October 2014.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<p>which are reported to the appropriate committees.</p> <ul style="list-style-type: none"> • Policy Development and Review Sub Committees have set up a range of dedicated policy reviews across key areas. 		
	<p>4.1.2 Ensure an effective internal audit function is resourced and maintained</p>	<ul style="list-style-type: none"> • Co-source arrangement agreed with PWC and contract signed with arrangements in place from 1 April 2013. • Following a review of existing operational arrangements and specifically the robustness of the internal control framework, current capacity and capability has been supplemented by acquisition of additional skills through partnership agreement. • Risk management – being embedded into internal audit. A risk based audit plan, risk based scoring mechanism for audit findings and risk based reporting and escalation procedures have been adopted. 	<p>3</p>	<p>Corporate Governance service plan – risk management.</p> <p>Delivery of the risk based annual audit plan and monitoring of the service delivery plan.</p> <p>Regular reporting to GRBV</p> <p>3 year training plan including support towards achievement of relevant professional qualifications where appropriate.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<ul style="list-style-type: none"> • Introduction of an internal audit template in line with leading practice, providing a consistent reporting format across the Council. 		Continued alignment of internal audit with risk management.
	<p>4.1.3 Open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based.</p>	<ul style="list-style-type: none"> • Code of Conduct for Councillors (last revision August 2010) • Code of Conduct for Council Employees (last revision August 2012) • Member / Officer Protocol (last revision December 2013) • Committee terms of reference and delegated functions. (last revision May 2014) • All Council and Committee reports and decisions are recorded and are available on the CEC website via Council papers online. • Members have the opportunity to challenge officers submitting reports. • Scheme of Delegation to Officers (last revision December 2013) • Enhanced committee reporting following the Review of Political Management Arrangements and reports including links to related pledges, outcomes and the 	3	<p>Review of political management arrangements report on policy development and review to be reported to Council on 23 October 2014.</p> <p>Extension of webcasting to further committee meetings from summer 2014.</p> <p>Introduction of evoting to committee meetings with phased implementation from June 2014.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<p>community plan.</p> <ul style="list-style-type: none"> • CEC reports have sections for consultation and engagement, sustainability and equalities impact. • Enhanced financial impact reporting arrangements are in place and embedded in the financial regulations. • Commercial Excellence programme underway to improve the Council's procurement function. • Contract Standing Orders – (last revision November 2012). • Webcasting of Council and some Committee meetings. • Publication of FOI responses from June 2013. • Council Diary arrangements reported to Council annually (last reported 13 March 2014) 		
	<p>4.1.4 Arrangements to safeguard members and employees against conflicts of interest and processes to ensure that they continue to operate in practice.</p>	<ul style="list-style-type: none"> • Standards Commission: Code of Conduct for Councillors (last revision December 2010). • Member / Officer Protocol (last revision December 2013). • Declarations of interest are a standing item in all Council and 	<p>3</p>	<p>Corporate Governance service plan – risk management.</p> <p>Whistleblowing hotline pilot – quarterly reporting to CMT, Finance and Resources Committee</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<p>committee Order of Business.</p> <ul style="list-style-type: none"> • Members are asked to declare interests and a register of those interests is published on the CEC website. • Employee Code of Conduct including bribery act provisions (last revision August 2012) • Managers are required to retain standard forms where employees declare conflicts of interest. • Customer Care arrangements, including a revised Complaints Procedure (Mar 2013) that complies with the Scottish Public Services Ombudsman's standardised Complaints Handling Procedure for Scottish Local Authorities. 		<p>and then Governance, Risk and Best Value Committee</p> <p>Implementation of appropriate processes, guidance and monitoring relating to politically restricted posts.</p> <p>Current arrangements – conflicts of interests register and forms</p>
	<p>4.1.5 An effective audit committee or equivalent which is independent of the executive and scrutiny, or suitable alternative.</p>	<ul style="list-style-type: none"> • Committee terms of reference and delegated functions paragraph 10 Governance, Risk and Best Value Committee. • Committee convener is a member of the opposition. • Comprehensive training by the 	<p>3</p>	

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<p>Head of Finance, Internal Audit, Governance, Treasury and Business Intelligence managers for all committee members.</p> <ul style="list-style-type: none"> • Ongoing training and workshops on key areas including treasury management and scrutiny. • Governance, Risk and Best Value Committee webcast from 15 August 2013 		
	4.1.6 Ensure that the authority's governance arrangements allow the CFO direct access to the audit committee and external audit.	<ul style="list-style-type: none"> • CFO attends Governance, Risk and Best Value Committee. • Regular meetings with External Audit have been in place for many years, with the focus on achieving compliance whilst also adding value; • Finance-based reports are included on all GRBV agendas and promote visibility of the importance attached to good financial management. 	3	
	4.1.7 Effective, transparent and accessible arrangements are in place for dealing with complaints.	<ul style="list-style-type: none"> • New complaints arrangements introduced from 25 March 2013. • Procedures are outlined on the Council's website. • Quarterly complaints reporting to 	3	<p>Corporate Governance service plan – customer experience.</p> <p>Corporate Complaints</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		CMT followed by the report to Corporate Policy and Strategy Committee annually.		Group now established to ensure best practice and streamlined approach across the Council.
4.2 Have good-quality information, advice and support so that services are delivered effectively and meet the community's wants and needs.	4.2.1 The authority's or partnership's decision makers are provided with information that is fit for the purpose i.e. relevant, timely and with clear explanations of technical issues and their implications.	<ul style="list-style-type: none"> • All Council and Committee reports and decisions are recorded and are available on Council Papers online. • The Council and some committee meetings are webcast and stored in an online archive. • Members have the opportunity to challenge officers submitting reports and ask questions at both agenda planning meetings or committee. • New report templates and guidance were introduced in October 2012 and updated in March 2014 with a face to face and online training programme for all staff. 	3	
	4.2.2 Ensure the provision of clear, well presented, timely, complete and accurate information and reports to budget managers and senior	<ul style="list-style-type: none"> • Adoption of risk-based principles with focus on areas of greatest materiality and variability. Regular reporting to SMTs and Committee maintained. 	3	Corporate Governance service plan – total budget. The Financial Services

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
	<p>officers on the budgetary and financial performance of the authority</p>	<ul style="list-style-type: none"> • Additional transparency/visibility of budget facilitated through “Total Budget” exercise. • Programme of staff training undertaken, centred on reconsidering and better understanding the role of the accountant, with greater emphasis upon supporting accounting for decision-making. • Senior Management Team monitoring reports have also been reviewed to increase clarity and impact, resulting in use of Powerpoint presentations – very positive feedback received. 		<p>Transformation Plan is continuing to re-align activity more towards management accountancy, key transformational and/or risk areas within a context of reducing overall resource levels. Phases 1 and 2 have now been completed and phase 3 is currently being progressed and involves all remaining roles within the structure.</p> <p>High satisfaction ratings in these information characteristics were apparent in Financial Management survey (2011) but some variability remains in the format of monitoring reports – opportunities to review and spread best</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
				practice are therefore being examined by divisional working group, building on adoption of standardised employee monitoring processes.
	4.2.3 Professional advice on matters that have legal or financial implications is available, recorded well in advance of decision making and used appropriately.	<ul style="list-style-type: none"> • Finance and legal officers are available to members for advice and explanation. • Expert legal or financial advice is provided by the Director of Corporate Governance, Head of Finance and Head of Legal, Risk and Compliance. • Report Writing Guidance and statutory provisions require reports and papers to be submitted to the Council or its committees in advance to allow members time to consider them. • Members have the opportunity to challenge officers submitting reports. • An analysis of decisions taken at Council, the Corporate Policy and Strategy Committee and Executive Committees shows that officers 	3	Corporate Governance service plan – risk management.

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<p>recommendations have been agreed in a total of 76.8% of reports considered by these committees, 22% of reports considered have had recommendations added to by elected members and 1.2% of reports the officers recommendations were not fully agreed.</p>		
	<p>4.2.4 Ensure the authority's governance arrangements allow the CFO to bring influence to bear on all material decisions</p>	<ul style="list-style-type: none"> • Head of Finance is a full member of CMT, with unfettered access to Directors and the Finance and Resources Convener/Vice-Convener; • Finance representation included on all Senior Management Teams; • Financial Regulations include right of Head of Finance to request that items be removed from Committee and/or Council agendas where financial implications 	3	
	<p>4.2.5 Ensure that advice is provided on the levels of reserves and balances in line with good practice guidance</p>	<ul style="list-style-type: none"> • The level of reserves and balances is explicitly examined as part of the annual Budget process; for 2013/14 this resulted in the formal withdrawal of budgetary flexibility and the reintroduction of spend to save schemes. The review for the 2014/15 budget was considered by 	3	

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		the Finance and Resources Committee in January 2014.		
4.3 An effective risk management system is in place.	4.3.1 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.	<ul style="list-style-type: none"> • Director of Corporate Governance is responsible for preparing a risk management policy and chief officers are responsible for implementation of risk management and ensuring effectiveness and review (CEC Financial Regulations.) • Committee Terms of Reference and Delegated functions assign a remit to the Governance, Risk and Best Value Committee to monitor the financial performance of the Council and its subsidiary undertakings, the effectiveness of the Council's audit and inspection, risk management and governance arrangements and of the control environment of the Council and associated anti-fraud and corruption arrangements. • Project/Departmental/Divisional and Corporate risk registers are in place and regularly updated • The report template has a section to reflect risk, policy, compliance and governance implications. 	2	<p>Corporate Governance service plan – risk management.</p> <p>The refreshed risk management framework is being implemented at all levels of the organisation, with rollout across 2014/15.</p> <p>A comprehensive Assurance Map for all service areas will be finalised.</p> <p>Internal Audit will move over the coming year from a partially risk based planning approach to a fully aligned risk assessed process in line with the refreshed risk management framework</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<ul style="list-style-type: none"> • A refreshed risk management policy and framework has been developed to complement Internal Audit activity. This is intended to enhance governance and accountability across the Council. • Operation of Risk Management Strategy. 		
	4.3.2 Ensure the authority's arrangements for financial and internal control and for managing risk are addressed in annual governance reports	<ul style="list-style-type: none"> • Coverage and assessment of these areas forms an integral part of the Annual Governance Statement. 	3	
	4.3.3 Ensure the authority puts in place effective internal financial controls covering codified guidance, budgetary systems, supervision, management review and monitoring, physical safeguards, segregation of duties, accounting procedures, information systems and authorization and approval	<ul style="list-style-type: none"> • A framework of internal control is in place, incorporating the improvements recommended as part of the KPMG review; good progress made has recently been independently verified (March 2014). • Audit Scotland's most recent assessment concluded that controls within the main systems reviewed were operating satisfactorily. Good progress has also been made in 	2/3	

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
	processes	implementing recommendations made by Internal Audit		
	4.3.4 Arrangements for whistleblowing to which staff and all those contracting with the authority have access.	<ul style="list-style-type: none"> Whistleblowing Policy and guidance (last revision May 2014) Employee Code of Conduct. (last revision August 2012) The policies are published on the Council's intranet and internet sites respectively. 	3	Whistleblowing hotline pilot – quarterly reporting to CMT, Finance and Resources Committee and then Governance, Risk and Best Value Committee
4.4 Legal powers are used to the full benefit of the citizens and communities in their areas.	4.4.1 Actively recognise the limits of lawful activity by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of the community.	<ul style="list-style-type: none"> Committee terms of reference and delegated functions. (last revision May 2014) Director of Corporate Governance appointed by the Council as monitoring officer – section 7 of the Member / Officer Protocol. Members have the opportunity to challenge officers submitting reports and seek advice from the Legal Manager and Head of Legal, Risk and Compliance. 	3	
	4.4.2 Recognise the limits of lawful action and observe both the specific requirements of	<ul style="list-style-type: none"> Committee terms of reference and delegated functions. (last revision May 2014) Director of Corporate Governance. 	3	

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
	<p>legislation and the general responsibilities placed on local authorities by the law.</p>	<p>appointed by the Council as monitoring officer – section 7 of the Member / Officer Protocol. (last revision December 2013)</p> <ul style="list-style-type: none"> • Monitoring Officer’s role and responsibilities. • Members have the opportunity to challenge officers submitting reports and seek advice from the Legal Manager or Head of Legal. Risk and Compliance. 		
	<p>4.4.3 Observe all specific legislative requirements, as well as the general legal requirements. In particular, integrate the key principles of good administrative law - rationality, legality and natural justice - into their procedures and decision making processes.</p>	<ul style="list-style-type: none"> • Committee terms of reference and delegated functions. (last revision May 2014) • Director of Corporate Governance. appointed by the Council as monitoring officer – section 7 of the Member / Officer Protocol. (last revision December 2013) • Monitoring Officer’s role and responsibilities. • Members have the opportunity to challenge officers submitting reports and seek advice from the Legal Manager or Head of Legal, Risk and Compliance. 	3	

Principle 5: Developing the capacity and capability of members and officers to be effective.

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
5.1 Members and officers have the skills, knowledge, experience and resources they need to perform their roles well	5.1.1 Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis.	<ul style="list-style-type: none"> • Comprehensive elected member training programmes delivered May/June 2012 and December 2012/January/February 2013. • Mandatory induction training for all new managers and existing staff who are promoted internally. • Recruitment and Selection Policy Framework (Section 6). • Member / Officer Protocol (Section 8.4). (last revision December 2013) • Information for councillors on the intranet under "How the Council Works". • Performance Review and Development process generates development plans for officers • LM1 and LM2 Leadership and Development Programmes are in place for officers; others under development. • Achievement of Investors in People Gold. • Elected Member role descriptions were 	3	<p>Corporate Governance service plan – high performing workforce.</p> <p>A revised training programme for elected members is being developed for roll out in September 2014.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<p>approved following the 2007 elections.</p> <ul style="list-style-type: none"> Revised elected member role descriptions and Member/officer protocol have been prepared in line with the Governance Review and were considered by Council in October 2013. Tailored subject specific induction training offered to councillors assuming executive responsibilities or undertaking new committee responsibilities. 		
	<p>5.1.2 Ensure the CFO has the skills, knowledge, experience and resources to perform effectively in both the financial and non financial areas of their role</p>	<ul style="list-style-type: none"> The range and depth of relevant experience formed a key part of the job specification and recruitment process when the current CFO was appointed in late 2012. As part of senior management development, coaching and training opportunities are afforded to all members of the CMT and participation is encouraged. 	3	<p>A service review, including consideration of a structure best suited to the Council's current and future requirements, is underway and due for completion by June 2014.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
	5.1.3 Review the scope of the CFO's other management responsibilities to ensure financial matters are not compromised	As noted above, both parts of the Finance Division have been subject of a service review and the appropriate allocation/delegation of responsibilities has been considered as part of this, with three permanent senior managers now overseeing management of the procurement, service and accounting and corporate finance functions respectively.	3	As above at 5.1.2.
	5.1.4 Provide the finance function with the resources, expertise and systems necessary to perform its role effectively	<ul style="list-style-type: none"> • System developments are proactively examined and implemented where operationally feasible and cost-effective or where other service or control benefits are offered. • As part of delivering a £1m budget saving over the next five years, a number of options to deliver the required efficiencies through examination of current staff mix, respective workloads, the extent of remaining manual input and/or eliminating non value-added work have been explored. The revised structure is underpinned by an assessment of the Council's requirements going forward. • While the accountancy service is 	3	Corporate Governance service plan – total budget.

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		essentially an in-house service, drawing as appropriate upon external expertise, a partnership agreement has been adopted in the area of procurement.		
	5.1.5 Statutory officers have the skills, resources and support necessary to perform effectively in their roles and that the roles are properly understood throughout the authority.	<ul style="list-style-type: none"> • Job descriptions and specifications. • Recruitment and Selection Policy Framework (last revision October 2012) • Monitoring officer (Director of Corporate Governance), Head of Finance (S95) and Chief Social Work Officer are all standing members of the Corporate Management Team. • Annual report to Council from the Chief Social Work officer. • Appointment by Council of the S95 Officer. 	3	
5.2 Develop the capability of people with governance responsibilities and evaluate their performance, as individuals and as a group.	5.2.1 Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively.	<ul style="list-style-type: none"> • Comprehensive elected member training programmes delivered May/June 2012 and December 2012/January/February 2013 including sessions on 'Standing Orders and Committee Terms of Reference', 'Public Liability' and 'Contract Standing Orders'. • Recruitment and Selection Policy Framework (Section 6). (last revision October 2012) • Member / Officer Protocol (Section 11.5). (last revision December 2013) 	3	<p>Corporate Governance service plan – risk management and high performing workforce.</p> <p>Member/officer protocol to be reviewed annually – next review</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<ul style="list-style-type: none"> • Information for councillors on the intranet under “How the Council Works”. • Leadership and Development Programme – for employees. • Performance Review and Development system generates personal development plans for officers. • Governance review 2012 and Review of Political Management arrangements reported to Council 24 October 2013. • Member/Officer protocol updated and approved by Council on 12 December 2013. • ALEO governance has been reviewed and new policies and procedures are being embedded into the council. Training for councillors to assist them in fulfilling their responsibilities in sitting on the boards of ALEOs forms part of this. 		<p>scheduled for December 2014.)</p> <p>Review of political management arrangements report on policy development and review to be reported to Council on 23 October 2014.</p>
	<p>5.2.2 Embed financial competencies in person specifications and appraisals</p>	<ul style="list-style-type: none"> • The Council’s core competencies are assessed as part of all staff PRDs. All staff require to link individual objectives to the service vision. In view of the reducing resources available to the service going forward, this includes prioritising services using a “start/stop/reduce” approach. 	3	

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<ul style="list-style-type: none"> For staff with Finance responsibilities outside the Division, a range of training materials and courses is offered. 		
	<p>5.2.3 Ensure that councillors' roles and responsibilities for monitoring financial performance/budget management are clear, that they have adequate access to financial skills and are provided with appropriate financial training on an ongoing basis to help them discharge their responsibilities</p>	<ul style="list-style-type: none"> An overview of councillors' roles and responsibilities is provided in the Financial Regulations and supplements guidance and training provided upon assuming membership of the Committee. A number of themed workshops, open to all councillors, on finance-related topics such as revenue monitoring and procurement have also been arranged. The Head of Finance is in regular contact with the Convener and Vice-Convener of the Finance and Resources Committee. The widened membership of the Budget Sounding Board provides access to the wider Coalition membership, although an open door policy is offered to all elected members. 	3	
	<p>5.2.4 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.</p>	<ul style="list-style-type: none"> Comprehensive elected member training programmes delivered May/June 2012 and December 2012/January/February 2013. Governance Manager provided specific training on scrutiny review for elected members during January & February 2013. 	2	<p>A training plan for elected members is being developed for roll out in September 2014.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<ul style="list-style-type: none"> • Members of the Governance, risk and best value committee are required to undertake scrutiny review training. • Improvement Service training on scrutiny of police and fire plans completed by elected members in May 2013. • Head of Internal Audit provided a range of training for members of the Governance, Risk and Best Value Committee. • Member / Officer Protocol (last revision December 2013) • Information for councillors on the intranet under “How the Council Works”. • Briefings on the performance management framework provided by the Business Intelligence and Governance Managers during November 2012. • Member/officer protocol had been updated and was approved by Council in December 2013. • The City of Edinburgh Council’s Interactive Learning (CECIL) platform provides staff and councillors with constant access to quality training and on-line learning at their convenience. 		

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<ul style="list-style-type: none"> • Tailored subject specific induction training offered to councillors assuming executive responsibilities or undertaking new committee responsibilities • The Convener of the Council's Governance, Risk and Best Value Committee now has dedicated support from an internal auditor. • Meeting held with Governance, Risk and Best Value Committee members on scrutiny both to inform work programme and to discuss how to scrutinise more effectively. 		
	<p>5.2.5 Effective arrangements for reviewing the performance of the executive, individually and collectively, and agree an action plan which might, for example, aim to address training or development needs.</p>	<ul style="list-style-type: none"> • Review of Neighbourhood Partnerships has been reported to the Communities and Neighbourhoods Committee on 7 May 2013 and update reports have been provided on 26 November 2013 and 6 May 2014. • Review of Political Managements Arrangements considered by Council on 24 October 2013. • Annual review of operational governance was agreed by Council on 29 May 2014. • 	3	<p>Review of political management arrangements report on policy development and review to be reported to Council on 23 October 2014.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
<p>5.3 Encourage new talent for membership of the authority so that best use can be made of individuals' skills and resources in balancing continuity and renewal.</p>	<p>5.3.1 Effective arrangements to encourage individuals from all sections of the community to engage with contribute to and participate in the work of the authority.</p>	<ul style="list-style-type: none"> • Ongoing development of city wide and local Community Planning, including Total Place pilots in east neighbourhood and Craigroyston, and strengthening community engagement work through the revitalised Community learning and Development Partnership. • Current political management arrangements involve cross-party membership of committees, policy development sub committees, including a new Communities and Neighbourhood Committee. • Corporate Communications and ICT approaches are being reviewed and revised to help to raise awareness of the Council, to help improve access to council services and information and improve citizen and service users' engagement. • The Edinburgh Equalities Network provides a forum for people from communities of interest and place to engage with the work of the Council. • Community Councils, Tenants' Associations, and other consultative bodies continue to be supported and strengthened. 	<p>3</p>	<p>Corporate Governance service plan – reputation.</p> <p>Extension of webcasting to further committee meetings from summer 2014.</p> <p>Consultation toolkit: the implementation of the council's consultation toolkit includes guidance on ensuring that consultation is inclusive and accessible to all members of the community.</p> <p>Consultation hub will provide accessible online engagement tools for individuals to participate in any live</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<ul style="list-style-type: none"> • A new council consultation framework and e-learning package have been developed to provide a common understanding and consistent approach to consultation across the Council. • Introduction of webcasting of the Council, Petitions Committee and Governance, Risk and Best Value Committee commencing from September 2012. • The Cooperative Capital Framework has led to the deployment of more participatory budgeting initiatives, co produced grant and contract programmes and corporate social responsibility programmes with the private sector. • Edinburgh Partnership COMPACT strategy, volunteering strategy and social enterprise strategy all enable improved engagement with third sector interests. 		<p>consultation exercise.</p> <p>A stakeholder management tool will be developed to bring together a centralised database of stakeholder and community groups representing different sections of the community to involve in consultation and engagement.</p>
	5.3.2 Career structures for members and officers to encourage participation and development.	<ul style="list-style-type: none"> • Performance Review and Development. • Elected member training programme. • Talent Management Programme. • Leadership and Development 	3	Corporate Governance service plan – high

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<p>Programme – for employees.</p> <ul style="list-style-type: none"> • Coaching bank. • The City of Edinburgh Council’s Interactive Learning (CECIL) platform provides staff and councillors with constant access to quality training and on-line learning at their convenience. • Conferences, seminars and external training courses/workshops can be attended/undertaken • Subscribed to joint Cosla and Improvement Service Councillor development programme. 		<p>performing workforce. Strategic workforce planning.</p>

Principle 6: Engaging with local people and other stakeholders to ensure effective public accountability.

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
<p>6.1 Exercise leadership through an effective scrutiny function which engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships.</p>	<p>6.1.1 Make clear to themselves, staff and the community what they are accountable for and to whom.</p>	<ul style="list-style-type: none"> • Development of the outcome-based Achieving Excellence Performance Framework, linking analysis of council performance directly to Service Plans • Annual Performance Report/Edinburgh by Numbers • Analysing and publishing performance against Statutory Performance and National Benchmarking indicator datasets • Community Plan and associated accountability arrangements. • Results of Edinburgh People Survey and Neighbourhood Surveys are reported and acted upon. • City wide and local Community Planning approaches. 	<p>3</p>	<p>Consultation toolkit/consultation hub will make all consultations open, transparent, actionable and accountable. A consultation mandate will be completed for every consultation to include clear objectives and outcomes of the consultation. It will also be mandatory for actions taken as a result of consultation to be published on the consultation hub in the form of 'you said we did'.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
	<p>6.1.2 Assess the effectiveness of the relationships with institutional stakeholders that hold the authority accountable and any changes required.</p>	<ul style="list-style-type: none"> • The Concordat, National Statement of Ambition and the Single Outcome Agreement / Community Plan 13/16 process define a relationship with the Scottish Government. • A senior manager from the Scottish Government acts as the location director on COMMUNITY PLAN and the Edinburgh Partnership Board and Executive and offers comments on Edinburgh's progress, as appropriate. • The Edinburgh Partnership's 5 strategic partnerships, 7 cross cutting partnerships and 12 neighbourhood partnerships all enable improved engagement with key stakeholders. • The new Police, Fire and Rescue Service Scrutiny Committee has enabled continued oversight of police and fire and rescue reforms and performance. • Cooperative Capital Framework has led to improved quality of engagement with stakeholders across 6 core themes including community engagement, service development and procurement. 	3	

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
	6.1.3 Produce an annual report on the activity of the scrutiny function.	<ul style="list-style-type: none"> • New political management arrangements implemented from 29 October 2012 revised and significantly strengthened scrutiny within the Council and further reviewed in October 2013. • The Governance, Risk and Best Value Committee is led by an opposition convener and has a very wide remit covering audit, scrutiny review and performance. • The Committee has already scrutinised profile areas such as Mortonhall, statutory repairs and the tram project. • The committee has an annual work programme that includes an annual scrutiny review programme which is published on the Council's website. • In addition, the Council has a new committee in line with Police and Fire reform –Police and Fire Scrutiny Committee to scrutinise police and fire services. 	3	Review of political management to Council on 23 October 2014.
6.2 Take an active and planned approach to dialogue with and	6.2.1 Clear channels of communication with all sections of the community and other stakeholders, and monitoring	<ul style="list-style-type: none"> • Edinburgh Partnership Community Engagement approach is underpinned by National Standards for Community Engagement, including increased use of the national VOiCE tool. 	2	Corporate Governance service plan – reputation.

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
<p>accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning</p>	<p>arrangements to determine that they operate effectively.</p>	<ul style="list-style-type: none"> • Further embedding of the national standards is however required, linked to a refresh of corporate consultation guidance. • Council has embarked on a radical change to consultation of its proposed budget, involving 2/3 months engagement with communities and stakeholders on a draft budget during 2013 and 2014. • Edinburgh People's Survey used to elicit citizens' views and influence service improvements. • Corporate Communication Strategy – June 2013. • Edinburgh Compact Strategy. • Freedom of Information processes and guidance. • A refreshed approach to communications has been developed for Neighbourhood Partnerships to strengthen current practice and increase community and partner participation. 		<p>Restate a commitment to the National Standards for Community Engagement and refresh corporate consultation guidance.</p>
	<p>6.2.2 Hold meetings in public unless there are good reasons for confidentiality.</p>	<ul style="list-style-type: none"> • Procedural Standing Orders for Council and committee meetings (last revision May 2014). • Compliance at all times with Local 	<p>3</p>	

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		Government (Access to Information) Act 1985.		
	6.2.3 Arrangements to enable the authority to engage with all sections of the community effectively. The arrangements should recognise that different sections of the community have different priorities and establish processes for dealing with competing demands.	<ul style="list-style-type: none"> • Budget Engagement. • An Edinburgh Partnership Community Engagement Working Group is in place. • Consultation Guidance and Consultations publicised on the Council's website. • National Standards for Community Engagement underpin the Council's and Edinburgh Partnership's approach - Council's use of the Standards could be improved. • The Council is increasingly using public social partnership methodologies to engage with communities of interest and place to define priorities and involve in service / commissioning changes. • The Edinburgh Equality Network continues to be good mechanisms for engaging with communities of interest on a range of issues. This includes collection of qualitative data through the Community Interest Bank. • Petitions committee. 	3	<p>Corporate Governance service plan – reputation.</p> <p>The new consultation toolkit and consultation hub will help to facilitate adherence with the National Standards for Community Engagement and the principles of meaningful consultation, including guidance on making consultation accessible and inclusive.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
	<p>6.2.4 A clear policy on the types of issues requiring meaningful consultation with the public and service users, including a feedback mechanism to demonstrate to those consulted what has changed as a result.</p>	<ul style="list-style-type: none"> • Consultation framework for the Council has been established. This includes consultation toolkit which ensures consistency of approach for all Council service areas delivering consultation. 	3	<p>Consultation toolkit: this will ensure that the principles of meaningful consultation are understood and adhered to, including the accountability and publication of customer feedback on actions/outcomes of consultation.</p> <p>Consultation hub: will publicise actions taken as a result of consultation which will be open for the public to view.</p>
	<p>6.2.5 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 the</p>	<ul style="list-style-type: none"> • The Annual Performance Report/Edinburgh by Numbers provides an overview of Council Performance. • Six monthly publication of progress reports against the Council's outcome based Achieving Excellence 	3	<p>The Business Improvement tool Cognos will be accessible to all users end of June 2014.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
	<p>outcomes, achievements and the satisfaction of service users in the previous period.</p>	<p>Performance Framework and public scrutiny by elected members. Includes information against indicators of service quality and customer satisfaction, annual complaints report to the Corporate Policy and Strategy Committee detailing complaints analysis.</p> <ul style="list-style-type: none"> • Performance against delivery of the Capital Coalition pledges is reported to Council every six months. Reporting of the pledges complements wider corporate performance reporting to Committees. • Annual publication of performance against Single Outcome Agreement Indicators and Targets. • Reports on Audits and Inspections of the Council are in the public domain, along with improvement plans. • Various thematic reports e.g. on Educational Achievements • Annual Statement of Accounts 		<p>Further performance dashboards are being developed.</p> <p>Reporting of the pledges complements wider corporate performance reporting to Committees. Web pages have been developed which are updated regularly with performance against the pledges. These pages are accessed via the Council's main website, from which any member of the public can seek an overview of progress against all 53 pledges or any individual pledge.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
	<p>6.2.6 The authority as a whole is open and accessible to the community, service users and its staff, and 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 circumstances where it is proper and appropriate to do so.</p>	<ul style="list-style-type: none"> • Governance Review 2012 – review of political management arrangements introduced a Petitions Committee allowing members of the public to add to committee business. • 12 month review of political management arrangements reported to Council on 24 October 2013. • Policy Development and Review Sub Committees engage with all key stakeholders to ensure consultation on policy at the outset. • Deputations are heard at committees. • Councillors available for consultation by individuals/groups. • Procedural Standing Orders for Council and Committee Meetings (last revision May 2014). • Committee Terms of Reference and Delegated Functions (last revision May 2014). • Council Webcasting Protocol. • Information compliance, particularly FOI. • Publication of all FOI responses on Council website from June 2013. 	3	<p>Corporate Governance service plan – risk management and reputation.</p> <p>Review of political management arrangements – Council 23 October 2014.</p> <p>Extension of webcasting to further committee meetings from August 2014.</p> <p>Exploring options for questions from the public at Council meetings.</p>

Supporting Principle	Requirements of the Local Code	Evidence of Compliance	Score (1 - 4)	Improvement Plan
		<ul style="list-style-type: none"> • Online Policy Register. • Publication of Deloitte reports in partnership with the Information Commissioner. 		
6.3 Make best use of human resources by taking an active and planned approach to meet responsibility to staff.	6.3.1 Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making.	<ul style="list-style-type: none"> • Council Employee Survey issued in May 2014. • Pride in Our People Events held • Joint Consultative Group held on an approximately eight week cycle. 	2	Corporate Governance service plan – high performing workforce and reputation. PIOP (phase 2)

Scoring – The Council’s arrangements are scored on a scale of 1 – 4:

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.