

Appendix A

Code of Corporate Governance

Approved by Audit Committee – April 2012

Introduction

A framework for good governance has been produced by CIPFA /SOLACE this is based around the Cadbury and Nolan Reports. Dudley has issued its own Code of Corporate Governance based around the CIPFA/SOLACE model.

Corporate Governance is the system by which local authorities direct and control their functions and relate to their communities.

The guidance notes to the framework states that local government has been subject to continued reform to improve accountability and engagement and that given the change in financing, service delivery and community engagement a strong governance framework will be needed.

The guidance states that:

“Good governance leads to good management, good performance, good stewardship of public money, good public engagement and, ultimately, good outcomes for citizens and service users. Good governance enables an authority to pursue its vision effectively as well as underpinning that vision with mechanisms for control and management of risk.”

“Governance is about how local government bodies ensure that they are doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner.”

“It comprises the systems and processes, and culture and values, by which local government bodies are directed and controlled and through which they account to, engage with and, where appropriate, lead their communities.”

The governance framework is based around six core principles of good governance drawn up by the Independent Commission on Good Governance in Public Services which was established by CIPFA and the Office for Public Management in partnership with the Joseph Rowntree Foundation.

The six core principles are as follows :-

1. Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area
2. Members and officers working together to achieve a common purpose with clearly defined functions and roles
3. Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour
4. Taking informed and transparent decisions which are subject to effective scrutiny and managing risk
5. Developing the capacity and capability of members and officers to be effective
6. Engaging with local people and other stakeholders to ensure robust accountability

For each of the six core principles, CIPFA/SOLACE have issued “supporting principles” together with examples of how any local code of governance should reflect each core principle. Detailed below is a suggested revised draft for our Code of Corporate Governance.

CIPFA/SOLACE guidance also includes the completion of the Annual Governance Statement (AGS), which requires the consideration of:

- a. Scope of responsibility
- b. Purpose of the governance framework
- c. Governance framework
- d. Review of effectiveness
- e. Significant governance issues

CIPFA envisage that work on the governance statement will be co-ordinated by a designated working group of the authority, which would report its findings to the designated committee of the authority. In Dudley we have established a Corporate Governance Group which will assist in co-ordinating evidence gathering and production of the AGS before it is submitted to the Audit Committee for approval.

CORE 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 Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
<p>Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcome for citizens and service users</p>	<p>Develop and promote the authority's purpose and vision</p>	<p>Engage with all parts of the community and developing a Community Engagement Strategy, Sustainable Community Strategy and Council Plan, which are published to all residents of the Borough via the Internet.</p>	<p>Continuing work to encapsulate the vision/ambition for Dudley citizens and service users. Develop how partnerships will contribute to this vision.</p> <p>That provides context for refreshing the Council Plan, and together with partners realigning the Community Engagement Strategy; and developing a Joint Strategic Needs Assessment and a Joint Health and Well-being Strategy, which will be published to all residents of the Borough via the Internet.</p> <p>Our Society Framework being developed in conjunction with DCP & DCVS and community volunteers providing the context to the Localism Act for Dudley Residents</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	<p>Review on a regular basis the authority's vision for the local area and its impact on the authority's governance arrangements</p>	<p>Carry out an annual review of the Council Plan to ensure it remains focused on current and long term issues.</p> <p>Review the Constitution annually to ensure governance arrangements are fit for purpose.</p>	<p>Annual review of 2012/13 Council Plan, with the 2013-16 review of the Council Plan to set out the medium term future relationship between the Council & Dudley residents.</p> <p>Involving local people, communities and groups in shaping and developing a Local Health Watch for the Borough</p> <p>Review the Constitution at least annually to ensure governance arrangements are fit for purpose, the current review will ensure that requirements arising from Localism Act are fully met.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	<p>Ensure that partnerships are underpinned by a common vision of their work that is understood and agreed by all parties</p>	<p>Ensure that the Council Plan includes reference to how significant partnerships contribute to the vision. Publish a Partnership Strategy, which includes guidance on partnership working to all Members and Officers. Training on partnerships is also provided to Member and Officers. Develop an on line Partnership Guide Toolkit</p>	<p>Our Society Framework being developed in conjunction with DCP & DCVS to facilitate the local partnership approach and vision for Dudley.</p> <p>Determine Partnership Strategy in light of future partnership activity and the differing types of partnerships that will develop to take account of localism. To include guidance on partnership working to all Members and Officers.</p> <p>Work with Health Partners to successfully deliver the transfer of public health functions to the Authority.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	<p>Publish an annual report on a timely basis to communicate the authority's activities and achievements, its financial position and performance</p>	<p>Publish an annual Statement of Accounts on the Internet and a simple summary. Publish the Council Plan on the Internet Publish quarterly and annual performance reports [which are subject to review by Members] on the Internet and also including summary details in "Dudley Together"</p>	<p>Publish an annual Statement of Accounts and simple summary document on the Internet demonstrating the Authority's financial position and performance. Publish the Council Plan on the Internet. Publish quarterly and annual performance reports [which are subject to review by Members] on the Internet. Trial channels through which Members can comment upon performance matters and information.</p> <p>Publish first annual report and account on adult social care services, which provides an assessment of how council has performed as a provider and commissioner of adult social care as well as identifying areas for further focus.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
<p>Ensuring that users receive a high quality service whether directly, or in a partnership, or by commissioning</p>	<p>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>	<p>Use of a Corporate Performance Management system, which is monitored by Corporate Board and Cabinet each quarter. Each Directorate will also set, and monitor, quality of service measures for each service as part of the Corporate Strategic Planning framework.</p> <p>Engage with the Dudley Community Partnership Executive Board on performance management and publish the Dudley Performance Pact.</p>	<p>Introducing improved Corporate Performance Management system, which will continue to be monitored by Corporate Board & Cabinet each quarter. Each Directorate will set, and monitor, quality service measures as part of the Corporate Strategic Planning framework.</p> <p>Engage with the Shadow Health and Wellbeing Board on framework for performance matters.</p> <p>Develop structure for new strategic partnerships and the performance management framework. Transitional plans being developed for the Health & Wellbeing Partnership, Public Health transition and Police and Crime Commissioner elections.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	<p>Put in place effective arrangements to identify and deal with failure in service delivery</p>	<p>Actively challenging unacceptable performance within the quarterly Corporate Performance Management system.</p> <p>Facilitate a Corporate Complaints system for the public to identify failures in service. Establish within partnerships a “ladder of intervention” to ensure performance failure is highlighted and acted upon.</p> <p>Provide a statutory complaints service for adult and children’s social care services.</p>	<p>Trial channels through which Members can comment upon performance matters and information.</p> <p>Actively challenging unacceptable performance within the quarterly Corporate Performance Management system.</p> <p>Facilitate a Corporate Complaints system for the public to identify failures in service as part of a wider facility for the public to engage with the Council to express feedback, issues or ideas in the context of their community rights.</p> <p>Provide a statutory complaints service for adult and children’s social care services.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
<p>Ensuring that the authority makes best use of resources and that tax payers and service users receive excellent value for money</p>	<p>Decide how value for money is to be measured and make sure that the authority or partnership has the information needed to review value for money and performance effectively.</p>	<p>Corporate Board and Cabinet determining budget requirements within available resources.</p> <p>Publish a Transformation Strategy and establish a Corporate Transformation Group.</p> <p>Use of a Corporate Performance Management system to facilitate performance data.</p> <p>Establish a Corporate Data Quality Group, Data Quality Strategy and Toolkit</p> <p>Provide regular financial information provided through the budget system. Publish expenditure over £500 and other data in accordance with government guidance on transparency.</p>	<p>Corporate Board and Cabinet determining budget requirements within available resources.</p> <p>Corporate Transformation Group established with agreed terms of reference.</p> <p>Corporate Performance Management system to facilitate data, which is monitored by Corporate Board & Cabinet each quarter.</p> <p>Corporate Data Quality Group established who report directly to Information Governance Board.</p> <p>Publish expenditure over £500 and other data in accordance with government guidance on transparency.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	<p>Measure the environmental impact of policies, plans and decisions</p>	<p>Ensure that the Corporate Reporting template requires consideration of environmental and sustainability factors.</p>	<p>Regular financial monitoring reports to Cabinet and Council to assist in decision making and effective stewardship of public funds.</p> <p>Constitution sets out Financial Management Regime, which includes Standing Orders and Financial Regulations.</p> <p>Ensure comply with CIPFA Prudential Code for Capital Finance and report to Members as required.</p> <p>Adopted CIPFA Code of Practice for Treasury Management as integral part of Treasury Strategy, which is approved by Members.</p> <p>Ensure that the Corporate Reporting template requires consideration of environmental and sustainability factors.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
		Establish a Corporate Sustainability Group	Corporate Sustainability Group established and achieving programme of work to improve council's performance on sustainable development. The Group has developed a framework of sustainability standards in line with requirements of funding agencies, the use of which can enhance partnership working & provide sustainable development.

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

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
<p>Ensuring effective leadership throughout the authority and being clear about executive and non executive functions and of the roles and responsibilities of the scrutiny function</p>	<p>Set out 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.</p>	<p>Ensure the Constitution covers the roles and responsibilities of Cabinet, Select Committees and all other relevant Member duties. The Monitoring Officer ensuring that the Constitution is followed in all key decision making processes.</p>	<p>The Constitution covers the roles and responsibilities of Chief Executive, Directors, Monitoring Officer, Treasurer, Cabinet, Scrutiny Committees and all other relevant Member duties. Constitution to be reviewed and amended in context of the Localism Act. Corporate Board has established Steering Group made up of senior officers to work to facilitate the key aspects of the Localism Act.</p> <p>The Monitoring Officer ensures that the Constitution is followed in all key decision making processes.</p> <p>Ensure all Directors (including Monitoring Officer) and Treasurer (Section 151 Officer) are members of Corporate Board</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	Set out a clear statement of the respective roles and responsibilities of Members and Senior Officers	Ensure the Constitution covers the roles and responsibilities of Members and, Senior Officers who will be designated Directors	The Constitution covers the roles and responsibilities of Members and Senior Officers who will be designated Directors.
Ensuring that a constructive working relationship exists between authority members and officers and that the responsibilities of members and officers are carried out to a high standard	<p>Determine a scheme of delegation and reserve powers within 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</p> <p>Make a chief executive or equivalent responsible and accountable to the authority for all aspects of operational management</p>	<p>Ensure the Constitution and Scheme of Delegation are reviewed at least annually.</p> <p>Specify in the Constitution the role of the Chief Executive [Head of Paid Service] and his/her designation as a Director.</p>	<p>Constitution and Scheme of Delegation are reviewed at least annually or as necessary. Constitution will be reviewed in the context of the Localism Act.</p> <p>Specify within the Constitution the role of Chief Executive (Head of Paid Service) and his designation as a Director of the organisation. Chief Executive will chair Corporate Board which includes all Directors and Treasurer.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	<p>Develop protocols to ensure that the Leader and Chief Executive (or equivalent) negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained</p> <p>Make a senior officer (the S151 officer) responsible to the authority for ensuring that 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</p>	<p>Publish Member/Officer relationship protocols</p> <p>Specify in the Constitution the role of the Treasurer, and ensure the areas highlighted are covered. Ensure that the Treasurer is designated as a Corporate Board member</p>	<p>Publish Protocol on Member/Officer Relations within the Constitution</p> <p>Specify within the Constitution the role of the Treasurer. Ensure responsibilities are in line with CIPFA Statement on the Role of Chief Financial Officer. Ensure that Treasurer is accountable for all finance staff throughout the organisation, thus promoting safeguarding of public money.</p>

Code of Corporate Governance (April 2012)

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			<p>Ensure that appropriate management accounting systems, functions and controls are in place to keep finances under regular review. Proper standards of behaviour are set out within Standing Orders and Financial Regulations. These are monitored by Internal Audit and reported upon as part of Audit Work</p> <p>Ensure that the Treasurer is designated as a Corporate Board member.</p> <p>Ensure budget calculations are robust and reserves adequate and reported to Members in line with CIPFA requirements.</p>

Code of Corporate Governance (April 2012)

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	<p>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>	<p>Specify in the Constitution the role of the Monitoring Officer, and ensure the areas highlighted are included. Ensure that the Monitoring Officer is designated as a Director of the organisation.</p>	<p>Specify the role of Monitoring Officer within the Constitution and ensure responsibility areas highlighted are included. Ensure that the Monitoring Officer is designated as a Director of the organisation.</p>
<p>Ensuring relationships between the authority, its partners and the public are clear so that each knows what to expect of the other</p>	<p>Develop protocols to ensure effective communication between members and officers in their respective roles</p>	<p>Publish a protocol governing Member/Officer relations Publish a Partnership Strategy, which includes guidance on partnership working to all Members and Officers</p>	<p>Protocol on Members/Officers Relations published within the Constitution.</p> <p>Develop Partnership Strategy to provide framework and guidance on partnership working to Members and Officers. Strategy to be regularly reviewed on line with government and local requirements.</p>

Code of Corporate Governance (April 2012)

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	<p>Set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process, including an effective remuneration panel (if applicable)</p> <p>Ensure that effective mechanisms exist to monitor service delivery</p>	<p>Publish within the Constitution details of the Members Allowance Scheme. Use national terms, conditions and pay rates for Officers Utilise an independent panel for determining Members Allowances</p> <p>Use of the Corporate Performance Management systems</p> <p>Engage in the Dudley Community Partnership Performance Management Group. Publish the Dudley Performance Pact</p>	<p>Publish within the Constitution Members Allowance Scheme. Utilise an independent panel for implementing changes to Members' Allowances. Use national terms, conditions and pay rates for Officers. Implementing pay review as approved by Unions and Members.</p> <p>Corporate performance management framework in place used to monitor service performance and delivery.</p> <p>Developing framework to engage with the Shadow Health and Well-being Board on framework for performance matters.</p>

Code of Corporate Governance (April 2012)

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	<p>Ensure that the organisation's vision, strategic plans, priorities and targets are developed through robust mechanisms and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated</p>	<p>Wide spread consultation via the Borough Challenge and other consultation exercises. Publish the Council Plan. Publish the Dudley Community Engagement Strategy</p>	<p>Work with partners in Dudley Community Partnership to develop and implement, as appropriate a partnership performance management framework. Develop a Partnership Strategy to cover performance monitoring framework and review.</p> <p>Ensure widespread consultation and engagement as part of 'Our Society' within Dudley.</p> <p>Publish the Council Plan on the internet. Annual review of 2012/13 Council Plan and publish on the internet. The 2013-16 review of the Council Plan to set out the medium term future relationship between the Council & Dudley Residents.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	<p>When working in partnership ensure that member are clear about their roles an responsibilities both individually and collectively in relation to the partnership and to the authority</p>	<p>Publish a Partnership Strategy, which includes guidance on working in partnerships and on appointments to outside bodies.</p>	<p>Medium Term Financial Strategy in place and reported to Members. Robust annual budget process in place reported and approved by Members. Financial Monitoring reports taken to Members.</p> <p>Publish Community Engagement Database to allow more effective engagement.</p> <p>Develop a Partnership Strategy to include guidance on working in partnerships. This is being developed to incorporate aspects within Localism Act and statutory body status of the Shadow Health and Wellbeing Board.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	<p>When working in partnership :-</p> <ul style="list-style-type: none">a. Ensure that there is clarity about the legal status of the partnershipb. Ensure that representative or organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions		<p>External legal advice obtained concerning the creation and operation of key partnerships concerning roles and responsibilities. This will be undertaken for any future key partnership arrangements.</p>

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

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
<p>Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance</p>	<p>Ensure that the authority's leadership sets a tone for the organisation by creating a climate of openness, support and respect</p> <p>Ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the authority, its partners and the community are defined and communicated through codes of conduct and protocols</p>	<p>Require adherence to Members and Officer Codes of Conduct. Publish guidance on Member/Officer relations.</p> <p>Require adherence to Members and Officer Codes of Conduct. Publish guidance on Member/Officer relations.</p> <p>Publish a Partnership Strategy, which includes guidance on working in partnerships and on appointments to outside bodies.</p>	<p>Require adherence to Members and Officer Codes of Conduct. Members Code of Conduct to be reviewed to reflect Localism Bill. Publish Protocol on Member/Officer Relations.</p> <p>Require the adherence to Member and Officer Codes of Conduct. Protocol on Member/Officer Relations published within Constitution. Develop a Partnership Strategy, which will include guidance on working in partnerships and appointments to outside bodies.</p> <p>The Council has approved policies in respect of Equal Opportunities.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	<p>Put in place arrangements to ensure that members and employees of the authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders and put in place appropriate processes to ensure that they continue to operate in practice</p>	<p>Publish Standing Orders and Financial Regulations. Have internal audit cover to monitor the application of Standing Orders and Financial Regulations. Publish Member and Officer Codes of Conduct.</p> <p>Dudley Community Partnership publishing a Code of Conduct related to Governance.</p>	<p>Proper standards of behaviour are set out within Standing Orders and Financial Regulations. These are monitored by Internal Audit and reported upon as part of Audit Work. Confidential Reporting Policy and Fraud hotline available to Officers, Members, Contractors & members of the public. Publish Member and Officer Codes of Conduct. Processes for recording Officer and Member declarations of interest and gifts and hospitality.</p> <p>Dudley Community Partnership have published a Code of Conduct related to Governance which has been shared with all partner organisations.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
<p>Ensuring that organisational values are put into practice and are effective</p>	<p>Develop and maintain shared values including leadership values for both the organisation and staff reflecting public expectations and communicate these with members, staff, the community and partners</p> <p>Put in place arrangements to ensure that systems and processes are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice</p>	<p>Publish Member and Officer Codes of Conduct. Publish an Anti Fraud & Corruption Strategy. Include Council Values in these areas in the Council Plan.</p> <p>Require the Standards Committee to monitor the content, and application, of the Member and Officer Codes of Conduct</p>	<p>Publish Member and Officer Codes of Conduct. Publish an Anti Fraud & Corruption Strategy Embed values within the Council Plan</p> <p>The current arrangements require the Standards Committee to monitor the application of the Member and Officer Codes of Conduct. The Standards Regime is currently under review to meet requirements of Localism Act. Training will be provided on new arrangements.</p> <p>Proper standards of behaviour are set out within Standing Orders and Financial Regulations, which ensure that systems and processes for financial administration,</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	<p>Develop and maintain an effective standards committee</p> <p>Use the organisation's shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the authority</p>	<p>Include in the Constitution the Terms of Reference of the Standards Committee</p> <p>Publish the Constitution and various Codes of Practice. Protocols are in place to ensure that executive decision indicate how they will support Council Priorities.</p>	<p>financial control and protections of resources are in place. These are monitored by Internal Audit and reported upon as part of Audit Work.</p> <p>Constitution to be reviewed in line with the requirements of the Localism Act which will include a review of Members Code of Conduct and arrangements for monitoring the ethical standards and behaviour of Members and Officers.</p> <p>Publish the Constitution and various Codes of Practice. Protocols are in place to ensure that executive decisions indicate how they will support Council Priorities.</p>

Code of Corporate Governance (April 2012)

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	<p>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>	<p>Publish a Partnership Strategy, which includes guidance on working in partnerships and requiring the use of a Partnership Evaluation Tool to ensure partnerships are operating effectively and in line with Council requirements.</p>	<p>Develop a Partnership Strategy, which includes guidance on working in partnerships and requiring the use of a Partnership Diagnostic Tool to ensure partnerships are operating effectively and producing agreed outcomes. Whilst the benefits of partnership working are widely acknowledged DMBC will continually review partnership working to ensure it provides value for money for communities.</p>

CORE PRINCIPLE 4 : Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
<p>Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny</p>	<p>Develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the authority's performance overall and that of any organisation for which it is responsible</p>	<p>Operate Select Committees whose Rules are clearly set out in the Constitution and are subject to review.</p> <p>Operate Area Committees and a Community Renewal Network which allow more local input from the public</p>	<p>Operate Scrutiny Committees whose rules are clearly set out in the Constitution and are subject to review. Terms of reference will be considered as part of the review of the democratic framework being undertaken as part of the Localism Act.</p> <p>Operate Area Committees, which allow more local input from members of the public.</p> <p>Trial channels through which Members can comment upon performance matters and information.</p> <p>Ensure effective internal audit function is resources and maintained, the performance, plans, outcomes reported to Audit Committee.</p>

Code of Corporate Governance (April 2012)

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	<p>Develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based</p> <p>Put in place arrangements to safeguard members and employees against conflict of interest and put in place appropriate processes to ensure that they continue to operate in practice</p>	<p>Set out decision making protocols in the Constitution.</p> <p>Publish Members and Officers Codes of Conduct. Require the Standards Committee to monitor the content, and application, of the Member and Officer Codes of Conduct</p>	<p>Set out decision making protocols within the Constitution</p> <p>Publish within Constitution Codes of Conduct for Members and Officers. The Constitution to be reviewed in line with the requirements of the Localism Act which will include a review of Members Code of Conduct and arrangements for monitoring the ethical standards and behaviour of Members and Officers.</p>

Code of Corporate Governance (April 2012)

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	<p>Develop and maintain an effective audit committee (or equivalent) which is independent of the executive and scrutiny functions or make other appropriate arrangements for the discharge of the function of such a committee</p> <p>Ensure that effective, transparent and accessible arrangements are in place for dealing with complaints</p>	<p>Operate an Audit Committee whose Terms of Reference are set out within the Constitution. Evaluate the operation and effectiveness of the Audit Committee against best practice determined by CIPFA.</p> <p>Operate a Corporate Complaints system and statutory complaints system for adults and children's social care</p>	<p>Operate Audit Committee with terms of reference set out within the Constitution. Terms of reference will be considered as democratic framework and Constitution are reviewed to meet requirements of Localism Act.</p> <p>Evaluate the operation and effectiveness of the Audit Committee against best practice determined by CIPFA.</p> <p>Ensure Treasurer has direct access to the Audit Committee and external audit.</p> <p>Operate a Corporate Complaints system and statutory complaints system for adults and children's social care. The Council's website has feedback facility available to members of the public.</p>

Code of Corporate Governance (April 2012)

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<p>Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs</p>	<p>Ensure that those making decisions whether for the authority or the partnership are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications</p>	<p>Provide good quality data on operational and financial matters.</p> <p>Publish a Partnership Strategy which includes guidance on working in partnership.</p> <p>Establish a Corporate Data Quality Group and publishing a Data Quality Strategy and Toolkit.</p> <p>Engage with the Dudley Community Partnership Executive Board to review performance management.</p>	<p>Established Corporate Data Quality Group with published Data Quality Strategy and Toolkit. Data Quality Group report directly to Information Governance Board.</p> <p>Ensure accurate performance and budgetary reports provided to Members and Senior Officers.</p> <p>To develop a Partnership Strategy to cover performance monitoring framework and review. Engage with the Dudley Community Partnership to review performance management arrangements.</p> <p>Promote & develop means of sharing corporate and partnership data, working within the joint needs assessments programme.</p>

Code of Corporate Governance (April 2012)

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	<p>Ensure that professional advice on matters that have legal or financial implications is available and recorded well in advance of decision making and used appropriately</p>	<p>Ensure the Constitution includes relevant guidance on the roles and responsibilities of the Chief Financial Officer (the Treasurer) and the Monitoring Officer.</p>	<p>Ensure the Constitution includes relevant guidance on the roles and responsibilities of the Chief Financial Officer (the Treasurer) and the Monitoring Officer. Senior Officers in attendance at all decision making meetings for advice. Members receive induction training and training to assist with decision making, particularly for quasi judicial committees.</p>
<p>Ensuring that an effective risk management system is in place</p>	<p>Ensure that risk management is embedded into the culture of the authority, with members and managers at all levels recognising that risk management is part of their jobs</p>	<p>Publish a Risk Management Strategy endorsed by Members. Provide training to Members and Officers on risk management.</p>	<p>Publish a Risk Management Strategy endorsed by Members. Provide training to Members and Officers on risk management. Directors sign on quarterly basis that risk management assurances are in place. Ensure arrangements for financial and internal control and managing risk are addressed in annual governance report.</p>

Code of Corporate Governance (April 2012)

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	<p>Ensure that arrangements are in place for whistle-blowing to which staff and all those contracting with the authority have access</p>	<p>Publish a Confidential Reporting Policy and monitoring its use via the Standards Committee Publicise the Confidential Reporting Policy to prospective contractors</p>	<p>Publish Confidential Reporting Policy. Fraud hotline available to Officers, Members, Contractors & members of the public.</p>
<p>Using the legal powers to the full benefit of the citizens and communities in their area</p>	<p>Actively recognise the limits of lawful activity placed on them by, for example, the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities</p> <p>Recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on local authorities by public law</p>	<p>Ensure the Constitution covers the question of legality and the role and responsibilities of the Monitoring Officer.</p> <p>Ensure the Constitution covers the question of legality and the role and responsibilities of the Monitoring Officer.</p>	<p>Ensure the Constitution covers the question of legality and the role and responsibilities of the Monitoring Officer.</p> <p>Ensure the Constitution covers the question of legality and the role and responsibilities of the Monitoring Officer. Review of the Constitution will encompass the Localism Act requirements.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	<p>Observe all specific legislative requirements placed upon them, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law :-</p> <ul style="list-style-type: none"> a. Rationality, legality and natural justice b. Into their procedures and decision making processes. 	<p>Ensure the Constitution covers the role and responsibilities of the Monitoring Officer. Publish a Corporate Reporting Template, which includes a mandatory requirement for legal issues to be considered in each report.</p>	<p>Ensure the Constitution covers the role and responsibilities of the Monitoring Officer. Review of the Constitution will encompass the Localism Act provisions.</p> <p>Publish a Corporate Reporting Template, which includes a mandatory requirement for legal issues to be considered in each report to Members.</p>

CORE PRINCIPLE 5 : Developing the capacity and capability of members and officers to be effective

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
<p>Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles</p>	<p>Provide induction programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis</p> <p>Ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the authority</p>	<p>Ensure that all new Members and Officers undergo induction training and that they are offered training on a range of matters.</p> <p>Ensure that the Constitution clearly sets out the requirement of the Council to provide sufficient resources for key Officers to carry out their duties.</p>	<p>Ensure that all new Members and Officers undergo induction training and they are offered a range of appropriate training. Council operates a performance review & development (PRD) scheme for all Officers. Members Development Plans scheme in place.</p> <p>Ensure the Constitution clearly sets out the requirement of the Council to provide sufficient resources for key Officers to carry out their duties.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
<p>Developing the capability of people with governance responsibilities and evaluating their performance as individuals and as a group</p>	<p>Assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively</p> <p>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>	<p>Ensure that political groups consider undertaking reviews of Members skills.</p> <p>Ensure that the Council operates a PRD Policy for all Officers</p> <p>Ensure that training is available for all Members and Officers to develop their skills, with particular emphasis on quasi judicial committee members</p> <p>Provide Member and Officer Development Plans and associated training courses.</p>	<p>Ensure that political groups consider undertaking reviews of Members skills.</p> <p>Ensure that the Council operates a PRD Policy for all Officers. Member Development Plans determined.</p> <p>Members training course programme offered</p> <p>Ensure that training is available for all Members and Officers to develop their skills, with particular emphasis on quasi judicial committee members</p> <p>Provide Member and Officer Development Plans and associated training courses.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	Ensure that effective arrangements are in place for reviewing the performance of the executive as a whole and of individual members and agreeing an action plan which might, for example, aim to address any training or development needs	Ensure that Cabinet Members and the Cabinet as a whole are subject to review	Ensure that Cabinet Members and the Cabinet as a whole are subject to review. Developed endorsed professional programme of training for Cabinet Members
Encouraging new talent for membership of the authority so that best use can be made of individual's skills and resources in balancing continuity and renewal	Ensure that effective arrangements designed to encourage individuals from all sections of the community to engage with, contribute to and participate in the work of the authority	Commit to engage with all sections and partners in the community. Publish a Community Engagement Strategy Work with Dudley Community Partnership to facilitate partnership working within the community. Dudley Community Partnership delivering a "Learning To Deliver" programme to improve governance and use of skills of all members.	Ensure widespread consultation and engagement as part of 'Our Society' within Dudley. Work with Dudley Community Partnership to both encourage and facilitate partnership working within the community. New methods being developed to engage with partners within the community

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	<p>Ensure that career structures are in place for members and officer to encourage participation and development</p>	<p>Ensure the Cabinet and Corporate Board review succession planning.</p>	<p>Review the Council's Volunteering Strategy</p> <p>Dudley Community Partnership will continue to deliver appropriate training and information to all partners in an effort to improve the effectiveness of partnership working and the skill set of individual members. Governance arrangements for partnership working to be subject to regular review.</p> <p>Ensure the Cabinet and Corporate Board review succession planning. Member and Officer Development Plans are developed and addressed.</p>

CORE PRINCIPLE 6 : Engaging with local people and other stakeholders to ensure robust public accountability

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
<p>Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships</p>	<p>Make clear to themselves, all staff and the community to whom they are accountable and for what</p> <p>Consider those institutional stakeholders to whom the authority is accountable and assess the effectiveness of the relationship and any changes required</p>	<p>Publish a Council Plan and Community Engagement Strategy which sets out the plans of the Council and recognises accountability to the residents of Dudley. Publish a Partnership Strategy</p> <p>Engage in consultation and partnership working with all key stakeholders. Utilise the Partnership Evaluation Tool and Board Meetings to evaluate the effectiveness of working arrangements.</p>	<p>The 2013-16 review of Council Plan will set out medium term future relationship between Council and residents.</p> <p>Develop a Partnership Strategy, which will include guidance on working in partnerships and appointments to outside bodies.</p> <p>Ensure widespread consultation as part of 'Our Society' within Dudley.</p> <p>Develop a Partnership Strategy, which includes guidance on working in partnerships and requiring the use of a Partnership Evaluation Tool to evaluate the effectiveness of working arrangements.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	Produce an annual report on the activity of the scrutiny function	Require the Standards and Select Committees to report annually to the full Council with details of their activities and annual work programme.	Require the Scrutiny Committees to report annually to the full Council with details of their activities and annual work programme.
Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning.	Ensure that clear channels of communication are in place with all sections of the community and their stakeholders, and put in place monitoring arrangements to ensure that they operate effectively	<p>Publish a Council Plan and communicate via the Internet</p> <p>Operate a comprehensive web site which allows access to all relevant information.</p> <p>Publish a Community Engagement Strategy</p> <p>Develop Compacts with the “Third Sector” and for partnerships Engage in consultation with citizens</p>	<p>Publish the Council Plan on the internet.</p> <p>Operate a comprehensive web site, which allows access to all relevant information.</p> <p>Work with Dudley Community Partnership to ensure details of partnership working within the borough are published via the DCP website which itself links to the DMBC website.</p> <p>Develop Compacts with the “Third Sector” and for partnerships</p> <p>Ensure widespread consultation and engagement as part of ‘Our Society’ within Dudley borough.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	<p>Hold meetings in public unless there are good reasons for confidentiality</p> <p>Ensure that arrangements are in place to enable the authority to engage with all section of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands</p>	<p>Ensure all Partnerships and Committees allow stakeholder access and have Area Committees and a Community Renewal Network to improve public access to decision makers.</p> <p>Facilitate extensive consultation with all sections of the community via the Community Engagement Strategy. Use the results of consultation to inform the prioritisation of plans and use of resources.</p>	<p>Ensure all Partnerships and Committees allow stakeholder access. Have Area Committees, and where developed, Neighbourhood community networks to improve access to decision makers.</p> <p>Ensure widespread consultation and engagement as part of 'Our Society' within Dudley borough.</p> <p>Use the results of consultation to influence decisions and inform choices concerning services delivered and services required by community.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	<p>Establish a clear policy on the types of issues they will meaningfully consult on or engage with the public and service users about including a feedback mechanism for those consultees to demonstrate what has changed as a result</p> <p>On an annual basis, publish a performance plan giving information on the authority's vision, strategy, plans and financial statement as well as information about its outcome, achievements and the satisfaction of service users in the previous period</p>	<p>Publish details of the consultation process and consultation exercises on the Internet. Publish the results of consultation exercises.</p> <p>Publish the Council Plan</p> <p>Publish an annual Statement of Accounts</p> <p>Make available quarterly Performance Management Reports on the Internet Publish an annual performance report on the Internet and summary details via "Dudley Together"</p>	<p>Framework of polices and strategies for community engagement. This framework will develop to support the consultation as part of 'Our Society' within Dudley borough. Link to key objectives set out in directorate strategic plans.</p> <p>Publish the Council Plan on the internet. Publish an annual Statement of Accounts and simple summary document on the Internet. Publish quarterly and annual performance reports [which are subject to review by Members] on the Internet.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
	<p>Ensure that the authority as a whole is open and accessible to the community, service users and its staff and ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships, subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so.</p>	<p>Publish a Council Plan which sets out the Council Vision which highlights that Dudley Council will listen, respond, be accountable, provide value for money, set high standards for services and build strong collaborative partnerships.</p> <p>Publish a Partnership Strategy</p> <p>Publish a Community Engagement Strategy</p> <p>Publish a Constitution which demonstrates the Council's commitment to an open and accessible style of operation by Members and Officers in all dealings.</p>	<p>Publish a Council Plan which sets out the Council Vision which highlights that Dudley Council will listen, respond, be accountable, provide value for money, set high standards for services, promote good governance standards and build strong collaborative partnerships.</p> <p>Develop Partnership Strategy to provide framework and guidance on partnership working to Members and Officers</p> <p>Ensure widespread consultation and engagement as part of 'Our Society' within Dudley borough</p> <p>Publish a Constitution, which demonstrates the Council's commitment to an open and accessible style of operation by Members and Officers in all dealings.</p>

Code of Corporate Governance (April 2012)

Supporting Principles	Dudley Council commitment	Action taken by the Council	Action taken or to be taken by the Council
Making best use of human resources by taking an active and planned approach to meet responsibility to staff.	Develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision-making.	Make a commitment to regularly survey staff and ask them to contribute to strategic planning. Liase with their representatives on appropriate matters.	Make a commitment to regularly survey staff and ask them to contribute to strategic planning.