



Sources of Assurance & Local Code of Governance April 2021

GOVERNANCE PRINCIPLES		
Principle A	Sub-Principles	
Behaving with integrity, demonstrating strong commitment to ethical values and representing the rule of law.	<ul style="list-style-type: none"> Behaving with integrity. Demonstrating strong commitment to ethical values Respecting the rule of law. 	
Sources of Assurance		
IJB	ACC	NHSG
<ul style="list-style-type: none"> Code of conduct Financial regulations (<i>Revised 29 October 2019</i>) Integration scheme (<i>Revised 27 March 2018</i>) Standing orders (<i>Revised 23 March 2021</i>) IJB members and ACHSCP staff induction Board Assurance Framework (<i>Revised 26 August 2020</i>) 'imatters' / staff surveys Dignity at work survey 	<ul style="list-style-type: none"> Information governance management, reporting and scrutiny, including implementation of General Data Protection Regulation 2018 by Council and its ALEOs Scheme of Governance including annual review process Member Officer Relations Protocol successfully utilised and facilitated positive remedial action. Scheme of Establishment and complaints process for Community Councils. 	<ul style="list-style-type: none"> NHSG schedule of reserved decisions NHSG standing financial instructions Staff surveys NHS Scotland Staff Experience Review Employee conduct policy NHSG Board Members Code of Conduct EKSF processes/objective setting Standing orders NHSG Feedback Service NHSG induction process



<ul style="list-style-type: none"> • Complaints Handling Procedure (<i>Revised 23 February 2021</i>) • Role and responsibilities protocol for Chief Officer and Chief Finance Officer • Formal Directions Procedure • New IJB report format, including equality and Fairer Scotland implication sections 	<ul style="list-style-type: none"> • Bond Governance training for Chief Officers, elected members and ALEOs. • Consultation and Legislation Trackers • Corporate policies register and corporate policies template linking all policies to strategic outcomes. 	<ul style="list-style-type: none"> • HR policies (including health promotion)
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<p>Principle B</p> <p>Ensuring openness and comprehensive stakeholder engagement.</p>	<p>Sub-principles</p> <ul style="list-style-type: none"> • Openness. • Engaging comprehensively with institutional stakeholders. 	
<p>Sources of Assurance</p>		
<p>IJB</p>	<p>ACC</p>	<p>NHSG</p>
<ul style="list-style-type: none"> • IJB Strategic Plan (<i>revised 26 March 2019</i>) • Broad range of stakeholders on the IJB itself. • Representatives from 3rd and independent sectors in key working groups. • Joint communications and engagement group. 	<ul style="list-style-type: none"> • Staff Governance Committee, including trade union adviser representatives. • Weekly Director and trade union meetings to strengthen engagement. • Trade union engagement protocols implemented in respect of health and safety. • City wide budget consultation event held with 3rd sector partners. • Leadership Forum engaging leaders at all levels. 	<ul style="list-style-type: none"> • NHSG Feedback Service • Freedom of information compliance • NHSG Annual Operational Plan



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<ul style="list-style-type: none"> • Complaints Handling <i>(Revised 23 February 2021)</i> • Procedure and freedom of information compliance <i>(Revised 8 September 2020)</i> • 'imatters' team action plans • Communications protocol 	<ul style="list-style-type: none"> • Webcasting of all Committee and Council meetings • . • Annual review of the ALEO Assurance Hub including terms of reference and workplan. • Twice yearly refresh of Local Outcome Improvement Plan involving community representatives and partners. • Consideration of the Population Needs Assessment at the Strategic Commissioning Committee in February 2021 which included the impact of the pandemic on Aberdeen and its citizens, including children and young people and their prospects. • Integrated Impact Assessments developed for committee reports. 	<ul style="list-style-type: none"> • NHSG Engagement & Participation Committee
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<p>Principle C</p> <p>Defining outcomes in terms of sustainable economic, social and environmental benefits</p>	<p>Sub-principles</p> <ul style="list-style-type: none"> • Defining outcomes • Sustainable economic, social and environmental benefits. 	
<p>Sources of Assurance</p>		
<p>IJB</p>	<p>ACC</p>	<p>NHSG</p>



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<ul style="list-style-type: none"> • Strategic plan (<i>revised 26 March 2019</i>) • Performance framework which includes national & local indicators, aligned to strategic plan • Local outcome improvement plans • Locality plans • Medium Term Financial Framework (<i>revised 23 March 2021</i>) • Transformation Plan • Climate change duties report 	<ul style="list-style-type: none"> • Local Outcome Improvement Plan (LOIP) 2019-2026 • Strategy Framework aligned to the LOIP • Commissioning Intentions to provide direction to the design and delivery of services and the allocation of resources for 2021/2 • Revised Performance Management Framework within the Council Delivery Plan 2020/21 • Continuous monitoring of KPIs which populate the cluster level scorecards • Net Zero Transition Plan 	<ul style="list-style-type: none"> • NHSG Annual Operational Plan • Performance, Assurance, Improvement and Risk framework (PAIR) & associated revised meeting structure
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<p>Principle D</p> <p>Determining the interventions necessary to optimise the achievement of intended outcomes.</p>	<p>Sub-principles</p> <ul style="list-style-type: none"> • Determining interventions. • Planning interventions. • Optimising achievement of intended outcomes. 	
<p>Sources of Assurance</p>		
<p>IJB</p>	<p>ACC</p>	<p>NHSG</p>
<ul style="list-style-type: none"> • Effective and embedded risk management system • Effective and embedded budget monitoring and financial planning 	<ul style="list-style-type: none"> • Council Delivery Plan 2021/22 • ALEO Annual Reporting to Strategic Commissioning Committee • ALEO Assurance Hub • Capital Board and Capital Programme Committee 	<ul style="list-style-type: none"> • Effective and embedded risk management systems



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<ul style="list-style-type: none"> • Third party governance and assurance • Performance management framework • Health & safety arrangements • Information governance assurance framework • Business continuity plans • Civil contingencies group and plan 	<ul style="list-style-type: none"> • Community Planning Partnership Improvement Programme (reviewed) 	<ul style="list-style-type: none"> • Effective and embedded budget monitoring and financial planning • Performance management • NHSG Health & Safety Committee • NHSG caldicott guardian • NHSG annual accountability review
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<p>Principle E</p> <p>Developing the entity's capacity, including the capability of its leadership and the individuals within it</p>	<p>Sub-Principles</p> <ul style="list-style-type: none"> • Developing the entity's capacity. • Developing the capability of the entity's leadership and other individuals. 	
<p>Sources of Assurance</p>		
<p>IJB</p>	<p>ACC</p>	<p>NHSG</p>
<ul style="list-style-type: none"> • Staff induction • Organisational Development Plan 	<ul style="list-style-type: none"> • Elected Member Development Programme • Digital Champions and Digital Super Champions • Leadership Forum 	<ul style="list-style-type: none"> • Staff induction • North East leadership schemes



<ul style="list-style-type: none"> • <i>IJB Workforce plan (26 March 2019)</i> • Role and responsibilities protocol for Chief Officer and Chief Finance Officer • IJB Induction and development programmes 	<ul style="list-style-type: none"> • Online learning platform for staff, ACC Learn • Board structure to oversee Strategy, Transformation, Performance and Risk • Policy Framework • Continuous Review and Development process based on approved Capability Framework 	<ul style="list-style-type: none"> • NHS HR policies • Staff partnership representation • Engagement with Scottish Government Effective Leadership and Quality Improvement programmes
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<p>Principle F</p> <p>Managing risk and performance through robust internal control and strong public financial management.</p>	<p>Sub-principles</p> <ul style="list-style-type: none"> • Managing risk. • Managing performance. • Managing data. • Strong public financial management.
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Sources of Assurance		
IJB	ACC	NHSG
<ul style="list-style-type: none"> • Financial regulations (<i>revised 29 October 2019</i>) • Performance management framework • Effective and embedded budget monitoring and financial management • Risk appetite statement (<i>revised 1 December 2020</i>) 	<ul style="list-style-type: none"> • Internal Audit Plan, Internal Audit Annual Report and Follow-Up to approved recommendations • Risk Registers and Assurance Maps for all Clusters and reported to Committees. • Corporate Risk Register and Assurance Map reviewed by Audit, Risk and Scrutiny Committee and Risk Board • Organisational Resilience Group • Public Protection Committee • Risk Management Policy and Guidance 	<ul style="list-style-type: none"> • NHSG schedule of reserved decisions • NHSG standing financial instructions • Performance management framework • Effective and embedded budget



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<ul style="list-style-type: none">• Internal and external audit plans• Third party governance and assurance• Integration scheme (<i>revised 27 March 2018</i>)• Annual review of Audit and Performance Systems committee effectiveness (<i>reviewed 11 September 2018</i>)• Data protection compliance (<i>Officer established 22 May 2018</i>)• Business continuity plans for critical functions• Medium Term Financial Framework (<i>revised 23 March 2021</i>)	<ul style="list-style-type: none">• Risk Appetite Statement• COVID-19 Financial Resilience Recovery Plan• Business Continuity Policy• Procurement Control Board• EU Exit Steering Group• Medium Term Financial Strategy• ALEO Assurance Workplan	<p>monitoring and financial management</p> <ul style="list-style-type: none">• Risk registers• Internal and external audit plan• Information governance• NHSG Policy for Fraud Prevention• NHSG Risk Management Policy & Strategy
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Principle G Implementing good practices in transparency, reporting, and audit to deliver effective accountability.		Sub-principles <ul style="list-style-type: none"> • Implementing good practice in transparency. • Implementing good practices in reporting. • Assurance and effective accountability. 	
Sources of Assurance			
IJB		ACC	
<ul style="list-style-type: none"> • Committee reporting framework • Financial reporting – annual financial statements and accounts, annual budget • Financial plans reporting to committees • Internal and external audit plans • Third party governance • Medium Term Financial Framework (revised 23 March 2021) • MSG Performance Indicators • Performance Management Framework • Complaints handling procedure (<i>Revised 23 February 2021</i>) • New IJB report format. 		<ul style="list-style-type: none"> • Scheme of Governance • Performance Reporting • Financial Management Code • Internal Audit Plan • Best Value Audit • Local Area Network • Inspections Planner 	
		NHSG	
		<ul style="list-style-type: none"> • Financial reporting – annual financial statements and accounts, annual budget • Internal and external audit plans 	