



## Sources of Assurance & Local Code of Governance March 2022

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"> <li>Behaving with integrity.</li> <li>Demonstrating strong commitment to ethical values</li> <li>Respecting the rule of law.</li> </ul>	
Sources of Assurance		
IJB	ACC	NHSG
<ul style="list-style-type: none"> <li>Code of conduct</li> <li>Financial regulations (<i>Revised 23 September 2021</i>)</li> <li>Integration scheme (<i>Revised 27 March 2018</i>)</li> <li>Standing orders (<i>Revised 23 March 2021</i>)</li> <li>IJB members and ACHSCP staff induction</li> <li>Board Assurance Framework (<i>Revised 23 September 2021</i>)</li> <li>'imatters' / staff surveys</li> <li>Dignity at work survey</li> </ul>	<ul style="list-style-type: none"> <li>Member/ Officer Relations Protocol</li> <li>Employee Code of Conduct</li> <li>Behavioural Framework and Organisational Capabilities</li> <li>Register of Interests</li> <li>Register of Gifts and Hospitality</li> <li>Scheme of Governance – Officer and Committee Delegations</li> <li>Scheme of Governance - Standing Orders for Council, Committee and Sub</li> <li>Committee meetings</li> </ul>	<ul style="list-style-type: none"> <li>NHSG schedule of reserved decisions</li> <li>NHSG standing financial instructions</li> <li>iMatter and other Staff surveys</li> <li>NHS Scotland Staff Experience Review</li> <li>Employee conduct policy</li> <li>NHSG Board Members Code of Conduct</li> <li>EKSF processes/objective setting</li> <li>Standing orders</li> <li>NHSG Feedback Service</li> <li>NHSG induction process</li> </ul>



# Aberdeen City Health & Social Care Partnership

*A caring partnership*

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| <ul style="list-style-type: none"><li>• Complaints Handling Procedure (<i>Revised 23 February 2021</i>)</li><li>• Role and responsibilities protocol for Chief Officer and Chief Finance Officer</li><li>• Formal Directions Procedure</li><li>• New IJB report format, including equality and Fairer Scotland implication sections</li><li>• Whistleblowing Policy (<i>6 July 2021</i>)</li></ul> | <ul style="list-style-type: none"><li>• Consultation and Legislation Trackers</li><li>• Annual reviews of Committees' effectiveness</li><li>• Corporate Policy Framework and Strategy Framework</li><li>• Statutory Officers and Statutory Appointments</li><li>• Complaints Handling Procedure</li><li>• Elected Member Induction and Development including Code of Conduct</li><li>• Information Governance Annual Report</li><li>• Bond Governance</li></ul> | <ul style="list-style-type: none"><li>• HR policies (including health promotion)</li></ul> |
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<b>Principle B</b>		<b>Sub-principles</b>	
Ensuring openness and comprehensive stakeholder engagement.		<ul style="list-style-type: none"> <li>• Openness.</li> <li>• Engaging comprehensively with institutional stakeholders.</li> </ul>	
<b>Sources of Assurance</b>			
<b>IJB</b>	<b>ACC</b>		<b>NHSG</b>
<ul style="list-style-type: none"> <li>• IJB Strategic Plan (<i>revised 26 March 2019</i>)</li> <li>• Broad range of stakeholders on the IJB itself.</li> <li>• Representatives from 3<sup>rd</sup> and independent sectors in key working groups.</li> <li>• Joint communications and engagement group.</li> <li>• Complaints Handling (<i>Revised 23 February 2021</i>)</li> <li>• Procedure and freedom of information compliance (<i>Revised 8 September 2020 and 23 September 2021</i>)</li> <li>• ‘imatters’ team action plans</li> <li>• Communications protocol</li> <li>• Whistleblowing Policy (<i>6 July 2021</i>)</li> <li>• Public Engagement Policy (<i>24 August 2021</i>)</li> </ul>	<ul style="list-style-type: none"> <li>• Council Delivery Plan</li> <li>• Local Outcome Improvement Plan</li> <li>• Locality Empowerment Groups</li> <li>• Community Planning Aberdeen Engagement, Participation and Empowerment</li> <li>• Strategy</li> <li>• Community Council Liaison and Support</li> <li>• Webcasting of Council and Committee meetings</li> <li>• Staff Governance Committee</li> <li>• Trade Union Engagement</li> <li>• ALEO Strategic Partnership</li> <li>• Leadership Forum</li> <li>• Integrated Impact Assessments</li> <li>• Parental Involvement and Engagement Plan</li> <li>• City-wide Pupil Forum</li> <li>• ACC Citizen Space Consultation Hub</li> </ul>		<ul style="list-style-type: none"> <li>• NHSG Feedback Service</li> <li>• Freedom of information compliance</li> <li>• NHSG Remobilisation Plan and Delivery Plan</li> <li>• NHSG Engagement &amp; Participation Committee</li> </ul>



<p><b>Principle C</b></p> <p>Defining outcomes in terms of sustainable economic, social and environmental benefits</p>	<p><b>Sub-principles</b></p> <ul style="list-style-type: none"> <li>• Defining outcomes</li> <li>• Sustainable economic, social and environmental benefits.</li> </ul>	
<p><b>Sources of Assurance</b></p>		
<p><b>IJB</b></p>	<p><b>ACC</b></p>	<p><b>NHSG</b></p>
<ul style="list-style-type: none"> <li>• Strategic plan (<i>revised 26 March 2019</i>)</li> <li>• Performance framework which includes national &amp; local indicators, aligned to strategic plan</li> <li>• Local outcome improvement plans</li> <li>• Locality plans</li> <li>• Medium Term Financial Framework (<i>revised 10 March 2022</i>)</li> <li>• Transformation Plan</li> <li>• Climate change duties report</li> <li>• Equalities Outcomes (25 May 2021)</li> </ul>	<ul style="list-style-type: none"> <li>• Council Delivery Plan</li> <li>• Performance Management Framework</li> <li>• Annual Procurement Performance Report</li> <li>• Scotland Excel Annual Report</li> <li>• Local Outcome Improvement Plan and Improvement Groups</li> <li>• Commissioning Intentions and Annual Budget Setting</li> <li>• ALEO Annual Reports</li> <li>• Economic Policy Panel</li> </ul>	<ul style="list-style-type: none"> <li>• NHSG Remobilisation Plan and Delivery Plan</li> <li>• Board Assurance, framework &amp; associated revised meeting structure</li> </ul>



<b>Principle D</b> Determining the interventions necessary to optimise the achievement of intended outcomes.		<b>Sub-principles</b> <ul style="list-style-type: none"> <li>• Determining interventions.</li> <li>• Planning interventions.</li> <li>• Optimising achievement of intended outcomes.</li> </ul>	
<b>Sources of Assurance</b>			
<b>IJB</b>	<b>ACC</b>		<b>NHSG</b>
<ul style="list-style-type: none"> <li>• Effective and embedded risk management system</li> <li>• Effective and embedded budget monitoring and financial planning</li> <li>• Third party governance and assurance</li> <li>• Performance management framework</li> <li>• Health &amp; safety arrangements</li> <li>• Information governance assurance framework</li> <li>• Business continuity plans</li> <li>• Civil contingencies group and plan</li> </ul>	<ul style="list-style-type: none"> <li>• Effective and embedded risk management system</li> <li>• Effective and embedded budget monitoring and financial planning</li> <li>• Annual reviews of Committees' effectiveness</li> <li>• Performance Management Framework</li> <li>• Local Resilience Partnership</li> <li>• Business Continuity Planning and Testing</li> <li>• Local Outcome Improvement Plan and Improvement Groups</li> <li>• Population Needs Assessment</li> </ul>		<ul style="list-style-type: none"> <li>• Effective and embedded risk management systems</li> <li>• Effective and embedded budget monitoring and financial planning</li> <li>• Performance management</li> <li>• NHSG Health &amp; Safety Committee</li> <li>• NHSG caldicott guardian</li> <li>• NHSG annual accountability review</li> </ul>



<b>Principle E</b> Developing the entity's capacity, including the capability of its leadership and the individuals within it		<b>Sub-Principles</b> <ul style="list-style-type: none"> <li>• Developing the entity's capacity.</li> <li>• Developing the capability of the entity's leadership and other individuals.</li> </ul>	
<b>Sources of Assurance</b>			
<b>IJB</b>	<b>ACC</b>		<b>NHSG</b>
<ul style="list-style-type: none"> <li>• Staff induction</li> <li>• Organisational Development Plan</li> <li>• <i>IJB Workforce plan (26 March 2019)</i></li> <li>• Role and responsibilities protocol for Chief Officer and Chief Finance Officer</li> <li>• IJB Induction and development programmes</li> </ul>	<ul style="list-style-type: none"> <li>• Behavioural Framework and Organisational Capabilities</li> <li>• Scheme of Governance – Officer and Committee Delegations</li> <li>• Corporate Policies Framework</li> <li>• Leadership Forum</li> <li>• Member / Officer Relations Protocol</li> <li>• Future of Work Action Groups</li> </ul>		<ul style="list-style-type: none"> <li>• Staff induction</li> <li>• North East leadership schemes</li> <li>• NHS HR policies</li> <li>• Staff partnership representation</li> <li>• Engagement with Scottish Government Effective Leadership and Quality Improvement programmes</li> </ul>



<b>Principle F</b> Managing risk and performance through robust internal control and strong public financial management.		<b>Sub-principles</b> <ul style="list-style-type: none"> <li>• Managing risk.</li> <li>• Managing performance.</li> <li>• Managing data.</li> <li>• Strong public financial management.</li> </ul>	
<b>Sources of Assurance</b>			
<b>IJB</b>	<b>ACC</b>		<b>NHSG</b>
<ul style="list-style-type: none"> <li>• Financial regulations <i>Revised 23 September 2021</i>)</li> <li>• Performance management framework</li> <li>• Effective and embedded budget monitoring and financial management</li> <li>• Risk appetite statement (<i>revised 15 December 2021</i>)</li> <li>• Internal and external audit plans</li> <li>• Third party governance and assurance</li> <li>• Integration scheme (<i>revised 27 March 2018</i>)</li> <li>• Annual review of Risk, Audit Performance committee effectiveness (<i>17 April 2021</i>)</li> </ul>	<ul style="list-style-type: none"> <li>• Medium Term Financial Strategy</li> <li>• Financial Regulations</li> <li>• Following the Public Pound Guidance</li> <li>• Performance Management Framework</li> <li>• Effective and embedded budget monitoring and financial management</li> <li>• Risk Registers and Assurance Maps</li> <li>• Risk Appetite Statement</li> <li>• Risk Management Policy and Guidance</li> <li>• Bond Governance and Annual Credit Rating Assessment</li> <li>• Internal Audit Plan and Inspections Planner</li> <li>• External Audit Strategy</li> <li>• Horizon Scanning</li> <li>• Counter Fraud Training</li> <li>• Scheme of Governance – Officer and Committee Delegations</li> <li>• Procurement Regulations, Training and Development</li> <li>• Annual review of Audit, Risk and Scrutiny Committee effectiveness</li> <li>• Business Continuity Plans for Critical Functions</li> </ul>		<ul style="list-style-type: none"> <li>• NHSG schedule of reserved decisions</li> <li>• NHSG standing financial instructions</li> <li>• Performance management framework</li> <li>• Effective and embedded budget monitoring and financial management</li> <li>• Risk registers</li> <li>• Internal and external audit plan</li> <li>• Information governance</li> <li>• NHSG Policy for Fraud Prevention</li> </ul>



<ul style="list-style-type: none"> <li>• Data protection compliance (<i>Officer established 22 May 2018</i>)</li> <li>• Business continuity plans for critical functions</li> <li>• Medium Term Financial Framework (<i>revised 10 March 2022</i>)</li> </ul>	<ul style="list-style-type: none"> <li>• Assurance 365 Data</li> </ul>	<ul style="list-style-type: none"> <li>• NHSG Risk Management Protocol and operating procedures</li> </ul>
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<p><b>Principle G</b></p> <p>Implementing good practices in transparency, reporting, and audit to deliver effective accountability.</p>	<p><b>Sub-principles</b></p> <ul style="list-style-type: none"> <li>• Implementing good practice in transparency.</li> <li>• Implementing good practices in reporting.</li> <li>• Assurance and effective accountability.</li> </ul>
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**Sources of Assurance**

IJB	ACC	NHSG
<ul style="list-style-type: none"> <li>• Committee reporting framework</li> <li>• Financial reporting – annual financial statements and accounts, annual budget</li> <li>• Financial plans reporting to committees</li> <li>• Internal and external audit plans</li> <li>• Third party governance</li> <li>• Medium Term Financial Framework (<i>revised 10 March 2022</i>)</li> </ul>	<ul style="list-style-type: none"> <li>• Committee Reporting Framework</li> <li>• Financial Reporting – Annual Financial Statements and Accounts, Annual Budget</li> <li>• Medium and Long Term financial plans and quarterly reporting to Committees</li> <li>• Internal and external audit plans</li> <li>• Third Party Governance</li> <li>• Local Government Benchmarking Framework</li> <li>• Complaints Handling Procedure</li> <li>• Best Value/Value for Money</li> <li>• Annual Procurement Performance Report</li> </ul>	<ul style="list-style-type: none"> <li>• Financial reporting – annual financial statements and accounts, annual budget</li> <li>• Internal and external audit plans</li> </ul>





<ul style="list-style-type: none"><li>• MSG Performance Indicators</li><li>• Performance Management Framework</li><li>• Complaints handling procedure (<i>Revised 23 February 2021</i>)</li><li>• New IJB report format.</li><li>• Whistleblowing Policy (<i>6 July 2021</i>)</li></ul>	<ul style="list-style-type: none"><li>• Register of Interests</li><li>• Register of Gifts and Hospitality</li><li>• Project Management Protocols</li></ul>	
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