



Sources of Assurance & Local Code of Governance April 2019

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 13 Nov 2018</i>) Integration scheme (<i>Revised 27 March 2018</i>) Standing orders (<i>Revised 26 April 2018</i>) IJB members and ACHSCP staff induction Board Assurance Framework (<i>Revised 26 February 2019</i>) 'imatters' survey 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 Monitoring of Scheme of Governance to ensure that it supports progress towards the Target Operating Model; training delivered to elected members and officers; approval of further revisions to the Scheme of Governance to make decision making more efficient and transparent. Review noted as 	<ul style="list-style-type: none"> NHSG schedule of reserved decisions NHSG standing financial instructions 'imatters' survey NHS Scotland Staff Experience Review NHSG employee conduct policy NHSG Board Members Code of Conduct EKSF processes/objective setting Standing orders NHSG Feedback Service NHSG induction process



Aberdeen City Health & Social Care Partnership

A caring partnership

<ul style="list-style-type: none">• Complaints Handling Procedure• 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	<p>‘thorough and robust’ and a ‘positive evolution of the Council’s overall governance framework’ by external auditors.</p> <ul style="list-style-type: none">• Member Officer Relations Protocol successfully utilised and facilitated positive remedial action.• First annual review by Committees of their effectiveness against Terms of Reference initiated.• Implementation of a new Scheme of Establishment and complaints process for Community Councils.• Delivery of training on Bond Governance to Chief Officers, elected members and ALEOs.• Development of a corporate policies register and corporate policies template linking all policies to strategic outcomes.	<ul style="list-style-type: none">• HR policies (including health promotion)
---	--	--



Principle B		Sub-principles	
Ensuring openness and comprehensive stakeholder engagement.		<ul style="list-style-type: none"> • Openness. • Engaging comprehensively with institutional stakeholders. 	
Sources of Assurance			
IJB	ACC		NHSG
<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. • OurIDEAS innovation platform • Complaints Handling Procedure and freedom of information compliance • 'imatters' team action plans • Communications protocol 	<ul style="list-style-type: none"> • Staff Governance Committee, including trade union adviser representatives. • Weekly Director and trade union meetings to strengthen engagement. • Regular meetings between Chief Officers and TU representatives for cluster level engagement. • Trade union engagement protocols implemented in respect of health and safety. • City wide budget consultation event held with 3rd sector partners. • Leadership Forum established to engage leaders at all levels to contribute towards the next stages of Transformation. • Extensive engagement on a set of Guiding Principles as the new behavioural framework for the Council, culminating in approval by Staff Governance Committee. • Annual review of the ALEO Assurance Hub in December 2018 resulting in revised terms of reference. • Participated in a programme, through the Scottish Cities Alliance, to make "open data" available through a dedicated portal. 		<ul style="list-style-type: none"> • NHSG Feedback Service • Freedom of information compliance • NHSG Local Delivery Plan • NHSG Engagement & Participation Committee



- Centralised customer feedback function, including social work complaints, to ensure further consistency in complaint handling. A new system to manage complaints was implemented. Tenant Participation Review Group established to review customer feedback.
- Implementation of Customer Experience Platform and enhanced digital capabilities, including new Council website and an extensive portfolio of new online services including digital school admissions.
- Joint review, including Council, civic and partner representatives to explore civic representation and involvement. The findings of this review will be developed through the Transformation programme.
- Involvement of community representatives, along with partner agencies, in the Community Planning Aberdeen consultation on the refreshed LOIP, and ongoing involvement in project groups including chairing the Community Engagement Group.
- Approved a Participatory Budgeting Policy, applying learning from local delivery and review of guidance and best practice.
- Approval of a Participatory Budgeting approach to the Common Good fund.
- Allocation of £1.6m Fairer Aberdeen Fund through a Participatory Budgeting approach.



Principle C		Sub-principles	
Defining outcomes in terms of sustainable economic, social and environmental benefits		<ul style="list-style-type: none"> Defining outcomes Sustainable economic, social and environmental benefits. 	
Sources of Assurance			
IJB	ACC		NHSG
<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 12 March 2019</i>) Transformation Plan Climate change duties report 	<ul style="list-style-type: none"> Approval of Local Outcome Improvement Plan 2019-2026 Approval of Corporate Delivery Plan 2019/20 Approval of commissioning intentions defining the contribution of the organisation to the LOIP. The commissioning intentions describe the priorities for the Council's in-house commissioned services in the next financial year. Agreement of a new Community Learning and Development plan 2018-21 Agreement of the draft Rapid Rehousing Transition Plan and membership of local Housing 1st Consortium Agreement of the Local Housing Strategy 		<ul style="list-style-type: none"> NHSG Local Delivery Plan Performance, Assurance, Improvement and Risk framework (PAIR) & associated revised meeting structure



Principle D Determining the interventions necessary to optimise the achievement of intended outcomes.		Sub-principles <ul style="list-style-type: none"> • Determining interventions. • Planning interventions. • Optimising achievement of intended outcomes. 	
Sources of Assurance			
IJB	ACC		NHSG
<ul style="list-style-type: none"> • Effective and embedded risk management system • Effective and embedded budget monitoring and financial planning • 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"> • Approval of Population Needs Assessment and establishment of data observatory. • Approval of an outcome based commissioning model. • Business Intelligence and Performance Management service within Commissioning Function accomplishing better understanding of need, demand, service delivery and support data driven decision making. • Expansion of quality improvement training and support programme “Improve and Innovate” to 300 officers. • Early Intervention and Community Empowerment service within Customer which will help to manage the increasing demand being placed on the Council’s services, through the Council’s Transformation programme. • Enabled auto-entitlement of free school meals through data match. 		<ul style="list-style-type: none"> • Effective and embedded risk management systems • Effective and embedded budget monitoring and financial planning • Performance management • NHSG Health & Safety Committee • NHSG caldicott guardian • NHSG annual accountability review



Principle E Developing the entity's capacity, including the capability of its leadership and the individuals within it		Sub-Principles <ul style="list-style-type: none"> • Developing the entity's capacity. • Developing the capability of the entity's leadership and other individuals. 	
Sources of Assurance			
IJB	ACC		NHSG
<ul style="list-style-type: none"> • Staff induction • Organisational Development Plan • <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"> • Appointment of Extended Corporate Management Team including Chief Officers for Digital and Technology, People and Organisation and Business Intelligence and Performance. • Creation of Governance Function including Assurance Team which provides support to all Council services to comply with health and safety, risk management, civil contingencies requirements. • Training of councillors and officers on their obligations relative to the London Stock Exchange and Bond issue and on the Scheme of Governance. • Completion of testing to deliver Core HR in preparation for delivery in 2019/20. • Testing of revised Performance Review and Development system with Chief Officers and engagement with staff on revisions. • Creation of consolidated ICT Security function. • Leadership Capability Framework introduced for Chief Officers and a piloted self assessment to create a 		<ul style="list-style-type: none"> • Staff induction • North East leadership schemes • NHS HR policies • Staff partnership representation • Engagement with Scottish Government Effective Leadership and Quality Improvement programmes



	<p>development programme and a capability framework for service managers.</p> <ul style="list-style-type: none"> • Continuation of development planning sessions for new and existing Chief Officers based on outcomes from the matching/ recruitment process. • Establishment of training programme on use of data. 	
--	--	--

<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.
--	---

Sources of Assurance

IJB	ACC	NHSG
<ul style="list-style-type: none"> • Financial regulations (<i>revised 13 November 2018</i>) • Performance management framework • Effective and embedded budget monitoring and financial management • Risk appetite statement (<i>revised 26 February 2019</i>) • Internal and external audit plans 	<ul style="list-style-type: none"> • Internal Audit's Annual Report and Internal Financial Control Statement for 2017/18 presented to Audit, Risk and Scrutiny Committee in April 2019. • Risk Registers developed for all Cluster areas and reported to Committees. • Corporate Risk Register reviewed by Audit, Risk and Scrutiny Committee and Corporate Management Team • Organisational Resilience Group retained oversight of resilience actions, including incident debriefs, reporting quarterly to CMT. 	<ul style="list-style-type: none"> • NHSG schedule of reserved decisions • NHSG standing financial instructions • Performance management framework • Effective and embedded budget monitoring and financial management



Aberdeen City Health & Social Care Partnership

A caring partnership

- | | | |
|---|---|--|
| <ul style="list-style-type: none">• 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 12 March 2019</i>) | <ul style="list-style-type: none">• Review of credit rating by credit rating agency noting the Council's 'strong institutional framework' through internal governance and scrutiny.• Establishment Control Board to manage and monitor reduction of headcount.• Procurement Control Board established to manage and monitor reduction of expenditure.• Scrutiny of safety management plans by Staff Governance Committee.• Corporate Investigation Team minimising financial losses to the public purse as a result of fraudulent activities.• Creation and approval of ICT Access Control Policy.• Achieved Cyber Essentials Plus accreditation (government backed cyber scheme).• Participation in a peer review for the PREVENT agenda as part of CONTEST and resulting recommendations being progressed.• Receipt of Controller of Audit letter which noted 'high degree of scrutiny and challenge' with 'clear focus on outcomes' and 'leadership development activity.'• Approval of revised Performance Management Framework. | <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 |
|---|---|--|



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	NHSG
<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 12 March 2019) • MSG Performance Indicators • Performance Management Framework • Complaints handling procedure • New IJB report format. 	<ul style="list-style-type: none"> • Committee reporting framework • Financial reporting – annual financial statements and accounts, annual budget • Medium and long term financial plans and quarterly reporting to committees • Internal and external audit plans • Third party governance • Local government benchmarking framework • Complaints handling procedure • Best value/value for money • Project management protocols • Implementation of a central Access to Information Team. • Implementation of Business Services Team within Customer Function. • Review and representation of public performance reporting. 	<ul style="list-style-type: none"> • Financial reporting – annual financial statements and accounts, annual budget • Internal and external audit plans