



APPENDIX 1

LOCAL CODE OF CORPORATE GOVERNANCE

(please note tracked changes are left in this document for ease of identification of amendments)

GOVERNANCE PRINCIPLES		
Principle A		
Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law		
SOURCES OF ASSURANCE		
MIJB	MORAY COUNCIL	NHS GRAMPIAN
Code of Conduct	Codes of Conduct	Codes of Conduct
Financial Regulations (March 2019)	Financial Regulations	Standing Financial Instructions
Standards Officer Appointment (March 2019)	Scheme of Administration	Schedule of Reserved Decisions
Standing Orders (June 2018)	Standing Orders	Operational Scheme of Delegation
Register of Interests	Human Resources Policies	Standing Orders
Scheme of Administration (June 2018)	Scheme of Delegation	Human Resources Policies
Integration Scheme (April 2018)	Register of Interests	Employee Conduct Policy
Updated IJB Report Format (Sept 2018)	Integrity Group	Register of Interests
Information Commissioners Officer Registration	Employee Induction Process	Feedback Service
Duty of Candour Arrangements	Computer Use Policy	I matter Survey
	Duty of Candour Arrangements	Employee Induction Process
	Monitoring Officer Annual Report	NHS Scotland Staff Experience Review
	Staff Engagement Programme	Duty of Candour Arrangements
		Policy for the Prevention, Detection and Investigation of Suspected Fraud, Theft or Corruption
		Whistleblowing Policy



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GOVERNANCE PRINCIPLES		
Principle B		
Ensuring openness and comprehensive stakeholder engagement		
SOURCES OF ASSURANCE		
MIJB	MORAY COUNCIL	NHS GRAMPIAN
Strategic Plan <u>(2016-19)</u>	Moray Connected Project	<u>Annual Operational</u> Local Delivery Plan (includes Financial Plan)
Performance Framework	Community Consultation	Performance Management Framework
Annual Performance Report	Complaints Procedures	Freedom of Information Compliance
Communications Strategy	Use of Social Media	Feedback Service
Community Consultation	Freedom of Information Compliance	<u>Engagement and Participation Committee</u>
Third Sector Involvement	Employee Opinion Survey	<u>Grampian Clinical Strategy 2016-2021</u>
IJB Membership – Broad Range of Stakeholders	<u>Locality Planning</u>	<u>NHS Grampian Area Partnership Forum</u>
Use of Social Media		<u>Equality, Diversity and Human Rights Policy</u>
Freedom of Information Compliance		
Workforce Development		
<u>Complaints Handling Policy</u>		



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GOVERNANCE PRINCIPLES		
Principle C Defining outcomes in terms of sustainable economic, social and environmental benefits		
SOURCES OF ASSURANCE		
MIJB	MORAY COUNCIL	NHS GRAMPIAN
Strategic Plan <u>(2016-19)</u>	Moray 202 <u>7</u> 6 – a Plan for the Future	<u>Annual Operational</u> Local Delivery Plan (includes Financial Plan)
<u>Programme Boards</u>	Corporate Plan	Governance Framework
Annual Performance Report	Community Planning Board	Performance Management Framework
Performance Management Framework	Local Outcome Improvement Plans	<u>Engagement and Participation Committee</u>
<u>Climate Change Duties and Responsibilities</u>	Governance Framework	<u>Grampian Clinical Strategy 2016-2021</u>
<u>Moray Alliance Establishment</u>	Performance Management Framework	
	Best Value	



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GOVERNANCE PRINCIPLES		
Principle D		
Determining the interventions necessary to optimise the achievement of intended outcomes		
SOURCES OF ASSURANCE		
MIJB	MORAY COUNCIL	NHS GRAMPIAN
Risk Management Processes	Risk Management Processes	Risk Management Processes
Audit Planning (Internal & External)	Audit Planning (Internal & External)	Audit Planning (Internal & External)
Performance Framework	Performance Management Framework	Performance Management Framework
Budget Monitoring Processes	Budget Monitoring Processes	Budget Monitoring Processes
Financial Planning	Financial Planning	Financial Planning
MIJB Committee Structure	Moray Council Committee Structure	Health & Safety Committee
Infrastructure Programme Board	Asset Management Group	Annual Accountability Review
<u>Health and Safety Arrangements</u>	<u>Ministerial Strategic Group – Self Assessment May 2019</u>	Asset Management Group
<u>Business Continuity Planning</u>		<u>Ministerial Strategic Group – Self Assessment May 2019</u>
<u>Ministerial Strategic Group – Self Assessment –</u>		<u>Grampian Clinical Strategy 2016-2021</u>



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<u>May 2019</u>		

GOVERNANCE PRINCIPLES		
Principle E		
Developing the entity's capacity, including the capability of its leadership and the individuals within it.		
SOURCES OF ASSURANCE		
MIJB	MORAY COUNCIL	NHS GRAMPIAN
Workforce Planning and Organisational Strategy	Workforce Planning	Employee Induction Processes
Workforce Forum	Elected Member Induction / <u>Development</u>	Board Member Induction
MIJB Voting Member Briefings	Personal Development Plans	Staff Partnership Representation
MIJB Development Sessions	Employee Development Team	Leadership Schemes
Board Member Induction	Moray Management Methods	
<u>Employee Recognition Awards Ceremony</u>	Employee Induction Processes	
<u>System Leadership Programme</u>	<u>Employee Review and Development Programme</u>	
	<u>Staff Leadership Forum</u>	
	<u>Learning Visits / Listening Meetings</u>	



APPENDIX 1

LOCAL CODE OF CORPORATE GOVERNANCE

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GOVERNANCE PRINCIPLES		
Principle F		
Managing risk and performance through robust internal control and strong public financial management.		
SOURCES OF ASSURANCE		
MIJB	MORAY COUNCIL	NHS GRAMPIAN
Financial Regulations <u>(March 2019)</u>	Financial Regulations	Standing Financial Instructions
Risk Management Strategy and Risk Reporting	Risk Management Policy & Strategy	Budget Monitoring & Financial Planning
Performance Framework	Following the Public Pound	Risk Management Framework & Reporting
Budget Monitoring & Financial Planning	Performance Management Framework	Audit Planning (Internal & External)
Production of Annual Accounts	Scheme of Delegation	Fraud Policy <u>Policy for the Prevention, Detection and Investigation of Suspected Fraud, Theft or Corruption</u>
Audit Planning (Internal & External)	Section 95 Officer Appointment	Schedule of Reserved Decisions
Standing Financial Instructions	Fraud, Theft, Bribery & Corruption Policy	Operational Scheme of Delegation
Performance Management Framework	Participation in National Fraud Initiative	<u>Annual Report and Accounts (including annual</u>



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		<u>governance statement)</u>
Clinical & Care Governance Committee	Information Assurance Group	
Moray Performance Review (Chief Executive)	Budget Monitoring & Financial Planning	
<u>Internal and External Audit Plans</u>	Audit Planning (Internal & External)	
<u>Integration Scheme (April 2018)</u>	Procurement Regulations & Training	
<u>Annual Governance Statement</u>	Business Continuity Plans	

GOVERNANCE PRINCIPLES

Principle G

Implementing good practices in transparency, reporting and audit to deliver effective accountability.

SOURCES OF ASSURANCE

MIJB	MORAY COUNCIL	NHS GRAMPIAN
Committee Reporting Framework	Committee Reporting Framework	<u>Board sub-</u> Committee Reporting Framework
Financial Reporting – Budget Monitoring	Financial Reporting – Budget Monitoring	Financial Reporting – Budget Monitoring
Production & Approval of Annual Budget	Production & Approval of Annual Budget	Production of Annual <u>Report and</u> Accounts
Production of Annual Accounts	Production of Annual Accounts	Audit Planning (Internal & External)
Audit Planning (Internal & External)	Audit Planning (Internal & External)	Assurance Framework <u>Committee</u>
Consultation	Statutory Returns	<u>Public Sector Reform Act disclosure</u>
<u>Ministerial Strategic Group Local Objectives</u>	Consultation	



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