LOCAL CODE OF CORPORATE GOVERNANCE

APPENDIX 1

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~~Sept 2020)	Scheme of Administration	Schedule of Reserved Decisions
Standing Orders (~~June~~ Nov 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 (inc Employee Conduct)
Integration Scheme (April 2018)	Register of Interests	~~Employee Conduct Policy~~ Staff Governance Committee
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	~~STaff~~I matter Surveys
Whistleblowing Standards	Duty of Candour Arrangements	Employee Induction Process
	Monitoring Officer Annual Report	~~NHS Scotland Staff Experience Review~~ SLT Compliance Sub Group
	Staff Engagement Programme	Duty of Candour Arrangements

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	COVID interim management arrangements	Policy for the Prevention, Detection and Investigation of Suspected Fraud, Theft or Corruption
		Whistleblowing Policy

GOVERNANCE PRINCIPLES

Principle B Ensuring openness and comprehensive stakeholder engagement

SOURCES OF ASSURANCE

MIJB	MORAY COUNCIL	NHS GRAMPIAN
Strategic Plan (201916-129)	Moray Connected Project	Annual Operational Plan (includes Financial Plan)
Performance Management Framework	Community Consultation & Engagement	Performance Management Framework
Annual Performance Report	Complaints Procedures & Responses	Freedom of Information Compliance
Communications & Engagement Strategy	Use of Social Media	Feedback Service
Community Consultation	Freedom of Information Compliance	Engagement and Participation Committee
Third Sector Involvement	Employee Opinion Survey	Grampian Clinical Strategy 2016-2021
IJB Membership – Broad Range of Stakeholders	Locality Planning	NHS Grampian Area Partnership Forum
Use of Social Media	Community Asset Transfers	Equality, Diversity and Human Rights Policy
Freedom of Information Compliance	Participatory Budgeting Plans	Stakeholder Engagement Framework
Workforce ForumDevelopment		
Complaints Handling Policy		
Staff Surveys		
Governance Framework		

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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 (201~~69-12~~9)	Moray 2027 – a Plan for the Future	Annual Operational Plan (includes Financial Plan)
	Corporate Plan	Governance Framework
Annual Performance Report	Community Planning Board	Performance Management Framework
Performance Management Framework	Local Outcome Improvement Plans – Updated with Partner Agencies	Engagement and Participation Committee
Climate Change Duties and Responsibilities	Governance Framework	Grampian Clinical Strategy ~~2016-2021~~
~~Moray Alliance Establishment~~	Performance Management Framework – being updated	
Equalities Outcomes (April 2021)	Best Value Report & Action Plan	
	Improvement and Transformation Plans	

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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 Management Framework	Performance Management Framework – being updated	Performance Management Framework
Budget Monitoring Processes	Budget Monitoring Processes	Budget Monitoring Processes
Financial Planning	Financial Planning – in line with Cipfa's FM Code Principles	Financial Planning
MIJB Committee Structure	Moray Council Committee Structure	Health & Safety Committee
Infrastructure Programme Board	Asset Management Group	Annual Accountability Review
Health and Safety Arrangements	Ministerial Strategic Group – Self Assessment May 2019	Asset Management Group
Business Continuity Planning	Workforce and ICT Strategies	Ministerial Strategic Group – Self Assessment May 2019
Ministerial Strategic Group – Self Assessment – May 201921		Grampian Clinical Strategy 2016-2021
Governance Framework		Clinical Governance Committee

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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 Development ~~Strategy~~	Workforce Planning	Employee Induction Processes
Workforce Forum	Elected Member Induction / Development	Board Member Induction
MIJB Voting Member Briefings	Personal Development Plans – to be revisited	Staff Partnership Representation
MIJB Development Sessions	Employee Development Team	Leadership Schemes
Board Member Induction	Moray Management Methods	Staff Governance Committee
Employee Recognition Awards ~~Ceremony~~ (not held 2020)	Employee Induction Processes	'' We Care'' programme
System Leadership Programme	Employee Review and Development Programme	
	Staff Leadership Forum	
	~~Learning Visits / Listening Meetings~~	
	Best Value Action Plan developed	

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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 (March 2019)	Financial Regulations	Standing Financial Instructions
Risk Management Strategy and Risk Reporting	Risk Management Policy & Strategy	Budget Monitoring & Financial Planning
Governance ~~Performance~~ Framework	Following the Public Pound – ALEO Funding	Risk Management Framework & Reporting
Budget Monitoring & Financial Planning	Performance Management Framework	Audit Planning (Internal & External)
Production of Annual Accounts	Scheme of Delegation	Policy for the Prevention, Detection and Investigation of Suspected Fraud, Theft or Corruption
Audit Planning (Internal & External)	Section 95 Officer Appointment	Schedule of Reserved Decisions
Business Continuity & Incident Response Plans	Fraud, Theft, Bribery & Corruption Policy	Operational Scheme of Delegation
Performance Management Framework	Participation in National Fraud Initiative	Annual Report and Accounts (including annual governance statement)
Clinical & Care Governance Committee	Information Assurance Group	Performance Governance Committee
Moray Performance Review (Chief Executive)	Budget Monitoring & Financial Planning	
Internal and External Audit Plans	Audit Planning (Internal & External)	
Integration Scheme (April 2018)	Procurement Regulations & Training	
~~Annual Governance Statement~~	Business Continuity Plans – to be revisited post pandemic	
Risk Policy (Sept 2020)		

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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	Board sub-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 Report and Accounts
Production of Annual Accounts	Production of Annual Accounts	Audit Planning (Internal & External)
Audit Planning (Internal & External)	Audit Planning (Internal & External)	Assurance Framework
Consultation	Statutory Returns	Public Sector Reform Act disclosure
~~Ministerial Strategic Group Local Objectives~~	Consultation	
Governance Framework	Chief Social Work Officer Annual Report	
	Scottish Public Services Ombudsman – Complaints Reporting and Responses	