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**To:** Renfrewshire Integration Joint Board

**On:** 23 June 2017

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**Report by:** Chief Finance Officer

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**Heading:** Local Code and Sources of Assurance for Governance Arrangements

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**1. Summary**

- 1.1 The purpose of this report is to consider a Local Code with sources of assurance for adoption by the Integration Joint Board to review and assess its governance arrangements.
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**2. Background**

- 2.1 Renfrewshire IJB is a legal entity in its own right created by Parliamentary Order, following ministerial approval of the Integration Scheme. It is accountable for the stewardship of public funds and ensuring that its business is conducted under public sector best practice governance arrangements including ensuring that public money is safeguarded, properly accounted for and used economically, efficiently and effectively. The IJB also fosters a culture of continuous improvement in the performance of its functions and to make arrangements to secure best value.
- 2.2 Stewardship is a major function of management and, therefore, a responsibility placed upon the appointed members and officers of the IJB.
- 2.3 In discharging these responsibilities, the Chief Officer has a reliance on the NHS and Local Authority systems of internal control that support compliance with both parent organisations policies, and, promotes achievement of each organisations aims and objectives, as well as those of the IJB.
- 2.4 In order to demonstrate this, a governance statement for the IJB is produced each year, which is included within the Annual Accounts. The IJB is also required to review and assess the effectiveness of its governance arrangements and control environment annually.
- 2.5 As part of this, the Chief Internal Auditor reviewed the effectiveness of the IJB's governance arrangements and control environment, and it was the Chief Auditor's opinion that there were no significant issues and that a reasonable assurance could be placed on it.
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**3. Recommendation**

- 3.1 It is recommended that the IJB:
- Approve the use of the sources of assurance, listed in Appendix 1, and the establishment of a local code of governance based on the governance

principles in paragraph 5.4, against which the IJB will measure itself in Annual Governance Statements from 2017/18 onwards.

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#### **4. Delivering Good Governance in Local Governance**

- 4.1 The Chartered Institute of Public Finance & Accountancy (CIPFA) *Delivering Good Governance in Local Governance Framework* defines a set of principles that should underpin the governance of local government organisations. The objective of the Framework is to help local government in taking responsibility for developing and shaping an informed approach to governance, aiming at achieving the highest standards in a measured and proportionate way. Whilst the Framework is written in a local authority context, most of the principles are applicable to the IJB, particularly as the legislation recognises IJBs as Section 106 local government bodies (as per Part VII of the Local Government [Scotland] Act 1973) - and therefore subject to the local authority accounting code of practice.

#### **5. Local Code and Sources of Assurance**

- 5.1 The review of the IJB's governance framework is supported by processes within Renfrewshire Council and NHS Greater Glasgow and Clyde (NHSGGC). Within the Council, a self-assessment governance questionnaire and certificate of assurance is completed by the Chief Officer on an annual basis. The responses to these are considered as part of the review of the Council's governance framework. A similar process is in operation within NHSGGC where the Chief Officer is provided with a 'self-assessment checklist' to complete and return as evidence of the review of key areas of the internal control framework.
- 5.2 The IJB's approved Annual Governance Statement for 2015/16 confirmed that it had adopted governance arrangements that were consistent with the principles of CIPFA's and the Society of Local Authority Chief Executives' (SOLACE) framework 'Delivering Good Governance in Local Government: Framework' and the Statement explained how the IJB complied with the Framework and also met the Code of Practice on Local Authority Accounting in the UK.
- 5.3 While the Framework is written in a Local Authority context, most of the principles are applicable to the IJB, particularly as legislation recognises IJBs as a local government body under Part VII of the Local Government (Scotland) Act 1973, and therefore subject to the Local Authority Accounting Code of Practice.
- 5.4 It is proposed that Renfrewshire IJB establishes a Local Code of Corporate Governance based on the seven principles of CIPFA's and SOLACE's Framework:
1. behaving with integrity, demonstrating strong commitment to ethical values and representing the role of the law;
  2. ensuring openness and comprehensive stakeholder engagement;
  3. determining outcomes in terms of sustainable economic, social and environmental benefits;
  4. determining the interventions necessary to optimise the achievement of intended outcomes;
  5. developing the entity's capacity, including the capability of its leadership and the individuals within it;

6. managing risk and performance through robust internal control and strong public financial management and
7. implementing good practices in transparency, reporting and audit to deliver effective accountability.

5.5 It is also proposed that the Chief Internal Auditor's annual review and assessment of the IJB's governance arrangements and control environment continues to be framed within the context of the seven CIPFA/SOLACE good governance principles. Attached at Appendix A are the proposed sources for assessing the IJB's compliance for each governance principle.

5.6 This Code reinforces the requirements of the Standards Commission for Scotland that - as per the approved Standing Orders of the HSCP members of the IJB shall comply with the Code of Conduct for Members of Devolved Public Bodies and the Guidance relating to that Code of Conduct (both of which are incorporated into those Standing Orders). As such, this Code of Good Governance should work alongside the IJB's local *Code of Conduct for Members*, which emphasises the obligation on the IJB – both individually and collectively – to exemplify in their conduct the following principles:

- **Duty:** You have a duty to uphold the law and act in accordance with the law and the public trust placed in you. You have a duty to act in the interests of Renfrewshire HSCP (RHSCP) IJB and in accordance with the core functions and duties of the IJB.
  - **Selflessness:** You have a duty to take decisions solely in terms of public interest. You must not act in order to gain financial or other material benefit for yourself, family or friends.
  - **Integrity:** You must not place yourself under any financial, or other, obligation to any individual or organisation that might reasonably be thought to influence you in the performance of your duties.
  - **Objectivity:** You must make decisions solely on merit and in a way that is consistent with the functions of RHSCP IJB when carrying out public business including making appointments, awarding contracts or recommending individuals for rewards and benefits.
  - **Accountability and Stewardship:** You are accountable for your decisions and actions to the public. You have a duty to consider issues on their merits, taking account of the views of others and must ensure that RHSCP IJB uses its resources prudently and in accordance with the law.
  - **Openness:** You have a duty to be as open as possible about your decisions and actions, giving reasons for your decisions and restricting information only when the wider public interest clearly demands.
  - **Honesty:** You have a duty to act honestly. You must declare any private interests relating to your public duties and take steps to resolve any conflicts arising in a way that protects the public interest.
  - **Leadership:** You have a duty to promote and support these principles by leadership and example, and to maintain and strengthen the public's trust and confidence in the integrity of RHSCP IJB and its members in conducting public business.
  - **Respect:** You must respect fellow members of RHSCP IJB and employees of related organisations supporting the operation of the IJB and the role they play, treating them with courtesy at all times. Similarly you must respect members of the public when performing duties as a member of RHSCP IJB.
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## Implications of the Report

1. **Financial – Nil**
2. **HR & Organisational Development – Nil**
3. **Community Planning – Nil**
4. **Legal – Nil**
5. **Property/Assets – Nil**
6. **Information Technology** – managing information and making information available may require ICT input.
7. **Equality & Human Rights** – The recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement have been identified arising from the recommendations contained in the report. If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.
8. **Health & Safety – Nil**
9. **Procurement – Nil**
10. **Risk – Nil**
11. **Privacy Impact** – None. The information to be made available via the Publication Scheme is information which would be disclosed in response to a request under the Freedom of Information (Scotland) Act 2002. This therefore would not include Personal Data as defined by the Data Protection Act 1998.

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**List of Background Papers** – None.

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**Author:** Sarah Lavers, Chief Finance Officer

## Appendix 1: Sources for Assurance

| Governance Principles                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
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| <b>Principle A</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Behaving with integrity, demonstrating strong commitment to ethical values and representing the rule of the law.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
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| IJB                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | RENFREWESHIRE COUNCIL                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | NHSGGC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <ul style="list-style-type: none"> <li>• Integration Scheme</li> <li>• Governance Arrangements and Structure (IJB and Committees)</li> <li>• Standing Orders</li> <li>• Code of Conduct</li> <li>• Declaration of Interests</li> <li>• IJB Induction</li> <li>• IJB Development Programme</li> <li>• Financial Regulations</li> <li>• Annual Accounts (including Governance Statement, Statement of Income and Expenditure and Balance Sheet)</li> <li>• Annual Audit Report</li> <li>• Audit Plans (Internal and Third Party)</li> <li>• Information Governance (Freedom of Information, Records Management and Information Sharing)</li> <li>• Clinical and Care Governance Arrangements and Reporting</li> </ul> | <ul style="list-style-type: none"> <li>• Standing Orders</li> <li>• Senior Officers Register of Interests</li> <li>• Scheme of Delegation</li> <li>• Governance Arrangements and Reporting (including Management Structures, Groups and Forums)</li> <li>• Statutory Officers and Statutory Appointments</li> <li>• Financial Regulations/Procedures</li> <li>• Financial Reporting and Scrutiny across Management Structures (e.g., budget monitoring)</li> <li>• Social Work Professional Governance and Integrated Clinical and Professional Governance arrangements and reporting</li> <li>• Information Governance (Freedom of Information, Records Management, Information Sharing and Information and Physical Security)</li> <li>• Employee Code of Conduct</li> <li>• HR Policies and Procedures</li> <li>• Declaration of Interests (required staff)</li> <li>• Gifts and Hospitality Declaration</li> <li>• Anti-Bribery/Fraud Policy</li> <li>• Complaints Policy and Procedures</li> <li>• Equalities Arrangements (including EQIAs, working groups and staff groups)</li> </ul> | <ul style="list-style-type: none"> <li>• Standing Orders</li> <li>• Schedule of Reserved Decisions</li> <li>• Scheme of Delegation and Standing Financial Instructions</li> <li>• Governance Arrangements and Reporting (including Management Structures, Groups and Forums)</li> <li>• Register of Interests</li> <li>• Financial Procedures</li> <li>• Financial Reporting and Scrutiny across Management Structures</li> <li>• Clinical Governance and Integrated Clinical and Professional Governance Arrangements and Reporting</li> <li>• Fraud Policy</li> <li>• Information Governance (Freedom of Information, Records Management, Information Sharing and Information Security)</li> <li>• Staff Survey (iMatters)</li> <li>• Code of Conduct</li> <li>• NHSGGC Board Members Code of Conduct</li> <li>• eKSF Processes/Objective Setting</li> <li>• HR Policies and Procedures</li> <li>• Complaints Policy and Procedures</li> <li>• Equalities Arrangements (including</li> </ul> |

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|  | <ul style="list-style-type: none"> <li>• Information Governance (Freedom of Information, Records Management and Information Sharing)</li> <li>• Health and Safety Arrangements (including policies and procedures and audits)</li> <li>• Workforce Plan (including Organisational Development Strategy)</li> <li>• Supervision and Personal Development Plan Framework</li> <li>• Staff Induction</li> <li>• Staff Survey</li> <li>• Communications Strategy including Joint Media protocol</li> <li>• Staff Engagement Opportunities</li> </ul> | <ul style="list-style-type: none"> <li>• EQIAs, working groups and staff groups)</li> <li>• Health and Safety Arrangements (including policies and procedures and audits)</li> <li>• Workforce Plan (including Organisational Development Strategy)</li> <li>• Supervision and Personal Development Plan Framework</li> <li>• Staff Induction</li> <li>• Staff Survey</li> <li>• Communications Strategy including Joint Media protocol</li> <li>• Staff Engagement Opportunities</li> <li>• Whistleblowing Policy</li> </ul> |
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| <b>Principle B</b><br>Ensuring openness and comprehensive stakeholder engagement.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
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| Sources of Assurance                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
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| <ul style="list-style-type: none"> <li>Governance Arrangements and Structure (IJB and Committees)</li> <li>IJB Membership (incl. Stakeholder Members for patients/service users, carers, third and independent sectors and Trade Unions)</li> <li>Publication of IJB and Committee papers</li> <li>Strategic Plan</li> <li>On-going Development of Other Strategies/Plans (e.g., Children and Young People Services Plan, Dementia Strategy, Commissioning and Procurement Strategy and Communications Strategy)</li> <li>Locality Plans</li> <li>Participation and Engagement Strategy</li> <li>Equalities Mainstreaming and Outcome Plan</li> <li>Communications Strategy including Joint Media Protocol</li> <li>Locality Engagement Forums</li> <li>Public Petitions</li> <li>Information Governance (Freedom of Information, Records Management and Information Sharing)</li> </ul> | <ul style="list-style-type: none"> <li>Governance Arrangements and Reporting (including Management Structures, Groups and Forums)</li> <li>Webcast of Council Meetings</li> <li>Complaints Procedure</li> <li>Petitions Board</li> <li>Community Planning Partnership</li> <li>Implementation of the Community Empowerment (Scotland) Act 2015</li> <li>Strategic Plan</li> <li>Performance Management Framework and Reporting</li> <li>Information Governance (Freedom of Information, Records Management and Information Sharing)</li> <li>Publication of Committee papers and minutes</li> <li>Workforce Plan (including Organisational Development Strategy)</li> <li>Supervision Framework</li> <li>Staff Survey</li> <li>Communications Strategy including Joint Media Protocol</li> <li>Staff Engagement Opportunities</li> <li>Equalities Arrangements (including EQIAs, working groups and staff groups)</li> <li>Trade Union liaison and engagement</li> </ul> | <ul style="list-style-type: none"> <li>NHSGGC Feedback Service</li> <li>NHSGGC Local Delivery Plan</li> <li>Governance Arrangements and Reporting (including Management Structures, Groups and Forums)</li> <li>Register of Interests</li> <li>Performance Management Framework and Reporting</li> <li>Information Governance (Freedom of Information, Records Management, Information Sharing and Information Security)</li> <li>Publication of Board papers</li> <li>Workforce Plan (including Organisational Development Strategy)</li> <li>Supervision Framework</li> <li>Staff Survey</li> <li>Communications Strategy including Joint Media Protocol</li> <li>Staff Engagement Opportunities</li> <li>Equalities Arrangements (including EQIAs, working groups and staff groups)</li> <li>Trade Union liaison and engagement</li> </ul> |



| <b>Principle C</b><br>Defining outcomes in terms of sustainable economic, social and environmental benefits.                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                     |  |
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| IJB                                                                                                                                                                                                                                                                                                                                                                                          | RENFREWSHIRE COUNCIL                                                                                                                                                                                                                                                                                                                                                         | NHSGGC                                                                                                                                                                                                                                                                              |  |
| <ul style="list-style-type: none"> <li>• Strategic Plan</li> <li>• Locality Plans</li> <li>• On-going Development of Other Strategies/Plans (e.g., Children and Young People Services Plan, Dementia Strategy, Commissioning and Procurement Strategy and Communications Strategy)</li> <li>• Performance Management Framework and Reporting</li> <li>• Annual Performance Report</li> </ul> | <ul style="list-style-type: none"> <li>• Strategic Plan and Other Plans (e.g., Children's Services Plan, Annual Service Plan and Improvement Report (ASPIR))</li> <li>• Governance Arrangements and Reporting (including Management Structures, Groups and Forums)</li> <li>• Performance Management Framework and Reporting</li> <li>• Annual Performance Report</li> </ul> | <ul style="list-style-type: none"> <li>• NHSGGC Local Delivery Plan</li> <li>• Governance Arrangements and Reporting (including Management Structures, Groups and Forums)</li> <li>• Performance Management Framework and Reporting</li> <li>• Annual Performance Report</li> </ul> |  |



| <b>Principle D</b><br>Determining the interventions necessary to optimise the achievement of intended outcomes.                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |  |
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| <ul style="list-style-type: none"> <li>• Risk Management Strategy and Procedure and Reporting</li> <li>• Budget Monitoring and Reporting</li> <li>• Performance Management Framework and Reporting</li> <li>• Audit Plans and Assurance (Internal and Third Party)</li> <li>• Clinical and Care Governance Arrangements and Reporting</li> <li>• Information Governance Assurance (Freedom of Information, Records Management and Information Sharing)</li> </ul> | <ul style="list-style-type: none"> <li>• Risk Management Strategy and Procedure and Reporting</li> <li>• Resilience Plans and Arrangements (Business Continuity and Emergency Plans)</li> <li>• Budget Monitoring, Reporting and Financial Planning</li> <li>• Performance Management Framework and Reporting</li> <li>• Audit Plans and Assurance (Internal and Third Party)</li> <li>• Social Work Professional Governance and Integrated Clinical and Professional Governance arrangements and reporting</li> <li>• Information Governance Assurance (Freedom of Information, Records Management, Information Sharing and Information and Physical Security)</li> <li>• Health and Safety Arrangements (including policies and procedures and audits)</li> </ul> | <ul style="list-style-type: none"> <li>• Risk Management Strategy and Procedure and Reporting</li> <li>• Resilience Plans and Arrangements (Business Continuity and Emergency Plans)</li> <li>• Budget Monitoring and Reporting</li> <li>• Performance Management Framework and Reporting</li> <li>• Audit Plans and Assurance (Internal and Third Party)</li> <li>• Clinical Governance and Integrated Clinical and Professional Governance Arrangements and Reporting</li> <li>• Information Governance Assurance (Freedom of Information, Records Management, Information Sharing and Information Security)</li> <li>• Health and Safety Arrangements (including policies and procedures and audits)</li> </ul> |  |

| <b>Principle E</b><br>Developing the entity's capacity, including the capability of its leadership and individuals within it.                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |
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| <ul style="list-style-type: none"> <li>• Workforce Plan (including Organisational Development Strategy)</li> <li>• IJB Induction</li> <li>• IJB Development Programme</li> </ul> | <ul style="list-style-type: none"> <li>• Workforce Plan (including Organisational Development Strategy)</li> <li>• Governance Arrangements and Reporting (including Management Structures, Groups and Forums)</li> <li>• Clinical and Care Governance Arrangements and Reporting</li> <li>• Elected Member Induction, Training and Development</li> <li>• Staff Induction</li> <li>• Leadership, First Line Management and Staff Development and Training Opportunities</li> <li>• Supervision and Personal Development Plan Framework</li> <li>• Staff Groups for Equalities and Diversity</li> <li>• Trade Union liaison and engagement</li> </ul> | <ul style="list-style-type: none"> <li>• Workforce Plan (including Organisational Development Strategy)</li> <li>• Governance Arrangements and Reporting (including Management Structures, Groups and Forums)</li> <li>• Clinical and Care Governance Arrangements and Reporting</li> <li>• Board Members Induction</li> <li>• Staff Induction</li> <li>• Leadership, First Line Management and Staff Development and Training Opportunities</li> <li>• Supervision and Personal Development Plan Framework</li> <li>• Staff Groups for Equalities and Diversity</li> <li>• Trade Union liaison and engagement (Staffside)</li> </ul> |  |

| <b>Principle F</b><br>Managing risk and performance through robust internal control and strong public financial management.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |  |
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| IJB                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | RENFREWSHIRE COUNCIL                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | NHSGGC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |  |
| <ul style="list-style-type: none"> <li>• Integration Scheme</li> <li>• Financial Regulations</li> <li>• Budget Monitoring and Reporting</li> <li>• Annual Accounts (including Governance Statement, Statement of Income and Expenditure and Balance Sheet)</li> <li>• Annual Audit Report</li> <li>• Risk Management Strategy and Procedure and Reporting</li> <li>• Audit Plans and Assurance (Internal and Third Party)</li> <li>• Clinical and Care Governance Arrangements and Reporting</li> <li>• Information Governance (Freedom of Information, Records Management and Information Sharing)</li> </ul> | <ul style="list-style-type: none"> <li>• Financial Regulations/Procedures</li> <li>• Annual Accounts (including Governance Statement, Statement of Income and Expenditure and Balance Sheet)</li> <li>• Risk Management Strategy and Procedures and Reporting</li> <li>• Anti-Bribery/Fraud Policy</li> <li>• Audit Plans and Assurance (Internal and Third Party)</li> <li>• Social Work Professional Governance and Integrated Clinical and Professional Governance arrangements and reporting</li> <li>• Information Governance Assurance (Freedom of Information, Records Management, Information Sharing and Information and Physical Security)</li> <li>• Procurement regulations, training and development</li> <li>• Contract Management Framework</li> <li>• Project Management Framework</li> </ul> | <ul style="list-style-type: none"> <li>• Schedule of Reserved Decisions</li> <li>• Scheme of Delegation and Standing Financial Instructions</li> <li>• Governance Arrangements and Reporting (including Management Structures, Groups and Forums)</li> <li>• Financial Procedures</li> <li>• Financial Reporting and Scrutiny across Management Structures</li> <li>• Risk Management Strategy and Procedures and Reporting</li> <li>• Fraud Policy</li> <li>• Audit Plans and Assurance (Internal and Third Party)</li> <li>• Clinical and Care Governance Arrangements and Reporting</li> <li>• Information Governance (Freedom of Information, Records Management, Information Sharing and Information Security)</li> </ul> |  |

| <b>Principle G</b><br>Implementing good practices in transparency, reporting and audit to deliver effective accountability.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |  |
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| Sources of Assurance                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |  |
| IJB                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | RENFREWSHIRE COUNCIL                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | NHSGGC                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |  |
| <ul style="list-style-type: none"> <li>IJB and Committee Reporting Framework and Schedule</li> <li>Publication of IJB and Committee papers</li> <li>Financial Regulations</li> <li>Financial Reporting (e.g., Budget Monitoring, Financial Allocations and Budgets and Capital Programme)</li> <li>Annual Accounts (including Governance Statement, Statement of Income and Expenditure and Balance Sheet)</li> <li>Annual Audit Report</li> <li>Risk Management Strategy and Procedure and Reporting</li> <li>Performance Management Framework and Reporting</li> <li>Annual Performance Report</li> <li>Audit Plans and Assurance (Internal and Third Party)</li> <li>Clinical and Care Governance Arrangements and Reporting</li> </ul> | <ul style="list-style-type: none"> <li>Committee Reporting Framework and Schedule</li> <li>Publication of Committee papers and minutes</li> <li>Financial Regulations/Procedures</li> <li>Financial Reporting and Scrutiny across Management Structures (e.g., Budget Monitoring)</li> <li>Annual Accounts (including Governance Statement, Statement of Income and Expenditure and Balance Sheet)</li> <li>Risk Management Strategy and Procedure and Reporting</li> <li>Performance Management Framework and Reporting</li> <li>Annual Performance Report</li> <li>Audit Plans and Assurance (Internal and Third Party)</li> <li>Social Work Professional Governance and Integrated Clinical and Professional Governance arrangements and reporting</li> <li>Revised remit for Audit, Risk and Scrutiny Board</li> </ul> | <ul style="list-style-type: none"> <li>Committee Reporting Framework and Schedule</li> <li>Publication of Board papers</li> <li>Financial Regulations/Procedures</li> <li>Financial Reporting and Scrutiny across Management Structures (e.g., Budget Monitoring)</li> <li>Annual Accounts (including Governance Statement, Statement of Income and Expenditure and Balance Sheet)</li> <li>Risk Management Strategy and Procedure and Reporting</li> <li>Performance Management Framework and Reporting</li> <li>Audit Plans and Assurance (Internal and Third Party)</li> <li>Clinical and Care Governance Arrangements and Reporting</li> </ul> |  |

## Appendix 2 - Good Governance Code

### Renfrewshire Integration Joint Board (IJB)

#### A. Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

*Public Sector organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.*

| Ref  | Sub Principles                 | Behaviours and actions that demonstrate good governance in practice                                                                                                                                                                                              | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)                                                                                    | Evidenced By                                                                                                                                                                                            | Score | Improvement Actions |
|------|--------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---------------------|
| A1.1 | <b>Behaving with integrity</b> | Ensuring IJB members, elected members, non-executive NHS board members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation. | <ul style="list-style-type: none"> <li>Codes of conduct</li> <li>Individual sign off with regard to compliance with code</li> <li>Induction for IJB members and staff on standard of behaviour expected</li> <li>Performance appraisals</li> </ul> | <ol style="list-style-type: none"> <li>Code of Conduct.</li> <li>Induction sessions, and induction packs.</li> <li>Declaration of Interests.</li> <li>Performance appraisal system in place.</li> </ol> |       |                     |

| Ref  | Sub Principles                 | Behaviours and actions that demonstrate good governance in practice                                                                                                                                                                                                                                                                   | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance) | Evidenced By                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Score | Improvement Actions |
|------|--------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---------------------|
| A1.2 | <b>Behaving with integrity</b> | Ensuring IJB members, elected members, non-executive NHS board members and officers take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles) | <ul style="list-style-type: none"> <li>Communicating shared values with members, staff, the community and partners</li> </ul>                                   | <p>Codes of Conduct specifically refer to the 7 principles:</p> <ul style="list-style-type: none"> <li>Induction Process</li> <li>Contract of Employment</li> <li>HR Policies &amp; Procedures</li> </ul>                                                                                                                                                                                                                                                                            |       |                     |
| A1.3 | <b>Behaving with integrity</b> | Leading by example and using these standard operating principles or values as a framework for decision making and other actions                                                                                                                                                                                                       | <ul style="list-style-type: none"> <li>Decision making systems</li> <li>Declarations of interests made at meetings</li> <li>Conduct at meetings</li> </ul>      | <ol style="list-style-type: none"> <li>Standing Orders, Schemes of Delegation, Financial Regulations;</li> <li>Declarations are standing item on IJB Meeting;</li> <li>Register of Interest retained – covers Members, non executives and Officers;</li> <li>Role of Chair;</li> <li>Disclosure at meetings of interests in meetings for Members. (issue for officers)</li> <li>Audit Committee in place and effective. Elected Members can and are referred to Standards</li> </ol> |       |                     |

| Ref  | Sub Principles                 | Behaviours and actions that demonstrate good governance in practice                                                                                                                                                   | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)                                                                                                                                                                                                                                                                                                                                                    | Evidenced By                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Score | Improvement Actions                                                                                                      |
|------|--------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|--------------------------------------------------------------------------------------------------------------------------|
| A1.4 | <b>Behaving with integrity</b> | Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively | <ul style="list-style-type: none"> <li>• Anti-fraud policies are working effectively</li> <li>• Up-to-date register of interests</li> <li>• Up-to-date register of gifts and hospitality</li> <li>• HR Policies &amp; Procedures</li> <li>• Complaints policy and examples of responding to complaints about behaviour</li> <li>• Changes/improvements as a result of complaints received and acted upon</li> <li>• Minutes show declarations of interest were sought and appropriate declarations made</li> </ul> | <p>Committee (external). Officers subject to Code of Conduct/Disciplinary processes.</p> <ol style="list-style-type: none"> <li>1. Anti-fraud policies in place</li> <li>2. Register of Interests in place for Members</li> <li>3. Register of gifts and hospitality in place for Members and staff</li> <li>4. Code of Conduct</li> <li>5. Complaints policies in place and reports on complaints performance provided to Committees</li> <li>6. Outcomes from complaints reported</li> <li>7. Codes of conduct refer of declaration of interests</li> <li>8. Minutes provide this information for Members if any are declared, none for officers</li> </ol> |       | Complaints outcomes should be clearly reported to relevant Committees, including lessons learned and changes implemented |



| Ref  | Sub Principles                                           | Behaviours and actions that demonstrate good governance in practice                                                                                                                      | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)                                                                                                               | Evidenced By                                                                                                                                                                                                                                                                                                | Score | Improvement Actions |
|------|----------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---------------------|
| A2.1 | <b>Demonstrating strong commitment to ethical values</b> | Seeking to establish, monitor and maintain the organisation's ethical standards and performance                                                                                          | <ul style="list-style-type: none"> <li>• Scrutiny of decision making</li> <li>• Championing ethical compliance at governing body level</li> </ul>                                                                                                                             | <ol style="list-style-type: none"> <li>1. Committee reports require an assessment of the report against strategic priorities, equalities issues, environmental issues and people implications</li> <li>2. Report formats require consideration of impact on strategic aims and equalities issues</li> </ol> |       |                     |
| A2.2 | <b>Demonstrating strong commitment to ethical values</b> | Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation                                                   | <ul style="list-style-type: none"> <li>• Provision of ethical awareness training</li> </ul>                                                                                                                                                                                   | <ol style="list-style-type: none"> <li>1. Appropriate awareness sessions</li> <li>2. Procurement processes</li> </ol>                                                                                                                                                                                       |       |                     |
| A2.3 | <b>Demonstrating strong commitment to ethical values</b> | Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values                                                                                  | <ul style="list-style-type: none"> <li>• Appraisal processes take account of values and ethical behaviour</li> <li>• Staff appointments policy</li> <li>• Procurement policy</li> </ul>                                                                                       | <ol style="list-style-type: none"> <li>1. Equalities issues are covered in recruitment processes</li> <li>2. Procurement policies cover ethical procurement</li> </ol>                                                                                                                                      |       |                     |
| A2.4 | <b>Demonstrating strong commitment to ethical values</b> | Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with high ethical standards expected by the organisation | <ul style="list-style-type: none"> <li>• Agreed values in partnership working: <ul style="list-style-type: none"> <li>◦ Statement of business ethics communicates commitment to ethical values to external suppliers</li> <li>◦ Ethical values feature</li> </ul> </li> </ul> | <ol style="list-style-type: none"> <li>1. Procurement processes and contracts</li> </ol>                                                                                                                                                                                                                    |       |                     |

| Ref  | Sub Principles                    | Behaviours and actions that demonstrate good governance in practice                                                                                                                                       | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance) | Evidenced By                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | Score | Improvement Actions |
|------|-----------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---------------------|
|      |                                   |                                                                                                                                                                                                           | <ul style="list-style-type: none"> <li>in contracts with external service providers</li> <li>Protocols for partnership working</li> </ul>                       | 2. Need to check with protocols on partnership working                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |       |                     |
| A3.1 | <b>Respecting the rule of law</b> | Ensuring IJB members, elected members, non-executive NHS board members and officers and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations | <ul style="list-style-type: none"> <li>Statutory provisions and guidance is followed</li> </ul>                                                                 | <ol style="list-style-type: none"> <li>Appropriate staff are made aware of relevant statute and guidance.</li> <li>Financial Statements are prepared following statutory guidance</li> <li>Statutory provisions and guidance is followed by HR in generating employment policies and guidance</li> <li>Procurement policies and practices are in line with statutory requirements</li> <li>NHS Board and Local Authority Scheme of Delegation highlights relevant legal issues</li> <li>Standing Orders and Financial Regulations advise Members and officers around local government legislative requirements</li> <li>Codes of Conduct for Members and Officers</li> </ol> |       |                     |

| Ref  | Sub Principles                    | Behaviours and actions that demonstrate good governance in practice                                                                                                                                                                             | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)                                                                                                          | Evidenced By                                                                                                                                                                                                        | Score | Improvement Actions |
|------|-----------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---------------------|
| A3.2 | <b>Respecting the rule of law</b> | Creating the conditions to ensure that the statutory officers, other key post holders, non-executive NHS board members and elected members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements | <ul style="list-style-type: none"> <li>• Job description/ specifications</li> <li>• Compliance with CIPFA's Statement on the Role of the Chief Financial Officer in Local Government (CIPFA, 2016)</li> <li>• Terms of reference</li> <li>• Committee support</li> </ul> | <ol style="list-style-type: none"> <li>1. Job profiles for statutory officers are clear on expectations</li> <li>2. Compliance with CIPFA Code</li> <li>3. Standing Orders</li> <li>4. Committee Support</li> </ol> |       |                     |
| A3.3 | <b>Respecting the rule of law</b> | Striving to optimise the use of the full powers available for the benefit of communities and other stakeholders                                                                                                                                 | <ul style="list-style-type: none"> <li>• Legal advice provided by officers</li> </ul>                                                                                                                                                                                    | <ol style="list-style-type: none"> <li>1. Minutes of meetings</li> <li>2. Records of legal advice provided by Legal Officers</li> <li>3. Reports on Community involvement</li> </ol>                                |       |                     |
| A3.4 | <b>Respecting the rule of law</b> | Dealing with breaches of legal and regulatory provisions effectively                                                                                                                                                                            | <ul style="list-style-type: none"> <li>• Monitoring provisions</li> <li>• Record of legal advice provided by officers</li> <li>• Statutory provisions</li> </ul>                                                                                                         | <ol style="list-style-type: none"> <li>1. Consideration of reporting to Standards Commission as required</li> <li>2. Record of legal advice</li> <li>3. Standing Orders, Codes of Conduct</li> </ol>                |       |                     |
| A3.5 | <b>Respecting the rule of law</b> | Ensuring corruption and misuse of power are dealt with effectively                                                                                                                                                                              | <ul style="list-style-type: none"> <li>• Effective anti-fraud and corruption policies and procedures</li> </ul>                                                                                                                                                          | <ol style="list-style-type: none"> <li>1. Anti-fraud and corruption policies in place</li> <li>2. External Audit place assurance on work of Internal Audit</li> </ol>                                               |       |                     |

## B. Ensuring openness and comprehensive stakeholder engagement

*To ensure the HSCP is run for the public good, the organisation should ensure openness in its activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.*

| Ref   | Sub Principles  | Behaviours and actions that demonstrate good governance in practice                                                                                                                                                                                    | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)               | Evidenced By                                                                                                                                                                                                                                                                 | Score | Improvement Actions |
|-------|-----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---------------------|
| B.1.1 | <b>Openness</b> | Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness                                                                                                                                | <ul style="list-style-type: none"> <li>• Annual report</li> <li>• Freedom of Information Act publication scheme</li> <li>• Online</li> <li>• Organisational values</li> </ul> | <ol style="list-style-type: none"> <li>1. Annual report</li> <li>2. FOI publication scheme in place</li> <li>3. Strategic Plan identifies aims and values</li> <li>4. Website provides wide range of information on the services provided and how to access them.</li> </ol> |       |                     |
| B.1.2 | <b>Openness</b> | Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided | <ul style="list-style-type: none"> <li>• Record of decision making and supporting materials</li> </ul>                                                                        | <ol style="list-style-type: none"> <li>1. All reports and minutes of meetings are held on the Renfrewshire Council website and are all available to the public;</li> <li>2. IJB meetings open to press and public;</li> <li>3. HSCP website under development.</li> </ol>    |       |                     |
| B.1.3 | <b>Openness</b> | Providing clear reasoning and evidence for decisions in both public records                                                                                                                                                                            | <ul style="list-style-type: none"> <li>• Decision-making protocols</li> <li>• Meeting reports show</li> </ul>                                                                 | <ol style="list-style-type: none"> <li>1. Standing Orders</li> <li>2. Professional advice provided in the content of reports</li> <li>3. Minutes of decisions are</li> </ol>                                                                                                 |       |                     |

| Ref  | Sub Principles                                    | Behaviours and actions that demonstrate good governance in practice                                                                                                               | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)                                                                                                                                                                                                                    | Evidenced By                                                                                                                                                                                                                                                                                                                                       | Score | Improvement Actions |
|------|---------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---------------------|
|      |                                                   | and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. Ensuring that the impact and consequences of those decisions are clear | <p>details of advice given</p> <ul style="list-style-type: none"> <li>• Discussion among all IJB members and officers on the information needs of members to support decision making</li> <li>• Agreement on the information that will be provided and timescales</li> <li>• Calendar of dates for submitting, publishing and distributing timely reports is adhered to</li> </ul> | <p>recorded, some advice may be recorded but not all</p> <p>Information is provided on agreed meeting dates. Further info may be required for a future meeting or as a briefing note to Members</p> <p>Meeting timetable is in place, some reports are published later than outlined in timetable, but never later than the statutory due date</p> |       |                     |
| B1.4 | <b>Openness</b>                                   | Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action                                             | <ul style="list-style-type: none"> <li>• Community engagement</li> <li>• Use of consultation feedback</li> </ul>                                                                                                                                                                                                                                                                   | <ol style="list-style-type: none"> <li>1. Strategic Plan, Service Plans</li> <li>2. Community engagement</li> <li>3. Consultation database with info on previous consultations.</li> <li>4. Communication strategy and plan in place</li> </ol>                                                                                                    |       |                     |
| B2.1 | <b>Engaging comprehensively with stakeholders</b> | Effectively engaging with stakeholders to ensure that the purpose, objectives and intended outcomes are clear so that outcomes are achieved successfully and sustainably          | <ul style="list-style-type: none"> <li>• Communication strategy</li> </ul>                                                                                                                                                                                                                                                                                                         | <ol style="list-style-type: none"> <li>1. Comprehensive Communication Strategy with detailed Communication Plan covering planned community engagement and consultations in place and linked to the Strategic Planning Group (SPG)</li> </ol>                                                                                                       |       |                     |

| Ref  | Sub Principles                                     | Behaviours and actions that demonstrate good governance in practice                                                                                                                                                                                                                | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessments of further guidance) | Evidenced By                                                                                                                                                                                                                                                          | Score | Improvement Actions |
|------|----------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---------------------|
| B2.2 | <b>Engaging comprehensively with stakeholders</b>  | Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively                                                                                                                                              | <ul style="list-style-type: none"> <li>Database of stakeholders with whom the IJB engages</li> </ul>                                           | <ol style="list-style-type: none"> <li>Partnership agreements in place e.g. Local Authority, NHS, Third Sector</li> <li>Community Planning Partnership should have formal approaches to maximising efficiency and outcomes</li> </ol>                                 |       |                     |
| B2.3 | <b>Engaging comprehensively with stake-holders</b> | Ensuring that partnerships are based on: <ul style="list-style-type: none"> <li>trust</li> <li>a shared commitment to change</li> <li>a culture that promotes and accepts challenge among partners</li> <li>and that the added value of partnership working is explicit</li> </ul> | <ul style="list-style-type: none"> <li>Partnership protocols</li> </ul>                                                                        | <ol style="list-style-type: none"> <li>A number of partnership agreements and SLA's in place e.g. Local Authority, NHS, Third Sector</li> <li>Review of effectiveness of partnerships – meet expected outcomes and influence future plans and expectations</li> </ol> |       |                     |
| B3.1 | <b>Engaging stake-holders effectively</b>          | Establishing a clear policy on the type of issues that the organisation will meaningfully consult with to ensure that service (or other)                                                                                                                                           | <ul style="list-style-type: none"> <li>Record of public consultations</li> <li>Partnership framework</li> </ul>                                | <ol style="list-style-type: none"> <li>Develop a comprehensive systematic Communication Strategy with detailed Communication Plan covering planned community engagement and consultations</li> </ol>                                                                  |       |                     |

| Ref  | Sub Principles                            | Behaviours and actions that demonstrate good governance in practice                                                                             | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance) | Evidenced By                                                                                                                                                                                                                                   | Score | Improvement Actions                                                                                                                                                                                                                       |
|------|-------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|      |                                           | provision is contributing towards the achievement of intended outcomes                                                                          |                                                                                                                                                                 |                                                                                                                                                                                                                                                |       |                                                                                                                                                                                                                                           |
| B3.2 | <b>Engaging stake-holders effectively</b> | Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement | <ul style="list-style-type: none"> <li>Communications strategy</li> </ul>                                                                                       | <ol style="list-style-type: none"> <li>Develop communications Strategy and Plan for CPP</li> <li>Review and update Media Protocol</li> </ol>                                                                                                   |       |                                                                                                                                                                                                                                           |
| B3.3 | <b>Engaging stake-holders effectively</b> | Encouraging, collecting and evaluating the views and experiences of communities, service users and organisations of different backgrounds       | <ul style="list-style-type: none"> <li>Communications strategy</li> <li>Joint strategic needs assessment</li> </ul>                                             | <ol style="list-style-type: none"> <li>Communications Strategy/Policy is in place</li> <li>Consultation Strategy Reporting on outcomes of consultations</li> <li>Strategic Planning and Performance Framework</li> <li>Consultation</li> </ol> |       | <p>Develop a comprehensive systematic Communication Strategy with detailed Communication Plan covering planned community engagement and consultations</p> <p>Consider the approach to identifying and assessing Joint Strategic Needs</p> |
| B3.4 | <b>Engaging stake-holders effectively</b> | Implementing effective feedback mechanisms in order to demonstrate how their views have been taken into account                                 | <ul style="list-style-type: none"> <li>Communications strategy</li> </ul>                                                                                       | Develop a comprehensive systematic Communication Strategy with detailed Communication Plan covering planned community engagement and consultations                                                                                             |       |                                                                                                                                                                                                                                           |



| Ref  | Sub Principles                            | Behaviours and actions that demonstrate good governance in practice                                        | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance) | Evidenced By                                                                                                                                                                                                                                                                                                                                                                                        | Score | Improvement Actions |
|------|-------------------------------------------|------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|---------------------|
| B3.5 | <b>Engaging stake-holders effectively</b> | Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity | <ul style="list-style-type: none"> <li>Processes for dealing with competing demands within the community, for example a consultation</li> </ul>                 | <ol style="list-style-type: none"> <li>Develop a comprehensive systematic Communication Strategy with detailed Communication Plan covering planned community engagement and consultations</li> <li>Outcomes of consultation processes should be reported in a balanced manner – evidence of effective and balanced reporting of consultation processes, both statutory and non-statutory</li> </ol> |       |                     |

### C. Defining outcomes in terms of sustainable economic, social, and environmental benefits

*The long-term nature and impact of many of the organisation's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the organisation's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.*

| Ref  | Sub Principles           | Behaviours and actions that demonstrate good governance in practice                                                                                                                                                                                         | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance) | Evidenced By                                                                                                                                                                                                         | Evaluation Score | Improvement Actions |
|------|--------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|---------------------|
| C1.1 | <b>Defining outcomes</b> | Having a clear vision which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provides the basis for the organisation's overall strategy, planning and other decisions | <ul style="list-style-type: none"> <li>Vision used as a basis for corporate and service planning</li> </ul>                                                     | 1. Strategic Plan describes the vision and is reflected throughout lower level planning documents and processes                                                                                                      |                  |                     |
| C1.2 | <b>Defining outcomes</b> | Specifying the intended impact on, or changes for, stakeholders. It could be immediately or over the course of a year or longer                                                                                                                             | <ul style="list-style-type: none"> <li>Community engagement and involvement</li> <li>Corporate and service plans</li> </ul>                                     | 1. Strategic Plan describes high level aims of the organisation<br>2. Service Plans identify intended improvement actions and outcomes<br>3. SOA in place around Community Planning approach to delivery of outcomes |                  |                     |

| Ref  | Sub Principles                                                 | Behaviours and actions that demonstrate good governance in practice                                                                                             | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessments of further guidance)                                                                                                                                                                                                | Evidenced By                                                                                                                                                                                                                                                                                                              | Evaluation Score | Improvement Actions                                                                        |
|------|----------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|--------------------------------------------------------------------------------------------|
| C1.3 | <b>Defining outcomes</b>                                       | Delivering defined outcomes on a sustainable basis within the resources that will be available                                                                  | <ul style="list-style-type: none"> <li>Regular reports on progress</li> </ul>                                                                                                                                                                                                                                                                 | <ol style="list-style-type: none"> <li>Service Plans require to identify resource available to deliver the actions and outcomes</li> <li>Progress on delivery of service plans provided to IJB on a regular basis</li> </ol>                                                                                              |                  | <p>Review performance reporting process to ensure delivery of outcomes is reported</p>     |
| C1.4 | <b>Defining outcomes</b>                                       | Identifying and managing risks to the achievement of outcomes                                                                                                   | <ul style="list-style-type: none"> <li>Performance trends are established and reported upon</li> <li>Risk management protocols</li> </ul>                                                                                                                                                                                                     | <ol style="list-style-type: none"> <li>Performance Indicators have tracking of progress and reported to IJB on a regular basis</li> <li>Risk Management Framework in place and up to date</li> </ol>                                                                                                                      |                  | <p>Ensure reporting on outcomes identifies risk to the successful delivery of outcomes</p> |
| C1.5 | <b>Defining outcomes</b>                                       | Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available                       | <ul style="list-style-type: none"> <li>An agreed set of quality standard measures for each service element are included in service plans</li> <li>Processes for dealing with competing demands within the community</li> </ul>                                                                                                                | <ol style="list-style-type: none"> <li>Policy on Quality Standards</li> <li>Quality Standards set for each service area or identified in service plans</li> <li>Service planning process should consider community feedback</li> </ol>                                                                                    |                  | <p>Review approach in relation to Quality Standards linked to service planning process</p> |
| C2.1 | <b>Sustainable economic, social and environmental benefits</b> | Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service provision | <ul style="list-style-type: none"> <li>Capital investment is structured to achieve appropriate life spans and adaptability for future use so that resources are spent on optimising social, economic and environmental wellbeing: <ul style="list-style-type: none"> <li>Capital programme</li> <li>Capital investment</li> </ul> </li> </ul> | <p>Links with NHS and Local Authority to ensure:</p> <ol style="list-style-type: none"> <li>Asset Management Policy and Plans</li> <li>Carbon Management Plan</li> <li>Energy Policy and Strategy</li> <li>Environmental Strategy</li> <li>Economic Regeneration Strategy</li> <li>Capital Investment Strategy</li> </ol> |                  |                                                                                            |

| Ref  | Sub Principles                                                 | Behaviours and actions that demonstrate good governance in practice                                                                                                                                                                                                    | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)                                 | Evidenced By                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Evaluation Score | Improvement Actions |
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|      |                                                                |                                                                                                                                                                                                                                                                        | strategy                                                                                                                                                                                        | 7. Reports require EIA, SEA and information on effects of recommendations on Strategic Priorities                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                  |                     |
| C2.2 | <b>Sustainable economic, social and environmental benefits</b> | Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints | <ul style="list-style-type: none"> <li>• Discussion between members and officers on the information needs of members to support decision making</li> <li>• Record of decision making</li> </ul> | Links with NHS and Local Authority to ensure: <ol style="list-style-type: none"> <li>1. Asset Management Policy and Plans</li> <li>2. Carbon Management Plan</li> <li>3. Energy Policy and Strategy</li> <li>4. Environmental Strategy</li> <li>5. Economic Regeneration Strategy</li> <li>6. Capital Investment Strategy in place, linked to other Plans and Policies and financial planning processes</li> <li>7. Reports require EIA, SEA and information on effects of recommendations on Strategic Priorities</li> <li>8. Report writing protocol requires report writers to check reports with appropriate officers in e.g. Legal and Finance</li> <li>9. Minutes of decisions and reports provided to support decisions are retained and available to the public</li> </ol> |                  |                     |
| C2.3 | <b>Sustainable economic, social and</b>                        | Determining the wider public interest associated with                                                                                                                                                                                                                  | <ul style="list-style-type: none"> <li>• Record of decision making and supporting materials</li> </ul>                                                                                          | 1. Report writing protocol requires report writers to check reports with appropriate officers in e.g.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                  |                     |

| Ref  | Sub Principles                                                 | Behaviours and actions that demonstrate good governance in practice                                                                                                                       | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance) | Evidenced By                                                                                                                                                                                                                                                                                                                                                                                               | Evaluation Score | Improvement Actions                                    |
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|      | <b>environmental benefits</b>                                  | balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs | <ul style="list-style-type: none"> <li>Protocols for consultation</li> </ul>                                                                                    | <p>Legal and Finance</p> <ol style="list-style-type: none"> <li>Minutes of decisions and reports provided to support decisions are retained and available to the public</li> <li>Reports require EIA, SEA and information on effects of recommendations on these and on Strategic Priorities</li> <li>Wider Consultation processes define / identify economic, social and environmental issues?</li> </ol> |                  |                                                        |
| C2.4 | <b>Sustainable economic, social and environmental benefits</b> | Ensuring fair access to services                                                                                                                                                          | <ul style="list-style-type: none"> <li>Protocols ensure fair access and statutory guidance is followed</li> </ul>                                               | <ol style="list-style-type: none"> <li>Equalities policies should assure people that services are accessible to all</li> <li>Accessibility to buildings is considered as part of Property Asset Management Policy/approach</li> <li>Reports protocol requires equalities to be considered</li> </ol>                                                                                                       |                  | Consider approach to maximising building accessibility |

#### D. Determining the interventions necessary to optimise the achievement of the intended outcomes

*The organisation will achieve its intended outcomes by providing a mixture of legal, regulatory, and practical interventions. Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved. They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed continually to ensure that achievement of outcomes is optimised.*

| Ref  | Sub Principles                   | Behaviours and actions that demonstrate good governance in practice                                                                                                                                | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance)                                                                                                                               | Evidenced By                                                                                                                                                                                                                                                                                                       | Evaluation Score | Improvement Actions                                                                                                                                                      |
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| D1.1 | <b>Determining interventions</b> | Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and including the risks associated with those options. | <ul style="list-style-type: none"> <li>Discussion between members and officers on the information needs of members to support decision making</li> <li>Decision making protocols</li> <li>Option appraisals</li> <li>Agreement of information that will be provided and timescales</li> </ul> | <ol style="list-style-type: none"> <li>All reports where a decision is required should describe options available and make recommendations</li> <li>Majority of reports where a decision is required do provide an options appraisal, but this is not standard</li> </ol>                                          |                  | <p>IJB reports should include a standard section covering the Options Appraisal</p> <p>Definitions as to what an Options Appraisal should include should be provided</p> |
| D1.2 | <b>Determining interventions</b> | Considering feedback from the public and service users when making decisions about service improvements or where services are no longer required in order to prioritise                            | <ul style="list-style-type: none"> <li>Financial Strategy</li> </ul>                                                                                                                                                                                                                          | <ol style="list-style-type: none"> <li>Financial Strategy identifies new demands such as through demographic change and real increases in demand experienced</li> <li>Where budget consultation process takes place the outcomes of this are reported to Members as part of the budget setting process.</li> </ol> |                  | Consider means of eliciting views through ongoing consultation processes                                                                                                 |

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|      |                               | competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts        |                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                             |  |  |  |                                                                                 |  |
| D2.1 | <b>Planning interventions</b> | Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets      | <ul style="list-style-type: none"> <li>Calendar of dates for developing and submitting plans and reports that are adhered to</li> </ul> | 1. Plans and performance reports have set cycles of reporting to IJB Members                                                                                                                                                                                                                                                                |  |  |  |                                                                                 |  |
| D2.2 | <b>Planning interventions</b> | Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered | <ul style="list-style-type: none"> <li>Communication strategy</li> </ul>                                                                | 1. Procurement approach is to determine an agreed commissioning strategy for service delivery<br>2. Engagement with service users regarding options around service delivery<br>3. Engagement with partner agencies regarding options around service delivery<br>4. Consultation processes in place to assist in identifying service options |  |  |  |                                                                                 |  |
| D2.3 | <b>Planning interventions</b> | Considering and monitoring risks facing each partner when working collaboratively including shared risks                                 | <ul style="list-style-type: none"> <li>Partnership framework</li> <li>Risk management protocol</li> </ul>                               | 1. Partnership Agreement documentation<br>2. Partnership Planning approaches<br>3. Risk Management Policy                                                                                                                                                                                                                                   |  |  |  | Consider approaches to including partnership risk. Identify, report and monitor |  |
| D2.4 | <b>Planning</b>               | Ensuring                                                                                                                                 | <ul style="list-style-type: none"> <li>Planning protocols</li> </ul>                                                                    | 1. Planning approach is defined,                                                                                                                                                                                                                                                                                                            |  |  |  |                                                                                 |  |



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|      | <b>interventions</b>          | arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances                                                     |                                                                                                                                                                                     | however approaches to planned- in flexibilities are not defined                                                                                                                                                                   |  |                                                                                                                 |
| D2.5 | <b>Planning interventions</b> | Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured | <ul style="list-style-type: none"> <li>KPIs have been established and approved for each service element and included in the service plan and are reported upon regularly</li> </ul> | <ol style="list-style-type: none"> <li>Planning processes require KPIs linked to expected outcomes and performance to be determined</li> <li>Performance reports provide information on a regular basis to IJB Members</li> </ol> |  |                                                                                                                 |
| D2.6 | <b>Planning interventions</b> | Ensuring capacity exists to generate the information required to review service quality regularly                                                                              | <ul style="list-style-type: none"> <li>Reports include detailed performance results and highlight areas where corrective action is necessary</li> </ul>                             | <ol style="list-style-type: none"> <li>Performance reports include detailed performance results and targets and highlight areas where corrective action is necessary</li> </ol>                                                   |  | Clarity required that for “failing” KPIs that clear action plans to improve are reported to members as standard |
| D2.7 | <b>Planning interventions</b> | Preparing budgets in accordance with organisational objectives, strategies and the medium-term financial plan                                                                  | <ul style="list-style-type: none"> <li>Evidence that budgets, plans and objectives are aligned</li> </ul>                                                                           | <ol style="list-style-type: none"> <li>Financial Strategy covers linkages between organisation objectives and resources and budgets</li> </ol>                                                                                    |  |                                                                                                                 |
| D2.8 | <b>Planning interventions</b> | Informing medium and long-term resource planning by drawing up realistic estimates of revenue                                                                                  | <ul style="list-style-type: none"> <li>Budget guidance and protocols</li> <li>Medium-term financial plan</li> <li>Corporate plans</li> </ul>                                        | <ol style="list-style-type: none"> <li>Planning and budgeting timetables are linked</li> <li>Budget guidance is provided with appropriate protocols implemented</li> </ol>                                                        |  | Consider realigning planning process to be ahead of and informing the budget process                            |

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|      |                                                    | and capital expenditure aimed at developing a sustainable funding strategy                                                                                                                                                                                                            |                                                                                                                                      | 3. Corporate and Service Delivery<br>Plans align to resources available                                                                                                                                                                                                                                          |  |                                                                                      |
| D3.1 | <b>Optimising achievement of intended outcomes</b> | Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints                                                                                                                                                  | <ul style="list-style-type: none"> <li>Feedback surveys and exit/ decommissioning strategies</li> <li>Changes as a result</li> </ul> | <ol style="list-style-type: none"> <li>Medium-term planning includes focus on priorities and associated costs</li> <li>Resource issues are managed through the overall budgeting approach, identifying service changes (cost reductions) through the planning approach and agreed changes to services</li> </ol> |  | Consider realigning planning process to be ahead of and informing the budget process |
| D3.2 | <b>Optimising achievement of intended outcomes</b> | Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term                                                                                                                                                      | <ul style="list-style-type: none"> <li>Budgeting guidance and protocols</li> </ul>                                                   | <ol style="list-style-type: none"> <li>Budget guidance and protocols are in place to ensure all costs and income lines over short, medium terms</li> </ol>                                                                                                                                                       |  |                                                                                      |
| D3.4 | <b>Optimising achievement of intended outcomes</b> | Ensuring the medium-term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage | <ul style="list-style-type: none"> <li>Financial strategy</li> </ul>                                                                 | <ol style="list-style-type: none"> <li>Financial Strategy fully revised on annual basis, covering external and internal pressures and issues over short, medium terms.</li> </ol>                                                                                                                                |  |                                                                                      |

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| D3.5 | <b>Optimising achievement of intended outcomes</b> | Ensuring the achievement of 'social value' through service planning and commissioning | <ul style="list-style-type: none"> <li>• Service plans demonstrate consideration of 'social value'</li> <li>• Achievement of 'social value' is monitored and reported upon</li> </ul> | <ol style="list-style-type: none"> <li>1. 'Social Value' a standard consideration in plans and policy development require to consider how they may impact on the Councils Strategic Priority "Social Mission"</li> <li>2. Plans also consider equality impact, environmental impact, and community benefits</li> <li>3. Procurement processes seek to maximise community benefits</li> </ol> |  |  |
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### E. Developing the entity's capacity, including the capability of its leadership and the individuals within it

*The organisation needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mindset, to operate efficiently and effectively and achieve their intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an authority operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of the leadership of individual staff members. Leadership is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.*

| Ref  | Sub Principles                          | Behaviours and actions that demonstrate good governance in practice                                                                                                                                                                     | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance) | Evidenced By                                                                                                                                                                                                                                                               | Evaluation Score | Improvement Actions                                                                                                       |
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| E1.1 | <b>Developing the entity's capacity</b> | Reviewing services, performance and use of assets on a regular basis to ensure their continuing effectiveness                                                                                                                           | <ul style="list-style-type: none"> <li>Regular reviews of activities, outputs and planned outcomes</li> </ul>                                                   | <ol style="list-style-type: none"> <li>Service Reviews (self-evaluation);</li> <li>Performance reporting : achievement of planned improvement plans and Performance Indicators;</li> <li>Asset Management Planning processes;</li> <li>Asset Disposal Strategy.</li> </ol> |                  | Improve approach to continuous improvement                                                                                |
| E1.2 | <b>Developing the entity's capacity</b> | Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how the authority's resources are allocated so that outcomes are achieved effectively and efficiently | <ul style="list-style-type: none"> <li>Utilisation of research and benchmarking exercises</li> </ul>                                                            | <ol style="list-style-type: none"> <li>Some benchmarking in place, but not comprehensive or systematic;</li> <li>Approach to Continuous Improvement not systematic</li> </ol>                                                                                              |                  | Improve approach to continuous improvement , including benchmarking and customer feedback approach, proof of "best value" |

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| E1.3 | <b>Developing the entity's capacity</b>                                           | Recognising the benefits of partnership and collaborative working where added value can be achieved                                                                                                                            | <ul style="list-style-type: none"> <li>• Effective operation of partnerships which deliver agreed outcomes</li> </ul>                                                                                                                           | <ol style="list-style-type: none"> <li>1. Strategic Partnerships adopted</li> <li>2. Operational partnerships in place where appropriate;</li> <li>3. Seek opportunities to share services</li> </ol>                                               |                                                                  |  |
| E1.4 | <b>Developing the entity's capacity</b>                                           | Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources                                                                                                                        | <ul style="list-style-type: none"> <li>• Workforce plan</li> <li>• Organisational development plan</li> </ul>                                                                                                                                   | <ol style="list-style-type: none"> <li>1. Workforce Planning processes in place, with an increasing focus on co-ordinating service and financial planning processes;</li> <li>2. OD strategy and approaches in place and comprehensive</li> </ol>   | Increased link with service and financial planning to be adopted |  |
| E2.1 | <b>Developing the capability of the entity's leadership and other individuals</b> | Developing protocols to ensure that elected and appointed leaders interact with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained | <ul style="list-style-type: none"> <li>• Job descriptions</li> <li>• Regular review of communication arrangements</li> </ul>                                                                                                                    | <ol style="list-style-type: none"> <li>1. Schemes of Delegation to Committees and Officers</li> </ol>                                                                                                                                               |                                                                  |  |
| E2.2 | <b>Developing the capability of the entity's leadership and other individuals</b> | Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body                                                                    | <ul style="list-style-type: none"> <li>• Scheme of delegation reviewed at least annually in the light of legal and organisational changes</li> <li>• Standing orders and financial regulations which are reviewed on a regular basis</li> </ul> | <ol style="list-style-type: none"> <li>1. Scheme of Delegation in place and reviewed regularly and as required following structural change;</li> <li>2. Standing Orders and Financial Regulations in place and reviewed on regular basis</li> </ol> |                                                                  |  |
| E2.3 | <b>Developing the capability of the</b>                                           | Ensuring the IJB chair and the chief officer have clearly defined                                                                                                                                                              | <ul style="list-style-type: none"> <li>• Clear statement of respective roles and responsibilities and how</li> </ul>                                                                                                                            | <ol style="list-style-type: none"> <li>1. Leadership roles are clear, with role profiles and job descriptions</li> </ol>                                                                                                                            |                                                                  |  |

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|      | <b>entity's leadership and other individuals</b>                                  | and distinctive leadership roles within a structure, whereby the chief officer leads the organisation in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority                                                                                                                                                                                                              | they will be put into practice                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                            |  |
| E2.4 | <b>Developing the capability of the entity's leadership and other individuals</b> | <p>Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risk by:</p> <ul style="list-style-type: none"> <li>- ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual</li> </ul> | <ul style="list-style-type: none"> <li>• Access to courses/ information briefings on new legislation</li> <li>• Induction programme</li> <li>• Personal development plans for members and officers</li> <li>• For example, for members this may include the ability to: <ul style="list-style-type: none"> <li>- Scrutinise and</li> </ul> </li> </ul> | <ol style="list-style-type: none"> <li>1. Member development is comprehensive and frequent – from initial induction to regular development sessions.</li> <li>2. Members have personal development opportunities.</li> <li>3. Management has personal development opportunities. Development through appropriate sessions as required.</li> <li>4. Succession planning approach in place for senior management.</li> </ol> |  |

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|      |                                                                                   | and organisational requirements is available and encouraged.<br><br>- Ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis. | <p>challenge</p> <ul style="list-style-type: none"> <li>- Recognise when expert advice is required</li> <li>- Promote trust</li> <li>- Work in partnership</li> <li>- Lead the organisation</li> </ul> <ul style="list-style-type: none"> <li>• Efficient systems and technology used for effective support</li> <li>• Arrangements for succession planning</li> </ul> |                                                                                  |  |                                                                    |  |
| E2.5 | <b>Developing the capability of the entity's leadership and other individuals</b> | Ensuring that there are structures in place to encourage public participation                                                                                                                                                                                                                 | <ul style="list-style-type: none"> <li>• Stakeholder forum</li> <li>• Strategic partnership frameworks</li> </ul>                                                                                                                                                                                                                                                      | 1. Public participation is encouraged eg SPG                                     |  | Develop a systematic approach to public participation and feedback |  |
| E2.6 | <b>Developing the capability of the entity's leadership and other individuals</b> | Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections                                                                                                                                           | <ul style="list-style-type: none"> <li>• Reviewing individual member performance on a regular basis taking account of their attendance and considering any training or development needs</li> </ul>                                                                                                                                                                    | 1. Personal development opportunities are in place                               |  |                                                                    |  |
| E2.7 | <b>Developing the capability of the entity's</b>                                  | Holding staff to account through regular performance reviews which take                                                                                                                                                                                                                       | <ul style="list-style-type: none"> <li>• Training and development plan</li> <li>• Staff development plans</li> </ul>                                                                                                                                                                                                                                                   | 1. PDP approach in place<br>2. Appropriate HR policies are in place and utilised |  |                                                                    |  |



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|  | <b>leadership<br/>and other<br/>individuals</b> | account of training or<br>development needs | <ul style="list-style-type: none"> <li>linked to appraisals</li> <li>Implementing appropriate human resource policies and ensuring that they are working effectively</li> </ul> |  |  |
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## F. Managing risks and performance through robust internal control and strong public financial management

*The organisation needs to ensure that its and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities.*

*A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery, and accountability.*

*It is also essential that a culture and structure for scrutiny is in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.*

| Ref  | Sub Principles       | Behaviours and actions that demonstrate good governance in practice                                                             | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessments tools and sources of further guidance) | Evidenced By                                                                                                                                            | Evaluation Score | Improvement Actions |
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| F1.1 | <b>Managing risk</b> | Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making | <ul style="list-style-type: none"> <li>Risk management strategy</li> </ul>                                                                                       | <ol style="list-style-type: none"> <li>Risk Management Strategy in place and implemented;</li> <li>Risk is considered in all reports to IJB.</li> </ol> |                  |                     |
| F1.2 | <b>Managing risk</b> | Implementing robust and integrated risk management arrangements and ensuring that they are working effectively                  | <ul style="list-style-type: none"> <li>Risk management strategy/ policy formally approved, adopted, reviewed and updated on a regular basis</li> </ul>           | <ol style="list-style-type: none"> <li>Risk management strategy/ policy formally approved, adopted, reviewed and updated on a regular basis</li> </ol>  |                  |                     |
| F1.3 | <b>Managing risk</b> | Ensuring that responsibilities for managing individual risks are clearly allocated                                              | <ul style="list-style-type: none"> <li>Risk management strategy</li> </ul>                                                                                       | <ol style="list-style-type: none"> <li>Risk management strategy/ policy formally approved, adopted, reviewed and updated on a regular basis</li> </ol>  |                  |                     |

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| F2.1 | Managing performance | Monitoring service delivery effectively                                                                                                                                                                 | <ul style="list-style-type: none"> <li>Performance map showing all key activities have performance measures</li> <li>Benchmarking information, where appropriate</li> <li>Calendar of dates for submitting, publishing and distributing timely reports that are adhered</li> </ul>        | <ol style="list-style-type: none"> <li>1. A range of Performance Indicators are in place;</li> <li>2. Benchmarking approach in place, but not comprehensive or systematic;</li> <li>3. Performance reports are regularly provided on a set timeline</li> </ol>                                                                                                                                                                                                                                                                                                               | Consider whether PI's cover all key activities                                                                          |
| F2.2 | Managing performance | Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook | <ul style="list-style-type: none"> <li>Discussion between members and officers on the information needs of members to support decision making</li> <li>Publication of agendas and minutes of meetings</li> <li>Agreement on the information that will be needed and timescales</li> </ul> | <ol style="list-style-type: none"> <li>1. Reports requiring decisions have full analysis of issues, risks and options;</li> <li>2. For major issues/ decisions, development sessions are held to provide further information ahead of decision-making meeting;</li> <li>3. All meetings have published agendas and reports – following standing orders; minutes are also provided for all meetings;</li> <li>4. All reports require implications for employees, finances, procurement, risk, equalities and environment to be considered and reported if required</li> </ol> | Option Appraisal approach could be better expressed in reports – consider having specific section for options appraisal |
| F2.3 | Managing performance | Ensuring effective scrutiny is in place which encourages constructive challenge and debate                                                                                                              | <ul style="list-style-type: none"> <li>The role and responsibility for IJB scrutiny has been established and is clear</li> <li>Evidence of improvements as a result of scrutiny</li> </ul>                                                                                                | <ol style="list-style-type: none"> <li>1. Scrutiny at IJB generally;</li> <li>2. Formal performance scrutiny also takes place at Audit Committee;</li> <li>3. Performance reports to IJB provides evidence of performance;</li> <li>4. Terms of reference of committees within Standing Orders;</li> <li>5. Minutes provide evidence of membership and attendance</li> </ol>                                                                                                                                                                                                 |                                                                                                                         |
| F2.4 | Managing performance | Providing members and senior management with regular reports on                                                                                                                                         | <ul style="list-style-type: none"> <li>Calendar of dates for submitting, publishing and distributing timely reports that are adhered to</li> </ul>                                                                                                                                        | <ol style="list-style-type: none"> <li>1. IJB dates are agreed;</li> <li>2. Dates are published publicly;</li> <li>3. Publishing and distribution of reports generally follows guideline</li> </ol>                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                         |

|      |                                | service delivery plans and on progress towards outcome achievement                                                                        |                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                    | dates. |  |  |
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| F2.5 | <b>Managing performance</b>    | Ensuring there is consistency between specification stages (such as budgets) and post-implementation reporting (eg financial statements ) | <ul style="list-style-type: none"> <li>Financial standards, guidance</li> <li>Financial regulations and standing orders</li> </ul>                                       | <ol style="list-style-type: none"> <li>Financial Regulations, Standing Orders and Scheme of Delegation to Officers cover financial governance and are approved by Council;</li> <li>Financial Standards are set at high level in Financial Regulations and other relevant financial policies e.g. Treasury Strategy; Reserves Policy, etc</li> <li>Financial guidance is provided by Section 95 Officer</li> </ol> |        |  |  |
| F3.1 | <b>Robust internal control</b> | Aligning the risk management strategy and policies on internal control with achieving objectives                                          | <ul style="list-style-type: none"> <li>Risk management strategy</li> <li>Audit plan</li> <li>Audit reports</li> </ul>                                                    | <ol style="list-style-type: none"> <li>Risk management policy in place and implemented;</li> <li>Internal Audit plan agreed by IJB;</li> <li>Audit outcomes and reports are reported to IJB;</li> <li>External Audit reports are provided to Council and relevant committees as appropriate</li> </ol>                                                                                                             |        |  |  |
| F3.2 | <b>Robust internal control</b> | Evaluating and monitoring risk management and internal control on a regular basis                                                         | <ul style="list-style-type: none"> <li>Risk management strategy/ policy has been formally approved and adopted and is reviewed and updated on a regular basis</li> </ul> | <ol style="list-style-type: none"> <li>Risk management policy has been approved and is reviewed regularly.</li> </ol>                                                                                                                                                                                                                                                                                              |        |  |  |
| F3.3 | <b>Robust internal control</b> | Ensuring effective counter fraud and anti-corruption arrangements are in place                                                            | <ul style="list-style-type: none"> <li>Compliance with the Code of Practice on Managing the Risk of Fraud and Corruption (CIPFA, 2014)</li> </ul>                        |                                                                                                                                                                                                                                                                                                                                                                                                                    |        |  |  |

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| F3.4 | <b>Robust internal control</b> | Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor                                                                                                                                                                                                                                    | <ul style="list-style-type: none"> <li>• Annual governance statement</li> <li>• Effective internal audit service is resourced and maintained</li> </ul>                                                                                                           | <ol style="list-style-type: none"> <li>1. Annual governance process in place and enhanced for 2016/17 annual accounts;</li> <li>2. Code of Governance review takes place each year and relevant improvement actions included in Assurance Statement and reported to Council;</li> <li>3. Effective and adequacy of Internal Audit is considered each year by External Audit and on an ongoing basis by CFO and CIA</li> </ol> |  |  |
| F3.5 | <b>Robust internal control</b> | Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body: <ul style="list-style-type: none"> <li>- provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment</li> <li>- that its recommendations are listened to and acted upon</li> </ul> | <ul style="list-style-type: none"> <li>• Audit committee complies with best practice – see Audit Committees: Practical Guidance for Local Authorities and Police (CIPFA, 2013)</li> <li>• Terms of reference</li> <li>• Membership</li> <li>• Training</li> </ul> | <ol style="list-style-type: none"> <li>1. Audit Committee in place;</li> <li>2. Terms of reference in place;</li> <li>3. Appropriate training is provided at induction and on an ongoing basis.</li> </ol>                                                                                                                                                                                                                    |  |  |
| F4.1 | <b>Managing data</b>           | Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data,                                                                                                                                                                                                                                                                                                    | <ul style="list-style-type: none"> <li>• Data management framework and procedures</li> <li>• Data protection officers in place via NHS and Local</li> </ul>                                                                                                       | <ol style="list-style-type: none"> <li>1. Data Security Policy in place with relevant procedures;</li> <li>2. Data Protection policy and procedures in place</li> </ol>                                                                                                                                                                                                                                                       |  |  |

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|      |                                           | including processes to safeguard personal data                                                                                                         | Authority <ul style="list-style-type: none"> <li>Data protection policies and procedures</li> </ul>                                                                       |                                                                                                                                                                                                                         |  |                                                                                                       |
| F4.2 | <b>Managing data</b>                      | Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies                                             | <ul style="list-style-type: none"> <li>Data sharing agreement</li> <li>Data sharing register</li> <li>Data processing agreements</li> </ul>                               | 1. Data sharing protocols in place with Renfrewshire Council and NHS Greater Glasgow & Clyde                                                                                                                            |  |                                                                                                       |
| F4.3 | <b>Managing data</b>                      | Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring                                   | <ul style="list-style-type: none"> <li>Data quality procedures and reports</li> <li>Data validation procedures</li> </ul>                                                 |                                                                                                                                                                                                                         |  |                                                                                                       |
| F5.1 | <b>Strong public financial management</b> | Ensuring financial management supports both long-term achievement of outcomes and short-term financial and operational performance                     | <ul style="list-style-type: none"> <li>Financial management supports the delivery of services and transformational change as well as securing good stewardship</li> </ul> | 1. Long-term financial planning which links to known longer-term issues and policy directions is refreshed on an annual basis;<br>2. Appropriate financial resources are identified to support transformational change. |  |                                                                                                       |
| F5.2 | <b>Strong public financial management</b> | Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls | <ul style="list-style-type: none"> <li>Budget monitoring reports</li> </ul>                                                                                               | 1. Medium and short-term financial planning integrates with other planning processes, ;<br>2. The financial planning process considers variables (including risks)                                                      |  | Revised approach to integrating service planning and financial planning has recently been implemented |

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

*Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.*

| Ref  | Sub Principles                             | Behaviours and actions that demonstrate good governance in practice                                                                                                                                 | Examples of systems, processes, documentation and other evidence demonstrating compliance (also includes self-assessment tools and sources of further guidance) | Evidenced By                                                                                                                                                                                                                                           | Evaluation Score | Improvement Actions |
|------|--------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|---------------------|
| G1.1 | Implementing good practice in transparency | Writing and communicating reports for the public and other stakeholders in an understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate   | <ul style="list-style-type: none"> <li>Website</li> </ul>                                                                                                       | <ol style="list-style-type: none"> <li>Standard report style aims to ensure all issues are covered in report;</li> <li>All reports are checked by the Chief Officer;</li> <li>All reports will be available on the Council and HSCP website</li> </ol> |                  |                     |
| G1.2 | Implementing good practice in transparency | Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand | <ul style="list-style-type: none"> <li>Annual report</li> </ul>                                                                                                 | <ol style="list-style-type: none"> <li>Annual performance report provided to Members and published.</li> </ol>                                                                                                                                         |                  |                     |



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| G2.1 | <b>Implementing good practices in reporting</b> | Reporting at least annually on performance.                                                                                                                                                                                                                                                 | <ul style="list-style-type: none"> <li>Formal annual report</li> <li>Annual financial statements</li> </ul> | 1. Annual accounts report identifies issues arising from external auditors, alongside annual audit report.         |  |  |
| G2.2 | <b>Implementing good practices in reporting</b> | Ensuring members and senior management own the results                                                                                                                                                                                                                                      | <ul style="list-style-type: none"> <li>Appropriate approvals</li> </ul>                                     | 1. Members and officers take responsibility for outcomes;<br>2. High level of public scrutiny at IJB.              |  |  |
| G2.3 | <b>Implementing good practices in reporting</b> | Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on this assessment including an action plan for improvement and evidence to demonstrate good governance (annual governance statement) | <ul style="list-style-type: none"> <li>Annual governance statement</li> </ul>                               | 1. Annual review of Code of Government compliance – results published and included in Annual Governance Statement. |  |  |
| G2.4 | <b>Implementing good practices in reporting</b> | Ensuring that the Framework is applied to jointly managed services as appropriate                                                                                                                                                                                                           | <ul style="list-style-type: none"> <li>Annual governance statement</li> </ul>                               |                                                                                                                    |  |  |
| G2.5 | <b>Implementing good practices in reporting</b> | Ensuring the performance information that accompanies the financial statements                                                                                                                                                                                                              | <ul style="list-style-type: none"> <li>Format follows best practice</li> </ul>                              |                                                                                                                    |  |  |

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|      |                                               | is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations                                                                     |                                                                                                                                                                                                      |                                                                                                                                                                    |  |  |  |
| G3.1 | <b>Assurance and effective accountability</b> | Ensuring that recommendations for corrective action made by external audit are acted upon                                                                                                 | <ul style="list-style-type: none"> <li>Recommendations have informed positive improvement</li> </ul>                                                                                                 | 1. External Audit action plans are published with remedial action and timelines identified.                                                                        |  |  |  |
| G3.2 | <b>Assurance and effective accountability</b> | Ensuring an effective internal audit service with direct access to members is in place which provides assurance with regard to governance arrangements and recommendations are acted upon | <ul style="list-style-type: none"> <li>Compliance with CIPFA's Statement on the Role of the Head of Internal Audit (2010)</li> <li>Compliance with Public Sector Internal Audit Standards</li> </ul> | 1. PSIAS compliance process undertaken by peer CIA; generally compliant with a small number of improvement actions.                                                |  |  |  |
| G3.3 | <b>Assurance and effective accountability</b> | Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations                                                                                 | <ul style="list-style-type: none"> <li>Recommendations have informed positive improvement</li> </ul>                                                                                                 | 1. Recommendations from external agencies are always reported to the IJB;<br>2. Improvement actions arising from such external scrutiny are reported and monitored |  |  |  |
| G3.4 | <b>Assurance and effective accountability</b> | Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in                                                                        | <ul style="list-style-type: none"> <li>Annual governance statement</li> </ul>                                                                                                                        | 1. Annual Governance Statement considers all risks, including any arising from contracted service providers.                                                       |  |  |  |

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|      |                                               | the annual governance statement                                                                                                                                    |  |  |  |  |  |
| G3.5 | <b>Assurance and effective accountability</b> | Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met |  |  |  |  |  |