

## GOVERNANCE



### Joint Committee

Date: 11 June 2019

Report by: Officer Working Group

<b>Subject:</b>	<b>ACCESS GOVERNANCE update</b>
<b>Purpose of the Report:</b>	The purpose of this paper is to update the Joint Committee (JC) on the progress of the Phase 3 Governance work, outlined to the Joint Committee at their meeting of 13 March 2019.
<b>Recommendations:</b>	<p>The Joint Committee is invited to:</p> <ul style="list-style-type: none"> <li>• Note the revised timetable for completion of phase 3 governance deliverables</li> <li>• Sign off the governance manual as an operational document that will be continually updated by the ASU</li> <li>• Sign off the latest version of the revised IAA, on the basis that this is being reviewed by the MO's and that their comments will be taken into consideration before the final version is issued to Funds for execution</li> </ul>
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## **1. Purpose**

- 1.1. The purpose of this paper is to update the Joint Committee (JC) on the progress of the Phase 3 Governance work, outlined to the Joint Committee at their meeting of 18 March 2019, and the subsequent associated extension of timescales for the delivery of this work.

## **2. Background**

- 2.1. In June 2018 the JC agreed to Phase 3 of the Governance Workstream, which included reviewing the IAA alongside the completion of the Governance Manual, with a primary focus on ensuring consistency and clarity.
- 2.2. In September associated costs for this area of work was presented to the JC and it was agreed to include in the budget plan.
- 2.3. Following an initial meeting with the Section 151 Officers on 12<sup>th</sup> December 2018, there was a further meeting on 25<sup>th</sup> January 2019 where governance documents were discussed in detail.
- 2.4. At the meeting on 25<sup>th</sup> January 2019, a number of amendments were agreed with the Section 151 Officers and these were further discussed at their meeting on 15<sup>th</sup> March.
- 2.5. At the JC meeting on 18<sup>th</sup> March, the Committee were advised of the timetable and next steps for the finalisation of the key governance documents.

## **3. Progress since Joint Committee meeting on 18<sup>th</sup> March**

- 3.1. Further meetings of the Governance Sub Group and Officer Working Group have taken place in line with the timetable below and further amendments have been made to the IAA and Governance Manual, which are now in final draft format.
- 3.2. SPB have also produced an IAA drafting guide which will explain the key changes to the original and the rationale for the changes.
- 3.3. Engagement with the Monitoring Officers will now take place via a webinar as it has been impossible to organise a timely face to face meeting. This will take place on 12 June. Monitoring Officers have been provided with an update on the status of the governance documents and have received an invite to the Webinar.
- 3.4. The webinar will be hosted by Squire Patton Boggs and will explain the rationale behind the changes made to the IAA (these will also be described in an IAA briefing note). It will also introduce the governance manual and its purpose; which is that it is an operational document and will be managed and updated on an on-going basis by the ASU.
- 3.5. Current versions of the revised IAA, governance manual and IAA briefing note are appended to this report.

- 3.6. Monitoring Officers will be asked to submit any queries via the Webinar and these will be answered at the time
- 3.7. Following the webinar, Monitoring Officers will be given two weeks to provide feedback on the documents. Depending on the feedback, a further call or meeting may be organised to discuss this. After this time, the revised IAA will be finalised.
- 3.8. Following finalisation of the IAA, each Authority will need to follow their own internal processes for execution/sealing. If changes are considered material this may involve requesting approval via Full Council.
- 3.9. Due to the change in approach in engaging with the Monitoring Officers, the original timetable has been extended and is outlined below. In particular, the governance documents are not in their final state for this JC meeting. However, copies of the most recent draft of the governance documents, including the IAA drafting guide, are included as an appendix to this report. It should also be noted that all decision-making regarding the IAA sits with the Administering Authorities, rather than the JC.
- 3.10. It is still recognised that governance training will be required for all those involved in ACCESS, including members of the Joint Committee, S151 Officers, Officers (e.g. members of the Officer Working Group) and the ACCESS Support Unit and remains a key deliverable of Phase 3 of the Governance Workstream. Training resources may also be used with individual Pensions Committees and Local Pension Boards, to ensure consistency of content and understanding.

#### **4. Revised timetable for completion of the IAA review and finalisation of the Governance Manual**

Shaded items are completed

<b>Task</b>	<b>Date</b>	<b>Responsible party(ies)</b>
S151 Officer meeting – revised ToR's discussed	15 <sup>th</sup> March	Section 151 Officers
Revised ToR's, revised IAA and governance manual finalised in draft and reviewed by GSG	w/c 8 <sup>th</sup> April	Squire Patton Boggs ACCESS Officers
Revised ToR's, revised IAA and governance manual issued to OWG for review & comment	w/c 15 <sup>th</sup> April	ACCESS Officers
OWG meeting – feedback taken from OWG on governance documents	25 <sup>th</sup> April	ACCESS Officers
Governance Sub-Group Meeting – final drafts revised; any required amends made	w/c 29 <sup>th</sup> April	Squire Patton Boggs ACCESS Officers
Email issued to Monitoring Officers outlining next steps	w/c 13 <sup>th</sup> May	ACCESS Officers
Governance report issued to Joint Committee; along with draft governance documents	4 <sup>th</sup> June 2019	ACCESS Officers
Joint Committee meeting – governance document	11 <sup>th</sup> June 2019	Joint Committee

recommendations considered		
Monitoring Officers webinar/ Webinar recording issued Draft governance documents issued	12 <sup>th</sup> June 2019	Monitoring Officers ACCESS Officers Squire Patton Boggs
Possible meeting of Monitoring Officers – feedback discussed and captured	TBC (likely to be late June)	Monitoring Officers Squire Patton Boggs
Feedback received from Monitoring Officers and final versions produced and signed off by the GSG	TBC (likely to be early July)	Monitoring Officers ACCESS Officers Squire Patton Boggs
Individual Authorities commence execution of revised IAA	TBC (likely to be mid- late July)	ACCESS Officers Monitoring Officers

## 5. Recommendation

### 5.1. The Joint Committee is invited to:

- Note the revised timetable for completion of phase 3 governance deliverables
- Approve adoption the governance manual as an operational document that will be continually updated and managed by the ASU, in consultation with the ASU's Host Authority Monitoring Officer.
- Endorse the latest version of the revised IAA and recommend it for further consideration by the administering authorities (via the Monitoring Officers)
- Note that the revised IAA may be further amended subject to further Monitoring Officer review and discussion prior to finalisation for progression via each Council's own governance arrangements as required.

## 6. Consultation with Key Advisers

- 6.1. Muse Advisory is providing governance advice to the ACCESS pool.
- 6.2. Squire Patton Boggs are providing legal advice.
- 6.3. Hymans Robertson are providing project management support.