

East Sussex Fire Authority

Local Code of Corporate Governance – key policies, processes and sources of assurance

Policy or process	Owner	Purpose, vision & outcomes	Purpose, functions & roles	Values, good governance, conduct & behaviour	Decisions, value for money, scrutiny & risk	Capacity & capability	Engagement & accountability	Source of assurance	Reported to	Date	Source of document
Annual Plan	CFO&CE (delegated to HoPM)	Y	Y				Y	Performance Reporting	CMT / S&A Public	Quarterly Annual	S&A May 2014 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf</a> <a href="http://www.esfrs.org/freedomOfInformation/priorities.shtml">http://www.esfrs.org/freedomOfInformation/priorities.shtml</a>
Integrated Risk Management Plan	DCFO	Y			Y		Y	Operational Assurance Statement Operational Assurance Peer Review	S&A CFA & Public S&A	Annually (Sept) Tri- Annual	CMT August 2013 S&A May 2014 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf</a> <a href="http://www.esfrs.org/freedomOfInformation/priorities.shtml">http://www.esfrs.org/freedomOfInformation/priorities.shtml</a>
Operational policies and processes	DCFO	Y						Operational Assurance Statement Operational Assurance Peer Review	S&A CFA & Public S&A	Annually (Sept) Tri- annual	CMT August 2013 S&A May 2014 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf</a> <a href="http://www.esfrs.org/freedomOfInformation/priorities.shtml">http://www.esfrs.org/freedomOfInformation/priorities.shtml</a>
Risk Management Strategy	Treasurer	Y		Y	Y			Corporate Risk Register Review	CMT / S&A	Quarterly	CMT April 2014 S&A May 2014 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf</a> <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf#intranet/Corporate%20Guidance/part%206/Corporate%20Risk%20Management%20Policy">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf#intranet/Corporate Guidance/part 6/Corporate Risk Management Policy</a>
Medium Term Finance Plan	Treasurer	Y						External Audit Value for Money Conclusion	S&A	Annual (Sept)	S&A September 2013 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/september/13_09_draft_S_A_agenda_v5_without_conf.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/september/13_09_draft_S_A_agenda_v5_without_conf.pdf</a>
Budget and financial management (incl DFM scheme)	HoF&P	Y			Y			Budget Monitoring	CMT / P&R	Monthly / Quarterly	CMT May 2014 P&R May 2014 <a href="http://www.esfrs.org/document/pdf/fa/policyPanel/2014/may/14_05_pr_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/policyPanel/2014/may/14_05_pr_agenda_pt_1.pdf</a> <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf</a>
Statement of Accounts	Treasurer				Y			Annual Audit Letter	S&A	Annual (Sept)	S&A November 2013 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/november/13_11_s_a_agenda_pt_2_aal.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/november/13_11_s_a_agenda_pt_2_aal.pdf</a>
Standing Orders	DMO		Y	Y	Y		Y	Role of statutory officers and clerks	N/A	N/A	

Contract Standing Orders	DMO	Y		Y	Y			Role of MO/DMO & Procurement Team Annual Internal Audit Report & Opinion	N/A S&A	N/A Annual (May)	S&A July 2013 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/july/13_07_S_A_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/july/13_07_S_A_agenda_pt_1.pdf</a> CMT June 2014 (for 2013/14)
Financial Regulations	Treasurer			Y	Y			Role of Treasurer / Finance Team Annual Internal Audit Report & Opinion	N/A S&A	N/A Annual (May)	S&A July 2013 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/july/13_07_S_A_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/july/13_07_S_A_agenda_pt_1.pdf</a>
Scheme of Delegation	ACO (POD)/DMO		Y	Y	Y			Role of statutory officers and clerks	N/A	N/A	
Code of Conduct for Members	DMO		Y	Y				Role of the MO / DMO Role of S&A Panel / Reporting of breaches Disclosable interests declared at each CFA / Panel meeting 6 monthly review / reminder re on-line declarations	S&A and CFA	As necessary	
Code of Conduct for member and Employee Relations	ACO(POD)		Y	Y				HR metrics and performance Review of declarations	S&A Management	Annually (May) Quarterly	CMT May 2014 <a href="http://www.esfrs.org/document/pdf/fa/membersHandbook/section_F.pdf">http://www.esfrs.org/document/pdf/fa/membersHandbook/section_F.pdf</a>
Anti-fraud & Corruption Strategy	Treasurer			Y				Annual Internal Audit Report & Opinion / Annual Audit Letter	S&A	Annual (May / September)	CMT June 2014 (for 2013/14) S&A July (2013) <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/july/13_07_S_A_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/july/13_07_S_A_agenda_pt_1.pdf</a>
Member Learning & Development Strategy	ACO(POD)	y	y			y		MDSG Annual Report Member Development Charter	S&A P&R	Annually (May)	Member Development Steering Group Feb 2014 Member Development Charter renewed Dec 2013
Whistleblowing Policy	ACO (POD)/ DMO		Y	Y			Y	Reviewed in line with guidance issued by Public Concern at Work and the British Standards Institute Code of Practice	S&A / CFA	As necessary	
Complaints Policy	ACFO	Y		Y	Y		Y	Number and outcome of complaints reported to Members.  Employee and Member codes of conduct.	S&A and CFA	Annually	Performance Outcomes report <a href="http://www.esfrs.org/document/pdf/fa/faMeetings/2013/september/1309CFAAgendapt2.pdf">http://www.esfrs.org/document/pdf/fa/faMeetings/2013/september/1309CFAAgendapt2.pdf</a>
Code of Conduct for Employees	HoHR			Y	Y			Review of Declarations	Management	Quarterly	<a href="http://www.esfrs.org/document/pdf/fa/membersHandbook/section_F.pdf">http://www.esfrs.org/document/pdf/fa/membersHandbook/section_F.pdf</a>
Community Safety Strategy	DCFO / DPP	y					y	Operational Assurance Statement Operational Assurance Peer Review	S&A CFA & Public S&A	Annually (Sept) Triennial	CMT August 2013 S&A May 2014 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf</a>
Business Safety Strategy	DCFO / DPP	y					Y	Operational Assurance Statement Operational Assurance Peer Review	S&A CFA & Public S&A	Annually (Sept) Triennial	CMT August 2013 S&A May 2014 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf</a>

Partnership Working Strategy	DCFO	Y	Y	Y	Y			Partnership Progress Report	S&A	Annually (Sept)	S&A September 2013 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/september/13_09_draft_S_A_agenda_v5_without_conf.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/september/13_09_draft_S_A_agenda_v5_without_conf.pdf</a>
Communications Strategy	ACO (POD) / HoL&OD	Y				Y	Y	Staff Survey liP Operational Assurance Peer Review	S&A CFA & Public  S&A	Annually (Sept)  Tri-annual	S&A January 2014 – 2013 liP Assessment <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/january/14_01_sa_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/january/14_01_sa_agenda_pt_1.pdf</a> S&A May 2014 – OpA Peer Review <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf</a>  liP successfully retained 2013.
Equality and Diversity Strategy	ACO (POD) / HoL&OD			Y				HR Metrics	S&A P&R	Annually (May)	P&R May 2012 <a href="http://www.esfrs.org/document/pdf/fa/policyPanel/2012/may/1205PRagendapt1.pdf">http://www.esfrs.org/document/pdf/fa/policyPanel/2012/may/1205PRagendapt1.pdf</a> Updated HR report to CMT May 2014
Health & Safety Strategy	ACFO		y	y	y			Quarterly report to CMT and 2 x key CFA indicators	S&A / CMT	Quarterly	CMT February 2014
People & Organisational Development Strategy	ACO(POD)	y	y	y		y		Lead Member report HR metrics & performance Investors in People Assessment	S&A  ??	Annually (May)  Triennial	CMT March 2014 S&A January 2014 – 2013 liP Assessment <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/january/14_01_sa_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/january/14_01_sa_agenda_pt_1.pdf</a>
Asset Management Strategy	ACFO	y	y	y	y	y		Capital Asset Strategy / MTFS CMT Budget Monitoring	CFA, S&A CMT	Annual (Feb)	P&R January 2014 <a href="http://www.esfrs.org/document/pdf/fa/policyPanel/2014/january/14_01_P_R_agenda.pdf">http://www.esfrs.org/document/pdf/fa/policyPanel/2014/january/14_01_P_R_agenda.pdf</a>
Corporate Governance Policy Statement & Code of Practice	ACO (POD) / DMO / Treasurer	Y	Y	Y	Y	Y	Y	Preparation of the AGS Work of ACO / DMO / Treasurer	S&A N/A	Annual (July) On-going	
Information Management Strategy	ACFO	y	y	y	y			13/14 independent review of strategy External audits of technology / security Internal audit coverage Progress report	CMT N/A CMT / S&A S&A	One off Periodic Periodic Annual	CMT September 2013
Procurement Strategy	HoF&P			Y	Y			13/14 independent review of strategy plus internal audit coverage Progress report	CMT S&A S&A	One off Periodic Annual	CMT January 2014 S&A May 2014 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf</a> <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf</a>  CFA Feb 2014 <a href="http://www.esfrs.org/document/pdf/fa/faMeetings/2014/february/14_02_CFA_Agenda_pt1.pdf">http://www.esfrs.org/document/pdf/fa/faMeetings/2014/february/14_02_CFA_Agenda_pt1.pdf</a>
Environment Strategy	ACFO	y	y	y	y				S&A	Annual (May)	S&A July 2013 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/july/13_07_S_A_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/july/13_07_S_A_agenda_pt_1.pdf</a>

Response & Resilience Strategy	DRR	Y				Y	Operational Assurance Statement Operational Assurance Peer Review	S&A CFA & Public S&A	Annually (Sept) Tri-annual	CMT August 2013 S&A May 2014 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf</a> <a href="http://www.esfrs.org/freedomOfInformation/priorities.shtml">http://www.esfrs.org/freedomOfInformation/priorities.shtml</a>
Project Management / Stage Gate processes	HoPM				Y		Performance Reporting	S&A CFA & Public	Monthly, quarterly and annually	Link to S&A agenda paper KTA and project report <a href="http://www.esfrs.org/fa/scrutinyPanel.shtml">http://www.esfrs.org/fa/scrutinyPanel.shtml</a>
Internal Audit Strategy	Treasurer			Y	Y		Annual Internal Audit Report & Opinion	S&A	Annual (May)	S&A July 2013 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/july/13_07_S_A_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2013/july/13_07_S_A_agenda_pt_1.pdf</a>
Performance Management	HoPM	Y	Y	y		Y	Performance Reporting	S&A CFA & Public	Monthly, quarterly and annually	S&A May 2014 <a href="http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf">http://www.esfrs.org/document/pdf/fa/ScrutinyPanel/2014/may/14_05_sa_agenda_pt_1.pdf</a> <a href="http://www.esfrs.org/freedomOfInformation/priorities.shtml">http://www.esfrs.org/freedomOfInformation/priorities.shtml</a>
Freedom of Information Scheme	ACO (POD) / Clerks			Y	Y	Y	Role of Clerks/DMO All FoI responses reviewed by ACFO or ACO before issued	N/A	N/A	
Data Protection Policy	ACFO		Y	Y			Breaches reported to Members by exception	S&A	By exception	

**Core Principle 1** Focussing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area

**Core Principle 2** Members and officers working together to achieve a common purpose with clearly defined functions and roles

**Core Principle 3** Promoting values for the authority and demonstrating the values of good governance

**Core Principle 4** Taking informed and transparent decisions which are subject to effective scrutiny and managing risk

**Core Principle 5** Developing the capacity and capability of members and officers to be effective

**Core Principle 6** Engaging with local people and other stakeholders to ensure robust public accountability

CFO & CE = Chief Fire Officer and Chief Executive

DCFO = Deputy Chief Fire Officer

HoF&P = Head of Finance and Procurement

DMO = Deputy Monitoring Officer

ACO (POD) = Assistant Chief Officer (Personnel and Organisational Development)

ACFO = Assistant Chief Fire Officer

HoHR = Head of Human Resources

DPP = Director of Prevention and Protection

HoL&OD = Head of Learning and Organisational Development

DRR = Director of Response and Resilience

HoPM= Head of Performance Management