CODE OF CORPORATE GOVERNANCE

1. INTRODUCTION

1.1 Cleveland Fire Authority comprises of 16 Elected Members from the Borough Councils of Hartlepool (3 Members), Middlesbrough (4 Members), Redcar and Cleveland (4 Members) and Stockton on Tees (5 Members). The Members are appointed by their Constituent Council on a politically proportional basis and although appointed by their constituent authorities they are accountable in their decisions to the Fire Authority rather than their individual borough councils.

1.2 The Authority is a corporate body and for many purposes, has the status, rights and duties of a local authority under the Local Government Act 1972 and other local government legislation. It is funded from Government Grants and precepting the constituent authorities of Hartlepool, Middlesbrough, Redcar and Cleveland and Stockton on Tees.

1.3 The Fire and Rescue Services Act 2004, Civil Contingencies Act 2004and the Regulatory Reform Order (Fire Safety) 2005, are key pieces in the legislative framework in which the Authority provides its Fire and Rescue services.

1.4 The Authority is committed to having an affective Constitution which sets out how the Authority operates, how decisions are made and the procedures and legislation followed to ensure transparency, accountability and value for money to the community it serves.

2. STRATEGIC DIRECTION AND VALUES

2.1 The Authority's four year Community Integrated Risk Management Plan (CIRMP) 2018 - 2022 outlines our plans and priorities and how we can make a real difference to the lives of the people in our communities. Our Vision was developed through extensive consultation and gives focus to what we want to achieve by 2022.

2.2 The Code of Corporate Governance enhances the delivery of the Authority's vision. The core values are the blue print of our culture and the internal drivers which inspire and motivate people to achieve this vision.

2.3   **Our Vision 2018 – 2022** *is that we have built a sustainable future and:*

- **make a positive difference to the safety and quality of life of every local citizen; and the places where they live and work**
- **deliver services by people who are professional, proud and passionate**
- **are nationally recognised as being high performing and innovative; and internationally renowned for being able to reduce risk in business, industry and the home"**

2.4   **Strategic Goals**

Our vision is underpinned by our three strategic goals and aims and a set of associated strategic outcomes that measure our achievements.
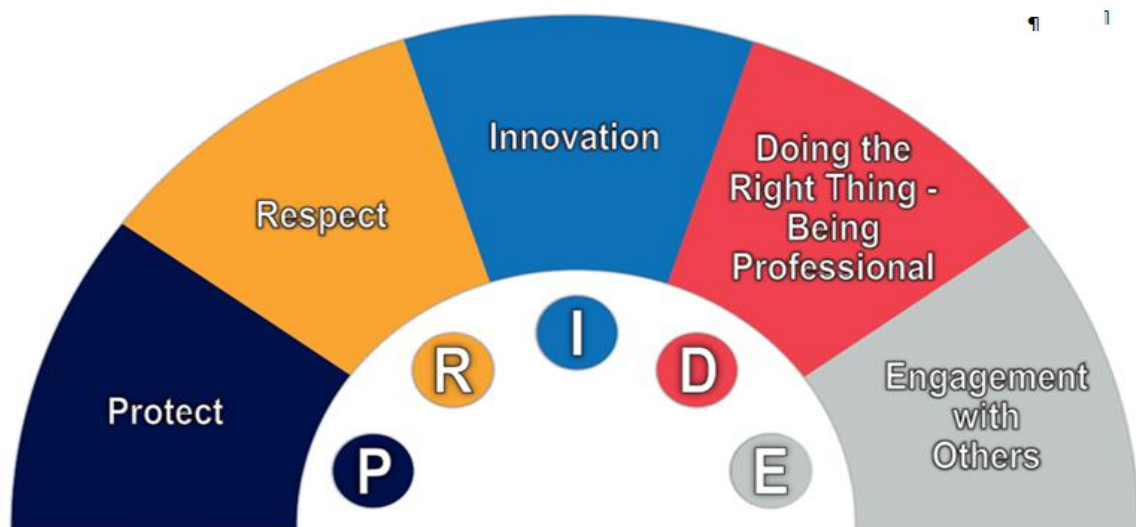

2.5   **Core Values and Behaviours**

Our Values are what makes us unique; they are the core things that we believe are essential to our culture and which motivate us to come to work. Our Values drive the way that we all behave and respond to others at work - so they underpin everything that we do.

Behaviours describe the attitudes and approaches that we take to work, which is how we demonstrate our values. Our Values drive our behaviours, which impact the extent of our success at every level of the organisation. **Our values should be at the heart of everything we do, decision making, leadership, designing new ways of working, recruitment, induction, development and progression.**

PRIDE is an acronym for our five core values – the building blocks upon which our culture is built.

Protect – putting safety first, protecting ourselves, the community, the organisation and the environment from all avoidable harm

Respect – respect ourselves; our colleagues; our community; our heritage; our property; our organisation and our environment

Innovation – improving performance through learning from our own and others' experiences and innovative business solutions

Doing the Right Thing – Being Professional – making decisions and undertaking our work in the most efficient and effective way

Engagement – understanding and working with our colleagues, partners and communities to provide the best delivery of services

3. CORPORATE GOVERNANCE

3.1   Corporate Governance comprises of the systems, processes, cultures and values by which an Authority is directed and controlled and through which it is accountable to, engages with and supports the communities it serves.

3.2   In other words it is about how the Authority ensures that it is doing the right things, in the right way, for the right people.

3.3   Good Corporate Governance requires Authorities to carry out their business in a way that demonstrates accountability, transparency, effectiveness, integrity, impartiality, inclusivity and efficiency.

4. CLEVELAND FIRE AUTHORITY'S GOVERNANCE

4.1   Cleveland Fire Authority fully supports the fundamental principles of good Governance and the Authority's governance arrangements encompass the guidance and best practice as outlined in the "Delivering Good Governance in Local Government Framework (2016 edition)" published by the Chartered Institute of Public Finance and Accountancy (CIPFA) and The Society of Local Authority Chief Executive's (Solace).

4.2   The Authority is committed to being at the forefront of those Fire and Rescue Authority's that are effective and efficient, and this Code draws strongly on the good practices already established and outlines the way in which the Authority will meet that commitment, and how these arrangements will be monitored and reviewed.

4.3   The Authority recognises that good governance should be robust and effective, leading to good management, attainment of good performance and overall proper stewardship of public monies. It has a Constitution in place which is aimed at ensuring that we are doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner.

4.4   The Authority will report regularly on activities, performance and the Authority's financial position. The Executive Leadership Team will ensure the delivery of this information in a timely, objective and understandable manner regarding the Authority's activities, achievements, performance and financial position.

4.5   Full details of the Governance Arrangements, including the decision making structure, terms of reference, Standing Orders, Financial Procedure Rules, Delegated Powers, Ethical Governance Framework, Roles of Members are outlined within the Constitution displayed on the Brigade website.

5. THE CORPORATE GOVERNANCE STATEMENT

5.1   Each year the Authority will publish an Annual Governance Statement as part of the Authority's Annual Financial Report which provides an overall assessment of the Authority's Governance arrangements and an appraisal of the key controls in place to manage the Authority's principal governance risks. The Statement also provides details of where improvements need to be made and is scrutinised and approved by the Audit and Governance Committee, incorporating the Authority's duties to publish an Annual Governance Statement in accordance with the Accounts and Audit Regulations 2015.

5.2   The Authority also produces an Annual Statement of Assurance which provide assurance on financial, governance and operational matters.

6. CORE PRINCIPLES

The following 7 core principles provide a framework and visual overview of the various arrangements that the CFA have in place to meet their responsibilities to ensure that business is conducted in accordance with the law and proper standards. The underlying purpose of this "Code of Corporate Governance" is to provide a statement of the Authority's commitment to proper and effective governance and outlines the key documents evidencing the Authority's compliance.

6.1 Core Principle 1

Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law
Local government 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 across all activities and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.

Sub Principles	Evidence
BEHAVING WITH INTEGRITY Ensuring 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 Ensuring members 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) Leading by example and using the above standard operating principles or values as a framework for decision making and other actions 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	• The Constitution • Anti-Fraud and Anti-Corruption Strategy • Members and Employees Codes of Conduct • Member Development Plan • A&G terms of reference • Register of Members Interests on website • Independent Persons • Internal Audit Ethical audit • Corporate and Ethical Governance frameworks • Code of Corporate Governance • Annual meeting Governance • Declaration of Interests is a standard agenda item • Values and Behaviour Framework
DEMONSTRATING STRONG COMMITMENT TO ETHICAL VALUE Seeking to establish, monitor and maintain the organisation's ethical standards and performance Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with ethical standards expected by the organisation	• CFA Values and Behaviours • Member and Officer Ethical Training • Anti-Fraud & Anti-Corruption Strategy • Very low level of Member complaints • Modern Slavery Statement • Delegation Scheme • Member and Employee Codes of Conduct • EDI Policy, Strategy & EIA • Regular review of governance & policies • Website - How to do Business • Standards and Partners

RESPECTING THE RULE OF LAW Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders Dealing with breaches of legal and regulatory provisions effectively Ensuring corruption and misuse of power are dealt with effectively	• The Constitution • Ethical Training for Members/ Officers • Declaration of Interests is a standard agenda item • Anti-Fraud and Anti-Corruption Strategy • Whistleblowing Policy • Members and Employee Codes of Conduct • A&G Hearings Sub Com. • External Compliments and Complaints • Independent Persons • Disciplinary Procedure

6.2   Core Principle 2

Ensuring Openness and comprehensive stakeholder engagement	
Local government is run for the public good, organisations therefore should ensure openness in their 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.	
Sub Principles	**Evidence**
OPENNESS Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness 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 Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequents of those decisions are clear Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action	• All policies/procedures on FISH • Corporate and Strategic documents on website • Comply with: Publication Scheme; Local Government Transparency Code • CFA reports/minutes on website and justification if they are marked "not for publication" • Public notices displayed and email notification of meetings • All CFA reports and minutes on website and justification if they are not published • CIRMP consultation & EIA's on policy documents • Terms of Reference for CFA & ELT/TU negotiations/meetings
ENGAGING COMPREHENSIVELY WITH INSTITUTIONAL STAKEHOLDERS Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably Developing formal and informal partnerships to allow for resources to be used more effectively and outcomes achieved more effectively Ensuring that partnerships are based on: trust, a shared commitment to change; a culture that promotes and accepts challenge among partners and that added value of partnership working is explicit	*(N.B. institutional stakeholders are the other organisations that local government needs to work with to improve services and outcomes (such as commercial partners and suppliers as well as other public or third sector organisations) or organisations to which they are accountable.)* • CIRMP consultation 2017/18 • Collaboration with Police and other partners in place • Memorandums of Understanding are in place with partners • EIA's • Regular social media communications

ENGAGING WITH INDIVIDUAL CITIZENS AND SERVICE USERS EFFECTIVELY Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve communities, individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs Implementing effective feedback mechanisms in order to demonstrate how views have been taken into account Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity Taking account of the impact of decisions on future generations of tax payers and service users	• CIRMP consultation • The Constitution • Community Safety Strategy • Values and Behaviours Framework • Annual Performance and Efficiency report • Regular social media communications • CIRMP • Numerous prevention campaigns • People Strategy

6.3   Core Principle 3

Defining outcomes in terms of sustainable economic, social and environmental benefits
The long term nature and impact of many of local government'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 stake holders, including citizens, service users and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.

Sub Principles	Evidence
DEFINING OUTCOMES 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. Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer. Delivering defined outcomes on a sustainable basis within the resources that will be available. Identifying and managing risks to the achievement of outcomes. Managing service users expectations effectively with regard to determining priorities and making the best use of the resources available.	• CIRMP • Service Plan • Values & Behaviour Framework • Annual Performance and Efficiency Report • Corporate Risk Register • Strategic Planning Framework • People Strategy • Community Safety Strategy
SUSTAINABLE ECONOMIC, SOCIAL AND ENVIRONMENTAL BENEFITS Considering and balancing the combined economic, social and environmental impact of policies, plans and decisions when taking decisions about service providers. 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. Ensuring fair access to services Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible.	• Values and Behaviour Framework • Vision Statement • CIRMP • Service Plan • PRIDE - Our Values • Community Safety Strategy • Equality Impact Assessments • Strategic Planning Framework • Integrated Strategic Risk and Financial Planning Cycle

6.4 Core Principle 4

Determining the interventions necessary to optimise the achievement of the intended outcomes
Local government achieves 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 frequently to ensure that achievement of outcomes is optimised.

Sub Principles	Evidence
DETERMINING INTERVENTIONS 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. Therefore ensuring best value is achieved however services are provided. Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people skills, land and assets and bearing in mind future impacts.	• CFA reports and minutes • CIRMP • Scheme of Delegation • Annual Service Plan
PLANNING INTERVENTIONS Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets. Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered. Considering and monitoring risks facing each partner when working collaboratively including shared risks. Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances. 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. Ensuring capacity exists to generate the information required to review service quality regularly. Preparing budgets in accordance with organisational objectives, strategies and the medium term financial plan. Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy.	• Strategic Planning Framework • MTFS • Risk Management Framework • Annual Improvement Plans • Internal Operating Plans • Annual Performance & Efficiency Report • CIRMP Planning Process • Treasury Management Strategy • Corporate Risk Register • Budget Planning and reporting process • The Financial Report • MTFS • Revenue and Capital Outturn quarterly reporting • Efficiency Plan • Performance Management Framework • Integrated Strategic Risk and Financial Planning Cycle

PLANNING INTERVENTIONS

Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets.

Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered.

Considering and monitoring risks facing each partner when working collaboratively including shared risks.

Ensuring arrangements are flexible and agile so that the mechanisms for delivering outputs can be adapted to changing circumstances.

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.

Ensuring capacity exists to generate the information required to review service quality regularly.

Preparing budgets in accordance with organisational objectives, strategies and the medium term financial plan.

Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy.

- Strategic Planning Framework
- MTFS
- Risk Registers
- Annual Improvement Plans
- Internal Operating Plans
- Annual Performance & Efficiency Report
- CIRMP Planning Process
- Treasury Management Strategy
- Integrated Strategic Risk and Financial Planning Cycle
- Budget Planning and reporting process
- The Financial Report
- MTFS
- Treasury Management Strategy
- Budget Planning and reporting process
- Revenue and Capital Outturn quarterly reporting
- Efficiency Plan

OPTIMISING ACHIEVEMENT OF INTENDED OUTCOMES

Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints.

Ensuring the budgeting process is all inclusive, taking into account the full cost of operations over the medium and longer term.

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.

Ensuring the achievement of 'social value' through service planning and commissioning. The Public Services (Social Value) Act 2012 states that this is "the additional benefit to the community … over and above the direct purchasing of goods, services and outcomes."

- Treasury Management Strategy
- Budget Planning and reporting process
- MTFS
- The Financial Report
- Financial Procedure Rules
- Annual Performance & Efficiency Report
- Community Risk Profile
- Website
- Efficiency Plan

6.5 Core Principle 5

Developing the entity's capacity, including the capability of its leadership and the individuals within it
Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mindset, to operate efficiently and effectively and achieve 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 organisation operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of individual staff members. Leadership in local government is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.

Sub Principles	Evidence
DEVELOPING THE ENTITY'S CAPACITY Reviewing Operations, performance use of assets on a regular basis to ensure their continuing effectiveness. 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. Recognising the benefits of partnerships and collaborative working where added value can be achieved. Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources.	• CIRMP Planning Process • CIRMP • Strategic Planning Framework • Equality, Diversity and Inclusion Policy, Strategy and Action Plans • Strategic Planning Framework • Authority and Brigade Meeting structures • Community Safety Strategy • Performance Management Framework
DEVELOPING THE CAPABILITY OF THE ENTITY'S LEADERSHIP AND OTHER INDIVIDUALS Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained. Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body. Ensuring the leader and the chief executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads the authority in implementing strategy and managing the delivery of services and the other outputs set by members and each provides a check and a balance for each other's authority.	• Corporate Sounding Board • Leadership Development • PDR's • Delegation Scheme • The Constitution • CFA reports and minutes • Member Development Plan/Training • Staff Induction Programme • CPD Scheme • External and Internal Audit • Audit Completion Report • VFM Conclusion • Self-Assessments and HMICFRS Inspections • PDR's

Developing the capabilities of members and senior management to achieve effective shared leadership and to enable the organisation to respond successfully to changing policy demands as well as economic, political and environmental changes and risks by: • Ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged. • 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. • Ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weakness both internal and external. • Ensuring that there are structures in place to encourage public participations. Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections Holding staff accountable through regular performance reviews which take account of training or development needs. Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing.	• Health and Wellbeing Framework • Minutes of EHWB and EDIF Meetings • EHWB Mental Health Sub Group • Code of Conduct for Employees • Public Sector Equality Duty Report

6.6 Core Principle 6

Managing risks and performance through robust internal control and strong public financial management
Local government needs to ensure that the organisations 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 are 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 are 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 service delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.

Sub Principles	Evidence
MANAGING RISK Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making Implementing robust and integral risk management arrangements and ensuring that they are working effectively Ensuring that responsibilities for managing individual risks are clearly allocated.	• Risk Management Framework • Community Risk Profiles • CIRMP • PDR's and IOP's • Corporate Risk Registers • Strategic Planning Framework
MANAGING PERFORMANCE Monitoring service delivery effectively including planning, specification, execution and independent post implementation review Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risk inherent in the organisations financial, social and environmental position and outlook. Ensuring the effective scrutiny or oversight function is in place which encourages constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible (OR, for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making. Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement.	• IOP's • The Constitution • CFA reports and minutes • Budgetary Process • Authority Meetings • Annual Performance and Efficiency Report • Risk Management Framework • Organisational Document Register • Performance Management Framework

Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements)	
ROBUST INTERNAL CONTROL Aligning the risk management strategy and policies on internal control with achieving the objectives. Evaluating and monitoring the authority's risk management and internal control on a regular basis. Ensuring effective counter fraud and anti-corruption arrangements are in place. Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor. Ensuring an audit committee or equivalent group or function which is independent of the executive and accountable to the governing body: - Provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment - That its recommendations are listened to and acted upon	• Annual Governance Statement • Internal Audit Outurn • CIRMP • Audit and Governance Committee • Internal Audit reporting and monitoring • Anti-Fraud and Anti-Corruption Strategy • Ethical Governance Framework • The Constitution • External Audit reporting - Annual Audit Letter • VFM Conclusion
MANAGING DATA Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data. Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies. Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring.	• Information Assurance and Governance Policies and Procedures • Audit & Governance (Constitution) • Pay Policy Statement • GDPR • Information Sharing Agreements • Data Quality Framework • Privacy Notices
STRONG PUBLIC FINANCIAL MANAGEMENT Ensuring financial management supports both long term achievement of outcomes and short term financial and operational performance. Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls.	• MTFS • Treasury Management Strategy • Financial Procedure Rules

6.7   Core Principle 7

Implementing good practices in transparency, reporting and audit to deliver effective accountability
Accountability is about ensuring that those making decision 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.

Sub Principles	**Evidence**
IMPLEMENTING GOOD PRACTICE IN TRANSPARENCY Writing and communicating reports for the public and other stakeholders in an understandable style appropriate for the intended audience and ensuring that they are easy to access and interrogate 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.	• Website compliant with Local Transparency Code 2015 Regs • Publication Scheme • Guidance Note for the Development and Approval of Policies and Strategies
IMPLEMENTING GOOD PRACTICES IN REPORTING Reporting at least annually on performance, value for money and the stewardship of its resources. Ensuring member and senior management own the results 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) Ensuring that the framework is applied to jointly managed or shared service organisations as appropriate. Ensuring the performance information that accompanies the financial statement is prepared on a consistent and timely basis and the statements allow for comparison with other similar organisations.	• Annual and quarterly Performance and Efficiency reports • Delegation Scheme • Annual Statement of Assurance • Annual budget setting • Internal Audit Reports • MTFS • Annual Governance Statement • Performance Management Framework • Financial Report • CFA meetings and minutes

ASSURANCE AND EFFECTIVE ACCOUNTABILITY	
Ensuring that the recommendations for corrective action made by external audit are acted upon. 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. Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations. Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement. Ensuring that when working in partnership, arrangements for accountability are clear and that the need for wider public accountability has been recognised and met.	• A&G Committee • ELT • CFA • Annual Performance & Efficiency Report • Annual Statement of Assurance • Risk Registers • Community Risk Profile • HMICFRS • Financial Report • Performance Management Framework

7. CFA KEY DOCUMENTS
The following documents demonstrate the Authority's compliance:

7.1 The Constitution

- Governance
- Terms of Reference and Delegated Powers
- Scheme of Delegation
- Financial Procedure Rules
- Standing Orders for the regulation of proceedings and business
- Contract Procedure Rules
- Ethical Governance Framework which includes the:
  - ✓ Anti-Fraud and Anti-Corruption Strategy (this outlines how we want our Members and Officers to behave) which includes the Fraud Response Plan; General Principles of Public Life; Whistleblowing Policy; Prosecution Policy; Gifts and Hospitality Guidance; and Anti-Money Laundering Policy
  - ✓ Standards and Partners
  - ✓ Code of Conduct for Members
  - ✓ Register of Members Interests – this is displayed on the website.
  - ✓ Gifts and Hospitality
  - ✓ Complaints Process for Members
  - Members Allowance Scheme
  - Code of Corporate Governance

7.2 Key Documents
1. CIRMP 2018 - 2022
2. Annual Service Plan
3. Risk Management Framework and Community Risk Profile
4. Year End Performance and Efficiency Report
5. The Financial Report and Medium Term Financial Strategy
6. Asset Management Plan 2018-26
7. Annual Governance Statement
8. External Auditor reports
9. Compliments and Complaints
10. Efficiency Plan
11. Pay Policy Statement
12. Annual Statement of Assurance
13. Transparency, Accountability and Assurance Policy and Strategy
14. Member Handbook
15. External and Internal Auditor reports
16. ICT and Information Governance Policies and Procedures
17. Sustainability Policy and Strategy
18. Equality, Diversity and Inclusion Policy and Strategy
19. The Publication Scheme
20. People Strategy
21. Community Safety Strategy
22. Values and Behaviours Framework
23. Whistleblowing Policy
24. Grievance and Disciplinary Procedures
25. Community Risk Profile
26. Internal Audit Reports
27. Gender Pay Gap Report
28. PSED annual report
29. Integrated Strategic Risk and Financial Planning Framework
30. Strategic Planning Framework
31. Code of Conduct for Employees
32. Member Development Plan

8. MONITORING AND REVIEW

8.1 A full review of the Code of Corporate Governance will be undertaken in April 2022 in line with the Authority's Corporate Document Framework. A light touch review of the Authority's Governance arrangements will be carried out annually to ensure compliance and provide assurance that the governance arrangements are operating effectively.

8.2 The preparation and publication of the Annual Governance Statement will meet the statutory requirement of the Accounts and Audit Regulations that requires Organisations' to "conduct a review at least once a year on the effectiveness of its system of internal control" and to prepare a statement on internal control "in accordance with proper practices". As such the Governance Statement will be prepared in accordance with the timetable for the preparation of financial statements in accordance with the Accounts and Audit Regulations.

8.3   The Authority is responsible for the review and monitoring of the Authority's Constitution, which includes the annual review of the Pay Policy Statement and the Annual Statement of Assurance. The Audit and Governance are responsible for monitoring and reviewing the Authority's Corporate Governance arrangements whose principle remits are to:

- provide independent assurance of the performance and risk management framework and associated control environment
- scrutiny of financial and non-financial performance issues
- scrutinise the Authority's performance in achieving its objectives and monitoring of progress and performance against the annual strategic plan of the Authority (CIRMP)
- external and internal Audit
- advise the Authority upon the adoption of a Code of Conduct and any revisions to that Code through monitoring its operation and overall effectiveness
- promote good ethical governance and maintain high standards of conduct from members of the Authority and to assist them in observing the Codes of Conduct
- provide such advice, guidance and training as may be required in relation to the duty to promote and maintain high standards of conduct by elected and co-opted members
- make recommendations to the Authority in relation to the promotion and maintenance of high ethical standards within the Authority and to contribute to issues of governance at its discretion
- undertake matters of complaint referred to them by the Legal Adviser and Monitoring Officer or through any regulatory body for their consideration and to delegate to a Hearing Sub-Committee and to take any action required. Powers to consider the outcome of any investigation report, to publish report findings and make such recommendations as are appropriate
- grant dispensations to Members upon the requirements relating to disclosable pecuniary interests as set out within the Code of Conduct
- scrutiny of the Annual Statement of Assurance

8.4   Through the above Committee the Authority will ensure that these arrangements are kept under continual review by:

- The work of Internal Audit;
- Reports prepared by managers with responsibility for aspects of the Code of Corporate Governance;
- External Audit opinion;
- Other review agencies and Inspectorates;
- Opinion from the Authority's Proper Officers (Statutory Officers)

9. TRANSPARENCY AGENDA

1. All Cleveland Fire Authority reports and minutes are displayed on the internet with the exception of exempt information.
2. Notices of meetings are sent to be displayed on the four constituent Council public notice boards.
3. Members Registers of Interests are displayed on the Brigade website.
4. Complaints Procedure displayed
5. All transactions over £500 are itemised on the website
6. Adhere to the Local Government Transparency Code 2015
7. Comply with the Trade Union Facility Time Regulations
8. Adhere to the Publication Scheme

10. CONTACTS

Please contact the following Authority Officers for further information regarding the Authority's governance arrangements:

Peter Devlin, Legal Adviser/Monitoring Officer
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