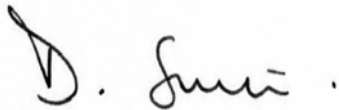


This matter is being dealt
with by: Kate Cuthbert
Ext: 561 7881
Direct Line: 0191 561 7881
Your Ref:
Our Ref: KLC/PG
Date: 2nd June, 2011

Dear Councillor,

You are summoned to attend the Annual Meeting of the Authority to be held in the Main Authority Room, Fire and Rescue Headquarters, Barmston Mere on Monday, 13th June, 2011 at 10.30 a.m. when it is proposed to transact the business set out below.

Yours sincerely,

A handwritten signature in black ink, appearing to read 'D. Smith', with a small dot at the end.

Dave Smith,
Clerk to the Authority

AGENDA

PART I

<u>ITEM</u>		<u>PAGE</u>
1.	Appointment of Chairman	
2.	Apologies for Absence	
3.	Appointment of Vice-Chairman	
4.	Declarations of Interest	
5.	Minutes	
	(i) Minutes of the meeting of the Authority held on 28 th March, 2011, Part I (copy herewith) for confirmation; and	1
	(ii) Minutes of the meeting of the Civil Contingencies Committee held on 4 th April, 2011, Part I (copy herewith) for information.	7
	GOVERNANCE REPORTS	
6.	Membership of Authority, Appointment to Committees and Appointment of Spokesmen for 2011/2012	11
	Report of the Deputy Clerk to the Authority (copy herewith).	
7.	Date, Time and Venue of Future Meetings	23
	Joint report of the Chief Fire Officer, the Clerk to the Authority, the Finance Officer and the Personnel Advisor (copy herewith).	
	FINANCE REPORTS	
8.	Revenue Budget Outturn 2010/2011 and Revenue Budget First Review 2011/2012	27
	Joint report of the Chief Fire Officer and the Finance Officer (copy herewith).	

9.	Capital Programme Outturn 2010/2011 and Capital Programme First Review 2011/2012	39
	Joint report of the Chief Fire Officer and the Finance Officer (copy herewith).	
10.	Annual Governance Review 2010/2011	47
	Joint report of the Chief Fire Officer, the Clerk to the Authority, the Finance Officer and the Personnel Advisor (copy herewith).	
11.	Annual Audit Fee 2010/2011	99
	Report of the Finance Officer (copy herewith).	
12.	Correspondence List	105

Local Government (Access to Information) (Variation) Order 2006

The reports contained in Part II of the Agenda are not for publication as the Cabinet is considered likely to exclude the public during consideration thereof as they contain information relating to any individual, which is likely to reveal the identity of an individual, the financial or business affairs of any particular person (including the Authority holding that information) or to consultations or negotiations in connection with labour relations matters arising between the Authority and employees of the Authority (Local Government Act 1972, Schedule 12A, Part I, Paragraphs 1, 2, 3 and 4).

PART II

13.	Minutes	
	(i) Minutes of the meeting of the Authority held on 28 th March, 2011, Part II (copy herewith) for confirmation; and	107
	(ii) Minutes of the meeting of the Civil Contingencies Committee held on 4 th April, 2011, Part II (copy herewith) for information.	111

Minutes of the meeting of
the TYNE AND WEAR FIRE AND
RESCUE AUTHORITY held in the
Fire and Rescue Service
Headquarters, Barmston Mere on
MONDAY, 28 MARCH 2011 at
10.30 am.

Present:

Councillor T. Wright in the Chair

Councillors Bell, Charlton, Clare, Clark, M. Forbes, N. Forbes, Haley, Huscroft,
Jordan, Mole, Renton, Trueman and Woodwark.

Part I

Apologies for Absence

Apologies for absence were submitted to the meeting on behalf of Councillors Boyes
and Essl.

The Chairman commented upon the successes of the recent Annual Fire
Conference of the Local Government Association (LGA), which was held in
Gateshead on 8th and 9th March. He added that the event went really well and
thanked all those who attended.

He then went on to thank those members of the authority who were leaving after the
elections. He praised them for their support and wished them well for the future.

Declarations of Interest

Councillor Wright declared a personal and prejudicial interest in relation to item 10
(Estates Development Strategy – Purchase of Land) as a member of Gentoo and
also Sunderland City Council.

Councillor M Forbes declared a personal and prejudicial interest in relation to item 10 (Estates Development Strategy – Purchase of Land) as a member of Sunderland City Council.

Councillors Bell, Charlton and Haley declared a personal interest in relation to item 9 (Future Options – FireControl) as members of the Regional Control Company (RCC).

Minutes

89. RESOLVED that:-

- (i) the minutes of the meeting of the Authority, Part I held on 28 February 2011, be confirmed and signed as a correct record;
- (ii) the minutes of the meeting of the Human Resources Committee, Part I, held on 21 February 2011, be noted for information; and
- (iii) the minutes of the Governance Committee held on 21 March 2011, be noted for information.

Treasury Management Policy and Strategy 2011/12, Including Prudential 'Treasury Management' Indicators for 2011/12 to 2013/2014

The Finance Officer submitted a report to present the Treasury Management Policy and Strategy (including both borrowing and investment strategies) proposed for 2011/12 and to note the Prudential 'Treasury Management' Indicators for 2011/12 to 2013/2014.

The Finance Officer advised members that there were no major changes being proposed to the overall Treasury Management Strategy in 2011/12 which maintained the prudent approach adopted by the Authority in previous years.

Referring members to paragraph 3.7 of the report he went on to explain that the current average rate of borrowing at 3.35% was low in comparison with other local authorities whilst the current rate earned on investments at 1.49% was higher than the overall benchmark rate. In addition debt rescheduling by the lead authority had achieved significant savings in interest charges.

Members thanked Sunderland City Council for their work on investments and prudent approach to borrowing.

90. RESOLVED that:-

- (i) the Annual Treasury Management Policy and Strategy (including specifically the Annual Borrowing and Investment Strategies) be approved, and
- (ii) the prudential 'Treasury Management Indicators be approved.

The Future of Fire and Rescue Control Service in England

The Chief Fire Officer, Clerk to the Authority, Finance Officer and Personnel Advisor to the Authority submitted a joint report advising members of the content of the consultation paper and proposing a draft response for consideration.

DCFO Hindmarch advised that the government had launched a consultation exercise in order to ascertain how to progress the matter, including how any limited funding available for Fire and Rescue Authorities should be prioritised. This consultation exercise was scheduled to run for approximately 12 weeks with responses required by 8 April 2011.

Members were referred to appendix 1 of the report which detailed the proposed response to CLG. The response addressed the following questions:-

Q1 Do you agree with the assessment of FireControl set out in Section 3? What lessons do you think we can learn from FireControl – both positive and negative?

Q2 Are resilience, enhanced technology and efficiency still as important today as they were when the FireControl project was initiated? If not what has changed?

Q3 Which aspects of resilience described in section 4 are most important for control services? Are there other aspects that are not mentioned here?

Q4 Do you think that there is a role for central government in supporting technical enhancements in fire and rescue control rooms – and, if so, what should this be?

Q5 Do you think that there is a role for central government in helping fire and rescue authorities to achieve greater efficiencies in the delivery of control services – and, if so, what should this be?

Q6 Which of these approaches (or combination of approaches) for the delivery of control services set out in section 5 would provide the best outcome for the fire and rescue community and the public?

Q7 Do you agree that the right funding priorities are set out in Section 6 and do you have any comments on the order in which these are presented?

Q8 Which of the technical options for Firelink would best meet fire and rescue service needs?

Members welcomed the thorough responses to each of the questions and commented that they hoped CLG took on board their views.

91. RESOLVED that:-

- (i) the response to the consultation be approved, and
- (ii) further reports be received as appropriate.

Integrated Risk Management Action Plan 2010/11 – End of year Update

The Chief Fire Officer, Clerk to the Authority and the Finance Officer submitted a joint report to provide Members with an end of year update in respect of the implementation of the Integrated Risk Management Plan (IRMP) actions for 2010/11, approved by the Authority in March 2010.

ACFO Brindle outlined progress made against each of the four actions as follows:-

- 1) Evaluation of the Retained Category 2 Appliance (Gateshead South CFS) – Consultation had been completed and Members agreed on 28 February that the appliance be removed from the operational fleet. The final implementation of this action would be 31 March.
- 2) Examine Low Activity Staffing Model – This review was presented to and agreed by Members on 24 January 2011 with final implementation planned for 2014.
- 3) Review Prevention and Education (Community Safety) – This review was complete and Members approved a revised structure and staffing model for Community Safety on 20 December 2010. The majority of changes had been implemented, with only a small number of posts to follow in 2011/12.
- 4) Review of back office functions – Reviews of Human Resources, Data and Information and Administration and Support Services were complete, and the revised timescale for the completion of all reviews was April 2011.

Councillor Mole commended the Service for the way in which the implementation of the Low Activity Staffing Model had been handled.

92. RESOLVED that:-

- (i) the progress made in relation to the implementation of the 2010/11 IRMP actions that were included in the Strategic Community Safety Plan be noted, and
- (ii) further reports be received as appropriate.

Correspondence List for Information

The Chief Fire Officer submitted a list of items of correspondence that had been received since the last meeting of the Authority, and were not subject to a separate report.

93. RESOLVED that the correspondence list be received for information.

Local Government (Access to Information) (Variation) Order 2006

94. RESOLVED that in accordance with the Local Government (Access to Information) (Variation) Order 2006 the public be excluded during consideration of the remaining business as it contains exempt information relating to the financial or business affairs of any particular person (including the Authority holding that information) or information relating to consultations/negotiations in connection with any labour matter arising between the Authority and employees of the Authority (Local Government Act 1972, Schedule 12A, Part I, Paragraphs 3 and 4).

(Signed) T. WRIGHT,
Chairman.

Note:

The above minutes comprise those relating to items of business during which the meeting was open to the public.

Additional minutes in respect of other items are included in Part II.

CIVIL CONTINGENCIES COMMITTEE

Minutes of the meeting of the CIVIL CONTINGENCIES COMMITTEE held in the Authority Rooms, Fire and Rescue Service Headquarters, Nissan Way, Barmston Mere, Washington on MONDAY, 4 APRIL 2011 at 10.30 a.m.

Present:

Councillor Clark in the Chair

Councillors Charlton, Mole, Renton, Trueman and Wright.

Apologies for Absence

An apology for absence was received from Councillor Bell.

Declarations of Interest

There were no declarations of interest

Minutes

31. RESOLVED that the minutes of the last meeting held on 31 January 2011 be confirmed and signed as a correct record.

Performance Against Targets – Quarter 4 2010/2011

The Committee considered a progress report by the Chief Emergency Planning Officer on performance against targets for the financial year 2010/2011 as detailed in the EPU Business Plan for 2010/11.

(For copy report – see original minutes).

The report provided information on the work completed in quarter 4 of the financial year 2010/11 by the Emergency Planning Unit.

It was noted that significant changes in the structure of the Local Resilience Forum (LRF), as previously reported to Members, had meant that roles and responsibilities previously allocated to the EPU had changed.

Due to the impending closure of the EPU, many decisions needed to be taken about the allocation of work areas by the Strategic Management Board (SMB). In order to ensure that resources were utilised while possible, the SMB were holding monthly meetings so that the allocation of work to EPU staff remained dynamic. Some areas of work had been highlighted for progression beyond March 2011 and these were shown in Appendix B to the report.

The report detailed both work areas that were completed and also those which had commenced and were ongoing pieces of work.

32. RESOLVED that the report be noted.

National Flooding Exercise 'Watermark'

The Committee considered a report by the Chief Emergency Planning Officer to inform Members of the involvement of Northumbria Local Resilience Forum (LRF) in a national flooding exercise.

(For copy report – see original minutes).

The national exercise had provided an excellent opportunity to test and validate the local response procedures as set out in the Northumbria LRF Multi Agency Flood Plan. The Planning Team had worked hard to develop a credible challenging exercise for the participants who seem to have gained from taking part.

It was hoped these arrangements would not need to be used in a real incident, but if they were, the experience gained in the exercise should help to deal with any flooding situation which arose.

33. RESOLVED that the report be noted.

Civil Contingencies Act Enhancement Programme

The Committee considered a report by the Chief Emergency Planning Officer to advise members on the progress within the Enhancement Programme following a recent roadshow event held at Citygate, Newcastle on Thursday 10th March 2011.

(For copy report – see original minutes).

Councillor Wright advised that it was important to consider the role of the Civil Contingencies Committee in relation to the future governance of the organisation, particularly with regard to its scrutiny role.

Joy Brindle stated that future governance would be looked at as part of the review of resilience provision.

34. RESOLVED that the report be noted.

Northumbria LRF Exercise Calendar 2011-12

The Committee considered a report by the Chief Emergency Planning Officer to inform members of the annual Northumbria Local Resilience Forum (LRF) Multi Agency Exercise Calendar, the scheduled events in 2010; and to inform Members of the process involved in its development.

(For copy report – see original minutes).

The current version of the Northumbria Exercise Calendar 2011-12 was received and agreed by the Northumbria LRF Business Management Group (BMG) at the meeting on 25th February 2011 together with the Groups updated Terms of Reference and Exercise and Training Policy. The Calendar was presented to the Northumbria LRF Executive on the 16th March 2011 for information. Further editions of the calendar would be published through-out the year in response to any necessary alterations.

35. RESOLVED that the report be noted.

Local Government (Access to Information) (Variation) Order 2006

At the instance of the Chairman, it was:-

36. RESOLVED that in accordance with the Local Government (Access to Information) (Variation) Order 2006 the public be excluded during consideration of the remaining business as it was considered to involve a disclosure of information relating to consultations/negotiations in connection with any labour relations matter arising between the Authority and employees of the Authority (Local Government Act 1972) Local Government (Access to Information) (Variation) Order 2006, Schedule 12A, Part I, Paragraph 4.

(Signed) R. CLARK,
Chairman.

Note:-

The above minutes comprise only those relating to items during which the meeting was open to the public.

Additional minutes in respect of other items are included in Part II.

**TYNE AND WEAR FIRE AND RESCUE AUTHORITY
MEETING: 13TH JUNE 2011**

**MEMBERSHIP OF AUTHORITY, APPOINTMENT TO COMMITTEES AND
APPOINTMENT OF SPOKESMEN FOR 2011/2012****Report of the Deputy Clerk to the Authority**

MEMBERSHIP OF AUTHORITY

The following appointments have been made by the Constituent Authorities to the Fire and Rescue Authority:-

Gateshead M.B.C.	Councillor G. Haley	(Lab.)
	Councillor P. Mole	(Lab.)
	Councillor C. Ord	(Lib.Dem.)
Newcastle City Council	Councillor N. Forbes	(Lab.)
	Councillor D. Ahad	(Lab.)
	Councillor H Stephenson	(Lab.)
	Councillor R. Renton	(Lib.Dem.)
North Tyneside M.B.C.	Councillor C. Gambling	(Lab.)
	Councillor T. Mulvenna	(Lab.)
	Councillor S. Mortimer	(Con.)
South Tyneside M.B.C.	Councillor J. Bell	(Lab.)
	Councillor B. Watters	(Lab.)
Sunderland City Council	Councillor B. Heron	(Lab.)
	Councillor M. Forbes	(Con.)
	Councillor D. Trueman	(Lab.)
	Councillor N. Padgett	(Lab.)

APPOINTMENT OF COMMITTEES AND APPOINTMENT OF SPOKESMEN

The present political balance of 12.2.2 gives a distribution of seats as per Appendix 1 attached.

A copy of the 2010/11 composition of the Authority's Committees and Sub-Committees together with a list of the Authority's spokesmen for 2010/11 is appended at Appendix 2 for information only.

The Authority is reminded of the duty, under the Local Government and Housing Act 1989, to maintain political balance on the Committees and Sub-Committees or to approve “alternative arrangements” pursuant to Section 17 of the 1989 Act. A resolution to approve “alternative arrangements” requires a unanimous decision of the Authority.

Attached at Appendix 3 is the annotated list with appropriate Political balance requirements for 2011/2012 for consideration by Members.

RECOMMENDATIONS

The Authority is recommended to:-

- (i) note the membership of the Authority for 2011/2012;
- (ii) consider the appointment of Members to the Authority’s Committees and Sub-Committees;
- (iii) appoint the Spokesmen for Constituent Councils for the purpose of answering questions from Members of those Councils on the discharge of its functions;
- (v) appoint Lead and Support Member roles;
- (vi) appoint two Members as the Authority’s representatives on the Local Government Association;
- (vii) appoint a Member to the Local Government Association Urban Commission; and
- (viii) appoint two Members and two Substitute Members to the Association of Metropolitan Fire and Rescue Authorities (AMFRA).

BACKGROUND PAPERS

The undermentioned Background Papers refer to the subject matter of the above report:

- Notification received from the Constituent Authorities.

TYNE AND WEAR FIRE AND RESCUE AUTHORITY

APPENDIX 1

Allocation of Committee Seats - June 2011

Authority Composition	total seats	Labour 12		Liberal Dem 2		Conservative 2		totals check 16	
		decimal	seats	decimal	seats	decimal	seats		
Governance Committee#	6	4.5000	5	0.7500	1	0.7500	0	6.0000	6
Policy and Performance Committee	6	4.5000	5	0.7500	0	0.7500	1	6.0000	6
Civil Contingencies	8	6.0000	6	1.0000	1	1.0000	1	8.0000	8
Human Resources	8	6.0000	6	1.0000	1	1.0000	1	8.0000	8
Appointments	7	5.2500	5	0.8750	1	0.8750	1	7.0000	7
Disciplinary Appeals Committee	5	3.7500	4	0.6250	0	0.6250	1	5.0000	5
Personnel Appeals*	6	4.5000	4	0.7500	1	0.7500	1	6.0000	6
Emergency Sub	3	2.2500	2	0.3750	1	0.3750	0	3.0000	3
Totals	49	36.7500	37	6.1250	6	6.1250	6	49.0000	49
								49.0000	

#Also has 3 Independent Members

*Should not be Members of Human Resources Committee

APPENDIX 2

TYNE AND WEAR FIRE AND RESCUE AUTHORITY

COMMITTEE AND SUB-COMMITTEE MEMBERSHIP 2010/11

(A) Authority Committees and Sub Committees

(i) Governance Committee (6 seats – balance 3:2:1)

Independent Chairman	(Mr. G. Cook)
Independent Member	(Mr. I. Paterson)
Independent Member	(Ms. G. Goodwill)
Councillor Haley	(Lab.)
Councillor Bell	(Lab.)
Councillor Charlton	(Lab.)
Councillor Clark	(Lib.Dem.)
Councillor Woodwark	(Lib.Dem.)
Councillor M. Forbes	(Con.)

(ii) Policy and Performance Committee (6 seats – balance 3:2:1)

Councillor Essl	(Lab.)
Councillor N. Forbes	(Lab.)
Councillor Wright	(Lab.)
Councillor Boyes	(Lib.Dem.)
Councillor Huscroft	(Lib.Dem.)
Councillor K Jordan	(Con.)

(iii) Civil Contingencies Committee (8 seats – balance 5:2:1)

Councillor Bell	(Lab.)
Councillor Charlton	(Lab.)
Councillor Mole	(Lab.)
Councillor Trueman	(Lab.)
Councillor Wright	(Lab.)
Councillor Clark	(Lib.Dem.)
Councillor Renton	(Lib.Dem.)
Councillor Jordan	(Con.)

(iv) Human Resources Committee (8 seats – balance 5:2:1)

Councillor Charlton	(Lab.)
Councillor Clare	(Lab.)
Councillor N. Forbes	(Lab.)
Councillor Trueman	(Lab.)
Councillor Wright	(Lab.)
Councillor Boyes	(Lib.Dem.)
Councillor Woodwark	(Lib.Dem.)
Councillor M. Forbes	(Con.)

(v) Appointments Committee (6 seats – balance 4:1:1)

Councillor J. Bell	(Lab)
Councillor Charlton	(Lab.)
Councillor N. Forbes	(Lab.)
Councillor Wright	(Lab.)
Councillor Huscroft	(Lib.Dem.)
Councillor M. Forbes	(Con.)

(vi) Disciplinary Appeals Committee (5 seats – balance 3:1:1)

Chair of the Authority	(Councillor Wright)
Vice-Chair of the Authority	(Councillor N. Forbes)
Chair of Human Resources Committee	(Councillor Charlton)
Liberal Democrat Member	(Councillor Renton)
Conservative Member	(Councillor Huscroft)

(vii) Personnel Appeals Sub-Committee (6 seats – balance 3:1:2)

(N.B. Should not be Members of Personnel Committee)

Councillor Essl	(Lab.)
Councillor Haley	(Lab.)
Councillor Mole	(Lab.)
Councillor Clark	(Lib.Dem.)
Councillor Jordan	(Con.)
Councillor Clark	(Con.)

(viii) Emergency Sub-Committee (3 seats – balance 2:1:0)

Chairman of the Authority	(Councillor Wright)
Vice-Chairman	(Councillor N. Forbes)
Liberal Democrat Member	(Councillor Woodwark)

(B) North East Fire and Rescue Regional Management Board

Member	Substitute	
Councillor Wright	Councillor Essl	(Lab.)
Councillor N. Forbes	Councillor Mole	(Lab.)
Councillor Woodwark	Councillor Renton	(Lib.Dem.)
Councillor M. Forbes	Councillor Jordan	(Con.)

(C) Appointment of Spokesmen

Nominations for spokesmen are required for the purpose of answering questions from Members of the Constituent Councils on the discharge of the Authority's functions:-

Gateshead	-	Councillor Mole
Newcastle	-	Councillor N. Forbes
North Tyneside	-	Councillor Jordan
South Tyneside	-	Councillor Bell
Sunderland	-	Councillor Wright

(D) Lead Member Roles

Nominations are required for Lead Members and Support Members:

(i) Community Engagement and Partnerships

Lead Member	-	Councillor Bell
Support Member	-	Councillor Boyes

(ii) Diversity and Equality

Lead Member	-	Councillor N. Forbes
Support Member	-	Councillor M. Forbes

(iii) Performance Management

Lead Member	-	Councillor Wright
Support Member	-	Councillor Jordan

(E) Local Government Association

Councillor Wright
Councillor N. Forbes

Councillor Haley (substitute)

(F) Local Government Association Urban Commission

Councillor Wright

(G) North East Fire Control Company Limited

Councillor Bell
Councillor Haley
Substitute Member – Councillor Charlton

(H) Association of Metropolitan Fire and Rescue Authorities (AMFRA)

Councillor T. Wright
Councillor N. Forbes
Substitute Members – Councillors Essl and Trueman

TYNE AND WEAR FIRE AND RESCUE AUTHORITY

COMMITTEE AND SUB-COMMITTEE MEMBERSHIP 2011/2012

(A) Authority Committees and Sub Committees

(i) Governance Committee (6 seats – balance 5:1:0)

Independent Chairman	(Mr. G. Cook)
Independent Member	(Mr. I. Paterson)
Independent Member	(Ms. G. Goodwill)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab)
Councillor	(Lab)
Councillor	(Lib. Dem.)

(ii) Policy and Performance Committee (6 seats – balance 5:0:1)

Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Con.)

(iii) Civil Contingencies Committee (8 seats – balance 6:1:1)

Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lib.Dem.)
Councillor	(Con.)

(iv) Human Resources Committee (8 seats – balance 6:1:1)

Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lib.Dem.)
Councillor	(Con.)

(v) Appointments Committee (7 seats – balance 5:1:1)

Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lib.Dem.)
Councillor	(Con.)

(vi) Disciplinary Appeals Committee (5 seats – balance 4:0:1)

Chair of the Authority	(Councillor)
Vice-Chair of the Authority	(Councillor)
Chair of Personnel Committee	(Councillor)
Labour Member	(Councillor)
Conservative Member	(Councillor)

(vii) Personnel Appeals Sub-Committee (6 seats – balance 4:1:1)

(N.B. Should not be Members of Personnel Committee)

Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lab.)
Councillor	(Lib.Dem.)
Councillor	(Con.)

(viii) Emergency Sub-Committee (3 seats – balance 2:1:0)

Chairman of the Authority	(Councillor)
Vice-Chairman	(Councillor)
Liberal Democrat Member	(Councillor)

(B) Appointment Of Spokesmen

Nominations for spokesmen are required for the purpose of answering questions from Members of the Constituent Councils on the discharge of the Authority's functions:-

Gateshead	-	Councillor
Newcastle	-	Councillor
North Tyneside	-	Councillor
South Tyneside	-	Councillor
Sunderland	-	Councillor

(C) Lead Member Roles

Nominations are required for Lead Members and Support Members:

(i) Community Engagement and Partnerships

Lead Member	-	Councillor
Support Member	-	Councillor

(ii) Diversity and Equality

Lead Member	-	Councillor
Support Member	-	Councillor

(iii) Performance Management

Lead Member	-	Councillor
Support Member	-	Councillor

(D) Local Government Association

Councillor
Councillor

(E) Local Government Association Urban Commission

Councillor

(F) Association of Metropolitan Fire and Rescue Authorities (AMFRA)

Councillor
Councillor
Substitute Member - Councillor

MEETING: 13TH JUNE 2011

SUBJECT: DATE, TIME AND VENUE OF FUTURE MEETINGS

**JOINT REPORT OF THE CHIEF FIRE OFFICER, CLERK TO THE AUTHORITY,
THE FINANCE OFFICER AND PERSONNEL ADVISOR**

1 INTRODUCTION

1.1 Members are requested to consider and approve the undermentioned dates for meetings of the Authority and its Committees for the Year 2011/2012. Such meetings will normally be held at 10.30am (unless annotated) at Tyne and Wear Fire and Rescue Service Headquarters, Barmston Mere.

2 PROPOSED MEETING DATES

2.1 The proposed schedule of meetings is as follows:-

FIRE AUTHORITY MEETINGS

18th July 2011
19th September 2011
21st November 2011
19th December 2011 (11.00 am start)
23rd January 2012
20th February 2012
26th March 2012
11th June 2012 (AGM)

GOVERNANCE COMMITTEE

27th June 2011
18 July 2011 (12 noon start)
26th September 2011
19th March 2012
25th June 2012

**CIVIL CONTINGENCIES
COMMITTEE**

25th July 2011
31st October 2011
16th January 2012
2nd April 2012

HUMAN RESOURCES COMMITTEE

11th July 2011
17th October 2011
13th February 2012

**POLICY AND PERFORMANCE
COMMITTEE**

24th October 2011
30th January 2012
30th April 2012

2.2 Attached in Appendix A is the schedule for the Awareness and Development programme 2011/2012 for information. Further detailed agendas will be circulated in the near future. Members are requested to note the dates as attendance is essential.

3 RECOMMENDATIONS

3.1 The Authority is recommended to:

- a) Approve the dates for all future Fire Authority and Committee meetings, and;
- b) Note the Awareness and Development Programme 2011/2012 dates.

BACKGROUND PAPERS

The under mentioned Background Papers refer to the subject matter of the above report:

- Strategic Community Safety Plan 2010 - 2013

Tyne and Wear Fire and Rescue Authority

Fire Authority Members Awareness and Development Programme 2011/2012

Date and Time	Event Details
18 th July 2011	Overview and Induction for New Fire Authority Members
19 th September 2011	Update on Replacement Control Room Project
21 st November 2011	IRMP Update
23 rd January 2012	Future Fire Stations
20 th February 2012	Legislative Update
26 th March 2012	Future of Funding

TYNE AND WEAR FIRE AND RESCUE AUTHORITY**MEETING: 13TH JUNE 2011**

REVENUE BUDGET OUTTURN 2010/2011 AND REVENUE BUDGET FIRST REVIEW 2011/2012

JOINT REPORT OF THE CHIEF FIRE OFFICER AND THE FINANCE OFFICER

1. INTRODUCTION

- 1.1 The Authority's Statement of Accounts for 2010/2011 is currently being prepared and will be presented to the Authority's Governance Committee on 18th July, 2011.
- 1.2 Whilst preparation of the Statement of Accounts is ongoing, and the final outturn position may be subject to change, this report advises Members of the Revenue Budget Outturn position for 2010/2011 as it currently stands, outlining the main areas of variance and any related proposed actions. It is proposed that the Finance Officer, in consultation with the Chief Fire Officer and the Chairman of the Authority, be given delegated authority to take any additional final account decisions beyond those included in this report. If any material changes occur to the position now outlined, these will be reported to the Authority.

2. REVENUE OUTTURN 2010/2011

- 2.1 A summarised Revenue Budget Outturn is shown at Appendix A. This Outturn statement shows spend against both the original and revised budget. A small number of issues have still to be resolved, and it is possible that the Outturn position will change as the Statement of Accounts is progressed, though any changes are unlikely to have a material impact on the Authority's position.
- 2.2 It should be noted that the Outturn statement does not include provision for charges associated with compliance with the International Accounting Standard IAS 19 (formerly FRS 17), which deals with accounting for pensions, and which has an overall neutral effect on the financial position of the Fire Authority, in accordance with the Statement of Recommended Practice. Adjustments relating to charges associated with compliance with IAS 19 will be reflected in the Authority's Statement of Accounts.

Outturn Position

- 2.3 The Third Review, reported to Members in January 2011, identified a neutral position. At the same time, the report identified a provision for the purchase of vehicles due to the outcome of recent option appraisals where the best value option was to purchase outright. This also provides additional flexibility when profiling replacement vehicles in the future.
- 2.4 The Revenue Budget Outturn for 2010/2011 shows a net under spend of £0.199 million (an increase of £0.199 million from the Third Review) This net underspend reflects the following:
- underspendings on various budget headings, detailed at paragraph 2.5;
 - the proposed transfers to earmarked reserves, detailed at paragraphs 2.8 to 2.12;
 - the proposed carry forward of delegated budget surpluses, detailed at paragraph 2.8.

Main Variances

- 2.5 The main areas of variance from the Third Review are detailed below. Where relevant, this includes a brief assessment of any ongoing impact into 2011/2012. A full base budget review will be undertaken when setting the 2012/2013 budget later in this financial year, and this will take full account of the variances identified below.
- Employee Costs (£685,000 underspend) – the main area of underspend is a freeze on filling vacancies in response to the Spending Review 2010 and the Provisional Local Government Finance Settlement 2011/2012. There has also been an increase in the number of retirements and the effect of managing some of the changes to operational staffing requirements has also contributed to the underspend.
 - Firefighter Ill Health Retirements (£83,000 underspend) – as reported at Third Review, there had been no Ill Health retirements to date in 2010/2011. This position has not changed at the year end.
 - Premises (£105,000 underspend) – the main area of underspend relates to utility costs where, given the significant volatility in market prices in recent years, the Authority had taken a prudent approach to the expected level of price increases when setting the budget for 2010/2011. The price increase was less than anticipated and energy efficiency measures have also contributed to the level of underspend.

- Transport (£108,000 underspend) – the Authority carries out a full option appraisal when deciding how to finance assets purchased through the Vehicle Replacement Programme. In 2010/2011, a number of vehicles that had been anticipated to be leased were purchased following an options appraisal exercise which identified this was the best value option for the Authority. This has resulted in an underspend on the leasing budget. The impact of this underspend will be ongoing into 2011/2012, as noted in the 2011/2012 Revenue Budget First Review, at paragraph 3.2.
- Supplies (£153,000 underspend) – the Authority had set aside budget to fund special one off items including the purchase of winter tyres and Personal Protection equipment. These purchases have been able to be managed from within Budget Managers delegated budgets resulting in an underspend.
- Insurances (£40,000 underspend) – supported by the lead authority, the Authority has been successful in recent years in reducing its risk and exposure to insurance claims. As a result, the cost of insurances during 2010/2011 was lower than the budget. The budget for 2011/2012 was set taking account of a reduction in insurance costs.
- Capital Financing (£2,101,000 planned overspend) – After taking into account reported slippage of £429,000, capital financing has been increased to facilitate the planned purchase of a number of vehicles including 9 fire tenders and an Aerial Ladder Platform. Consequently a provision of £1,491,000 had been set aside from the previous revenue reviews in order to contribute to the anticipated purchase of these vehicles. This has resulted in ongoing revenue savings through reduced leasing payment in year and for future years.
- Interest Payable (£136,000 underspend) – all borrowings are undertaken on the authority's behalf by the lead authority, and following a restructuring of its debt portfolio, the lead authority delivered lower borrowing costs than originally anticipated.
- Fees and Charges (£108,000 over recovery) – as reported at the Second Review the Authority had anticipated an under recovery of income from its conferencing and training facilities due to the economic difficulties felt by many organisations. This under recovery however has not materialised and income levels have matched the targets originally set.
- Grants (£68,000 over recovery) – the Authority's amount of New Dimension Grant received was greater than originally anticipated due to additional funds being awarded for training for Urban Search and Rescue and Detection, Identification and Monitoring of unknown substances.

- Other Variances (£214,000 underspend) – a number of minor variances have arisen during the year including a small underspend on the Carbon Management Plan due to delays in the implementation of the project.

Vehicle Purchases

- 2.7 As reported in the Capital Programme Outturn report on this agenda following the completion of an option appraisal, Vehicles have been purchased totalling £2,390,000. The cost of the vehicles has been met by an increased Revenue Contribution to Capital.

Earmarked Reserves

- 2.8 Earmarked reserves are funds that are set aside to meet costs of specific purposes in future financial years. Such reserves ensure that the Authority can adopt and operate a more flexible approach to budget management and meet cost pressures of committed and known future service costs.

Budget Carry Forward Reserve

- 2.9 A statement showing the movement on earmarked reserves is provided at Appendix B, for information. The main movement is in relation to the Budget Carry Forward Reserve, where funding has been drawn down during 2010/2011 to match against expenditure slipped from 2009/2010.
- 2.10 In addition, it is proposed to fund the slippage of specific items of revenue expenditure from 2010/2011 into 2011/2012, by transferring £608,000 into this reserve, as follows:
- £554,000 in respect of Revenue Contributions to Capital Outlay, and;
 - £54,000 in respect of delegated budgets.

Paragraph 2.5 Capital Financing also includes slippage on the Capital Programme of £429,000, and it is proposed to transfer this amount to the Budget Carry Forward Reserve to ensure that these costs are funded in 2011/2012.

There have been a range of under spends on delegated budgets, as outlined at paragraph 2.5. Following a thorough review, the Chief Fire Officer has identified key priorities, totalling £197,000, within this underspend that still need to be delivered during 2011/2012, and it is proposed to transfer this sum to the Budget Carry Forward Reserve, in order to meet these costs which include:

- ICT software assurance (£92,000);
- Protective clothing (£100,000), and;
- Sunderland North Station Feasibility Study (£5,000)

Other Proposed Transfers to Reserves

Organisational Change Reserve

- 2.11 In order for the Authority to operate effectively in the future and taking into account the likely significant grant reductions an Organisational Change Review is to be carried out by the Authority in 2011/2012. It is proposed to set aside £600,000 to fund the costs of the organisational implications which this initiative will entail.

3. REVENUE BUDGET 2011/2012

- 3.1 Regular monitoring of the budget continues to take place and, whilst the full impact of the Outturn on last year's budget and current spending against budgets is still being evaluated, some initial commentary is included at paragraph 2.5 above.

Leasing Charges

- 3.2 An underspend of £552,000 was recorded in 2010/2011 following slippage within the Vehicle Replacement Programme and from the purchase of vehicles that had originally been deemed to be financed through lease arrangements. The ongoing impact of this position has been assessed, and an anticipated saving of approximately £165,000 will arise in 2011/2012, the balance of the 2010/2011 underspend having already been reflected in the 2011/2012 Original Budget when this was approved in February 2011.

Earmarked Reserves

- 3.3 The position with regard to the use of earmarked reserves during 2011/2012 will be reported to Members throughout the year.

4. GENERAL BALANCES

- 4.1 Appendix C shows the movement of balances within 2010/2011 and the estimated balance as at 31st March 2011, taking account of the provisional Outturn position. This statement also includes an update on the estimated level of balances at 31st March 2012.
- 4.2 Based on the financial risk profile of the Authority, it has been reported previously that it is considered appropriate to retain uncommitted general balances of around 5% of the revenue budget, which for 2011/2012 equates to approximately £2.968 million. The level of uncommitted balances as at 31st March 2011 is £3.336 million, and takes into account increased uncertainty in respect of future reduced grant settlements and is considered appropriate in this context.

5. RECOMMENDATIONS

5.1 Members are requested to:-

- note the Revenue Budget Outturn for 2010/2011, detailed at paragraph 2.4;
- note the sums earmarked within the Budget Carry Forward Reserve and the proposed transfers to other earmarked reserves at paragraphs 2.8 to 2.10 and at Appendix B;
- note the position with regard to the Revenue Budget for 2011/2012 detailed at section 3;
- note the Balances position detailed at paragraph 4.2 and at Appendix C;
- give delegated authority to the Finance Officer, in consultation with the Chief Fire Officer and the Chairman of the Authority to take any additional final accounts decisions in order to maximise the financial position of the Authority.

OUTTURN STATEMENT - 2010/2011

Appendix A

	2010/2011 Original Estimate £000	2010/2011 Revised Estimate £000	2010/2011 Actual Outturn £000	2009/2010 Actual Outturn £000
Fire Fighting and Rescue Operations	57,189	52,810	51,689	55,245
Fire Service Emergency Planning	0	0	(52)	4
Corporate and Democratic Core	346	346	303	317
Non Distributed Costs	579	579	575	500
Net Cost of Services	58,114	53,735	52,515	56,066
(Gain) / loss on Disposal	0	0	3,010	98
Cleaning DSO	0	0	(16)	(4)
Interest Payable	811	2,884	2,786	522
Contingencies	661	0	0	0
Interest on Balances	(120)	(120)	(111)	(112)
Pension Interest Cost and Expected Return on Pension Assets	0	0	0	0
Net Operating Expenditure	59,466	56,499	58,184	56,570
Capital Financing:				
Reversal of Capital Charges and Impairments	(1,800)	(2,351)	(2,425)	(1,961)
Minimum Revenue Provision	706	1,255	1,312	737
Revenue Contribution to Capital Outlay	1,448	3,440	3,871	4,683
Reversal of Loss on Disposal of Fixed Assets	0	0	(3,010)	(98)
	59,820	58,843	57,932	59,931
Contribution to Capital Reserves	0	0	0	(27)
Contribution to FRS 17 Pension Reserve	0	0	0	0
Contribution to / (from) Earmarked Reserves	(455)	(1,094)	(774)	(2,508)
Proposed Transfer to Earmarked Reserves	0	1,616	2,008	1,316
	59,365	59,365	59,166	58,712
Revenue Support Grant, Non Domestic Rates, Collection Fund and Precepts	(59,365)	(59,365)	(59,365)	(58,714)
	0	0	(199)	(2)
EPU/COMAH/DSO (Increase)/Reduction to Balances	0	0	(67)	0
General Fund Balance Brought Forward	(3,070)	(3,070)	(3,070)	(3,068)
General Fund Balance Carried Forward	(3,070)	(3,070)	(3,336)	(3,070)

Appendix B

Statement of Major Reserves and Provisions – Movement during 2010/2011

Title and Purpose of Earmarked Reserve	Opening Balance (1.4.10)	Transfers from Reserve / Provision	Transfers to Reserve / Provision	Closing Balance (31.3.11)
	£'000	£'000	£'000	£'000
<p>Insurance Reserve</p> <p>Reserve held to protect the Authority from unexpected volatility from changes in legislation that could be retrospective, unknown exposures that may arise in the future, and to cover a possible shortfall in the eventual settlement against MMI.</p>	707	0	180	887
<p>Development Reserve</p> <p>Reserve created to fund medium term and long term capital and revenue developments.</p>	14,703	0	0	14,703
<p>Early Retirements Reserve</p> <p>Reserve to cover future compensatory added years payments associated with an early retirement during 2002/2003. This ensures no ongoing revenue implications.</p>	44	(3)	0	44
<p>PFI Smoothing Reserve</p> <p>Reserve established to smooth the impact of the PFI scheme on the Authority's revenue budget over the 25 year life-span of the scheme.</p>	4,794	(167)	0	4,794

Title and Purpose of Earmarked Reserve	Opening Balance (1.4.10)	Transfers from Reserve / Provision	Transfers to Reserve / Provision	Closing Balance (31.3.11)
	£'000	£'000	£'000	£'000
<p>Contingency Planning Reserve</p> <p>Reserve to enable appropriate contingency arrangements to be put in place to ensure continued service delivery.</p>	2,250	0	0	2,250
<p>Budget Carry Forward Reserve</p> <p>Established to fund the slippage of specific items of revenue expenditure.</p>	795	(598)	608	805
<p>New Dimensions Reserve</p> <p>Reserve to be used in future years to provide for any adverse effect of potential changes in grant arrangements and to provide resources to support delivery of the Urban Search and Rescue response.</p>	363	(66)	85	382
<p>Community Safety Reserve</p> <p>Reserve to deliver community safety initiatives in future years.</p>	250	0	0	250
<p>Civil Emergency Reserve</p> <p>Reserve to enable the Authority to respond to a catastrophic event, locally or nationally.</p>	200	0	0	200
<p>Regional Control Centre (RCC) Reserve</p> <p>Reserve was originally set up to provide a means of offsetting any costs associated with the RCC. The RCC project has been scrapped but the reserve is still required to facilitate the future delivery of the Mobilising function as the current Mobilising system needs to be replaced.</p>	350	0	0	350

Title and Purpose of Earmarked Reserve	Opening Balance (1.4.10)	Transfers from Reserve / Provision	Transfers to Reserve / Provision	Closing Balance (31.3.11)
	£'000	£'000	£'000	£'000
<p>Carbon Management Plan Reserve</p> <p>Reserve established to implement Carbon Reduction Plan developed in partnership with the Carbon Trust and Fire and Rescue Authorities. This investment will make future savings in both carbon emissions and energy bills</p>	600	(45)	0	555
<p>Equality and Diversity Reserve</p> <p>Reserve established to enable the evaluation of a number of capital schemes to support the Authorities commitment to achieve higher equality and diversity ethnic recruitment targets</p>	200	(99)	0	101
<p>Organisational Change Reserve</p> <p>Reserve covers expected costs following a review of the organisational changes required for the Authority to operate more effectively.</p>	0	0	600	600
<p>Insurance Provision</p> <p>The provision covers certain insurance risks up to agreed limits.</p>	438	(264)	0	174

Statement of General Balances

	£'000
Balance as at 1st April 2010	3,070
First Review 2010/2011:	
- Underspend on Leasing Budget	256
Second Review 2010/2011:	
- Underspend on Employee Budget	861
- Underspend on Premises Budget	60
- Underspend on Supplies and Services Budget	39
- Underspend on Leasing Budget	124
- Overspend on RCCO Budget	(5)
- Under recovery of Income Budget	(108)
- Estimated Provision for purchase of vehicles	(1,227)
Third Review 2010/2011:	
- Underspend on Debt Charges	200
- Underspend on Supplies and Services Budget	15
- Underspend on Leasing Budget	64
- Underspend on RCCO Budget	110
- Transfer to Earmarked Reserves	(125)
- Estimated Provision for purchase of vehicles	(264)
Outturn Position 2010/2011:	
-Variation reported at Outturn	199
- Other Delegated Surpluses (EPU, COMAH, DSO)	67
Estimated Balance as at 31st March 2011	3,336
First Review 2011/2012:	
- Underspend on Leasing budget	165
Estimated Balance as at 31st March 2012	3,501

TYNE AND WEAR FIRE AND RESCUE AUTHORITY

MEETING: 13TH JUNE 2011

CAPITAL PROGRAMME OUTTURN 2010/2011 AND CAPITAL PROGRAMME FIRST REVIEW 2011/2012

JOINT REPORT OF THE CHIEF FIRE OFFICER AND THE FINANCE OFFICER

1. INTRODUCTION

- 1.1 The original Capital Programme for 2010/2011 was approved at the Authority meeting on 22nd February 2010.
- 1.2 The purpose of this report is to present the provisional capital outturn for 2010/2011, highlighting the main variances from the 2010/2011 Capital Programme Third Review, and to review the current year's programme to reflect the actual outturn 2010/2011 position and other changes, since the original programme was approved.

2. OUTTURN 2009/2010

- 2.1 The provisional outturn position on expenditure and resources for 2010/2011 is summarised below:

	Third Review (January)	Outturn
	£	£
Expenditure - Continuing Projects 2009/2010	713,880	550,492
- Projects Commencing 2010/2011	1,236,231	951,373
	1,950,111	1,501,865
Vehicle Replacement Programme (purchased due to the best value option being the outcome of an option appraisal)	2,601,500	2,390,196
	4,551,611	3,892,061
Resources - Contribution from Revenue / Reserves	4,351,611	3,870,811
- Other Capital Grant	0	21,250
- Fire Capital Grant	200,000	0
	4,551,611	3,892,061

2.2 The Capital Programme outturn for 2010/2011 reflects a reduction in spending of £659,550 from £4,551,611 (reported to Members in January 2011) to £3,892,061, which has arisen as a result of the following:

2.2.1 Minor net overspends relating to a number of vehicles and schemes completed during 2010/2011 amounting to £46,000.

2.2.2 The addition to the programme of schemes costing £88,503 relating to the purchase of Printers and Software (£42,127) and Vehicles Radio Equipment (£46,376).

2.2.3 Net slippage from 2010/2011 to 2011/2012 of £794,053 as follows:

- £30,000 approved by Members in February 2011 after Third Review relating to Works arising from the Stock Condition Survey in relation to external security doors where payment is delayed until works are completed to a satisfactory standard.
- £365,500 reprofiling of the Vehicle Replacement Programme as replacement of the non Operational vehicle fleet has been delayed pending the outcome of a full review of requirements.
- £398,553 net slippage on Capital projects as detailed below:

IT Equipment – £165,900

- New and Replacement Hardware (£60,000) – procurement of the hardware for the next phase of the Miquet Asset Management System is dependant upon a successful pilot on a fire station. The timescale for this pilot has slipped due to the limited availability of resources to plan and undertake the pilot scheme. It is expected that the pilot will commence in the near future and will be evaluated later this year to allow procurement of the hardware towards the end of the financial year 2011/2012 if successful.
- Network and Communications Infrastructure Development (£30,000) – Data Bearer is currently on order following a full tender process.
- Software and Supporting Systems (£34,360) - HR/ MIS system development works are currently being scoped.
- Smart Cards (£34,040) - delivery of the Smart Cards has been delayed due to the manufacturer going out of business. The contractor has now identified another suitable manufacturer and the Authority is currently undertaking a trial of the cards which is expected to conclude by the end of May 2011. Following a successful trial, the cards will go into production and should be delivered in the second quarter of 2011/2012.
- Other IT equipment (£7,500) - slippage has arisen on a number of other minor schemes.

Operational Equipment - £100,746

- Fireground Radios (£68,427) – the equipment is still being evaluated by the Service Working Group and the procurement decision has not yet been agreed.
- Other Operational Equipment (£32,319) – slippage has arisen on a number of other schemes.

Estates - £131,907

- NEFRA Groundworks at Tynemouth (£48,500) – payment will be made when the final account for the replacement of Station 32 is agreed and settled with the PFI Contractor.
- Work arising from the Stock Condition Survey (£24,686) – contractor works for the replacement of external security doors (estate wide) programme was deemed unsatisfactory, therefore a further payment has been delayed until the works are completed to an acceptable standard.
- Carbon Management Plan (£39,375) - work on Carbon Management Plan projects have been delayed as a result of the recommendations of the external advisor relating to the Voltage Optimisation project. Alternative projects are now being planned & progressed following the decision not to carry out this particular project. The order for the Virtualisation project has been placed but the supplier was unable to deliver before the end of the financial year.
- Other (£19,346) – slippage has arisen on a number of other schemes.

2.3 The funding for all schemes that have slipped will be carried forward into 2011/2012 through the Budget Carry Forward Reserve to meet the costs as they arise.

3. CAPITAL PROGRAMME FIRST REVIEW - 2011/2012

3.1 The position for 2011/2012 is set out at Appendix A, and summarised below:

	Original Estimate (February) £	Revised Estimate (June) £
Expenditure - Continuing Projects 2010/2011 - Projects Commencing 2011/2012	357,285	723,519
	852,182	884,501
	1,209,467	1,608,020
Resources - Contribution from Revenue - Fire Capital Grant - Diversity and Equality Grant	974,985	1,373,538
	200,000	200,000
	34,482	34,482
	1,209,467	1,608,020
Vehicle Replacement Programme (subject to an options appraisal to determine how these will be financed)	2,161,500	2,527,000
	3,370,967	4,135,020

Capital Programme

3.2 The Capital Programme has been increased by £764,053 from £3,370,967 (as approved by Members in February 2011) to £4,135,020.

Creating the Safest Community

4. PRUDENTIAL INDICATORS

- 4.1 The prudential indicators, set during the budget process, are currently being reviewed in the light of the provisional capital outturn. Any amendments to these indicators will be reported upon at the 2011/2012 Capital Programme Second Review.

5. RECOMMENDATIONS

- 5.1 Members are requested to approve the revised Capital Programme for 2011/2012 as set out at Appendix A in light of the provisional capital outturn 2010/2011.

TYNE AND WEAR FIRE AND RESCUE AUTHORITY
CAPITAL PROGRAMME 2011/2012 TO 2013/2014

SUMMARY

Project Description	Gross Cost £	Expenditure to 31.3.11 £	Estimated Payments		
			2011/12 £	2012/13 £	2013/14 £
FIRE SERVICE					
Continuing Projects	1,902,510	851,256	723,519	267,735	60,000
Projects Commencing 2011/2012 and Future Years	3,417,183	0	884,501	1,983,082	549,600
	5,319,693	851,256	1,608,020	2,250,817	609,600
EMERGENCY PLANNING	0	0	0	0	0
	5,319,693	851,256	1,608,020	2,250,817	609,600
VEHICLE REPLACEMENT PROGRAMME					
Fire Services-Vehicles	4,350,500	0	2,527,000	663,500	1,160,000
TOTAL CAPITAL EXPENDITURE	9,670,193	851,256	4,135,020	2,914,317	1,769,600

TYNE AND WEAR FIRE AND RESCUE AUTHORITY
CAPITAL PROGRAMME 2011/2012 TO 2013/2014

Project Description	Gross Cost £	Expenditure to 31.03.2011 £	Estimated Payments		
			2011/12 £	2012/13 £	2013/14 £
Continuing Projects					
Estates					
Communications/network (08/09)	202,550	161,010	41,540	0	0
New and Replacement Hardware (10/11)	255,445	195,445	60,000	0	0
Network & Comms Infrastructure Development (10/11)	30,000	0	30,000	0	0
New Software & Supporting Systems (10/11)	67,903	33,543	34,360	0	0
Operational Equipment					
Fireground Radios	156,712	88,285	68,427	0	0
Estates					
Non PFI Station Refurbishment	234,216	164,216	70,000	0	0
Works arising from Stock Condition Survey	362,850	158,164	84,686	60,000	60,000
Other schemes (less than £100,000)	83,500	15,654	67,846	0	0
Carbon Management Plan	509,334	34,939	266,660	207,735	0
	1,902,510	851,256	723,519	267,735	60,000
Projects Commencing 2011/2012 and Future Years					
IT Equipment					
New and Replacement Hardware	431,000	0	117,000	117,000	197,000
Network & Comms Infrastructure Development	232,000	0	120,000	0	112,000
New Software & Supporting Systems	283,000	0	103,000	80,000	100,000
Replacement Command and Control System	1,000,000	0	0	1,000,000	0
Operational Equipment					
Operational Equipment	312,019	0	102,819	68,600	140,600
Estates					
Appliance bay doors/lighting programme for all Stations	122,700	0	122,700	0	0
Temperature Control System - Hot Fire Structures	246,000	0	123,000	123,000	0
West Denton - General refurbishment/decoration	300,000	0	40,000	260,000	0
Low Activity Station Project	300,000	0	0	300,000	0
Other schemes (less than £100,000)	190,464	0	155,982	34,482	0
	3,417,183	0	884,501	1,983,082	549,600
	5,319,693	851,256	1,608,020	2,250,817	609,600

TYNE AND WEAR FIRE AND RESCUE AUTHORITY

CAPITAL PROGRAMME 2011/2012 TO 2013/2014

Project Description	Gross Cost £	Estimated Payments To be leased		
		2011/12 £	2012/13 £	2013/14 £
VEHICLE REPLACEMENT PROGRAMME				
SLIPPED FROM 2010/2011 PROGRAMME				
2 Operational Support Units	300,000	300,000		
1 Special Rescue Tender	200,000	200,000		
1 Staff Car	17,500	17,500		
1 Minibus	22,000	22,000		
1 Panel Van (small)	20,000	20,000		
2 Panel Vans (large)	50,000	50,000		
16 Vans/Cars (small)	136,000	136,000		
10 Vans/Cars (large)	120,000	120,000		
2011/2012 PROGRAMME				
5 Water Tenders	875,000	875,000		
1 Aerial Ladder Platform	600,000	600,000		
1 Staff Car	17,500	17,500		
3 vans/cars (small)	25,500	25,500		
2 Vans/Cars (large)	24,000	24,000		
1 Van/Car (specialist)	12,500	12,500		
1 Minibus	22,000	22,000		
3 Panel Vans (small)	60,000	60,000		
1 Panel Van (large)	25,000	25,000		
2012/2013 PROGRAMME				
4 Water Tenders	525,000		525,000	
1 vans/cars (small)	8,500		8,500	
9 Vans/Cars (large)	108,000		108,000	
1 Minibus	22,000		22,000	
2013/2014 PROGRAMME				
6 Water Tenders	1,050,000			1,050,000
2 Minibus	50,000			50,000
4 Vans/Cars (large)	60,000			60,000
	4,350,500	2,527,000	663,500	1,160,000

MEETING: 13 JUNE 2011

SUBJECT: ANNUAL GOVERNANCE REVIEW 2010/2011**JOINT REPORT OF THE CHIEF FIRE OFFICER, CLERK TO THE AUTHORITY,
THE FINANCE OFFICER AND PERSONNEL ADVISOR**

1 INTRODUCTION

- 1.1 The purpose of this report is to provide details of the findings of the 2010/2011 Annual Governance Review and seek approval to the Annual Governance Statement, prior to its incorporation in the Statement of Accounts.

2 BACKGROUND

- 2.1 In 2001 the Society of Local Authority Chief Executive's (SOLACE) and the Chartered Institute of Public Finance and Accountancy (CIPFA) jointly published '*Corporate Governance in Local Government: A Keystone for Community Governance Framework and Guidance Note*'. In line with the guidance contained in this document the Authority introduced its first local Code of Corporate Governance (the Code), which was approved by Members in 2003.
- 2.2 Annual reviews of the Code have taken place to ensure that it remains up to date and effective. Minor updates to the Code have also been carried out to address any issues identified during the reviews. The Code was last updated in June 2010.

3 THE REVISED FRAMEWORK: DELIVERING GOOD GOVERNANCE IN LOCAL GOVERNMENT

- 3.1 In 2004, the Independent Commission on Good Governance in Public Services and the Chartered Institute of Public Finance and Accountancy (CIPFA), in partnership with the Joseph Rowntree Foundation, published a set of common principles that it would wish all public sector organisations to adopt. The commission recommended a common governance standard for public services similar to the private sector's Combined Code, namely the Good Governance Standard for Public Service. This builds on the existing principles for the conduct of individuals in public life by setting out six core principles that should underpin the governance arrangements of all bodies.

The principles are:

- a clear definition of the body's purpose and desired outcomes;
- well-defined functions and responsibilities;
- an appropriate corporate culture;
- transparent decision making;
- a strong governance team;
- real accountability to stakeholders.

3.2 Further to this, in June 2007, SOLACE/CIPFA issued a new framework and associated guidance on corporate governance, entitled 'Delivering Good Governance in Local Government'. In the new framework, these six core principles have been adapted for the local authority context. The principle of leadership has been developed to emphasise the role of authorities in 'leading' their communities and therefore this concept 'overarches' the other principles.

3.3 The framework identifies four key roles of a local authority, as follows:

- To engage in effective partnerships and provide leadership for and with the community;
- To ensure the delivery of high quality local services whether directly or in partnership or by commissioning;
- To perform a stewardship role which protects the interests of local people and makes the best use of resources;
- To develop citizenship and local democracy.

3.4 These four roles are to be borne in mind when considering the six core principles of good governance, as defined in the framework:

- Focusing on the purpose of the authority and on outcomes for the community, and creating and implementing a vision for the local area;
- Members and officers working together to achieve a common purpose with clearly defined functions and roles;
- Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour;
- Taking informed and transparent decisions which are subject to effective scrutiny, and managing risk;
- Developing the capacity and capability of members and officers to be effective;
- Engaging with local people and other stakeholders to ensure robust public accountability.

- 3.5 The framework does advocate that, in order to review current arrangements, authorities should take the following steps:
- Consider the extent to which the authority complies with the principles and requirements;
 - Identify systems, processes and documentation that provide evidence of compliance;
 - Identify the individuals and committees responsible for monitoring and reviewing the systems, processes and documentation identified;
 - Identify the issues that have not been addressed adequately in the authority and consider how they should be addressed;
 - Identify the individuals who would be responsible for undertaking the actions required and plan accordingly.
- 3.6 The framework document is intended to be followed as best practice for developing and maintaining a local code of corporate governance and for discharging accountability for the proper conduct of public business through the publication of an Annual Governance Statement (AGS), and the Authority is now required to publish its fourth AGS with the 2010/2011 Statement of Accounts.
- 3.7 The CIPFA Finance Advisory Network has also issued detailed practical guidance on meeting the requirements of the AGS. The AGS must be supported by a comprehensive assurance gathering process and as a result of this the Chief Fire Officer can confirm that an audit (undertaken during January to April 2011) of this process confirmed the arrangements in place were good.

4 2010/2011 ANNUAL GOVERNANCE REVIEW

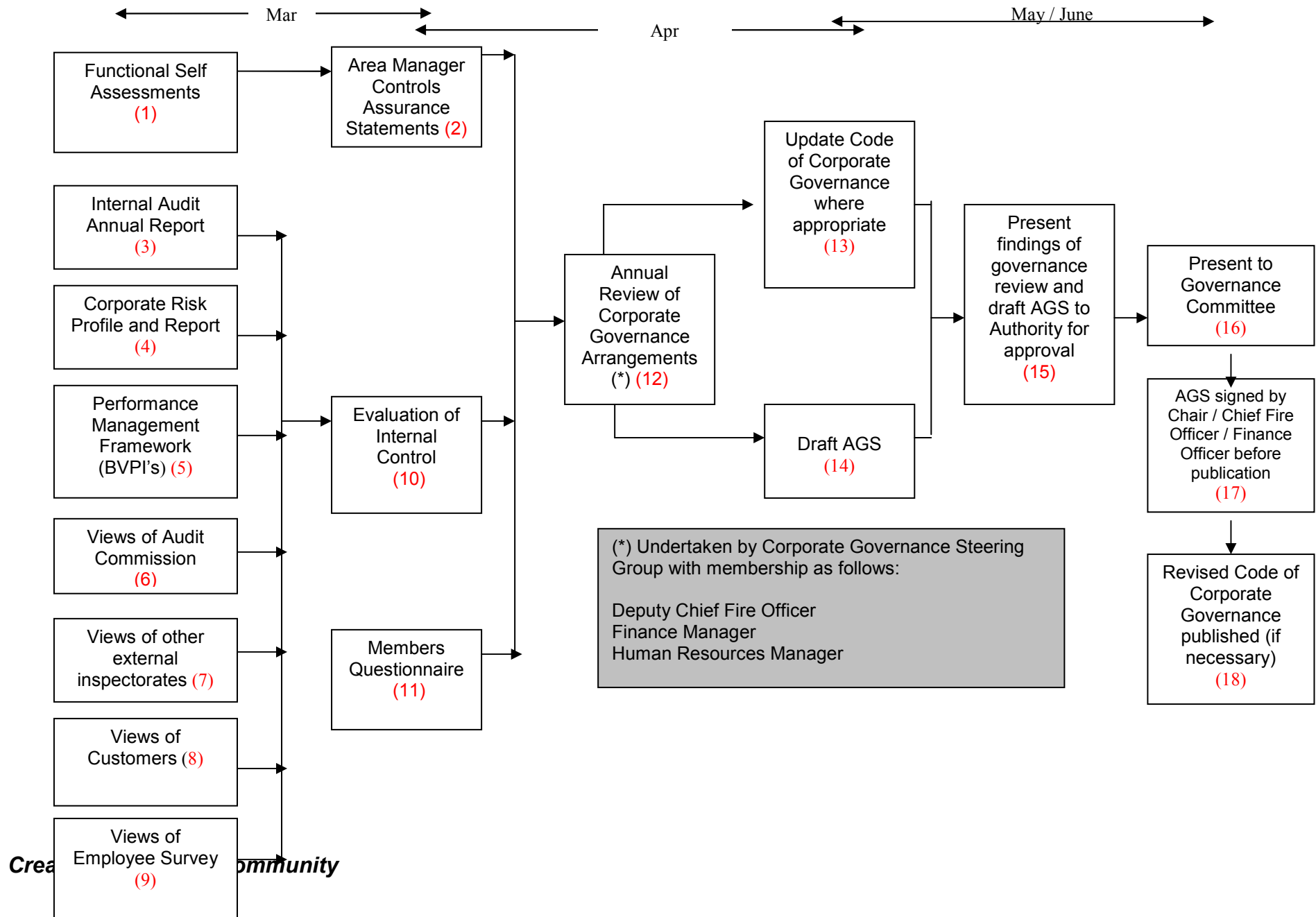
- 4.1 The review was undertaken by the Corporate Governance Steering Group whose membership is as follows:
- Deputy Chief Fire Officer ;
 - Finance Manager;
 - Human Resources Manager.

4.2 The review followed the agreed methodology, which comprises the following stages:

- Completion of Functional Self Assessments (covering all areas);
- Completion of Area Manager Controls Assurance Statements;
- Completion of a Members Questionnaire;
- Completion of an Officer's questionnaire;
- Detailed analysis and evidencing of internal control arrangements;
- Undertaking a Corporate Governance Steering Group Review Workshop;
- Preparation of an Action Plan to address any issues identified, including revision of the local Code of Corporate Governance as required;
- Drafting an Annual Governance Statement and Governance Review Report and presenting this to the Strategic Management Team;
- Presenting the Annual Governance Statement and Governance Review Report to the Governance Committee;
- Presenting the Annual Governance Statement and Governance Review Report to the Fire and Rescue Authority; and
- Chair of Fire and Rescue Authority, Chief Fire Officer and Finance Officer to sign Annual Governance Statement.

The above stages are set out diagrammatically below.

PREVENTING PROTECTING RESPONDING



- 4.3 **Functional Self Assessments (1)** - Governance and control self-assessments were completed by all Area Managers. The self-assessments cover compliance with the existing Authority Code of Corporate Governance, as well as key internal control arrangements within each service, and require evidence to be cited in relation to each question, and any significant plans for improvement within their area to be recorded.
- 4.4 **Area Manager Controls Assurance Statements (2)** - Each Area Manager personally signed a Controls Assurance Statement having reviewed the information and views compiled through the self assessment process to come to an opinion on the governance arrangements and internal control environment within their areas of responsibility. The completed functional self-assessments and Controls Assurance Statements were then considered by the Corporate Governance Steering Group (The Group).
- 4.5 **Evaluation of Internal Control Arrangements (10)** - The Authority's internal control arrangements were assessed in line with guidance from CIPFA's Financial Advisory Network.
- 4.6 **Views of Elected Members (11)** - The views of all Elected Members were sought via a questionnaire. Responses were received from 8 Members (69% return which is an increase from the 54% return of last year) and these were considered by the Group.
- 4.7 **Annual Review (12)** - The Group considered all aspects of corporate governance and supporting documentation including the existing Code of Corporate Governance to identify the areas that need to be amended to bring the Code in line with the new framework. Consequently the Group were able to form a view on the adequacy of the Authority's overall governance arrangements for incorporation in the Annual Governance Statement. Members are asked to note that the process was subject to a review by internal audit this year who concluded that the arrangements in place were good.

5 FINDINGS OF THE CORPORATE GOVERNANCE STEERING GROUP

- 5.1 Functional Self Assessments and Area Manager Controls Assurance Statements were examined to ensure that all documents had been completed in full and to identify any issues of significance.
- 5.2 It was noted that all Area Managers have identified some future plans for improvement to their governance and control arrangements. The future plans for improvement were summarised and issues highlighted to identify any which were significant in terms of the Authority's overall governance and control environment.

- 5.3 However, a large proportion of the future plans for improvement related to tasks which are already ongoing or which have already been included in existing service plans. In addition, a number of actions were included which were purely function based and not significant in terms of the Authority's overall governance and control environment. It was considered that none of the future plans for improvement are such that they would cause any concern regarding the adequacy of the current overall governance and control arrangements. Notwithstanding the above, some of the future plans for improvement are newly identified actions resulting directly from the annual governance review, which have corporate significance, and therefore have been included in the revised Code of Corporate Governance as actions to be addressed.
- 5.4 The Annual Internal Audit Report was considered by the Group and it was noted that the report indicates that the work undertaken during 2010/2011 did not identify any matters material to the overall control environment of the Authority. There is an agreed scheme in place for the audit of key financial and non-financial systems. Findings of audits of these systems this year were analysed with findings from previous years to enable an opinion to be formed on these systems.

One of the requirements of the Accounts and Audit (Amendment) (England) Regulations 2006 is for the Authority to have an independent review of the effectiveness of its system of internal audit once a year (in line with the CIPFA Code or Practice for Internal Audit), and for the findings of this review to be considered as part of the procedure for drafting the AGS.

- 5.5 The Corporate Risk Profile was considered by the Group and of the 15 corporate risks faced by the Authority, the following should be noted:
- Nine are now considered sufficiently significant to warrant close monitoring by the Corporate Risk Management Group, these will be subject to continual analysis and review during 2011/12;

Four risks are considered 'High Priority'.

The four high priority areas have been identified as follows:

1. Failure to effectively and safely deploy and manage operational staff and resources at incidents leading to staff and public being exposed to unnecessary risk.
2. Risk that a spending decision of one of our partners has a detrimental impact on the delivery of some of our services, e.g Safetyworks, etc.
3. Risk that spending and policy decisions of one of our partners has a detrimental impact on our collaborative work.
4. Risk that the spending review will reduce the allocation of funds thereby having a detrimental impact on our ability to deliver services to the same standard.

The Risk Manager has developed an action plan to manage and mitigate each risk. Where appropriate these actions have been included in the annual operating plans of the appropriate departments for action as necessary.

5.6 In addition, the Authority's performance management framework was considered with the main issues being:

- Improving performance through a range of improvement activities and evaluation to target specific risks;
- Improved understanding of performance and risk through partnership working to develop realistic targets and strengthen accountability at a local level;
- Further develop the linkages ("golden thread") between key objectives/key themes supported by District Plans and improved information systems;
- Reviewing and improving the Performance Management Framework to deliver the community safety agenda and provide value for money.

Plans are in place to address all of the above issues and none are considered significant in terms of the Authority's overall governance and control arrangements.

5.7 The Audit Commission's Annual Audit and Inspection Letter was considered as this letter provides an overall evaluation of the Authority's progress having regard to the core performance assessment, financial and service performance and a consideration of its strengths and areas for development. The Letter notes the following key headlines:

The Authority has maintained the strengths we identified last year in relation to financial planning and reporting, internal control, governance and partnership arrangements. We also note a number of improvements as follows:

- Performance monitoring and management had developed significantly, with a performance action group established to improve accountability and share best practice. Detailed incident reports at district and station levels have enabled more focussed preventative activity;
- Costs and performance have generally improved relative to other metropolitan fire services, with continued reductions in the number of deliberate and accidental primary fires, high levels of public satisfaction with the service, better targeting of preventative and community safety work and generally good outcomes from partnership initiative. All key activity objectives have been met;

- There is an increasing willingness to challenge established ways of doing things, with rigorous cost/benefit analysis and an expectation that all staff will identify and deliver efficiencies within their own service areas. Back office functions have also been reviewed using 'lean thinking' techniques;
- Management of natural resources was assessed as a value for money criteria for the first time in 2009/10. The Authority displays a clear commitment to managing its impact on the environment, and has delivered a number of successful outcomes in this area.
- Tyne and Wear Fire and Rescue Authority manages its finances well, and has developed a much clearer focus on value for money in recent years. In 2009/10 it completed a comprehensive review of back office services and reported efficiency savings well in excess of national targets. A culture has been successfully developed whereby all staff take responsibility for identifying and delivering efficiencies in their own service areas.
- The Authority recognises that the future may demand more difficult choices and changes to the established patterns of service provision. It may also wish to reconsider the future use of longstanding earmarked reserves and provisions in the light of changing circumstances.

Inevitably there remains some scope for improvement. Deliberate secondary fires remain high compared to other metropolitan fire authorities, as do automatic fire alarm call-outs, and the Authority has plans in place to tackle these areas in the coming the year.

It is considered that the Annual Audit and Inspection Letter gives reassurance that the Authority's overall governance and control arrangements are satisfactory.

- 5.8 The Authority commissions an on-going 'After the Incident Survey', the latest results of which recorded scores of 97 out of 100 and 99 out of 100 for user satisfaction with regard to the services we provide (non domestic/domestic incidents respectively). We also carry out satisfaction surveys on fire safety audits and our schools education programme.
- 5.9 The Authority undertakes a survey of the views of employees in relation to a range of issues on a regular basis. The latest employee survey indicated that:
- The majority of staff (over 87%) are satisfied with their current role, their working environment, their working pattern, feel secure in their job and have better personal development opportunities than in 2007;

- Employees felt that the three main priorities should be to deal with poor performers, minimise bureaucracy and further develop the promotion procedures;
- 69% of staff have regular team meetings where they are given the opportunity to speak and find out what is happening in their department. 36% of staff feel that communications have improved since 2007;

5.12 An information governance audit, conducted during the latter part of 2007, has recently been redone in 2011. The original one concluded:

- It was pleasing to note that the audit did not reveal any matters that are considered to be high risk;
- The systems and procedures adopted by the Fire Service are generally robust and incorporate effective controls. Information Governance policies and procedures are available to all Service staff via the Intranet and include version control.
- The Service has appropriate support mechanisms in place in relation to the development of information governance.
- The control and governance of information held, particularly with regard to security of data, appears to be well managed to ensure that data can only be accessed by the appropriate members of staff.

Details of the 2011 audit will be included in the next iteration when they become available.

5.13 A questionnaire issued to Members and Officers asked whether they felt that statements made in the existing Code of Corporate Governance were being met. All of the respondents were in full agreement that the statements in the Code were being met.

6 UPDATES TO THE CODE OF CORPORATE GOVERNANCE

6.1 It was also considered whether any updates or revisions to the Code of Corporate Governance are required, and agreed that the Code should be revised based upon the current SOLACE/CIPFA framework and guidance, "Delivering Good Governance in Local Government". An updated Code is attached at Appendix A for consideration and approval by Members.

7 ANNUAL GOVERNANCE STATEMENT

7.1 The Annual Governance Statement has been drafted taking into account the findings of the annual governance review. The review has found that only minor improvements are needed to the control environment in a small number of areas. The Annual Governance Statement is attached at Appendix B for consideration and approval by Members.

8 CONCLUSION

- 8.1 The Authority has robust and effective governance and internal control arrangements in place. The views elicited during the review from Members and all senior managers across the Authority demonstrate that the principles of good governance are embedded.
- 8.2 The review has not identified any weaknesses that would need to be highlighted in the Authority's Annual Governance Statement.
- 8.3 A small number of actions have been identified to further develop governance and control arrangements, as detailed in the action plan attached at Appendix C.

9 RISK MANAGEMENT

- 9.1 A risk assessment has been undertaken to ensure that the risk to the Authority has been minimised as far as practicable. The assessment has considered an appropriate balance between risk and control; the realisation of efficiencies; the most appropriate use of limited resources; and a comprehensive evaluation of the benefits. The risk to the authority has been assessed as low utilising the standard risk matrix based on control measures being in place. The complete risk assessment is available on request from the Chief Fire Officer.

10 FINANCIAL IMPLICATIONS

- 10.1 All financial implications by virtue of this review are contained within existing budgetary headings.

11 EQUALITY AND FAIRNESS IMPLICATIONS

- 11.1 There are no equality and fairness implications in respect of this report.

12 HEALTH AND SAFETY IMPLICATIONS

- 12.1 There are no health and safety implications in respect of this report.

13 RECOMMENDATIONS

- 13.1 The Authority is requested to:
- a) Consider and comment upon the revised Code of Corporate Governance;
 - b) Consider and comment upon the Annual Governance Statement;
 - c) Receive further reports as appropriate.

BACKGROUND PAPERS

The under mentioned Background Papers refer to the subject matter of the above report:

- CIPFA/SOLACE Guidance - 'Delivering Good Governance in Local Government'

**TYNE AND WEAR FIRE AND RESCUE AUTHORITY
ANNUAL GOVERNANCE STATEMENT 2010/2011****1 SCOPE OF RESPONSIBILITY**

- 1.1 The Tyne and Wear Fire and Rescue Authority (the Authority) is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically, efficiently and effectively. The Authority also has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness.
- 1.2 In discharging this overall responsibility, the Authority is responsible for putting in place proper arrangements for the governance of its affairs, facilitating the effective exercise of its functions, which includes arrangements for the management of risk.
- 1.3 The Authority has had a Code of Corporate Governance in place since 2003, revised during 2009/10. This Code has been drafted alongside the annual governance review required for the production of this Statement and will be submitted to the Authority and its Governance Committee in June 2011 for approval and adoption. The revised Code will then be made available on the Authority's website (www.twfire.gov.uk) or can be obtained from the Fire and Rescue Service Headquarters.
- 1.4 This Statement explains how the Authority has complied with the SOLACE/CIPFA Framework and also meets the requirements of regulation 4(2) of the Accounts and Audit Regulations 2003 as amended by the Accounts and Audit (Amendment) (England) Regulations 2006 in relation to the publication of a statement on internal control.

2 THE PURPOSE OF THE GOVERNANCE FRAMEWORK

- 2.1 The governance framework primarily includes systems and processes by which the Authority directs and controls its activities and engages with the community. Further it enables the Authority to monitor the achievement of its strategic objectives and to consider whether those objectives have led to the delivery of appropriate, cost-effective services.
- 2.2 The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable level. It cannot eliminate all risk of failure to achieve policies, aims and objectives and can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the Authority's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically.

2.3 The governance framework has been in place at the Authority for the year ended 31st March 2011 and up to the date of approval of the Annual Report and Statement of Accounts.

3 THE GOVERNANCE FRAMEWORK

3.1 **There is a clear vision of the Authority's purpose and intended outcomes for service users that is clearly communicated, both within the organisation and to external stakeholders:**

- The Strategic Community Safety Plan draws together a shared vision, principles for action and priorities (strategic objectives). For each strategic objective, key targets have been identified. The Plan sets out explicitly the key actions and performance targets for the future, and these are clearly linked with functional/departmental/district/station service plans and resources. The Plan outlines the Authority's roles and responsibilities, the context in which it operates, what the Strategic Priorities and improvement objectives are, how the Authority will realise its vision, what its performance improvement and monitoring arrangements are, performance indicators and a financial overview. The financial overview section provides background commentary to the issues the Authority has considered in setting the Budget and in preparing the Medium Term Financial Strategy.

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- The Authority's Integrated Risk Management Plan (IRMP) 2010/2013 is the Authority's own overarching Plan for recognising the risks within the Authority boundaries that need to be addressed, and providing detail on how those risks are being mitigated.
- Communication of objectives to staff and stakeholders takes place through the following means:

Wide distribution of the Strategic Community Safety Plan, as well as a summary version, including on the Authority's website and intranet;

Wide distribution of the Authority's Integrated Risk Management Plan;

The issue of an Annual Report setting out the Authority's priorities, how the Authority spent money on achieving these during the last financial year, and how successful the Authority has been;

Through the Authority's Investors in People (IIP) processes;

Advertisements in local and Council newspapers;

Focus groups with members of the public.

3.2 Arrangements are in place to review the Authority's vision and its implications for the Authority's governance arrangements:

During 2010/2011, the Strategic Community Safety Plan 2010-2013 and the Integrated Risk Management Plan and all priorities were reviewed to provide a refined, longer-term focus for the Authority.

- Through reviews by the Audit Commission and other external bodies the Authority constantly seeks ways of securing continuous improvement. The Authority has professional and objective relationships with these external bodies.
- There are comprehensive annual reviews of the local Code of Corporate Governance to ensure that it is up to date and effective.

3.3 Arrangements exist for measuring the quality of services for users, for ensuring they are delivered in accordance with the Authority's objectives and for ensuring that they represent the best use of resources:

- There are clear and effective performance management arrangements including personal development plans for all staff, which address financial responsibilities and include equality objectives.
- There is regular reporting of performance against key targets and priorities to the Authority's Strategic Management Team, the Governance Committee and the Performance and Review Committee.
- Services are delivered by suitably qualified / trained / experienced staff and all posts have detailed job profiles / descriptions and person specifications.

3.4 The roles and responsibilities of all Officers and staff are clearly defined and documented, with clear delegation arrangements and protocols for effective communication:

- Standing Orders and Financial Regulations are in place and these set out how the Authority operates and how decisions are made, including a clear Delegation Scheme.
- The Standing Orders and Delegation Scheme indicates responsibilities for functions and sets out how decisions are made.
- A system of scrutiny is in place which allows the Governance Committee to:
 - review and/or scrutinise decisions made or actions taken in connection with the discharge of any of the Authority's functions;
 - make reports and/or recommendations to the full Authority and/or the Strategic Management Team in connection with the discharge of any functions;
 - consider any matter affecting the Authority; and
 - exercise the right to call-in, for reconsideration, decisions made but not yet implemented by the Authority and/or Strategic Management Team.

3.5 Codes of Conduct defining the standards of behaviour for Members and staff are in place, conform with appropriate ethical standards, and are communicated and embedded across the organisation:

- The following are in place:
 - Members' Codes of Conduct;
 - Employees' Code of Conduct;
 - Registers of Interests, Gifts and Hospitality;
 - Monitoring Officer Protocols.

3.6 Standing orders, standing financial instructions, a scheme of delegation and supporting procedure notes/manuals, which are reviewed and updated as appropriate, clearly define how decisions are taken and the processes and controls required to manage risks:

- The Executive Director of Corporate and Commercial Services of Sunderland City Council is the designated Finance Officer in accordance with Section 151 of the Local Government Act 1972 ensuring lawfulness and financial prudence of decision-making, and is responsible for the proper administration of the Authority's financial affairs.
- The Deputy Clerk is the Authority's Monitoring Officer who has maintained an up-to-date version of the Standing Orders and has endeavoured to ensure lawfulness and fairness of decision making.
- The Authority has in place up to date Financial Procedure Rules and procurement rules which are subject to regular review.
- Written procedures are in place covering financial and administrative matters, as well as HR policies and procedures. These include:
 - Whistle Blowing Policy;
 - Anti Fraud and Corruption Policy;
 - Codes of Conduct;
 - Health and Safety Policy;
 - Compliments, Comments and Complaints Policy;
 - Corporate Risk Management Strategy
 - Procurement Strategy;
 - Procurement Codes of Practice
 - Partnerships procedure;
 - Treasury Management Strategy based upon CIPFA's Treasury Management Codes;
 - Functional budget management schemes.

- There are robust and well embedded risk management processes in place, including;
 - Risk Management Strategy and Policy Statement;
 - Corporate Risk Profile
 - Integrated Risk Management Plan;
 - Risk Management Manual;
 - Nominated Risk Manager;
 - Corporate and Risk Management Groups;
 - Risk Management Training Programme;
 - Partnerships Risk Register;
 - Risk Management Annual Report;
 - Member Risk Champion;
- There are comprehensive budgeting systems in place and a robust system of budgetary control, including formal quarterly and annual financial reports, which indicate financial performance against forecasts.
- Business Continuity Plans are in place, which are subject to ongoing review, development and testing.
- There are clearly defined capital expenditure guidelines and capital appraisal procedures in place.
- Appropriate project management disciplines are utilised.
- The Authority participates in the National Fraud Initiative and subsequent investigations.

3.7 The core functions of an audit committee, as identified in CIPFA's *Audit Committees – Practical Guidance for Local Authorities*, are undertaken by members.

The Authority has a Governance Committee which, as well as approving the Authority's Statement of Accounts, undertakes an assurance and advisory role to:

- consider the effectiveness of the Authority's corporate governance arrangements, risk management arrangements, the control environment and associated anti-fraud and anticorruption arrangements and seek assurance that action is being taken on risk-related issues identified by auditors and inspectors;
- be satisfied that the Authority's assurance statements, including the Statement on Internal Control, properly reflect the risk environment and any actions required to improve it;
- to receive and consider (but not direct) internal audit's strategy, plan and monitor performance;
- receive and consider the external audit plan;

- review a summary of internal audits, the main issues arising, and seek assurance that action has been taken where necessary;
- receive and consider the annual report of internal audit;
- consider the reports of external audit and inspection agencies, including the Annual Audit and Inspection Letter;
- ensure that there are effective relationships between external and internal audit, inspection agencies and other relevant bodies, and that the value of the audit process is actively promoted;
- review the external auditor's opinions and reports to members, and monitor management action in response to the issues raised by external audit; and
- make recommendations or comments to the Authority as appropriate.

3.8 Arrangements exist to ensure compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful. All reports are considered for legal issues before submission to members:

- The Deputy Clerk is the Authority's designated Monitoring Officer and a protocol is in place with all Principal Officers, to safeguard the legality of all Authority activities.
- The Authority maintains an Internal Audit Service, provided by Sunderland City Council. An independent annual review of its effectiveness is undertaken which concluded that it operated in accordance with professional standards. Internal audit work is planned on the basis of risk.

3.9 Arrangements for whistle-blowing and for receiving and investigating complaints from the public are in place and are well publicised:

- The Authority is committed to establishing and maintaining effective reporting arrangements to ensure that, where an individual, whether an employee of the Authority, an Elected Member, or any member of the public, has serious concerns regarding the conduct of any aspect of the Authority's business, they can do so through a variety of avenues, promptly and in a straight forward way.
- The framework in place to ensure the aims of this Policy are met are set out in the 'Whistle Blowing Policy Arrangements' procedure for Authority staff. Members of the public currently raise issues through the Compliments, Comments and Complaints procedure and there has recently been developed a whistle blowing policy and procedure for members of the public.
- Monitoring records held by the Deputy Clerk on behalf of Members, and the Chief Fire Officer on behalf of staff and members of the public reveal that the whistle blowing arrangements are being used, and that the Authority is responding appropriately. The whistle blowing arrangements have assisted with the maintenance of a strong regime of internal control.

3.10 Arrangements exist for identifying the development needs of members and Principal officers in relation to their strategic roles:

- The Authority has a Members Learning and Development Policy and Programme in place which sets out a clear commitment to Members to provide a range of Learning and development opportunities which will improve their knowledge, skills and abilities in their individual or collective roles in meeting Authority strategic objectives. In addition Members have access to their nominating authority learning and development policies, plans and procedures.
- The Elected Member Learning and Development Strategy aims:
 - To provide a comprehensive Member Development programme;
 - To ensure that all newly Elected Members are properly inducted into the Authority;
 - To ensure that all emerging needs for both individuals and across the board are identified and addressed;
 - To ensure that resources available for Member Development are effectively used.
- The Authority has a Human Resource Strategy that identifies the need to enable and support the organisation in managing the performance of all of its employees through effective policies, procedures and working practices is key to ensuring that the organisation meets the needs of the community. This includes assessing ability against requirements of the role, annual performance review focusing on strengths and highlighting areas of weakness, job related training, and ongoing evaluation and includes the extent to which an employee understands and supports the values of the Authority.
- The Authority is also an active member of the Regional People Management Group which identifies and delivers regional learning and development whilst also developing regional framework policies for its constituent members.

3.11 Clear channels of communication have been established with all sections of the community and other stakeholders, ensuring accountability and encouraging open consultation:

- The Authority has a Consultation Strategy which aims to ensure that consultation activity is effectively co-ordinated across the Authority and with partner agencies, impacts on service delivery, and is delivered to a high standard.
- The strategy is complemented by the Community Engagement Strategy which outlines the Authority's approach to consulting with minority and vulnerable sectors of society.

- 3.12 Governance arrangements with respect to partnerships and other group working incorporate good practice as identified by the Audit Commission's report on the governance of partnerships, and are reflected in the Authority's overall governance arrangements:
- The Authority has published a Partnerships procedure which includes a template for Partnership Agreements and a Partnership Toolkit. The procedure is designed to provide a corporate framework for all staff involved in considering new partnership working, and to assist Members and officers to review existing arrangements.
 - A Register of Partnerships is maintained. The deliverables of all prospective and existing partnerships is closely measured using a standard framework.
 - A review of all partnerships is presented to the Strategic Management Team on an annual basis.

4 REVIEW OF EFFECTIVENESS

- 4.1 The Authority has responsibility for conducting, at least annually, a review of the effectiveness of its governance framework including the system of internal control. The review of the effectiveness is informed by feedback from Members and the work of all senior managers within the authority who have responsibility for the development and maintenance of the governance environment, the Internal Audit Annual Report, and also by comments made by the external auditors and other review agencies and inspectorates.
- 4.2 The process that has been applied in maintaining and reviewing the effectiveness of the system of internal control includes the following:
- The role of the Authority:
 - Elected Members have participated in the annual review of the Authority's Corporate Governance arrangements;
 - The Chair of the Authority, the Chief Fire Officer and the Finance Officer have overseen the review and signed the Annual Governance Statement.
 - The role of the Strategic Management Team:
 - The findings of the Annual Governance Review have been reported to the Strategic Management Team for their consideration and approval of the Annual Governance Statement.
 - The role of the Governance Committee:
 - The findings of the Annual Governance Review have been reported to the Governance Committee. Under their Terms of Reference the Governance Committee has satisfied themselves that the authority's assurance statements, including the Annual Governance Statement, properly reflect the risk environment and any actions required to improve it.

- There is a system of scrutiny which allows the Governance Committee and the Performance and Review Committee to:
 - review decisions made or actions taken in connection with the discharge of any of the Authority's functions;
 - make reports and recommendations to the full Authority or the Strategic Management Team in connection with the discharge of any functions;
 - consider any matter affecting the delivery of service; and
 - exercise the right to call-in, for reconsideration, decisions made but not yet implemented.

- The role of the Authority's Governance Committee also includes the following:
 - promoting and maintaining high standards of conduct by Members, co-opted members and Officers;
 - monitoring the operation of the Members' Code of Conduct;
 - monitoring the operation of the Authority's Anti-Fraud and Corruption Policy so far as it relates to the actions of Members of the Authority;
 - considering reports and complaints relating to the conduct of Members of the Authority;
 - supporting the Monitoring Officer in his role.

- All Area Managers have participated in the annual governance review through carrying out self-assessments relating to their areas of responsibility and have provided Controls Assurance Statements relating to their area of responsibility, having considered the detailed self-assessments.

- Internal audit planning processes include consultation with the Principle Officers, reviews of the Strategic Community Safety Plan, Integrated Risk Management Plan and the Corporate Risk Profile. Audit work is risk based audit work and includes risks in relation to the achievement of service objectives, and Internal Audit Services carries out regular systematic auditing of key financial and non-financial systems. The Audit Commission have conducted a review of the effectiveness of Internal Audit Services and concluded that there are robust arrangements in place to comply with the standards of the 2006 CIPFA Code of Practice for Internal Audit.

- The Annual Audit and Inspection letter stated that the Authority has maintained the strengths we identified last year in relation to financial planning and reporting, internal control, governance and partnership arrangements. We also note a number of improvements as follows:
 - Performance monitoring and management had developed significantly, with a performance action group established to improve accountability and share best practice. Detailed incident reports at district and station levels have enabled more focussed preventative activity;
 - Costs and performance have generally improved relative to other metropolitan fire services, with continued reductions in the number of deliberate and accidental primary fires, high levels of public satisfaction with the service, better targeting of preventative and community safety

work and generally good outcomes from partnership initiative. All key activity objectives have been met;

- There is an increasing willingness to challenge established ways of doing things, with rigorous cost/benefit analysis and an expectation that all staff will identify and deliver efficiencies within their own service areas. Back office functions have also been reviewed using 'lean thinking' techniques;
- Management of natural resources was assessed as a value for money criteria for the first time in 2009/10. The Authority displays a clear commitment to managing its impact on the environment, and has delivered a number of successful outcomes in this area.
- Tyne and Wear Fire and Rescue Authority manages its finances well, and has developed a much clearer focus on value for money in recent years. In 2009/10 it completed a comprehensive review of back office services and reported efficiency savings well in excess of national targets. A culture has been successfully developed whereby all staff take responsibility for identifying and delivering efficiencies in their own service areas.
- The Authority recognises that the future may demand more difficult choices and changes to the established patterns of service provision. It may also wish to reconsider the future use of longstanding earmarked reserves and provisions in the light of changing circumstances.

Inevitably there remains some scope for improvement. Deliberate secondary fires remain high compared to other metropolitan fire authorities, as do automatic fire alarm call-outs, and the Authority has plans in place to tackle these areas in the coming the year.

- Findings of external bodies / audits are collated / monitored by the Strategic Management Team.

5 ASSURANCE STATEMENTS

- 5.1 The Strategic Management Team, the Authority and the Governance Committee have advised us of the findings of the review of the effectiveness of the governance framework, and an action plan has been agreed for the continuous improvement of the Authority's Corporate Governance and Internal Control Arrangements.
- 5.2 We propose over the coming year to take steps to implement the action plan to further enhance the Authority's governance arrangements. We are satisfied that these steps will address the need for improvements that were identified in the review of effectiveness and will monitor their implementation and operation as part of the next annual review.

Robert Heron
Chair of the Authority

Iain Bathgate
Chief Fire Officer

Malcolm Page
Finance Officer

30th June 2011

Tyne and Wear Fire and Rescue Authority

Local Code of Corporate Governance

Revised June 2011

Local Code of Corporate Governance

INTRODUCTION

The Authority has a corporate governance framework 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. The corporate governance framework comprises the systems, processes, cultures and values through which we direct and controls our functions, and through which we account to, engage with and, where appropriate lead our communities.

The Authority's corporate governance framework is based upon guidance jointly issued by the Society of Local Authority Chief Executives (SOLACE) and the Chartered Institute of Public Finance and Accountancy (CIPFA) and recommended as best practice.

The framework is based upon the following six core principles:

- Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the local area;
- Members and officers working together to achieve a common purpose with clearly defined functions and roles;
- Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour;
- Taking informed and transparent decisions which are subject to effective scrutiny and managing risk;
- Developing the capacity and capability of members and officers to be effective;
- Engaging with local people and other stakeholders to ensure robust public accountability.

Each of these six core principles have supporting principles with associated requirements and the following table sets out how the Authority aims to meet these requirements.

Annual Governance Review

The Authority conducts, at least annually, a review of the effectiveness of the corporate governance framework including the system of internal control.

A Corporate Governance Steering Group (CGSG) has been established to lead this review. Membership of the CGSG is as follows:

- Deputy Chief Fire Officer
- Finance Manager
- Human Resources Manager

A report on the findings and recommendations arising from the review is presented to the Authority and Governance Committee.

Core Principle 1 - Focusing on the purpose of the Authority and on outcomes for the community and creating and implementing a vision for the local area - We are active members of community area fora and in addition our Strategic Community Safety Plan 2009 – 2012 sets out explicitly our planned key actions and performance targets for *creating the safest community*.

Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/ Processes in Place to Support Compliance
<p>1. Exercising strategic leadership by developing and clearly communicating the authority's purpose and vision and its intended outcome for citizens and services users</p>	<ul style="list-style-type: none"> • develop and promote our purpose and vision • review on a regular basis the Authority's vision for the local area and its impact on the Authority's governance arrangements • ensure that partnerships are underpinned by a common vision that is understood and agreed by all parties • publish an annual report on a timely basis to communicate the Authority's activities, achievements, financial position and performance • Evaluate and review partnerships 	<p>Strategic Community Safety Plan District/Station Plans Departmental Level 3 plans Integrated Risk Management Plan</p> <p>Annual Corporate Governance Review Audit Commission Reviews Reviews by Other Inspectorates</p> <p>Partnership Agreements Partnerships Procedure</p> <p>Annual Report Annual Statement of Accounts Strategic Community Safety Plan Summary</p> <p>Evaluation Library (intranet)</p>

Core Principle 1 - Focusing on the purpose of the Authority and on outcomes for the community and creating and implementing a vision for the local area - We are active members of community area fora and in addition our Strategic Community Safety Plan 2009 – 2012 sets out explicitly our planned key actions and performance targets for *creating the safest community*.

Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/ Processes in Place to Support Compliance
<p>2. Ensuring that users receive a high quality of service whether directly, or in partnership, or by commissioning</p>	<ul style="list-style-type: none"> • decide how the quality of service for users is to be measured and make sure that the information needed to review service quality effectively and regularly is available • introduce a project evaluation toolkit to assess quality of service provision • put in place effective arrangements to identify and deal with failure in service delivery 	<p>Integrated Risk Management Plan 'After the fire' Survey Corporate Consultation Strategy Strategic Community Safety Plan Evaluation of performance against the National Indicator Set</p> <p>Project Evaluation Toolkit and Library</p> <p>Operational Assurance Team Standard Operating Procedures Monitoring Officers</p>

Core Principle 1 - Focusing on the purpose of the Authority and on outcomes for the community and creating and implementing a vision for the local area - We are active members of community area fora and in addition our Strategic Community Safety Plan 2009 – 2012 sets out explicitly our planned key actions and performance targets for *creating the safest community*.

Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/ Processes in Place to Support Compliance
<p>3 Ensuring that the authority makes the best use of resources and that tax payers and service users receive excellent value for money</p>	<ul style="list-style-type: none"> decide how value for money is to be measured and make sure that it has the information needed to review value for money and performance effectively. The Authority will also measure the environmental impact of policies, plans and decisions 	<p>Value for Money Framework Annual Audits Quarterly performance reports Annual Report and statement of accounts Efficiency strategy Evaluation Toolkit and Library</p>

Core Principle 2 - Members and officers working together to achieve a common purpose with clearly defined functions and roles - All Authority members and key officer roles and functions are set out in the Authority's Standing Orders and Financial Regulations, there is a protocol on member / employee relations and an agreed set of organisational values underpinning all of the Authority's work.

Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/ Processes in Place to Support Compliance
<p>1. Ensuring effective leadership throughout the authority and being clear about executive and non-executive functions and of the roles and responsibilities of the scrutiny function</p>	<ul style="list-style-type: none"> • set out a clear statement of the respective roles and responsibilities of the executive and of the executive's members individually and its approach towards putting this into practice • set out a clear statement of the respective roles and responsibilities of other authority members, members generally and of senior officers 	<p>Standing Orders and Financial Regulations</p> <p>Standing Orders and Financial Regulations Delegation Scheme Codes of Conduct Job Descriptions Role Maps</p>
<p>2. Ensuring that a constructive working relationship exists between authority members and officers and that the responsibilities of members and officers are carried out to a high standard</p>	<ul style="list-style-type: none"> • determine a scheme of delegation and reserve powers within the constitution, including a formal schedule of those matters specifically reserved for collective decision of the Authority taking account of relevant legislation and ensure that it is monitored and updated when required • make the Chief Fire Officer responsible and accountable to the Authority for all aspects of operational management 	<p>Standing Orders and Financial Regulations</p> <p>Delegation Scheme</p> <p>Delegation Scheme Roll Map Job Description Performance Management</p>

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Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/ Processes in Place to Support Compliance
	<ul style="list-style-type: none"> develop protocols to ensure that the Chairman and Chief Fire Officer negotiate their respective roles early in the relationship and that a shared understanding of roles and objectives is maintained make a senior officer responsible to the Authority for ensuring that appropriate advice is given on all financial matters, for keeping proper financial records and accounts, and for maintaining an effective system of internal financial control 	<p>Standing Orders and Financial Regulations Code of Conduct for Members Code of Conduct for Officers Roll Maps Job Descriptions</p> <p>The Finance Officer is the Authority's Section 151 Officer. The Constitution sets out his functions as follows:</p> <ul style="list-style-type: none"> Ensuring lawfulness and financial prudence of decision making Administration of financial affairs Contributing to corporate management Providing advice Giving financial information

Core Principle 2 - Members and officers working together to achieve a common purpose with clearly defined functions and roles - All Authority members and key officer roles and functions are set out in the Authority's Standing Orders and Financial Regulations, there is a protocol on member / employee relations and an agreed set of organisational values underpinning all of the Authority's work.

Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/ Processes in Place to Support Compliance
	<ul style="list-style-type: none"> • make a different senior officer responsible to the Authority for ensuring that agreed procedures are followed and that all applicable statutes, regulations are complied with 	<p>The Deputy Clerk is the Authority's Monitoring Officer. The Constitution sets out functions of Monitoring Officer as follows:</p> <ul style="list-style-type: none"> • Maintaining the Constitution • Ensuring lawfulness and fairness of decision making • Supporting the Standards Committee • Receiving reports • Conducting investigations • Proper officer for access to information • Advising whether executive decisions are within the budget and policy framework • Providing advice

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Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/ Processes in Place to Support Compliance
<p>3. Ensuring relationships between the authority, its partners and the public are clear so that each knows what to expect of the other</p>	<ul style="list-style-type: none"> • develop protocols to ensure effective communication between members and officers in their respective roles • set out the terms and conditions for remuneration of members and officers and an effective structure for managing the process including an effective remuneration panel • ensure that effective mechanisms exist to monitor service delivery 	<p>Monitoring Officer Protocol Member and Employee Codes of Conduct</p> <p>Members Allowances Scheme</p> <p>National Joint Council for Local Government Services National Agreement On Pay And Conditions Of Service Human Resources Committee</p> <p>Performance Management systems Integrated Risk Management Plan District Plans Station Plans Monitoring Officers</p>

Core Principle 2 - Members and officers working together to achieve a common purpose with clearly defined functions and roles - All Authority members and key officer roles and functions are set out in the Authority's Standing Orders and Financial Regulations, there is a protocol on member / employee relations and an agreed set of organisational values underpinning all of the Authority's work.

Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/ Processes in Place to Support Compliance
	<ul style="list-style-type: none"> • ensure that the Authority's vision, strategic plans, priorities and targets are developed through robust mechanisms, and in consultation with the local community and other key stakeholders, and that they are clearly articulated and disseminated • when working in partnership ensure that members are clear about their roles and responsibilities both individually and collectively in relation to the partnership and to the Authority • when working in partnership: <ul style="list-style-type: none"> - ensure that there is clarity about the legal status of the partnership - ensure that representatives or organisations both understand and make clear to all other partners the extent of their authority to bind their organisation to partner decisions 	<p>Strategic Community Safety Plan Integrated Risk Management Plan Station Plans Communication Strategy Consultation Strategy Value for Money Framework Budget Framework</p> <p>Partnership Agreements</p> <p>Data Sharing Protocols</p> <p>Partnership Procedure</p>

Core Principle 3: Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour - All Authority Members and staff are required to act in accordance with codes of conduct and high standards are promoted across the Authority and with its partners.

Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/Processes in Place to Support Compliance
<p>1. Ensuring authority members and officers exercise leadership by behaving in ways that exemplify high standards of conduct and effective governance</p>	<ul style="list-style-type: none"> • ensure that its leadership sets a tone for the organisation by creating a climate of openness, support and respect • ensure that standards of conduct and personal behaviour expected of members and staff, of work between members and staff and between the Authority, its partners and the community are defined and communicated through codes of conduct and protocols • put in place arrangements to ensure that members and employees of the Authority are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders. The Authority will put in place appropriate processes to ensure that they continue to operate in practice 	<p>Members' Code of Conduct Employees' Code of Conduct Performance Management Framework</p> <p>Employee Personal Development System Anti Fraud and Corruption Policy Whistle Blowing Policy Protocol on Member / Employee Relations</p> <p>Members' Code of Conduct Employees' Code of Conduct Financial Regulations Standing Orders Declarations of Gifts and Interests</p>

Core Principle 3: Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour - All Authority Members and staff are required to act in accordance with codes of conduct and high standards are promoted across the Authority and with its partners.

Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/Processes in Place to Support Compliance
<p>2. Ensuring that organisational values are put into practice and are effective</p>	<ul style="list-style-type: none"> • develop and maintain shared values including leadership values both for the Authority and staff reflecting public expectations, and communicate these with members, staff, the community and partners • put in place arrangements to ensure that procedures and operations are designed in conformity with appropriate ethical standards, and monitor their continuing effectiveness in practice • develop and maintain an effective standards committee 	<p>Members' Code of Conduct Employees' Code of Conduct Fire and Rescue Service National Values Vision Leadership and Development Programme</p> <p>Members' Code of Conduct Employees' Code of Conduct Ethical Audit</p> <p>Standing Orders sets out role and functions of Governance Committee Committee Management and Information System</p>

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Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/Processes in Place to Support Compliance
	<ul style="list-style-type: none"> • use its shared values to act as a guide for decision making and as a basis for developing positive and trusting relationships within the Authority • in pursuing the vision of a partnership, agree a set of values against which decision making and actions can be judged. Such values must be demonstrated by partners' behaviour both individually and collectively 	<p>Members' Code of Conduct Employees' Code of Conduct Integrated Personal Development System Ethic Audit Governance Audit</p> <p>Partnership Agreements</p> <p>Partnership Procedure</p> <p>Data sharing protocols</p>

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

The Authority conducts all business in an open and transparent manner, and has formal processes for declaring relationships or interests to ensure that decision-making is transparent and objective. There is a robust system of scrutiny and effective arrangements for managing risks.

Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/Processes in Place to Support Compliance
<p>1. Being rigorous and transparent about how decisions are taken and listening and acting on the outcome of constructive scrutiny</p>	<ul style="list-style-type: none"> • develop and maintain an effective scrutiny function which encourages constructive challenge and enhances the Authority’s performance overall and of any organisation for which it is responsible • develop and maintain open and effective mechanisms for documenting evidence for decisions and recording the criteria, rationale and considerations on which decisions are based • put in place arrangements to safeguard members and employees against conflicts of interest and put in place appropriate processes to ensure that they continue to operate in practice 	<p>A range of scrutiny committees are in place including:</p> <p>Policy and Performance Committee Human Resources Committee Governance Committee</p> <p>Standing Orders and Financial Regulations</p> <p>Committee and Authority Management and Information System</p> <p>Members’ Code of Conduct Employees’ Code of Conduct Code of Corporate Governance Whistle blowing Protocols Register of Gifts and Interests</p>

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Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/Processes in Place to Support Compliance
	<ul style="list-style-type: none"> develop and maintain an effective audit committee which is independent put in place effective transparent and accessible arrangements for dealing with complaints 	<p>Anti-fraud and Corruption Policy</p> <p>Governance Committee Independent Chair Independent Member Development for all Members</p> <p>Compliments, Comments and Complaints Procedure Monitoring Officer role</p>
<p>2. Having good quality information, advice and support to ensure that services are delivered effectively and are what the community wants/needs</p>	<ul style="list-style-type: none"> ensure that those making decisions, whether for the Authority or a partnership, are provided with information that is fit for the purpose – relevant, timely and gives clear explanations of technical issues and their implications ensure that professional advice on matters that 	<p>Member Induction, Learning and Development Programme</p> <p>Standing Orders and Financial Regulations Delegation Scheme Results of consultation exercises Role of Finance Officer and</p>

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Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/Processes in Place to Support Compliance
	<p>have legal or financial implications is available and recorded well in advance of decision making and used appropriately</p>	<p>Deputy Clerk</p>
<p>3. Ensuring that an effective risk management system is in place</p>	<ul style="list-style-type: none"> • ensure that risk management is embedded into the culture of the organisation, with members and managers at all levels recognising that risk management is part of their job • ensure that arrangements are in place for whistle blowing to which staff and all those contracting with the Authority have access 	<p>Risk Management Policy Statement and Strategy Risk Management Framework Risk Management Learning and Development for Members and Officers Internal Audit and Risk Management Protocol Standing Orders and Financial Regulations External Audit – Use of Resources</p> <p>Whistle blowing policy and procedures Compliments, comments and Complaints Policy and Procedures</p>

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

The Authority conducts all business in an open and transparent manner, and has formal processes for declaring relationships or interests to ensure that decision-making is transparent and objective. There is a robust system of scrutiny and effective arrangements for managing risks.

Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/Processes in Place to Support Compliance
<p>4. Using their legal powers to the full benefit of the citizens and communities in their area</p>	<ul style="list-style-type: none"> • actively recognise the limits of lawful activity placed on the Authority by, for example the ultra vires doctrine but also strive to utilise powers to the full benefit of their communities • recognise the limits of lawful action and observe both the specific requirements of legislation and the general responsibilities placed on the Authority by public law • observe all specific legislative requirements placed upon the Authority, as well as the requirements of general law, and in particular to integrate the key principles of good administrative law – rationality, legality and natural justice into their procedures and decision making processes 	<p>Standing Orders and Financial Regulations Monitoring Officer Protocol Audit and Inspection Letter Finance Officer role Deputy Clerk role</p>

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

The Authority recognises the importance of having highly skilled and motivated Members and staff to deliver its priorities and to sustain public confidence in its services. The Authority is committed to the development of Members and staff skills, knowledge and performance through programmes of induction, training and development.

Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/Processes in Place to Support Compliance
<p>1. Making sure that members and officers have the skills, knowledge, experience and resources they need to perform well in their roles</p>	<ul style="list-style-type: none"> • provide induction and training programmes tailored to individual needs and opportunities for members and officers to update their knowledge on a regular basis • ensure that the statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the organisation 	<p>Member and Officer Induction Programme Integrated Personal Development System Member Learning and Development Programme Workforce Development Plan Investors in People accreditation</p> <p>Delegation Scheme Roles and responsibilities defined Finance Officer and Deputy Clerk advisors to the Authority</p>
<p>2. Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group</p>	<ul style="list-style-type: none"> • assess the skills required by members and officers and make a commitment to develop those skills to enable roles to be carried out effectively 	<p>Member and Officer Induction Programme Integrated Personal Development System Member Learning and Development Programme Workforce Development Plan</p>

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

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Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/Processes in Place to Support Compliance
	<ul style="list-style-type: none"> develop skills on a continuing basis to improve performance including the ability to scrutinise and challenge and to recognise when outside expert advice is needed ensure that effective arrangements are in place for reviewing the performance of the Authority as a whole and of individual members and agreeing an action plan which might for example aim to address any training or development needs 	<p>Investors in People Gold award and 'Champion' status Member Learning and Development Programme Leadership Programme</p> <p>Working Towards Excellence Equality Framework for Fire and Rescue Services</p>

Core Principle 6: Engaging with local people and other stakeholders to ensure robust public accountability - The Authority has a consultation framework aimed at ensuring the community is given the opportunity to be involved in, and influence, policy-making, service delivery and evaluation in order to continually improve services.

Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/Processes in Place to Support Compliance
<p>1. Exercising leadership through a robust scrutiny function which effectively engages local people and all local institutional stakeholders, including partnerships, and develops constructive accountability relationships</p>	<ul style="list-style-type: none"> • make clear its role and responsibilities to Members, staff and the community • consider those institutional stakeholders to whom they are accountable and assess the effectiveness of the relationships and any changes required • produce an annual report on scrutiny function activity 	<p>Strategic Community Safety Plan Integrated Risk Management Plan</p> <p>Local Strategic Partnerships Government Office for the North East assessments of LSP Regular User Surveys Consultation Plan</p> <p>Annual Performance Report Annual Governance Report Freedom of Information Publication Scheme</p>

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Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/Processes in Place to Support Compliance
<p>2. Taking an active and planned approach to dialogue with and accountability to the public to ensure effective and appropriate service delivery whether directly by the authority, in partnership or by commissioning</p>	<ul style="list-style-type: none"> • ensure that clear channels of communication are in place with all sections of the community and other stakeholders including monitoring arrangements to ensure that they operate effectively • hold meetings in public unless there are good reasons for confidentiality • ensure arrangements are in place to enable the Authority to engage with all sections of the community effectively. These arrangements should recognise that different sections of the community have different priorities and establish explicit processes for dealing with these competing demands • establish a clear policy on the types of issues it will meaningfully consult on or engage with the public and service users including a feedback mechanism for those consultees to demonstrate what has changed as a result 	<p>Communications Strategy Focus Groups 'After the incident' Survey Other user surveys</p> <p>Members of the public may attend all meetings subject to the exceptions set out in the Standing Orders</p> <p>Consultation Strategy Focus Groups Community Safety Advocates 'After the fire' Survey User Surveys Community engagement Plan Freedom of Information Publication Scheme</p> <p>Consultation Policy User Surveys Community Engagement Plan Freedom of Information Publication Scheme</p>

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Aspects of Corporate Governance to Be Achieved by Authority to Reflect Best Practice	Practical measures the Authority has taken to reflect compliance	Documents/Processes in Place to Support Compliance
	<ul style="list-style-type: none"> on an annual basis, publish a performance plan giving information on the Authority’s vision, strategy, plans and financial statements as well as information about its outcomes, achievements and the satisfaction of service users in the previous period ensure that it is open and accessible to the community, service users and its staff. It will also ensure that it has made a commitment to openness and transparency in all its dealings, including partnerships subject only to the need to preserve confidentiality in those specific circumstances where it is proper and appropriate to do so evaluate the projects we deliver by asking local people and stakeholders 	<p>Annual report Annual performance report Annual Statement of Accounts Strategic Community Safety Plan Integrated Risk Management Plan</p> <p>Standing Orders and Financial Regulations Community Fire Stations Partnership Agreements Partnership Procedure Data sharing Agreements and protocols Community engagement plan Performance Plan Freedom of Information Publication Scheme Evaluation Toolkit and Library</p>
3. Making best use of human resources by taking an active and planned approach to meet responsibility to staff	<ul style="list-style-type: none"> develop and maintain a clear policy on how staff and their representatives are consulted and involved in decision making Clearly publish results of consultation and evaluation involving staff 	<p>Joint consultative Committee Investors in People Representative Body Protocol Evaluation Library</p>

Code of Corporate Governance

Glossary of Terms

Authority Risk Management Group

A group of senior officers of the Authority tasked with ensuring that the major strategic risks of the Authority are properly identified, managed and minimised.

Consultation Strategy

A strategy to obtain the views of stakeholders on the efficiency, effectiveness and economy of services and use these results to inform the process of continuous improvement.

Delegation Scheme

An agreed document setting out the various powers delegated by the Authority to appropriate Committees, Members and Officers.

Freedom of Information Publication Scheme

This provides details of the classes of information published by the Authority, how the public can access it and whether a charge is levied for accessing the information. The information will be made available progressively between now and 2005.

Financial Regulations

Rules of procedure governing the way in which management of the Authority's financial affairs will be conducted.

Investors in People

Investors in People is a national award which recognises the commitment of an organisation to developing its people in order to achieve its corporate objectives and to improve performance.

Monitoring Officer

The Monitoring Officer has the responsibility for advising on the legality of the Authority's actions. The Authority has appointed the Head of Legal and Democratic Services, City of Sunderland, as the appropriate officer.

Members Code of Conduct

Agreed Code set out in the Standing Orders governing how Members must conduct themselves whilst carrying out Authority business or acting as a representative of the Authority.

Officers Code of Conduct

Agreed Code detailing the standards of conduct expected of all employees whilst carrying out their work for the Authority.

Race, Gender and Disability Equality Schemes

The document that details the Authority's plans to achieve race, gender and disability equality at work and our commitment to support a diverse workforce serving a diverse community.

Standing Orders

Rules of procedure governing the way in which the Authority operates, how decisions are made and the procedures which must be followed to ensure all our interactions (including procurement) are efficient, transparent and accountable to the community we serve.

Strategic Community Safety Plan

A document setting out in detail for the Authority the plans, policies, resource allocations and performance targets for the next five years, including detailed plans for the forthcoming year, both corporately and on a departmental basis.

Integrated Risk Management Plan

A document identifying the major strategic risks to the Authority.

Governance Committee

A Committee of the Authority set up to promote and maintain high standards of conduct by Members.

Section 151 Responsibilities

Under Section 151 of the Local Government Act 1972, the authority must appoint one of its Officers as responsible for the proper financial administration of its affairs. The Authority has appointed the Finance Officer, City of Sunderland, as the appropriate Officer.

Whistle blowing Policy

A policy adopted by the Authority setting out how employees and the public can report matters of concern to the appropriate Officers within the Authority on a confidential basis.

Tyne and Wear Fire and Rescue Authority

2010/2011 Annual Review of Corporate Governance and Internal Control Arrangements

Action Plan for 2010/2011

Ref.	Corporate Improvement Objectives	Update	Responsible Officer
1	<ul style="list-style-type: none"> The Procurement Department will develop a Procurement Manual to compliment the standing orders and financial regulations. 	Ongoing – has been delayed somewhat by the primacy of the back office reviews	Procurement Manager
2	<ul style="list-style-type: none"> Gain accreditation under the British Standard for Business Continuity Management to ensure that services can be resumed in case of emergency. 	Pre-audit of the strategy and policy complete with full inspection due before the summer of 2011	AM Corporate Support
3	<ul style="list-style-type: none"> Raise a greater understanding of Corporate Governance with Middle Managers 	Complete	

Tyne and Wear Fire and Rescue Authority

2010/2011 Annual Review of Corporate Governance and Internal Control Arrangements

Action Plan for 2011/2012

Ref.	Corporate Improvement Objectives	Update	Responsible Officer
1	<ul style="list-style-type: none"> The Procurement Department will develop a Procurement Manual to compliment the standing orders and financial regulations. 	Ongoing – has been delayed somewhat by the primacy of the back office reviews	Procurement Manager
2	<ul style="list-style-type: none"> Gain accreditation under the British Standard for Business Continuity Management to ensure that services can be resumed in case of emergency. 	Pre-audit of the strategy and policy complete with full inspection due before the summer of 2011	AM Corporate Support
4	<ul style="list-style-type: none"> Review Members induction to the Authority 	December 2011	DCO
5	<ul style="list-style-type: none"> Review Member areas of training and development to maintain high standards 	December 2011	CFO
6	<ul style="list-style-type: none"> Deliver financial awareness training to better embed value for money principles in procurement decisions 	December 2011	Finance Manager

TYNE AND WEAR FIRE AND RESCUE AUTHORITY**MEETING: 13TH JUNE 2011****ANNUAL AUDIT FEE 2010/2011****REPORT OF THE FINANCE OFFICER****1 Purpose of the Report**

1.1 The external auditors of the Fire Authority, the Audit Commission, are required annually, to set out the work that they intend to cover and the applicable fee for that work for the new financial year (2011/2012). This report informs members of the recent notification for information and comment.

2. Annual Audit Fee for 2011/2012

2.1 Appendix A to this report shows the full notification received from the Audit Commission which details the audit work that they propose to undertake for the financial year 2011/2012 and their fee proposal for that work.

2.2 The details are set out in summary in the table below shows the applicable planned fees for 2011/2012 and how these compare to the previous year.

Audit Activity	Planned fee 2011/2012 £	Planned fee 2010/2011 £
Proposed Audit Fee	68,080	74,000

2.3 The Authority's Scale fee for 2011/12 has been reduced to £68,080 as a result of no inflationary increase and a cut in scale fees of 3%. The continued reduction in the overall audit fee of 8% (£5,920) for 2011/12 is welcomed.

3. Recommendation

3.1 The Committee is recommended to:

- Note the contents of this report
- Note the reduced audit fees for the work to be undertaken in 2011/2012, based on the Audit Commission's risk-based approach to audit planning.

Background Papers

Audit Commission: Audit Opinion Plan 2011/2012

Audit Commission: Notification of Fees for 2011/2012



21 April 2011

Mr I Bathgate
Chief Fire Officer
Tyne and Wear Fire and Rescue Service
Brigade HQ
Barmston Mere
Sunderland
Tyne and Wear

Direct line 0844 798 1675

Dear Mr Bathgate

Annual audit fee 2011/12

I am writing to confirm the audit work that we propose to undertake for the 2011/12 financial year at Tyne and Wear Fire and Rescue Authority (“the Authority”). The fee reflects the risk-based approach to audit planning set out in the Code of Audit Practice and work mandated by the Commission for 2011/12. The audit fee covers:

- The audit of financial statements (including the Annual Governance Statement which is included in your annual accounts);
- Financial information included in your annual report;
- the Value for money conclusion; and
- Whole of Government accounts.

As I have not yet completed my audit for 2010/11 the audit planning process for 2011/12, including the risk assessment, will continue as the year progresses. Any significant issues arising from our ongoing risk assessment will be discussed with you.

Audit fee

The Audit Commission has set a scale fee for each audited body for 2011/12, rather than providing a fee range with fixed and variable elements. Variations from the scale fee are only expected to occur where the local assessment of audit risk and complexity are significantly different from those identified and reflected in the 2010/11 fee.

The scale fee represents proposed reductions in the total audit fee as a result of:

- no inflationary increase in 2011/12
- a cut in scale fees resulting from our new approach to local value for money work; and

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- a cut in scale audit fees of 3 per cent for local authorities, police and fire and rescue authorities, reflecting lower continuing audit costs after implementing IFRS.

At this stage our proposed fee has been set at scale fee for 2011/12. This has been set out with comparative information in the table below.

Proposed fee 2011/12	£68,080
Scale fee 2011/12	£68,080
Planned fee 2010/11	£74,000

I will issue a more detailed audit plan in December 2011. This will set out:

- the audit risks identified in respect of both the financial statements audit and the value for money conclusion;
- the audit procedures I plan to undertake; and
- any changes in fee.

If I need to make any significant amendments to the audit fee, I will first discuss this with the Chief Finance Officer. I will then prepare a report outlining the reasons the fee needs to change for discussion with the Governance committee.

The above fee excludes any additional work we may agree to undertake using our advice and assistance powers. We will negotiate each piece of work separately and agree a detailed project specification.

Reporting

I will issue several reports over the course of the audit. These are listed below.

Planned output	Indicative date
Audit plan	January 2012
Annual governance report	September 2012
Auditor's report giving the opinion on the financial statements and value for money conclusion	September 2012
Final accounts memorandum (if required)	October 2012
Annual audit letter	November 2012

We will discuss and agree our reports with officers before issuing them to the Governance Committee.

Audit team

Your audit team meet high specifications and will:

- understand you, your priorities and challenges;
- provide you with fresh, innovative and useful support;
- be readily accessible and responsive to your needs, but independent and challenging to deliver a rigorous audit;
- understand national developments and have a good knowledge of local circumstances; and
- communicate relevant information to you in a prompt, clear and concise manner.

The key members of the audit team for 2011/12 are:

Name	Contact details	Responsibilities
Steve Nicklin Engagement Lead	s-nicklin@audit-commission.gov.uk 0844 798 1621	Responsible for the overall delivery of the audit including: <ul style="list-style-type: none"> • the quality of outputs • liaison with the Chief Fire Officer and Chair of Governance Committee • issuing the auditor's report.
Lynn Hunt Engagement Manager	l-hunt@audit-commission.gov.uk 0844 798 1675	Manages and coordinates the different elements of the audit work. Key point of contact for the Chief Finance Officer.
Chris Clancy Team Leader	c-clancy@audit-commission.gov.uk 0844 798 1681	Leads the on-site team in delivering the financial statements audit.

I am committed to providing you with a high-quality service. If you are in any way dissatisfied, or would like to discuss how we can improve our service, please contact me. Alternatively you may wish to contact Chris Westwood, Director of Professional Practice, Audit Practice, Audit Commission, 1st Floor, Millbank Tower, Millbank, London SW1P 4HQ (c-westwood@audit-commission.gov.uk)

Yours sincerely

Steve Nicklin, District Auditor

cc Mr M page, Chief Finance Officer

cc Mr J Cooke, Chair of the Governance Committee

TYNE AND WEAR FIRE AND RESCUE AUTHORITY**MEETING: 13th June 2011**

SUBJECT: CORRESPONDENCE LIST FOR INFORMATION

The following items of correspondence have been received since the last meeting of the Authority, and are not subject to a separate report. Copies are available from the Chief Fire Officer on request:

- i. NJC/04/11 – Part time workers (prevention of less favourable treatment) Regulations – Amendments to the scheme of conditions of service (grey book)
- ii. NJC/3/11 Part time workers (prevention of less favourable treatment) Regulations – Fire brigades union employment tribunal cases
- iii. FRS B 4/11 Failure of cable fixings in fire
- iv. FPSC 5/11 Actuarial factors: Impact of SCAPE discount rate
- v. NJC 05/11 Royal Wedding 29th April 2011
- vi. FRS B Government response to Fire Futures
- vii. FRS B Revised Communication Factors
- viii. FRS B 10/11 Fire, Resilience and Emergencies Directorate

