

HFA –ASSURANCE MAP 2017 - 18

Assurance Categories	Assurance Areas	Key Officer(s)	Source of Assurance			Issues/Notes
			Independent	Second Line	Management	
Governance		Monitoring Officer				
Authority and Committee operating arrangements	Code of Corporate Governance. Committee terms of reference appointments/tenure etc. Committee effectiveness/member development. Reputation management policies/communication strategies etc. Compliance with National Requirements (National Framework, Police and Crime Act, legislation, national reviews etc.). Annual Governance Statement (AGS). Annual Statement of Assurance.	Executive Director of Service Support/S.151 Officer. Corporate Planning Manager.	External Audit review of Governance statement. Internal audit review of governance arrangements/ Head of Internal Audit Opinion.	GAS – monitor effective development of corporate governance in HFA. GAS oversight of AGS. HFA approval of AGS. HFA review and Chair/CFO sign off of Statement of Assurance. Monitoring Officer advice.	Compliance with Constitution/Codes /Policy framework. Production of AGS. Production of Statement of Assurance covering Finance, Governance and Operations. CMT – oversight of internal control framework.	
Ethical Health	Member and Officer Codes of Conduct. Fraud and Corruption/Whistleblowing policies. Bribery Act. Declarations of Interest. Gifts and Hospitality Policy and Register. Equality & Diversity Policy. Pay Policy Statement. Data Transparency via HFRS Website.	Executive Director of Service Support/S.151 Officer. Finance Manager. Corporate Planning Manager.	Related Party Transactions review as part of annual accounts audit/opinion. Internal Audit commentary arising from relevant activity. NFI process.	Compliance reviewed Boards/Committees (including third party assurance) GAS overview of annual fraud self-assessment return. Gas overview of Declarations and Gifts and Hospitality Register.	Development, review and implementation of policy framework (Anti-Fraud and Corruption Policy, Whistleblowing Policy, code of conduct etc.). NFI matches review.	
Strategic Business Planning	Strategic Plan. IRMP. Linkage/alignment with key enabling strategies. Linkage/alignment with key enabling Assurance and Governance Statements.	Chief Fire Officer and Chief Executive. CMT. Corporate Planning Manager. TMT.	Financial Health Assessment. External Audit. Operational Assessment - Self Assessment and Peer Review. Internal Audit.	GAS overview of Strategic Plan, IRMP and enabling strategies and statements. Approval of Strategic Plan and IRMP by HFA.	Strategic and financial planning framework. Risk and Opportunity Management.	

Civil Contingency Planning	National Resilience, Emergency Response, CCA. Business Continuity plans.	Deputy Chief Fire Officer and Executive Director of Service Delivery. Director of Emergency Response. CMT. TMT.	National Resilience Assurance Team (NRAT) review 2013. Internal Audit 2016.	GAS Committee review of arrangements and audit outcomes. Reports to HFA.	Business continuity plans; testing of plans, lessons learned. Local Resilience Forum engagement. National horizon scanning.	
Information Governance & Communications	Data sharing and use. Data protection. Protective Security Management. Social Media Policy.	Executive Director of Service Support/S.151 Officer. Director of Service Support. ICT Manager. Corporate Planning Manager. CMT. TMT.	Internal Audit Review of Cyber Crime Preparedness.	GAS Committee review of audit outcomes. SIRO.	Partnership protocols. Management of social media. Web management. Protective Security Policy. Risk and Opportunity Management. Compliance with Government Protective ICT framework.	

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Risk Management						
Risk and Opportunity Management Framework	Risk and Opportunity Policy and Register. Operational Assurance Process.	Deputy Chief Fire Officer Executive Director of Service Delivery. Corporate Planning Manager.	Internal Audit Review of ROaR process. Risk Management Workshop (Jul/Oct 2016).	Risk and Opportunity Management quarterly performance reports to CMT/TMT, HFA and GAS. Risk Management Arrangements overseen by GAS Committee and Authority.	Risk Management Annual Report Programme & Risk Manager.	
Health & Safety	Health and Safety Policies. Incident reporting & management. Training.	Executive Director of Service Support/S.151 Officer. Director of Service Support. Health and Safety Manager.	External scrutiny – major accidents (SYFR). RoSPA Audit.	Health and Safety quarterly performance report to HFA & GAS. H&S Consultative Committee.	Health and Safety Annual Report. Operational Assurance Manager.	

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Financial Management						
Financial Regularity	Use of funds; investments. Compliance with Financial Regulations, Treasury Management (TM) Policy. Accounts and Audit Regulations. Financial Accounts.	Executive Director of Service Support/S.151 Officer. Finance Manager.	External Audit - Regularity Audit. Hull City Council third party assurance – treasury management.	Authority approval of Financial Regulations; Oversight of TM compliance by GAS and HFA.	Financial Regulations; Financial Procedures; Compliance with CIPFA Code for TM.	
Financial Planning	Financial Forecast. Annual budget. Capital Programme.	Executive Director of Service Support/S.151 Officer. Finance Manager.	External Audit annual plan. Internal audit annual plan.	Gas and HFA oversight. HFA financial monitoring. HFA budget setting and approval.	MTFP. Budget Monitoring.	
Financial Control	Budget Monitoring. Prudential Code. Contract Procedure Rules. Financial Procedure Rules.	Executive Director of Service Support/S.151 Officer. Finance Manager.	Internal Audit review of combined financial systems	Gas and HFA oversight. GAS - Consideration and comment on IA reports.	Monthly management accounts. Prudential indicators.	
Procurement	Compliance with regulations. Achievement of VFM.	Executive Director of Service Support/S.151 Officer. Finance Manager.	Internal Audit reviews NFI Creditor matches	Gas and HFA oversight. GAS – Consideration and comment on IA reports	Financial Procedures and Regulations. Procurement Manager. Procurement Hub.	

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Information Communication Technology						
ICT Utilisation	Benefits realisation, Return on Investment. Business Efficiencies.	Director of Service Support. ICT Manager.	Internal Audit.	GAS - Consideration and comment on IA reports.	CMT/TMT – benefits realisation reviews.	
ICT Strategy/Operation	National directives/systems Partnership/collaboration.	Executive Director of Service Support/S.151 Officer. Director of Service Support. ICT Manager.	Internal Audit.	GAS – Consideration and comment on IA reports.	ICT Strategy.	
ICT Security	Network security. Anti-virus. Data storage and security. Password and access controls. Environmental controls (HVAC) of server rooms.	Director of Service Support. ICT Manager.	Internal Audit.	GAS – Consideration and comment on IA reports.	ICT Strategy.	
ICT Applications	Incident Command software. Resource Management. Financial management. Mobile applications. Operational Communications. Change management.	Director of Service Support. ICT Manager.	Internal Audit.	GAS – Consideration and comment on IA reports.	ICT Strategy.	
ICT Business Continuity/Disaster Recovery	ICT BC Plan.	Director of Service Support. ICT Manager.	Internal Audit.	CMT /TMT.	Business continuity plans in key areas. Civil Protection Manager. Business Interruption Mgt Team.	

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Service Delivery						
Emergency Response	IRMP. Emergency Call Handling and Mobilising Arrangements. Maintenance of Response Standards. Operational Competence.	Deputy Chief Fire Officer and Executive Director of Service Delivery. Director of Emergency Response. Director of Service Support. Emergency Response GMs. Training Manager.	Operational Assessment Self- Assessment and Peer Review. Customer Service Excellence Audit.	Performance Management Reports to GAS & HFA. Internal Audit. Joint Consultative Committee.	Emergency Response Strategy. Strategic Plan. IRMP. Operational Assurance Process. Annual Statement of Assurance.	
Public Safety	IRMP. Community Risk Profile. Business Risk Profile.	Deputy Chief Fire Officer and Executive Director of Service Delivery. Director of Public Safety. Public Safety GMs.	Operational Assessment Self- Assessment and Peer Review. Targeted Peer Review via Staffordshire FRS. Customer Service Excellence Audit.	Performance Management Reports to GAS & HFA Internal Audit. GAS Scrutiny of Business Safety. Joint Consultative Committee.	Community Safety and Inclusion Strategy. Strategic Plan. IRMP. Annual Statement of Assurance.	Review of Public Safety Strategy and implementation of SRP Review outcomes in progress.
Partnerships Collaboration Commissioning	Policy Agreements Effectiveness	Deputy Chief Fire Officer and Executive Director of Service Delivery. Director of Emergency Response. Director of Public Safety. Service Delivery GMs. Corporate Planning Manager.	Partnerships, Collaboration and Commissioning Register. Agreements.	Internal Audit.	Strategic Plan.	

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Service Support						
HR Management	Workforce planning and control. HR policy framework. Performance Reviews. Compliance with legislation: <ul style="list-style-type: none"> Equality/Diversity Employment law Conditions of Service Occupational Health 	Executive Director of Service Support/S.151 Officer. Director of HR. HR Manager. OD Manager. OH Manager.	Public Sector Equality Duty. Internal Audit. Customer Service Excellence Audit.	GAS and HFA Scrutiny. Quarterly performance reporting to GAS and HFA. Joint Consultative Committee	HR Strategy. Strategic Plan. IRMP.	Review of HR Strategy and implementation of SRP Review outcomes in progress.
Fleet & Equipment Management	Logistics/Utilisation Cost and loss control (incl fuel /insurance) Replacement Plans/Financing Maintenance/Repairs Vehicle strategy	Director of Service Support		GAS - Consideration and comment on IA reports	Tranman and Trackme Systems Joint Venture Workshop/Fleet Fleet/ Equipment Replacement Programme Care packages (BA and PPE)	
Asset Management	Asset recording & accounting Additions and disposals Estate & Asset Management Estate & Asset Strategy Estate & Asset Utilisation	Director of Service Support	Internal Audit	HFA Annual Estate & Asset Management Plan	Asset & Estate Manager Asset Management Plans	
Environmental Management	National and local targets Sustainability agenda/strategy	Director of Service Support	ISO14001 Accreditation		Asset & Estate Manager H&S Manager	
Partnerships Collaboration Commissioning	Policy Agreements Effectiveness	Executive Director of Service Support/S.151 Officer. Director of HR. Director of Service Support. Service Support GM and Grade 13 Managers. Corporate Planning Manager.	Partnerships, Collaboration and Commissioning Register. Agreements.	Internal Audit.	Strategic Plan.	Partnerships Collaboration Commissioning

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Performance Management						
Performance Management Framework	Data quality. Quality of management information. Links to finance/risk/strategic planning & management PIs Benchmarking	Corporate Planning Manager. ICT Manager.	Internal Audit review of performance management – validation of SPIs and review of outcome based approach	Performance and risk report to HFA and GAS GAS scrutiny of performance reporting. HFA approval of PIs and approach for year ahead.	Annual Performance Report. Quarterly Performance and Risk Reports. HFA Approval of Performance Reporting - annual.	Data quality audits?
Projects						
Efficiency Programmes	VFM. Operational Efficiency Programme. Service Redesign Programme.	Deputy Chief Fire Officer and Executive Director of Service Delivery. CMT TMT Corporate Planning Manager.	External Audit VFM conclusion. Efficiency Plan. Internal Audit Savings Plan Review	GAS - Consideration and comment on IA reports	Service Redesign Programme. Operational Efficiency Programme.	OEP being implemented
Project Management	Project/programme management control/approach Specific project review PIR/Lessons learned Business cases	Corporate Planning Manager.	Internal Audit Review	GAS – monitor effective development of project management in HFA	Project Register Programme and project management PGNs Programme & Risk Manager	