



GOVERNANCE COMMITTEE

TUESDAY, 19 JULY 2022

10.30 AM (OR AT THE CONCLUSION OF THE CABINET, WHICHEVER IS THE LATER)
COMMITTEE ROOM, COUNTY HALL, LEWES

MEMBERSHIP - Councillor Keith Glazier (Chair)
Councillors Nick Bennett, Chris Collier, Rupert Simmons and David Tutt

A G E N D A

1. Minutes of the meeting held on 27 June 2022 (*Pages 3 - 4*)
2. Apologies for absence
3. Disclosures of interests
Disclosures by all members present of personal interests in matters on the agenda, the nature of any interest and whether the member regards the interest as prejudicial under the terms of the Code of Conduct.
4. Urgent items
Notification of items which the Chair considers to be urgent and proposes to take at the appropriate part of the agenda. Any members who wish to raise urgent items are asked, wherever possible, to notify the Chair before the start of the meeting. In so doing, they must state the special circumstances which they consider justify the matter being considered urgent.
5. Assessment of the Corporate Government Framework (*Pages 5 - 46*)
Report by the Assistant Chief Executive
6. Amendment to Constitution - Financial Regulations (*Pages 47 - 54*)
Report by Chief Finance Officer
7. East Sussex Pension Fund - Appointment of Local Pension Board Vice Chair and nomination of ACCESS Joint Committee observers (*Pages 55 - 56*)
Report by Chief Finance Officer
8. Any other items previously notified under agenda item 4

PHILIP BAKER
Assistant Chief Executive
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11 July 2022

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GOVERNANCE COMMITTEE

MINUTES of a meeting of the Governance Committee held at Council Chamber, County Hall, Lewes on 27 June 2022.

PRESENT Councillors Keith Glazier (Chair), Nick Bennett, Rupert Simmons, David Tutt and Trevor Webb

ALSO PRESENT Councillors Colin Belsey, Penny di Cara, Peter Pragnell and Bob Standley

1. MINUTES OF THE MEETING HELD ON 19 APRIL 2022

1.1 RESOLVED – that the minutes of the previous meeting of the Committee held on 19 April 2022 be confirmed and signed as a correct record.

2. APOLOGIES FOR ABSENCE

2.1 Apologies for absence were received from Councillor Collier. It was noted that Councillor Webb was substituting for him.

3. REPORTS

3.1 Copies of the reports referred to below are included in the minute book.

4. AMENDMENT TO THE CONSTITUTION - HEALTH AND WELLBEING BOARD TERMS OF REFERENCE

4.1 The Committee Considered a report by the Assistant Chief Executive regarding proposed amendments to the Health and Wellbeing Board's Terms of Reference.

4.2 The Committee RESOLVED to recommend the County Council to approve the revised Health and Wellbeing Board's Terms of Reference set out in Appendix 1 to the report and that the Constitution be amended accordingly.

5. QUARTERLY SCRUTINY UPDATE

5.1 The Committee considered a report by the Assistant Chief Executive that provided an overview of scrutiny activity being undertaken by the People, Place and Health Overview Scrutiny Committees and an update on the work of the Audit Committee.

5.2 The Committee RESOLVED to note the updates on recent Scrutiny and Audit Committee activity and the current work programmes as set out at Appendices 1 to 4 of the report.

6. APPOINTMENT TO OUTSIDE BODY - SUSSEX POLICE AND CRIME PANEL

6.1 The Committee considered a report by the Assistant Chief Executive regarding the appointment of a second representative to the Sussex Police and Crime Panel.

6.2 The Committee RESOLVED to appoint Councillor Murphy as a second representative on the Sussex Police and Crime Panel for a one year period.

Committee:	Governance Committee
Date:	19 July 2022
Title of report:	Assessment of the Corporate Governance Framework for 2021-22
By:	Assistant Chief Executive
Purpose of report:	To (i) provide information on compliance with the Council's code of corporate governance and any changes to it that may be necessary to maintain it and ensure its effectiveness in practice; and (ii) gain approval of the Council's Annual Governance Statement in compliance with the requirements of the Accounts and Audit Regulations 2015.

RECOMMENDATIONS: The Governance Committee is recommended to:

- 1. approve the action plan for 2022/23 as set out in Annex E of Appendix 1;**
 - 2. note that actions identified to enhance governance arrangements are reflected in Business Plans and that implementation will be monitored throughout the year;**
 - 3. confirm that Members are satisfied with the level of assurance provided to them through this report and the Council's governance framework and processes;**
 - 4. consider any comments from the Audit Committee;**
 - 5. identify any significant governance issues that should be included in the Council's Annual Governance Statement;**
 - 6. approve the draft Annual Governance Statement for signature by the Leader and the Chief Executive and publication within the Statement of Accounts; and**
 - 7. approve the Local Code of Corporate Governance for 2022/23.**
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1. Supporting Information

1.1 The corporate governance framework reflects both legislative and regulatory change and is based on revised guidance from the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Chief Executives and Senior Managers (SOLACE).

1.2 The Accounts and Audit Regulations 2015 require the Council to ensure that it has in place a sound system of internal control which facilitates the effective exercise of its functions and which includes arrangements for risk management. The Council is required to conduct an annual review of the effectiveness of its system of internal control and to prepare an Annual Governance Statement (AGS) in accordance with proper practices in relation to internal control to accompany its Statement of Accounts.

1.3 The production of an AGS is the final stage of an ongoing process of review of our governance arrangements including risk management and internal control. In summary the process must involve an organisation reviewing the adequacy of its governance arrangements, developing an action plan for improving those arrangements and communicating the framework to users and stakeholders.

1.4 As part of the review process this year, the Council has reviewed the format and content of the AGS and changes have been made. The new format of the AGS has been adopted to better set out the governance arrangements and better relate them to the principles in the corporate governance framework.

1.5 The report was considered by the Audit Committee on 8 July. Any comments arising from the Audit Committee will be reported to the Governance Committee at its meeting.

2. Assessment of the Corporate Governance Framework for 2021-22

2.1 The main policies and strategies that make up the Council's corporate governance framework are set out in the Local Code of Corporate Governance attached as Annex C to Appendix 1. The Local Code of Corporate Governance was updated to reflect the revised CIPFA/SOLACE Framework that was published during 2016 and was agreed by the Governance Committee in March 2017. The Council's Local Code of Corporate Governance sets out the main principles of good governance for the Council. The Code is based on existing good practice and the core principles of the CIPFA/SOLACE framework.

2.2 The CIPFA/SOLACE framework defines the principles that should underpin the governance of local councils. To achieve good governance the Council should be able to demonstrate that its governance structures comply with the core principles contained in the framework. It has therefore developed and maintained a Local Code of Governance including the core principles set out in the framework.

2.3 The seven principles included in the framework are:

- Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law;
- Ensuring openness and comprehensive stakeholder engagement;
- Defining outcomes in terms of sustainable economic, social and environmental benefits;
- Determining the interventions necessary to optimise the achievement of the intended outcomes;
- Developing the entity's capacity, including the capability of its leadership and the individuals within it;
- Managing risks and performance through robust internal control and strong public financial management; and
- Implementing good practices in transparency, reporting, and audit, to deliver effective accountability.

2.4 The Council's corporate governance framework is underpinned by a number of key documents and processes and the Local Code of Corporate Governance reflects the CIPFA/SOLACE Framework with the seven (7) core principles of the Framework being included as the Council's principles of good governance. The main policies and processes that underpin the Council's corporate governance framework have been reviewed against the seven core principles as set out in Annex A of Appendix 1.

2.5 Evidence shows that the Council continues to have in place good arrangements for corporate governance and that they are working effectively. A review of the AGS was undertaken by Internal Audit during 2021/22 and an opinion of Substantial Assurance was given. This opinion means that controls are in place and are operating as expected to manage key risks to the achievement of system or service objectives. The minor actions agreed for further improvement have been implemented.

2.6 A review of the Council's governance arrangements for 2021/22 has been undertaken. Each document or process in the framework has been assessed and named officers have been required to provide an assurance as to whether the document is being complied with, the level of awareness of the document amongst staff and stakeholders, whether it reflects Council policy and best practice, and arrangements for reviewing it. Where further improvements are identified these are set out within Annex E to Appendix 1 and form part of departmental business plans for the year ahead.

2.7 In addition, all Chief Officers have signed their own Directorate Assurance Statement confirming that proper governance arrangements, effective risk management and a sound system of internal control are in place within their department. They are also asked to identify any exceptions and any actions being taken to address them. These actions will also be monitored through the relevant business plans. The Chief Finance Officer has signed an Assurance Statement regarding the Council's governance arrangements.

2.8 The overall corporate governance assessment and review of effectiveness has also been informed by the sources of assurance set out in Annex A to Appendix 1. As part of the assurance gathering process, the CIPFA/SOLACE guidance on corporate governance was taken into account and is reflected in the Local Code.

3. Annual Governance Statement

3.1 A draft AGS from the Leader of the Council and the Chief Executive is attached at Appendix 1. It includes the mandatory disclosure of any significant governance issues identified through the Council's governance and internal control arrangements.

3.2 Sound corporate governance is crucial if the Council is to continue to provide leadership, direction and control. It is important that Members are aware of the documents and activities that work together to provide assurances about the Council's governance measures in place. The AGS provides an opportunity for the Council to assess and report transparently to the public how it ensures that it is doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner.

PHILIP BAKER
Assistant Chief Executive

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Bekki Freeman, Solicitor 07584 262522
Local Member: All

BACKGROUND DOCUMENTS: Pro formas returned by document "owners" setting out whether the various codes, policies and strategies are being complied with.

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East Sussex County Council Annual Governance Statement 2021/22

Executive Summary

The Annual Governance Statement (AGS) explains the processes and systems which give assurance for the effectiveness of the County Council's discharge of its responsibilities. It covers the period 1 April 2021 to 31 March 2022.

The year was dominated by the continuing national public health emergency and the impact of this event on the Council's governance is also addressed.

A summary of assurance is given for each of the seven principles on which the Statement is based.

The Purpose of the Governance Assurance Framework

1. East Sussex County Council (the 'Council') 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 Council 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.
2. In discharging this overall responsibility, County Councillors ('Members') and senior officers are responsible for putting in place proper arrangements for the governance of the Council's affairs, the effective exercise of its functions, the management of risk and the stewardship of the resources at its disposal. To this end, the Council has approved and adopted a Local Code of Corporate Governance (the 'Local Code'), which is consistent with the principles of the Chartered Institute of Public Finance and Accountancy (CIPFA)/ Society of Local Authority Chief Executives and Senior Managers (SOLACE) Framework Delivering Good Governance in Local Government. A copy of the Local Code is on our website and is set out in Annex C. This Statement also sets out how the Council has complied with its Local Code and also meets the requirements of the Accounts and Audit (England) Regulations 2015, regulation 4(3), which requires all relevant bodies to prepare an annual governance statement.
3. Good governance is about how the Council ensures that it is doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner. Our governance framework comprises the systems, processes, culture and values by which the Council is directed and controlled. Through effective governance the Council is accountable to, engages with and, where appropriate, leads the community.
4. The Local Code can provide only reasonable and not absolute assurance that the Council achieves its aim of good governance. Equally, the Council's system of internal control is designed to identify and prioritise the risks to the achievement of our policies, aims and objectives, to evaluate the likelihood and impact of those risks being realised and to manage those risks efficiently, effectively and economically. It cannot eliminate all risk of failure; it can therefore only provide reasonable and not absolute assurance that our policies, aims and objectives are achieved.
5. The Local Code and the system of internal control have been in place at the Council for the year ended 31 March 2022 and up to the date of the approval of the statement of accounts.

6. The East Sussex County Council Framework for the Annual Governance Statement is set out at Annex D.

Review of effectiveness

7. The Council reviews the effectiveness of its governance arrangements, including its system of internal control, on an ongoing basis. This review of effectiveness is informed by:
 - the work of Members through the Cabinet, Committees (including Governance Committee, Standards Committee, Audit Committee, Scrutiny Committees) generally and the full Council;
 - the work of Chief Officers and managers within the Council, who have primary responsibility for the development and maintenance of the internal control environment;
 - the work of the Chief Executive, Monitoring Officer, Chief Finance Officer and the Statutory Officers Group (SOG);
 - the risk management arrangements, including the maintenance and regular review of strategic risks by Chief Officers and departmental risks by management teams;
 - the work of the internal audit service including their quarterly progress reports, ongoing action tracking arrangements and overall annual report and opinion;
 - the external auditors in their audit annual letter and annual governance report;
 - the judgements of a range of external inspection and other statutory bodies including the Local Government and Social Care Ombudsman, the Care Quality Commission and the Office for Standards in Education.

Key elements of the governance and internal control environments

8. The key elements that comprise the Council's governance arrangements are set out in the Local Code and they include:
 - a Council Plan that sets out our vision for the community and the outcomes we intend to achieve;
 - an established medium term planning process including the process for reconciling policy priorities with financial resources, which takes account of performance and the need to improve both customer focus and efficiency;
 - a business planning and performance management framework which includes setting clear objectives and targets, both financial and otherwise;
 - regular reporting of performance against the Council's key objectives, as set out in the Council Plan, to officers and Members;
 - established budgeting systems, clear budget management guidance and regular reporting of financial performance against budget forecasts to officers and Members;
 - financial management structures which promote ownership of financial issues within service departments;
 - compliance with CIPFA's Statement on the Role of the Chief Finance Officer;
 - the Council's constitution which sets out clear arrangements for decision-making, scrutiny, communication and the delegation of powers to officers and Members;
 - codes of conduct for Members and employees which set out clear expectations for standards of behaviour;
 - a clear framework for financial governance based on Procurement and Contract Standing Orders, Financial Regulations and Standard Financial Procedures;
 - a risk management framework, which takes account of both strategic and operational risks and ensures that they are appropriately managed and controlled;

- Member committees with clear responsibilities for governance, audit and standards;
- established arrangements for dealing with complaints and whistleblowing, and combating fraud and corruption;
- schemes for identifying the development needs of Members and officers, supported by appropriate training;
- strategies for communication and consultation with the people of East Sussex and our key stakeholders;
- clear guidance that promotes good governance in our partnership working;
- a range of policies and processes designed to ensure best practice and legal compliance for personnel matters, ICT security, access to information, data protection and project management.

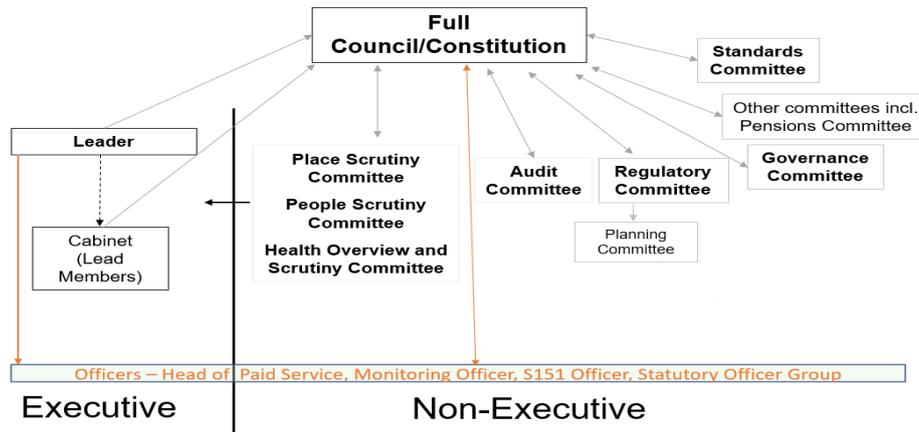
The Governance Assurance Framework Principles

9. There are seven principles and sub-principles of Corporate Governance adopted by the Council, as set out below. Assurance for how they are met is provided in the text below each principle in this Statement. Whilst descriptions of how the principles are met are included in each section, this Statement should be viewed in its entirety as there is overlap between the principles and how they are met. Further work to be done is highlighted and set out at Annex E.

Principle	Description of Principle
A	Behaving with integrity, demonstrating strong commitment to ethical values and respecting the rule of law.
B	Ensuring openness and comprehensive stakeholder engagement.
C	Defining outcomes in terms of sustainable economic, social and environmental benefits.
D	Determining the interventions necessary to optimize the achievement of the intended outcomes.
E	Developing the entity's capacity including the capability of its leadership and the individuals within it.
F	Managing risks and performance through robust internal control and strong public financial management.
G	Implementing good practices in transparency, reporting and audit to deliver effective accountability.

The County Council's Governance Framework

10. The governance framework covers the allocation of functions, the rules for how they are carried out and the mechanisms for tracking that this happens correctly. The relationship of responsibilities is shown here:



The Council's governance response to the Covid-19 Pandemic

11. In March 2020, a national public health emergency was declared by the Government in response to the global coronavirus (Covid-19) pandemic. This continued through the period covered by this Statement. Legal restrictions relating to Covid-19 in England were eased throughout 2021 and ceased in February/March 2022, although case numbers in the County continue to be high.
12. The Council was prepared to deal with the challenges of the pandemic through its Resilience and Emergencies planning. Services were quickly refocused to prioritise preserving life and essential services and the implementation of additional services and interventions in response to the national priorities. This response was led through a resilience command chain, with the Corporate Management Team and external partners providing strong strategic oversight. During 2021/22 the Council has continued to prioritise its response to the pandemic whilst also working on recovery and plans for service continuity. This disruption to normal corporate business and the service, resource, staffing and financial consequences will be assessed as part of corporate planning.
13. The Council has taken part in a multi-agency Covid debrief. Actions arising from this will, where appropriate, be incorporated into the Council's business continuity processes and planning.
14. The Council held remote meetings up to the expiry of the Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020 (the 'Temporary Flexibility Regulations') on 7 May 2021. A large number of remote meetings were held under the Temporary Flexibility Regulations during the pandemic. In general, the holding of remote meetings was a success; Member attendance at such meetings was good and decision-making largely continued as normal. There were also a number of benefits including a reduction in carbon emissions and cost, greater flexibility in organising meetings and reduced time spent travelling, enabling Members to have more time for their other duties.
15. Although the expiry of the Temporary Flexibility Regulations largely necessitated a return to pre-pandemic meeting arrangements, the Council has considered elements of remote working that could be adopted permanently under existing legislation in order to retain as many of the benefits identified above as possible. Full details of the changes are covered under principle B below.

16. All Members were invited to a Whole Council Forum in July 2021 at which officers provided an update in relation to Covid-19 and the implications for the Council. The Quarterly Monitoring Reports submitted to the Cabinet and County Council have also referred to the impact of Covid-19. Members have the opportunity to raise questions and issues in relation to the pandemic at these meetings and at the Forum.

Section A: Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law

Assured

The Council has high standards for sound governance as set out in law and government guidance. It promotes a culture of compliance.

The Council's codes of conduct set out expectations and requirements for behaving with integrity for both Members and officers. Action was taken to promote these and provide assurance that they continue to be implemented fully and correctly.

17. The Governance Committee oversees the democratic arrangements of the Council and reviews and advises Full Council on the Constitution. The Responsibility for Functions (including the Scheme of Delegation) and Standing Orders require Members and officers to ensure that all decisions are compliant with internal policies and procedures, as well as with the law. These help ensure transparent decision-making, giving authority and certainty to the allocation of responsibilities as set out in the Constitution.
18. Part 5 of the Constitution contains the Code of Conduct for Members. A parallel Code of Conduct for officers sits in the suite of employee policies. The Council has also adopted policies relating to responsibilities for ethical behaviour including equality and sustainability, such as the Equality of Opportunity and Diversity Policy Statement. Decision-making is supported by advice from officers and internal guidance that should ensure compliance with these policies.
19. The statutory roles of the Chief Financial Officer (s.151 officer) and the Monitoring Officer are set out in the Constitution and in the scheme of delegation. They provide oversight of propriety and lawfulness. They have a direct reporting line to the Chief Executive and are involved in all major decision-making as part of the Corporate Management Team, as well as being signatories to all key and other significant decisions.
20. The codes of conduct define the standards of behaviour for Members and officers. All Members undertake training from the Monitoring Officer on the Member Code of Conduct. Member conduct is monitored by the Standards Committee, which has a remit to deal with complaints of breaches of the Member Code of Conduct. All Members complete the register of interests and receive quarterly reminders on the subject of personal interest declarations, and it is a standing item on all formal meeting agendas for both officers and Members.
21. The Council has a whistleblowing policy to offer a route for challenges to processes or actions within the Council where complainants need confidentiality. The use and effectiveness of the policy is overseen by the SOG made up of the Chief Executive, Monitoring Officer, Chief Finance Officer, Chief Internal Auditor, Assistant Director for HR, and the Chief Operating Officer.

22. A system for recording officer interests, including gifts and hospitality, is in place and kept under review. A review of the system was undertaken in 2020 and actions were identified to improve the current system. The system was purchased from an external company who developed the operating software which no longer supports the software. In October 2021, the Council approved the award of a contract to provide flexible support to the Modernising Back Office Systems (MBOS) programme. In light of the MBOS implementation, the issues identified with the current system have been considered and actions have been agreed to address these. This is a temporary solution until the MBOS implementation. The SOG receives regular reports on the system and the progress on implementing the actions identified.
23. The Council's Procurement and Contract Standing Orders and the Financial Regulations and Procedures provide rules for lawful and sound processes for contract and spending decisions. These are managed by the Chief Operating Officer, Monitoring Officer, and Chief Financial Officer in consultation with the Governance Committee. These Standing Orders help ensure transparency and a Governance framework in relation to how decisions are made.
24. The Officer Scheme of Delegation is held under regular review by the Chief Executive and the Monitoring Officer, with any new delegations needing the agreement of the Leader of the Council (for executive functions) or the Governance Committee (for non-executive functions).

Section B: Ensuring openness and comprehensive stakeholder engagement

Assured

<p>The Council exists to serve its residents and is dependent on a wide range of stakeholders for working effectively in partnership.</p>

<p>Consultation and engagement mechanisms are in place and are used effectively.</p>

<p>The Council has clear decision-making processes and rules and procedures to enforce them which emphasise openness and transparency. This has been tested and shown to be resilient during the pandemic and its impact on ways of working.</p>

Decision-making and Scrutiny

25. The Council is the principal decision-making body and forum for political debate. All Council meetings take place in public and are webcast. The Council sets the strategic aims that form the Policy Framework and determines the Council's budget following a well-developed process of Member engagement and scrutiny.
26. The Executive (Cabinet) takes decisions on most matters of Council policy and service delivery. The non-executive responsibilities of the Council are discharged through its non-executive committees as described in the Constitution. The Council appoints Members to Scrutiny Committees, by which Cabinet is held to account through Member overview and scrutiny. Scrutiny Committees are politically proportionate. Chairs and Vice-Chairs are appointed by Full Council. Influential scrutiny is achieved by ensuring the Scrutiny Committee's involvement in the Reconciling Policy, Performance and Resources (RPPR) process and having significant decisions or proposals previewed. Proposals may also be called in for scrutiny after a decision has been proposed in final form. The Council has determined that all Scrutiny Committee meetings take place in public and be webcast.

27. The Forward Plan describes all significant (key) decisions planned to be taken in the following four months and is published and updated at least monthly. The Forward Plan is used by Scrutiny Committees to help plan business. As decisions become more significant in terms of service changes and savings proposals there is a greater need to ensure early awareness by, and engagement with, all Members.
28. Decision-making operates with a presumption of openness. Cabinet, Lead Member and committee meetings are held in public. Members of the public can subscribe to email updates on Council committee meetings in which they have expressed an interest. Agendas and reports for Cabinet and committee meetings, unless considered exempt from publication, are published at least five clear working days in advance – exceptions are explained in public documents.
29. Decisions and agendas are held on the website. The content management system, Modern.Gov, is the principal method of publishing the Forward Plan, decisions, agendas, and minutes. Members and staff now have portable devices which can easily access Modern.gov information. The Constitution also prescribes the rules and constraints around urgent decisions (including those not notified in the Forward Plan) and the form and content of decision reports. Key decisions taken under special urgency provisions (as set out in the Constitution) are reported to the Council. The report to the Council includes a summary of the decisions taken under these provisions.
30. As set out above, following expiry of the Temporary Flexibility Regulations, the Council was required to hold physical Council and committee meetings. This provided a number of challenges particularly prior to the lifting of social distancing and other Covid restrictions in July 2021. Arrangements were put in place to hold meetings in line with national Covid guidance on the use of public buildings and local Public Health advice and risk assessment which enabled Council meetings to continue. Risk assessments were undertaken for each meeting and updated during the year to ensure appropriate measures were in place and that the public continued to have access to meetings.
31. To retain the benefits identified through remote meetings, the Council has agreed the following measures, which are permitted under existing legislation:

Full Council – All Council Members must attend in person.

Cabinet – all Members of the Cabinet must attend in person. Officers and other Members (including opposition spokespersons and local Members), as well as petitioners are permitted (with the agreement of the Chair) to attend and speak remotely.

Planning Committee – All Members of the Committee must attend in person. Officers and members of the public or local Members making representations are permitted to attend remotely.

At the Council's **Panels and Committees** (including Governance Committee, Pension Committee, Scrutiny Committees, Audit Committee and Health and Wellbeing Board) – Committee and Panel Members must be present in person (unless legally permitted to attend remotely). Other participants, including officers and advisors, may attend remotely.

Pension Board – may be wholly remote or a hybrid meeting with some Members present physically and others remotely at the Chair's discretion.

Lead Member decisions are not subject to the same legislation that applies to the majority of Council and committee meetings (i.e., that requires the Members of those committees to meet in person). The Council agreed that Lead Member decisions can continue to be made remotely on an ongoing basis, subject to the discretion of the Lead Member to hold

a physical meeting if preferred. Other Members, with the agreement of the Lead Member, are able to attend and speak virtually at Lead Member meetings, whether the meeting itself is a remote or a physical meeting. All Lead Member meetings held remotely are webcast to facilitate public access and provision is made at County Hall for those members of the public who may not have access to the webcast to be able to watch it.

32. These changes have, where appropriate, been reflected through updates to the Constitution approved by the Governance Committee. Currently no long-term changes have been included in Regulations from the government.
33. Communication to the public is via the Council's website, in public meetings, and through social media. The Council's corporate website has been updated with new page templates to ensure it is modern, easy to use, and meets new legal requirements to ensure content is accessible to as many people as possible. A transition to the new, accessible corporate pages was completed in May 2022. Work is also continuing to make all associated websites, microsites and applications meet accessibility requirements.

Stakeholders and Partnership

34. The Council works with a range of stakeholders. This includes a range of public bodies, local authorities, the NHS, and Sussex Police. Other tiers of local government are important partners in many areas of service delivery, strategic planning, and community development. There are both formal and informal forums in place for regular liaison with elected Members and senior officers in the district and borough councils, including regular meetings of all the leaders of the councils (East Sussex Joint Leaders Meetings), to discuss issues of common interest, and regular meetings of all chief executives, including the Chief Fire Officer, Chief Superintendent and the Chief Executive of East Sussex College Group (East Sussex Chief Executives Group). The Leader and Chief Executive of the Council are members of the East Sussex Strategic Partnership, which brings together public services, local businesses, community groups, and Voluntary, Community and Social Enterprise (VCSE) sector organisations to work together in a co-ordinated way to plan local services, tackle issues that matter to residents, and improve quality of life in East Sussex.
35. Regular meetings with other partners, most notably the NHS Clinical Commissioning Group and local NHS Providers, are held at various levels between officers to oversee operational, commissioning and service planning. For several years the Council has operated a joint service commissioning and pooled budget agreement with the NHS to cover a range of social care and NHS services, principally through the Better Care Fund.
36. Due to changes in NHS configuration, including the creation of a pan-Sussex Integrated Care System (ICS) to replace Clinical Commissioning Groups and the formation of an Integrated Care Partnership (ICP), revised member representation on these groups has been confirmed prior to commencing in July 2022. The Leader of the Council will be on the Sussex Health and Care Assembly (the ICP) in his role as Chair of the East Sussex Health and Wellbeing Board, the principal forum for health and social care liaison and partnership. It has also been agreed that the three upper tier Councils in Sussex (namely East Sussex County Council, West Sussex County Council and Brighton and Hove City Council) will be represented on the NHS Sussex Integrated Care Board (the ICB) by a Director of Adult Services, a Director of Children's Services and a Director of Public Health drawn from across the councils, to be agreed by the Chief Executives of each Council. The parties have agreed to establish shadow arrangements ahead of transitioning to the new governance and accountability structures formally on 1 July 2022.

37. The systems and arrangements for joint commissioning on an East Sussex and pan-Sussex basis will be reviewed during 2022/23. The terms of reference and membership of the Health and Wellbeing Board were revised in March 2019. The Board now monitors the progress of the integrated working between the local NHS, East Sussex County Council and wider partners in the district and borough councils and the VCSE sector. In addition, the East Sussex Health and Care Plan was produced, reflecting shared priorities, and a Strategic Development Framework for improving health and addressing health inequalities was developed and agreed. The Joint Health and Wellbeing Strategy will be refreshed based on this to set out the Board's vision and will be promoted and disseminated within the Council and through various corporate and partnership initiatives.
38. The Council has set out its commitment to working in partnership with residents, businesses, communities, the VCSE sector, and local authority partners through a number of initiatives. It has a set of partnership principles with the VCSE sector for the commitment to more effective ways of working together, building stronger alliances, and empowering joint action.

Consultation and engagement in East Sussex

39. The Council is committed to working with residents, businesses, communities, service users, and partners to help prioritise what it does, to give them a say over the approach and to have the chance to get involved in delivery and change. This requires sound arrangements for engagement and consultation.
40. The Council uses a variety of ways to engage residents and other stakeholders - publications (printed and digital), press releases and social media to keep people informed of plans or decisions, and engagement via questionnaires, public events, workshops, focus groups, satisfaction surveys and feedback forms.
41. Consultation and Engagement Quality Assurance is managed within departments. Services must develop projects which are robust and produce reliable valid data upon which decisions can be made.

Formal consultation

42. Formal consultation will generally only be undertaken where there is a statutory duty or legitimate expectation and where there is a service or policy need to do so. Consultations are carried out in accordance with current national Consultation Principles guidance and the Council's 'Statement of Community Involvement'. Individual services are required to maintain open channels of communication with relevant stakeholder groups and representative bodies where relevant to service planning.
43. All formal public consultations and engagement projects are made accessible online using the 'Citizen Space' consultation hub software. Other formats are available on request. They are also published on the Council's News and Press Release webpages. The Council ensures compliance with the public sector equality duty when processing and securing formal key decisions, although consistency and appropriateness of use requires further attention to ensure consistent compliance.
44. The information gathered is analysed and considered as part of the decision-making process, the protocol for which can be found in the Constitution. Analysis reports and decisions are made available on the 'Citizen Space' engagement hub webpages as a means of ensuring clarity and increasing public trust in decision-making processes.

45. Action was taken to increase the effectiveness of public engagement and communication including raising awareness of the need to comply with new online accessibility legislation. Work on reviewing our understanding of, and compliance with, the public sector equality duty has been completed. Members received an introduction to the public sector equality duty and its implications for their role as part of their induction.
46. All elected Members were also offered Equality, Diversity, and Inclusion in Leadership training to enable them to recognise the considerations that underpin fair decision-making in the Council and to ensure they can fulfil their legal obligations under the Equality Act 2010.
47. The Council has a Petitions Scheme describing how petitions from residents are dealt with by the Council. These enable a petitioner to speak with a Cabinet Member or at a committee, or to the Council if prescribed thresholds for signatures are reached. A response is made to each petition, explaining what the Council will or will not do in response.

SECTION C: Defining outcomes in terms of sustainable economic, social, and environmental benefits

Assured

<p>The Council has established arrangements to define outcomes and monitor performance against agreed measures. These cover the strategic aims for supporting the economy, complement the social value policy of the Council and are built against a theme to address sustainability to support the Council's climate change commitments.</p>

<p>In setting policies and strategies, the Council takes a long-term view of outcomes, taking into account sustainable economic, social, and environmental aims and has effective, comprehensive performance monitoring in place.</p>

<p>The corporate document 'the Council Plan' was adopted by the Council at a meeting in February 2022. The Plan covers the period 2022-25 and performance will be monitored in a structured, timely and transparent way by the leadership team, by Cabinet Members and through Scrutiny Committees.</p>

48. The Council Plan 2022-2023 outlines the priorities for the Council over the next three years and how they are to be assessed in terms of delivery and measures to monitor performance. It was agreed by Full Council in February 2022 and will be subject to quarterly performance monitoring by Cabinet and Full Council. The Council Plan was developed by the Cabinet and Corporate Management Team with the engagement of elected Members, Scrutiny Committees, and officers at all levels. Measures and targets were developed and approved as part of the agreed plan and are published online as well as being reported and scrutinised in public.
49. Active monitoring of performance is undertaken through regular reviews of business plans and with all staff through individual staff performance conversations. These arrangements link to performance and regular reviews of business plans. The Cabinet reviews the Quarterly Monitoring Report on a quarterly basis and this is reported to Full Council.
50. The Council is committed to championing the economy of the area. One of its priorities is to ensure East Sussex is a prosperous place and for the County to continue to thrive through supporting businesses. The East Sussex Growth Strategy, agreed in December 2014, sets out the Council's priorities in driving economic growth to support a prosperous

place. The Plan covers the period 2014 to 2020 but, in determining which activities and investments to prioritise over the period, a longer-term view of opportunities and challenges is taken. This has become an area of particular focus in relation to the re-setting of priorities in light of the public health emergency and a new Economy Recovery Plan has been approved in response to the impact assessment of the emergency. Plans to develop a new Growth Strategy are currently being considered.

51. Partners and stakeholders contributed to the development of the 2014-20 Growth Strategy, including the district and borough councils, the South East Local Enterprise Partnership, the South Downs National Park Authority, further and higher education institutions and business representative organisations. Working with these partners is crucial in the Council's determination to support the business community and ensure growth for the East Sussex economy.
52. Following the Council's Notice of Motion on climate change, agreed in September 2019, a Climate Emergency Plan was formulated with the aim for the organisation to be carbon neutral by 2050, if not sooner. This was approved during 2020 after Member engagement and scrutiny.
53. The internal Officer Climate Emergency Board was set up to own and oversee delivery on climate change ambition. The Board reports on progress against the Climate Emergency Action Plan to the Lead Member for Resources and Climate Change and to the Place Scrutiny Committee. In November 2021, Cabinet approved £3.8m of additional investment in measures to accelerate the organisation's progress towards its Net Zero commitment, and this is being tracked through the same delivery and monitoring process.
54. The creation of the Council Plan 2022/23 is underpinned by the ambitions of the Council in responding to the challenges of climate change. All Directorates have been tasked to reflect this ambition in their 2022-23 Portfolio Plans to embed the ownership of climate change activity across the organisation. Quarterly reporting to Cabinet and monthly management reporting (internal) will highlight progress on key climate change indicators.
55. The Council is in the process of adopting a new Social Value Policy which seeks to infuse Social Value into the Council's culture through Good Commissioning, Good Procurement and Good Contract Management. To help bring the policy to life and promote best practice, a Social Value Review Group has been established which consists of a group of subject matter experts that are able to identify the needs of the local communities and establish strategies to help us meet those needs. This enables the Council to deliver real, meaningful value to local communities and residents.

SECTION D: Determining the interventions necessary to optimise the achievement of the intended outcomes

Assured

The Council takes decisions on interventions based on the priorities agreed in the Council Plan. In areas identified for improvement systems for governance, oversight, and scrutiny of interventions will continue to be given particular focus.

56. All Directorates are expected to prepare and monitor Portfolio Plans which set out the actions required to meet the outcomes set in the Council Plan and the measures, targets and milestones used to monitor their delivery. These are in place and progress is reviewed regularly by Departmental Management Teams (DMTs) alongside financial performance and the directorate's risk register. The Portfolio Plans are refreshed each year as part of the annual update of the Council Plan.

57. The Quarterly Monitoring Report provides details of our performance against our objectives in the Council Plan. The Cabinet and Full Council review performance through quarterly monitoring and the work of the Scrutiny Committees and Audit Committee.
58. The Quarterly Monitoring Report provides an overview of performance against the agreed priorities within the Council Plan and tracks financial performance and our strategic risks to ensure intended outcomes are kept in focus and expenditure controlled. The Quarterly Monitoring Report focuses on the delivery of:
 - Council Plan and Performance Measures;
 - Medium Financial Term Strategy and in-year budget;
 - Strategic Risk Management.
59. Executive decision reports provide a public record of all significant decisions to implement service plans and spend. They are required to show the intended outcomes, the rationale for the proposal, implications for Council resources, other options considered, advice received, consultation undertaken and how risks are managed.
60. A number of officer boards chaired by senior officers ensure oversight of strategic areas of Council business on behalf of the Corporate Management Team. These boards coordinate subject matter expertise as well as overseeing arrangements for the delivery of priorities at an officer level, prior to Member consideration. They include the Corporate Equality Group, the Corporate Climate Emergency Board, the Communications Management Board, the Corporate Digital Board, the Customer Experience Board, the Capital Board and the HR Management Board.

SECTION E: Developing the entity's capacity, including the capability of its leadership and the individuals within it

Assured

Officers and Members are expected to have a clear sense of their purpose, roles, and responsibilities in line with the Council's vision and the suite of policies and processes which support it.

The Chief Executive and the Corporate Management Team manage the Council's workforce, skills and resource planning. All officers are expected to have their performance monitored and their development needs identified and addressed. Specific attention is paid to programmes for leadership development. Work continues to enable the Council's leaders to promote a positive and supportive culture and to provide the means of enhancing or reinforcing good leadership skills. The Council runs a leadership programme to encourage junior/mid-level managers to develop the skills required for senior leadership positions. In addition, all senior leaders are offered a series of masterclasses designed to support the development of Heads of Service and Assistant Directors. These masterclasses provide insight into key topic areas that are relevant for strategic leadership in the public sector.

A system is in place to ensure that all elected Members have an understanding of their roles and responsibilities when appointed or elected to particular positions within the Council. Members are expected to be able to fulfil the expectations and demands of their roles as local Members and those positions to which they may be appointed. Areas of focus for review are identified. Members have received training and support to help them to focus on the strategic nature of their roles. This has been a particular focus following the Council election in May 2021 and the induction of Members.

61. Arrangements for the Council's Member appointments to specific roles are open and set out in the Constitution. The Council elects the Leader who decides the composition and responsibilities of the Cabinet. The Council makes appointments to all committees. Changes can be made at each Full Council meeting. All terms of reference are published. There is a system for reviewing and refreshing all constitutional terms of reference for committees and boards which transact Council business.
62. Member roles – Executive and non-executive roles are defined and published within the Constitution on the Council's website and as part of the Members' Area of the intranet. The Member induction and training programmes cover these roles. All Member development sessions have attendance and feedback recorded.
63. The knowledge and development needs of Members are identified and addressed through a cross-party Member Reference Group (MRG). The MRG oversees the delivery of a planned programme of development to meet Member training needs, taking into account Members' views on priorities through surveys and feedback. It reviews the impact of Member development work and identifies areas for improvement.
64. A full induction programme was designed and implemented with a view to covering Members' strategic and local community roles, scrutiny skills, as well as specific training on the Member Code of Conduct, safeguarding and corporate parenting. Members in specialist roles receive a more tailored induction, including new Members of the Cabinet and of the Planning Committee, Pensions Committee and the Appeals Panels.
65. Specialist training is given to Members according to the roles they carry out. This includes training for Cabinet Members, Members appointed to the Scrutiny Committees and Members of the Regulatory Committee, Audit Committee, Planning Committee, Pensions Committee and Appeals Panels. Disclosure and Barring Checks (DBS) remain part of the induction of new Members following the May 2021 election. Enhanced DBS checks are carried out for Members in Adult and Children's Services related roles. Training on adults and children's safeguarding is being provided for all Members, with an online training module also available. Training was also provided to ensure awareness of Information Governance and data protection responsibilities as they apply to elected Members. Members also received guidance on cyber security.
66. The MRG led on the development of a comprehensive induction programme for Members, which was predominately delivered on virtual platforms due to the public health pandemic. This induction programme sought to ensure a first-class, Member-led programme which takes a phased and balanced approach to ensure all Members have the training, information and support they need.

Officers

67. Statutory roles include the designation of the Chief Executive as Head of Paid Service, the Assistant Chief Executive as the Monitoring Officer and the Chief Finance Officer as s.151 officer. Other critical statutory and leadership roles and their responsibilities are described in the Council's Constitution. These include the Director of Children's Services, the Director of Adult Social Care (ASC) and the Director of Public Health. All Directors are formally required each year to give assurance as to their compliance and that of their Service with a range of requirements and expectations of them as senior leaders within the Council.
68. All levels of management within the Council have a designated role profile and these profiles are accessible via the Council's intranet. Officers are given copies of their roles

on appointment and are supported through induction training, their personal development review and supervision in understanding and developing their roles. Internally published HR procedures cover all aspects of performance and procedure to support managers.

69. Personal development priorities are agreed through a personal development review process. There is an established programme of induction training for new staff. Training is available increasingly through an online learning system. Leadership skills and development for senior officers is led by the Assistant Director of Human Resources and Organisational Development.
70. Issues of capacity and service resilience to ensure service effectiveness are covered through workforce planning as part of directorate business planning. Being an employer of choice is key to ensuring the Council can attract and retain the high calibre staff it needs. There are a number of initiatives underway that support this, including:
- the implementation of hybrid working arrangements as part of the Workstyles review;
 - the implementation of recruitment initiatives such as the 'Refer a Friend Scheme' and 'Apprenticeships Incentives Policy';
 - targeted actions such as the use of market supplements etc. for specifically identified job roles where a particular focus is needed;
 - the development of a corporate Equality, Diversity and Inclusion Action Plan which includes a number of workforce specific actions to support having a diverse workforce.

SECTION F: Managing risks and performance through robust internal control and strong public financial management

Assured

Risk management is robust overall and risks are being considered during business planning and decision-making processes, corporately and across all services.

Service and corporate performance management has been addressed in earlier sections of the report.

The Council has robust internal financial controls in place, displays strong public financial management and operates systems to manage risks and performance in the most effective manner.

71. The Constitution sets out the rules to ensure robust internal control over the Council's finances. The system and arrangements for financial performance management and budget monitoring demonstrate sound internal monitoring and control and have formal and well published arrangements for Member and officer oversight and transparency.
72. The system of internal financial control is based upon a framework of comprehensive financial regulations and procedures which comply with the CIPFA 'Good Practice Guide for Financial Regulations in a modern English Council'. Control is maintained through regular management information, supervision and a structure of delegation and accountability. External audit of the Council's accounts in 2020/21 concluded that arrangements remained robust. The external audit for 2021/22 is in the process of being concluded so the opinion has not yet been given. The Council's financial management arrangements conform to the governance requirements of the CIPFA 'Statement on the Role of the Chief Financial Officer in Local Government 2010'. A continuous review is

maintained. The Financial Regulations and Procedures are kept under review by the Chief Finance Officer.

73. In completing and signing the Directorate Assurance Statement, each Chief Officer reviews the effectiveness of governance arrangements, risk management processes and the system of internal control and considers:
- The adequacy and effectiveness of management review processes;
 - The work of the department's management team and other managers and staff;
 - The regular review of the department's performance against both financial and non-financial targets;
 - Outcomes from the strategic and operational risk management processes;
 - The level of compliance with the Council's key policies and procedures;
 - Relevant internal audit reports and results of follow-ups regarding implementation of agreed actions in relation to audit findings; and
 - Outcomes from reviews of services by other bodies including our external auditors, inspectorates and other statutory and regulatory review bodies.
74. Evidence of assurance given is supplemented in the Annual Assurance Statement for each directorate. These include actions for improvement.
75. The officer scheme of delegation is critical for the effectiveness of controls of spending and performance. Directors are required to ensure and confirm the effectiveness of the scheme of officer authorisation and have worked with the Assistant Chief Executive to ensure that there is shared understanding of the operation of delegations and the need to continually review them.
76. The County Council annually reviews the effectiveness of its governance framework including the system of internal control. The review is informed by the Chief Internal Auditor's annual report and opinion 2021/22, by the external auditor and other agencies and inspectorates. These findings are brought together within this Statement and are reported annually to the Audit Committee. The Audit Committee undertakes the functions of an audit committee. This includes review of the work and findings of Internal Audit. The audit arrangements which support and reinforce financial controls and assurance are fully addressed under Principle G below.
77. The appropriate management of risk is a fundamental element of the Council's ability to provide cost effective, quality services and to deliver its four priority outcomes. To achieve this, sound risk management policy and practice are firmly embedded within the culture of the Council, providing a proportionate and effective mechanism for the identification, assessment and, where appropriate, management of risk. In developing its Risk Management Framework, the Council recognises that risks cannot be fully managed and that, in being more innovative, efficient and effective in the delivery of its services, it may choose to take and/or accept more risk. Where this is the case, robust risk management practice will help ensure that the Council takes appropriately informed decisions, having properly evaluated the potential risks and the associated opportunities. The Council's risk profile is dynamic and continually changing due to the influence of external factors and/or internal influences. The level of risk can alter and consequently, identified risks and associated mitigations are regularly re-assessed to address and combat the impact of these changes. In addition, new risks will periodically emerge which must be identified and analysed to reduce the Council's exposure to adverse risk.
78. Risk information is recorded within registers maintained at a corporate (strategic) level and individual department/divisional level. As a minimum, all risk registers should be formally reviewed and updated on a quarterly basis as part of the Council monitoring

process. This process includes a review of departmental risk registers by each DMT, including any strategic risks for which the Chief Officer concerned has responsibility, prior to subsequent review by the Corporate Management Team. The Strategic Risk Register is also reviewed and updated by the Corporate Management Team prior to being reported to Cabinet and the Audit Committee.

79. As part of the above process, consideration is given as to the escalation and de-escalation of risks between the Departmental and Strategic Risk Registers.
80. There is a separate requirement for material risks connected with proposals, policies and spending decisions to be formally identified with actions taken to manage such risks in all recorded and published decision reports.
81. Risk management is delivered through robust directorate controls including the business planning process, supported by the Risk Management Framework. The Chief Operating Officer carries the operational officer responsibility for risk management. The Chief Executive is accountable to the Council for the effectiveness of the risk strategy.

SECTION G: Implementing good practices in transparency, reporting and audit, to deliver effective accountability

Assured

The Council has transparent processes in place through publication of the Forward Plan of key decisions, of agendas and reports of its meetings and those of its committees. This includes key decision reports on the website and the prominence given to reporting and enforcing of agreed audit actions through the Audit Committee, which meets in public.

The Council has effective, open data reporting arrangements to ensure the accessibility of significant spend, contractual and other data relevant to financial performance. This has also been addressed through the development of the performance management reporting arrangements linked to the implementation of the Council Plan.

82. All meetings of the Full Council and of the committees which discharge executive, non-executive or scrutiny functions take place in public and have their reports and minutes published on the Council's website. Cabinet, Lead Member and Committee decisions, agendas and reports are published on the website and are available to the press and public. This is driven by the publication of the Forward Plan of key decisions. A limited number of reports are considered in private session only when the subject meets the prescribed criteria.

Assurance and Significant Governance Issues

83. The Audit Committee undertakes the functions of an audit committee. This includes review of the findings of Internal Audit. The Committee meets regularly and in public and holds officers to account for the timely implementation of agreed audit actions.
84. No assurance can ever be absolute; however, this Statement seeks to provide a reasonable assurance that there are no significant weaknesses in the Council's governance arrangements. On the basis of the review of the sources of assurance set out in this Statement (in Annex A), we are satisfied that the Council has in place satisfactory governance arrangements, including a satisfactory system of internal control, both of which are operating effectively.

85. The Annual Internal Audit Annual Report and Opinion provides an opinion on the adequacy of the Council's control environment as a contribution to the proper, economic, efficient and effective use of resources. The Council must undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance. Annually, the Chief Internal Auditor is required to provide an overall opinion on the Council's internal control environment, risk management arrangements and governance framework to support the Annual Governance Statement and this is provided in the Internal Audit Annual Report and Opinion. Based on the internal audit work completed, the Orbis Chief Internal Auditor has provided substantial assurance that the Council had in place an adequate and effective framework of governance, risk management and internal control for the period 1 April 2021 to 31 March 2022.
86. As part of our review, we have not identified any gaps in assurance over key risks or significant governance issues.
87. The Council will continue to regularly monitor issues that may seriously prejudice or prevent achievement of its key objectives through its strategic risk review process.
88. Both governance and internal control arrangements must be kept under review to ensure that they continue to operate effectively, meet changing legislative needs and reflect best practice and our intention to achieve excellence in all our activities. The Council, through the Directorate Assurance Statements and the Chief Finance Officer's Assurance Statement, has identified a number of areas where it wishes to enhance its governance arrangements. These are set out on the attached Annex A together with the department responsible for them. Each Director has included in their Directorate Assurance Statement confirmation that the actions identified for 2020/21 have been completed or provided an update and explanation regarding progress.
89. A review of the AGS was undertaken by Internal Audit during 2020/21 and an opinion of Substantial Assurance was given. This opinion means that controls are in place and are operating as expected to manage key risks to the achievement of system or service objectives. The minor actions agreed for further improvement have been implemented. Further work will be undertaken as part of this year's Audit Plan.
90. The Council Plan identifies a number of areas that have governance implications and these will be monitored through the Council Plan monitoring process. The areas outlined in Annex A will be monitored through departmental business plans.
91. The Council has also identified a need to develop its approach to transparency and to respond to the Government's open data agenda, which will be monitored and managed. Action plans are in place to address these issues and their implementation will be monitored and reviewed during the year.
92. Details of bodies where the Council is a Member or appoints a Director are set out in Annex B.

Keith Glazier Leader of the Council September 2022

Becky Shaw Chief Executive September 2022

Annex A - Sources of Assurance and Actions

Key:

ACE = Assistant Chief Executive

ASC = Adult Social Care

CET = Communities, Economy and Transport

CFO = Chief Finance Officer

COO = Chief Operating Officer

HR&OD = Human Resources & Organisational Development

MRG = Member Reference Group

Table of assurance for Principle A: Integrity and Compliance

Source of assurance	Where found	Who is responsible	Role	last review/ action planned*
Constitution	Website and intranet	Full Council, Governance Committee and ACE	A single source for rules and procedure for lawful sound business and meeting management	Constitution has been reviewed and updated several times during 2020/21. Will continue to be reviewed on a regular basis
Code of Conduct for Members	Website, webshop for schools, intranet, Constitution	Standards Committee & ACE	Defines standards of behaviour and how to enforce them	Approved by the Full Council in May 2019. Reviewed by Standards Committee April 2021.
Code of Conduct for employees	Website, webshop for schools, intranet, Constitution	Governance Committee HR&OD	Defines standards of behaviour and how to enforce them	Last review in March 2020 and reflects County Council policy, best practice and legislation. Improvements to declaration of interest process*
Whistleblowing Policy	Intranet	Governance Committee & All Chief Officers	Defines process to report breaches of rules or standards confidentially	Reviewed March 2020
Anti-fraud and corruption strategy	Intranet	COO	Statutory obligations recorded and enforced	Reviewed by Audit Committee in 2020. Action to increase awareness*
Anti-Money Laundering Policy	Intranet	COO	Statutory obligations recorded and enforced	Reviewed by Audit Committee 2020. Annual review of Policy and compliance as part of LEXCEL accreditation
Register of Member Interests	Website	ACE	Statutory list of interests	Entries updated on an ongoing basis. Quarterly reminders to Members to review.
Register of Officer Interests	Restricted access		Record of financial and conflicting business interests	Reviewed in 2020. Regular reports submitted to SOG regarding system issues and actions
Corporate Complaints Policy	Website, intranet	Chief Executive & Governance Committee	Describes mechanism for handling all complaints	Reviewed annually. Action to raise awareness*
Employment Policies	Intranet	Governance Committee and Assistant Director HR&OD	Defines rules of conduct and procedures to manage	Policies reviewed in line with changes in legislation and best practice
Information Security and Data Protection Policy	Intranet	COO	Defines rules and procedures to protect data.	Reviewed and updated November 2020. Action to continue training awareness programme
Freedom of Information policy	Website	Director of CET	Defines rules and procedures	Policy reviewed in 2020/21. No action proposed*
Standing Orders on Procurement and Contracts	Website, Constitution	COO	To prescribe the rules for all contracts and procurement activity	Reviewed January 2020. To review in 2021/22

Table of Assurance for Principle B: Openness and Stakeholders

Source of assurance	Where found	Who is responsible	Role	last reviewed/ action planned*
Scheme of Delegation	Website, Constitution	Full Council, Governance Committee & All Chief Officers	To fully define who takes what decisions and how and how recorded	Scheme updated several times in 2020/21. Action to continue to monitor and update. Ensure that Internal Schemes of Authorisation are updated accordingly
Forward Plan	Website	ACE	Describes planned key decisions for next 4 months	Ongoing
Scrutiny Committee business planning	Scrutiny Committee reports	Statutory Scrutiny Officer	Records planned scrutiny work	Continuous with annual work programme published with each Scrutiny Committee agenda
Openness and access to meetings/ decisions.	Constitution and Website	ACE	Describes rules and process for ensuring transparency of business	Web casting of meetings extended to all formal meetings during 2020 during Covid restrictions. Meetings held remotely continue to be webcast
Equality Policy	Website And decision-making protocol	Chief Executive. Relevant Director (for decisions) COO (for staff)	Source of guidance for ensuring compliance with public sector equality duty	To be reviewed in 2022.
Health and Wellbeing Board arrangements	Constitution	Director of ASC	Forum for strategic joint business and service oversight	Board and terms of reference reviewed in 2018/19. Terms of reference to be reviewed again in June 2022 to reflect ICS changes

Table of Assurance for Principle C: Sustainability

Source of assurance	Where found	Who is responsible	Role	last reviewed/ action planned*
Our Council Plan	Website	Ful Council, Cabinet & Chief Executive	Describes the measure and targets for key corporate & service aims	The County Council agreed current Plan in February 2021. Quarterly reports to Cabinet and Full Council
Climate Change Strategy	Website	Director of CET	Sets Council's commitment to becoming carbon neutral and climate resilient by 2050 at the latest	The Climate Emergency Plan was in 2020. Annual report on progress submitted to the Cabinet and Full Council

Sources of Assurance for Principle D: Optimising Interventions

Source of assurance	Where found	Who is responsible	Role	last reviewed/ action planned*
Policy, Performance and Resources Reports	Website	Chief Executive & Cabinet and	Reviews policy and financial and operational performance	Regular reports to Full Council, Cabinet and Scrutiny Committees
Executive Decisions process	Website	ACE	To record rationale, legality and financial compliance of decisions	Format revised 2018. New publication system by Modern.gov 2018
Business Plans	Share Point	All Directors	Record of actions and objectives for delivery of Our Council Plan	Annual. Action taken to ensure better coordination of plans between Directorates implemented as part of Our Council Plan
Financial Regulations (FR) and compliance with Financial Management Code (FMC)	Website, Constitution	CFO	Provide sound systems for financial management	FR - Revision February 2019. Further review in May 2022, to be considered by SOG in June 2022. FMC – annual compliance report to Audit Committee

Sources of Assurance for Principle E: Leadership Capability

Source of assurance	Where found	Who is responsible	Role	last reviewed/action planned
Scheme of delegation	Website, Constitution	Full Council, Governance Committee, All Chief Officers	Formal allocation of key roles and functions, including Statutory and senior officers	Scheme updated several times in 2020/21. Action to continue to monitor and update. Ensure that Internal Schemes of Authorisation are updated accordingly
Budget, including medium term financial plan (MTFP)	Reports to Cabinet and Full Council	County Council Chief Executive, CFO	To agree a sound budget and financial strategy	Budget set in February 2021. The MTFP is subject to review as part of the RPPR process
Member Training and Development	Councillors' area of intranet	Governance Committee, MRG, ACE	Plan and record all Member training	Plan reviewed as part of the induction arrangements for May 2021 onwards. Survey undertaken with councillors to identify training needs. Rolling plan that is updated during the year
Employment Policies	Intranet	Governance Committee, HR&OD	Describe all officer duties, rules and requirements	Policies reviewed in line with changes in legislation and best practice
Workforce Planning arrangements	HR policies and Directorate plans	Relevant Director	Provides rationale and scheme for ensuring resilience and capacity	Particular focus on service improvement plans
Staff role profiles	Intranet	Heads of Service	Describe all officer roles	Updated as roles change
Member Induction Programme	Intranet	MRG, ACE	To determine the content of the programme	Plans completed in early 2021, for induction programme for post May 2021
Officer Performance management	Intranet	HR&OD & all Directors for delivery	To manage performance and development	Annual performance review process for all staff

Sources of Assurance for Principle F: Risk and Performance

Source of assurance	Where found	Who is responsible	Role	last reviewed/action planned
Governance Statement	Website	Governance and Audit Committees, ACE	Captures all sources of governance assurance	Annual (this document)
Guidance to Members on Outside Bodies	Website, Constitution	ACE	To provide guidance to Members in relation to roles and responsibilities when appointed to outside bodies	Reviewed March 2020. Two training sessions to Councillors as part of the induction programme in 2021
Local Code of Corporate Governance	Governance agenda	Governance Committee ACE	To confirm the corporate governance principles in place	Reviewed on an annual basis
Risk Management Framework	Intranet	COO	Strategic aims and objectives for corporate risk management	Last updated May 2021 and subject to regular review
Health and Safety Policies	Intranet and Webshop for schools	Assistant Director HR&OD	Provides rules, procedures and systems for assurance in relation to health and safety at work and in relation to property risk	All policies regularly reviewed. Action to continue training programme*
Audit Function	Website, Constitution	Audit Committee Chief Internal Auditor COO	To manage and ensure the effectiveness of Audit	External Quality Assessment of Internal Audit in accordance with the Public Sector Internal Audit Standards. Annual internal audit report and opinion review. Quarterly internal audit report to the

Source of assurance	Where found	Who is responsible	Role	last reviewed/action planned
				Audit Committee. Annual External Audit Plan. Annual Audit Letter
Treasury Management Strategy	Website	COO	For sound strategy to limit risks to borrowings and investments	Reviewed and updated by Council February 2021
Financial Regulations (FR) and compliance with Financial Management Code (FMC)	Website, Constitution		To prescribe the rules for all financial transactions in line with Financial Management Code.	FR - Revision February 2019. Further review in May 22* FMC – Annual compliance report to Audit Committee.
Business Continuity	SharePoint	Director of CET	To provide safe systems and procedures to manage local and civil emergencies	Regularly reviewed. Post-Covid review exercise schedules for October 2022

Sources of Assurance for Principle G: Audit and Transparency

Source of assurance	Where found	Who is responsible	Role	last reviewed/action planned*
Audit Function	Website, Constitution	Audit Committee Chief Internal Auditor COO	To manage and ensure the effectiveness of Audit	External Quality Assessment of Internal Audit in accordance with the Public Sector Internal Audit Standards. Annual internal audit report and opinion review Annual internal audit report and opinion review. Quarterly internal audit report to the Audit Committee. Annual External Audit Plan. Annual Audit Letter
External Audit of Accounts	Website	COO, CFO	To give external assurance to the quality of the Council's accounts and accounting practice	Auditor issued an unqualified opinion in relation to the 2020/21 accounts The 2021/22 audit is underway, with the published report expected in September 2022

Annex B - Separate bodies where the County Council is a member or appoints a Director

TRICS Consortium Ltd – TRICS is an international system of trip generation analysis that is used in the transport planning industry. TRICS collect data relating to trip rates of different land uses, with members paying to access the database to use the data for a variety of uses.

What the relationship is between the body and the local authority	East Sussex County Council is a shareholder in TRICS Consortium Ltd. The Council has a 16.7% share - equal share with the five other County Council shareholders
What is the structure and form of the body (e.g., private limited company etc.)	TRICS is a local authority trading company, and is a company limited by shares. It has a board of directors (one from each of six counties that are shareholders plus a managing director). It is a private company limited by shares.
How the Council oversee its activities and provided assurance on its governance including financial governance	The East Sussex County Council nominated company director attends monthly board meetings to oversee the business of the company to ensure it is run to maximise the business for the benefit of East Sussex County Council. The East Sussex County Council Director shares the annual report with the relevant Head of Service.
What the relationship is between the body and individual councillors and whether councillors' involvement is likely to constitute a conflict of interest	There is no relationship, aside from the Lead Member for Transport & Environment is updated on the work of TRICS through briefing meetings.
How can councillors scrutinise the activities of the body, in particular if it will fall within the remit of the Audit or Scrutiny Committee, and if not, how else scrutiny will happen	The scrutiny of the work undertaken by the Body is through the planning process. The Council's role within the TRICS consortium falls within the remit of the Places Scrutiny Committee.
Designated Officer contact	Alex Jack, Communities, Economy and Transport

Woodland Enterprise Ltd. - The principal activity of the company is creating prosperity in woodland and wood using industries through sustainable development. The business works with woodcutters and other local businesses to promote sustainable use of wood.

What the relationship is between the body and the local authority	East Sussex County Council is a member of this company. This is a company without shares but in terms of "influence" East Sussex County Council has one seventh (14.3%).
What is the structure and form of the body (e.g., private limited company etc.)	The Company is limited by guarantee.
How the Council oversee its activities and provided assurance on its governance including financial governance	East Sussex County Council receives copies of Woodland Enterprise Limited's annual accounts. East Sussex County Council is required to disclose its interest in Woodland Enterprises in its own statements of accounts. A copy of the Woodland Enterprise Ltd annual accounts are requested each year and are included in the East Sussex County Council Statement of Accounts.
What the relationship is between the body and individual councillors and whether councillors' involvement is likely to constitute a conflict of interest	Councillor Kirby-Green has been appointed to serve as a Director on the Board of Woodland Enterprise Limited. There might be possible conflicts of interest (e.g. grant funding from East Sussex County Council, etc).
How can councillors scrutinise the activities of the body, in particular if it will fall within the remit of the Audit or Scrutiny Committee, and if not, how else scrutiny will happen	East Sussex County Council's role within the Woodland Enterprise Limited consortium falls within the remit of the Place Scrutiny Committee.
Designated Officer contact	Andy Fowler, Business Services

East Sussex Energy Infrastructure and Development Ltd (ESEID Ltd) trading as ‘Sea Change Sussex’– This is a not-for-profit economic development company delivering capital infrastructure schemes in the County

<p>What the relationship is between the body and the local authority</p>	<p>East Sussex County Council (with others including Rother District Council and Hastings Borough Council) is a member of Sea Change Sussex. The Council is entitled to appoint a Director to the Board of Directors - Councillor Bennett is appointed to this role. As Sea Change Sussex is a company limited by guarantee without share capital its members do not hold shares, but have a percentage voting right in decision-making by members of the company. The County Council alongside Rother District Council and Hastings Borough Council have a combined maximum voting right of 19.9%.</p> <p>Sea Change Sussex develops and manages key economic development and infrastructure schemes in East Sussex. The company delivers capital infrastructure schemes which unlock housing and employment sites in the county – this includes new site infrastructure (access roads) as well as employment space.</p> <p>These schemes are largely funded by external funding from either the South East Local Enterprise Partnership (SELEP) - Local Growth Fund capital grant programme or the SELEP - Growing Places Fund (GPF) loan programme alongside some of their own capital receipts from the sale of commercial properties/land in their portfolio. East Sussex County Council acts as the Local Accountable Body for overseeing the devolution of funds from the SELEP to external partners such as Sea Change Sussex and has grant or loan agreements (as applicable) in place for each scheme awarded.</p>
<p>What is the structure and form of the body (e.g., private limited company etc.)</p>	<p>Private company limited by guarantee without share capital.</p> <p>The company has four classes of membership: A Members – East Sussex County Council together with Hastings Borough Council and Rother District Council; B Members - Hastings, Bexhill and East Sussex Business Association Limited; C Members – representative(s) of the education sector; D Members – representative(s) of the voluntary and community sector.</p> <p>Under the company’s articles of association, so long as there are at least three A Members, one B Member and one D member, votes cast by the B member constitute 50% of the voting rights. The aggregated voting rights of C members constitute no more than 19.9%.</p>
<p>How the Council oversee its activities and provided assurance on its governance including financial governance</p>	<p>Councillor Bennett is the East Sussex County Council appointed Director of the Sea Change Sussex Board of Directors and attends the quarterly Board meetings. These meetings provide quarterly reporting on legal commitments, operations and finance statement and updates on all individual projects.</p> <p>As a scheme promoter of LGF and GPF funded projects, Sea Change Sussex enters into legal agreements for the County Council to monitor the delivery of this public funding and report back to SELEP. The authority to enter into these agreements is sought from the Lead Member for Strategic Management and Economic Development on a project by project basis. Sea Change Sussex are bound by the terms of individual Grant and Loan agreements stipulating the guidelines which Sea Change Sussex must adhere to.</p>

	<p>East Sussex officers regularly meet with Sea Change Sussex representatives and attend project progress meetings for individual schemes, along with attendance and participation at the SELEP Programme progress meetings.</p> <p>The Section 151 Officer carries out the stewardship role in terms of monitoring and accounting in respect of the financial case within the overall business case and agreeing to the receipt of the funding.</p> <p>Capital Programme management of projects includes financial management of the public funds, monthly invoicing and spend review with Sea Change Sussex. This information is used to inform quarterly reports to Team East Sussex (TES), and SELEP and within the County Council, quarterly reporting to the Departmental (CET) Capital Board and Corporate Strategic Asset Board.</p> <p>A report is considered by the Lead Member for Strategic Management and Economic Development annually on the year-end financial statement of public funding (e.g. SELEP Funding managed by East Sussex County Council (Local Growth Fund grants, Growing Places Fund loans, and more recently Getting Building Fund grant) including that invested in the delivery of the capital infrastructure delivered by Sea Change Sussex) and the forecast spend for the coming financial year, all of which are compiled with finance colleagues and signed off by S151 officer.</p> <p>Schemes can be subject to review by Internal Audit.</p>
<p>What the relationship is between the body and individual councillors and whether councillors' involvement is likely to constitute a conflict of interest</p>	<p>Councillor Bennett is a director of the company on the Sea Change Sussex Board of Directors and attends the quarterly Board meetings.</p> <p>If reports relating to Sea Change Sussex were to be considered by Full Council, Cabinet or any Committees that Councillor Bennett attends, he would declare an interest as a Director of Sea Change Sussex.</p>
<p>How can councillors scrutinise the activities of the body, in particular if it will fall within the remit of the Audit or Scrutiny Committee, and if not, how else scrutiny will happen</p>	<p>The Council has appointed Councillor Bennett as a director to the Sea Change Sussex Board of Directors. Councillor Bennett attends Board Meetings at which progress reports on projects are considered.</p> <p>Councillor Keith Glazier sits on both the SELEP Strategic Board and SELEP Accountability Board and regularly attends meetings. The Accountability Board receives updates on project progress, which include projects delivered by Sea Change Sussex and therefore provides a level of assurance or a forum for raising concerns.</p> <p>There are scrutiny arrangements in place for all funding decisions taken by the Accountability Board. Under the SELEP Assurance framework, the Places Scrutiny Committee has the power to call in and scrutinise the decisions before they are implemented. Under the SELEP Accountability Board Joint Committee Agreement, each of the six Partner Authorities has the ability to challenge a decision made by the SELEP Accountability Board.</p> <p>Accountability Board decisions may be called-in by Members of any Partner Authority in the same way they call-in decisions of their own executive arrangements, call-in may only be made if the decision affects that partner area. The 6 upper tier Authority Areas that form the SELEP are East Sussex, Essex, Kent, Medway, Southend and Thurrock.</p> <p>Furthermore, to facilitate Local Authority scrutiny of SELEP work and decisions, requests to attend Local Authority partner Scrutiny Committees are welcomed, and attendance prioritised.</p>

Designated Officer contact	Richard Dawson, Communities, Economy and Transport

South East LEP Limited (SELEP Ltd) - Local Enterprise Partnerships (LEPs) were set up by Government in 2011 to identify and support local strategic growth priorities, encourage business investment and promote economic development. As one of 38 LEPs across England, the South East LEP is a business-led partnership between business, government, education and the third sector, plus other groups, covering the local authority areas of East Sussex, Essex, Kent, Medway, Southend and Thurrock.

<p>What the relationship is between the body and the local authority</p>	<p>The County Council is a partner authority of SELEP Ltd – one of six county/unitary authorities, as listed above and has one seat on the Board. The Leader of the Council (Councillor Glazier) is the East Sussex County Council appointed Company Director of SELEP Limited occupying this seat. As SELEP Limited is a company limited by guarantee without share capital there are no shares/shareholders in the company. The Council has one seat on the Board of Directors of SELEP Ltd, occupied by the Leader of the Council.</p>
<p>What is the structure and form of the body (e.g., private limited company etc.)</p>	<p>SELEP Ltd became a ‘company limited by guarantee’ in Feb 2020. SELEP Ltd has a Board of 20 Directors (plus an additional 5 co-opted Directors). East Sussex, Essex, Kent, Medway, Southend and Thurrock are Members of the company. SELEP Ltd operates a federated model of governance, with four ‘federated boards’ covering its geography, allowing for decision-making and project prioritisation at a local level. The federated board for East Sussex is ‘Team East Sussex’ (TES).</p>
<p>How the Council oversee its activities and provided assurance on its governance including financial governance</p>	<p>The SELEP Strategic Board (Board of Directors) meets at least quarterly, so the Leader of the County Council can directly oversee the activities of SELEP Ltd.</p> <p>SELEP Ltd has also established the following groups:</p> <ul style="list-style-type: none"> • Accountability Board – a ‘joint committee’ made up of SELEP’s six county/unitary authority Members, to oversee the financial governance of SELEP Ltd, responsible for the sign-off of all funding decisions. The Leader of the County Council is our representative on the SELEP Accountability Board. • Investment Panel – a sub-committee of the Strategic Board to act as an advisory committee on matters pertaining to project prioritisation, recommendations on provisional funding allocations and future priorities. The Leader of the County Council is our representative on the SELEP Investment Panel. • Senior Officer Group – an advisory group made up of a senior officer from each of SELEP’s six county/unitary authorities. East Sussex County Council’s Head of Economic Development, Skills, Culture and Infrastructure is our representative on the SELEP Senior Officer Group. <p>For projects within our local federated area, the Council acts as the local accountable body for the defraying of funds (such as the Government’s Growing Places Fund, Local Growth Fund or Getting Building Fund) from SELEP Ltd to external partners. A Service Level Agreement (SLA) is in place between the Council and Essex CC as the accountable body to SELEP Ltd, and the Council’s S151 Officer is required to sign-off on all grant and loan agreements between the Council and project promoters.</p> <p>All of the governance arrangements for SELEP Ltd are set out in the SELEP Articles of Association, SELEP Framework Agreement and SELEP Local Assurance Framework. Senior officers of the Council, including the Chief Finance Officer, collaborated on the development of all of these documents, and they have been approved through our own internal governance procedures (Lead Member SMED and Governance Committee).</p>
<p>What the relationship is between the body and individual councillors and</p>	<p>The Leader of the Council is a Company Director of SELEP Ltd, and has filed an appropriate declaration with SELEP Ltd in accordance with the SELEP Register of Interests policy. Where the Leader cannot attend a SELEP meeting, a substitute Cabinet</p>

<p>whether councillors' involvement is likely to constitute a conflict of interest</p>	<p>Member may attend in their place, subject to full compliance with the same Register of Interests policy (the Lead Member for Economy attends as substitute and has also filed an appropriate declaration with SELEP Ltd for such an eventuality). The declaration of a disclosable pecuniary interest does not apply where the interest concerned relates primarily to the general interest of any public sector Member in her/his area of geographical responsibility; therefore the involvement of the East Sussex County Council Leader on SELEP Ltd is <u>not</u> likely to constitute a conflict of interest.</p>
<p>How can councillors scrutinise the activities of the body, in particular if it will fall within the remit of the Audit or Scrutiny Committee, and if not, how else scrutiny will happen</p>	<p>The activities of SELEP Ltd do not fall within the remit of the County Council's Audit or Scrutiny Committee, but SELEP Ltd does have its own scrutiny arrangements for all funding decisions taken by the SELEP Accountability Board, whereby each of the six county/unitary authority Members of SELEP Ltd has the ability to challenge a decision made by the Accountability Board, and the Scrutiny Committees of the six county/unitary authorities have the power to call-in the funding decisions before they are implemented.</p>
<p>Designated Officer contact</p>	<p>Richard Dawson, Communities, Economy and Transport</p>

Hastings and Bexhill Renaissance Ltd (HBRL) – This is a company limited by guarantee without share capital offering business support services for economic development and to improve local education

<p>What the relationship is between the body and the local authority</p>	<p>Alongside Rother District Council, Hastings Borough Council, East Sussex County Council is a Member of Hastings and Bexhill Renaissance Ltd (HBRL) which trades as 'Seaspace'. HBRL was established as part of the transition arrangements agreed between Government and the South East England Development Agency (SEEDA) and associated organisations. The responsibility for the management of the land and assets SEEDA had acquired was entrusted to HBRL. HBRL no longer holds any land or assets of significance.</p> <p>The Articles of Association for HBRL identifies that the Members are divided into three classes of membership:</p> <ul style="list-style-type: none"> A. Each of the Councils B. Hastings, Bexhill and East Sussex Business Association Limited C. Up to seven other Members <p>Councillor Bennett sits as a Director on the Board of Directors alongside the above representatives.</p> <p>The company Members do not hold shares but have a percentage voting right in the decision-making by the members of the company. The local authorities between them have a maximum aggregated voting right of 19.9%.</p>
<p>What is the structure and form of the body (e.g., private limited company etc.)</p>	<p>Private company limited by guarantee without share capital.</p>
<p>How the Council oversee its activities and provided assurance on its governance including financial governance</p>	<p>Annual General Meetings (AGM) attended by the Directors (Councillor Bennett is the Council appointed Director on HBRL) are held where the following agenda items are considered:</p> <ul style="list-style-type: none"> - the Annual Accounts - Key Issues Memorandum - Letter of Representation <p>The Council appointed Director's attendance at the AGM is supported by a senior officer.</p>
<p>What the relationship is between the body and individual councillors and whether councillors' involvement is likely to constitute a conflict of interest</p>	<p>Councillor Bennett, as a Director of the company, attends the AGM as the Council appointed Director to HBRL.</p> <p>If reports relating to HBRL were to be considered by Full Council, Cabinet or any Committees that Councillor Bennett attends, he would declare an interest as Director of HBRL.</p>
<p>How can councillors scrutinise the activities of the body, in particular if it will fall within the remit of the Audit or Scrutiny Committee, and if not, how else scrutiny will happen</p>	<p>The Council's role in HBRL falls under the remit of the Place Scrutiny Committee.</p>
<p>Designated Officer contact</p>	<p>Richard Dawson, Communities, Economy and Transport</p>

Combe Valley Countryside Park (CVCP) Community Interest Company (CIC)

<p>What the relationship is between the body and the local authority</p>	<p>East Sussex County Council is a member of the company. East Sussex County Council has one vote on the Board (equal to all other board members). Cllr Beaver has been appointed by the Council to sit on the Board of Directors.</p>
<p>What is the structure and form of the body (e.g., private limited company etc.)</p>	<p>The Company is a private company limited by guarantee and a Community Interest Company. The company is a not-for-profit organisation.</p> <p>The other Members of the company are:</p> <ul style="list-style-type: none"> - Hastings Borough Council; - Rother District Council; - Crowhurst Parish Council; - Friends of Combe Valley; - Bourne Leisure Limited; - Kitchenham and Worsham Farms. <p>In February 2022 the Board approved a new company structure with 12 Directors as follows:</p> <ul style="list-style-type: none"> • 8 Co-opted Directors: 6 from Company Members and 2 independents appointed by the Board; • 4 nominated by Local Authority company Members. <p>This proposal is due to be put to Members for approval in June 2022. Currently there are 15 Directors. 8 Co-opted (as above) and 7 nominated by Local Authority Members.</p> <p>The Boards role is to provide leadership and oversight of all the CIC activities and is primarily concerned with strategy, planning, fundraising & development and governance. The CIC has appointed Groundwork South as their managing agent (via an agreed SLA) who report progress back to the Board.</p>
<p>How the Council oversee its activities and provided assurance on its governance including financial governance</p>	<p>The Council appointed two Members of the Council to sit as Directors on the Board of Directors. On 14 March 2022, the Lead Member for Transport and Environment considered a report regarding the Council's representation on the CIC and agreed to support a proposal to reduce the number of Council appointed Directors from two to one. The Council still has one vote on the Board.</p> <p>The East Sussex Councillor Representative attends CIC board meetings.</p> <p>The Board meets 4 times per year, standing papers and minutes are circulated to all Directors. Annual accounts are approved at the February Board meeting and are submitted to Companies House, so are publicly available.</p> <p>Local Authority officers attend the Board meetings which enables them to contribute to discussions of the Board as appropriate. Officers are not Directors so as such do not have voting rights. The CIC has established a Local Authority Officers Group which</p>

	<p>includes the representatives to the Board meeting and other officers. This group meets 2/3 times per year to take forward project ideas and support the process of project approval and delivery.</p> <p>The directors have equal votes at CVCP CIC meetings, except for decisions related to the appointment or removal of a majority of Directors, where Local Authority voting rights are restricted to 49%.</p>
What the relationship is between the body and individual councillors and whether councillors' involvement is likely to constitute a conflict of interest	The East Sussex Councillor Representative attends CIC board meetings and has voting rights. There could be potential conflict of interest if the CIC Board need to make decisions with regard to matters being promoted by the County Council. This is kept under review.
How can councillors scrutinise the activities of the body, in particular if it will fall within the remit of the Audit or Scrutiny Committee, and if not, how else scrutiny will happen	By being present at the CIC meetings and making comments/voting on proposals being put forward by the CIC. Progress reports and management accounts are provided to the Board quarterly and annual accounts are presented to the Board for approval annually.
Designated Officer contact	Virginia Pullan, Communities, Economy and Transport

Annex C - Code of Corporate Governance

Sets out the County Council's commitment to achieving good governance

Key points:

- Good governance is how the Council ensures that it is doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner
- The Council is committed to the principles of good governance, and has adopted the seven core principles of the CIPFA/SOLACE framework
- The Council expects Members and staff to uphold the highest standards of conduct and behaviour and to act with openness, integrity and accountability when carrying out their duties
- The Assistant Chief Executive will report annually on compliance with this Code and the effectiveness of the Council's governance arrangements and this will be the basis for the production of the Annual Governance Statement

1. Introduction

1.1 This Code sets out for Members and officers the main principles of good governance for East Sussex County Council. It is based on existing good practice within the Council and is consistent with the CIPFA / SOLACE framework for "Delivering Good Governance in Local Government".

2. What is good governance?

2.1 Good governance is how the Council ensures that it is doing the right things, in the right way, for the right people, in a timely, inclusive, open, honest and accountable manner.

2.2 It comprises the systems, processes, cultures and values by which the Council is directed and controlled. Through effective governance the Council is accountable to, engages with and, where applicable, leads the community.

3. Purpose of the Code

3.1 This Code is the framework within which the Council is accountable to its users, stakeholders, and the wider community. It sets out and describes the way in which the Council carries out its functions through its Members and officers, and the procedures and processes through which it undertakes its work, and through which it aims to establish and maintain public confidence.

4. The Council's fundamental principles of good governance

4.1 The Council is committed to the principles of good governance, and has adopted the seven core principles of the CIPFA/SOLACE framework as follows:

- Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law
- Ensuring openness and comprehensive stakeholder engagement

- Defining outcomes in terms of sustainable economic, social, and environmental benefits
- Determining the interventions necessary to optimise the achievement of the intended outcomes
- Developing the entity's capacity, including the capability of its leadership and individuals within it
- Managing the risks and performance through robust internal control and strong public financial management
- Implementing good practices in transparency, reporting, and audit to deliver effective accountability.

4.2 The key policies that underpin the Council's compliance with these principles are set out in Annex A.

4.3 The Council recognises that establishing, maintaining and reporting a culture of good governance is as important as putting in place a framework of policies and procedures.

4.4 The Council expects Members and staff to uphold the highest standards of conduct and behaviour and to act with openness, integrity and accountability when carrying out their duties:

- Openness is required so that people can have confidence in our staff and our decision-making and management processes. We need to be as open as possible about the decisions we make and the reasons we have made them. Consulting openly and providing access to full, accurate and clear information helps us stand up to public scrutiny.
- Integrity means straightforward dealing that is based upon honesty, selflessness and objectivity. The public expects us to manage public funds and the Council's affairs properly and appropriately, maintaining the highest standards in all our activities. We must act in the public interest not for personal gain. We will serve the whole community and remain committed to the promotion of equalities and diversity.
- Accountability is the process of taking responsibility for our decisions and actions (including stewardship of public funds and all aspects of performance) and answering to external scrutiny.
- Positive leadership overarches all the principles outlined here because these can only exist where effective leadership is exercised. We all have a personal responsibility to promote and support these principles through our own actions and behaviour and those of any staff we may manage. The key aspects of positive leadership behaviour at the Council are effectively managing:
 - People;
 - customer service;
 - performance;
 - money and other resources, and;

- personal development.

5. Roles and responsibilities

5.1 All Members and officers are expected to commit to the Council's principles of good governance; however, there are specific responsibilities for the following individuals and groups:

5.2 The following Member bodies have specific responsibilities for good governance and these are set out in the Council's Constitution:

- Cabinet;
- Standards Committee;
- Governance Committee;
- Audit Committee;
- Scrutiny Committees.

5.3 The Corporate Management Team has a collective responsibility for good governance, but this is underpinned by the role of the three statutory officers of the Council:

Head of Paid Service	-	Chief Executive
Monitoring Officer	-	Assistant Chief Executive
Section 151 Officer	-	Chief Finance Officer

5.4 Chief Officers are responsible for the policies and procedures which form part of this Code and that fall within their functional responsibilities. Each Chief Officer is supported by senior managers who are responsible for ensuring that the relevant policies and procedures are up to date, are being complied with and are effective in achieving good governance.

5.5 The Assistant Chief Executive has responsibility for the direction and review of corporate governance within the Council and is supported by the Statutory Officers Group of senior managers.

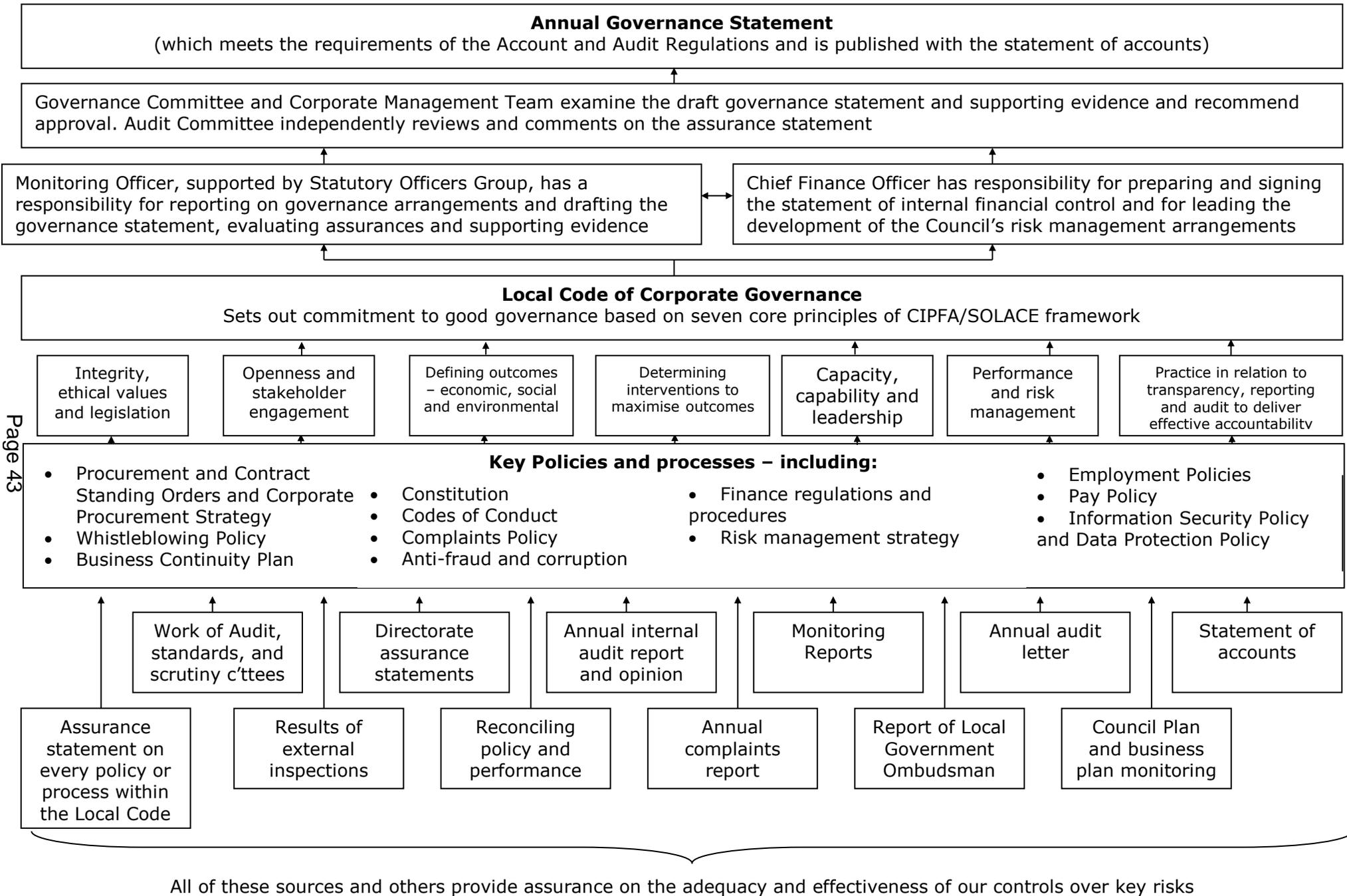
6. Monitoring and review

6.1 The Assistant Chief Executive, as Monitoring Officer, will report annually on compliance with this Code and the effectiveness of the Council's governance arrangements. The report will also be the basis for the production of the Annual Governance Statement which will be published in the Council's Annual Statement of Accounts. The Annual Governance Statement will be approved by the Leader of the Council and the Chief Executive.

Last reviewed: June 2022

Document Owner: Assistant Chief Executive

Annex D – East Sussex County Council Framework for the Annual Governance Statement



Annex E – Action for 2022/23

The following actions will be taken to strengthen governance, risk management and the internal control environment during the current year. The actions are shown for each department and will be monitored through departmental business plans. Alongside these actions, all departments will contribute to the Council's Covid-19 response and recovery plan and consider what actions are required to return to business as usual and the identification of any learning.

Business Services (BSD)

- As the Managing Back Office Systems (MBOS) programme moves into the implementation phase, the programme will focus on system development and workshops, user acceptance testing and parallel running of key systems to support planned go live in 2023/24. (March 2023)
- Undertake modelling to inform an updated corporate climate emergency action plan, which will set out how the additional investment committed by the Council will be allocated most effectively to cut carbon emissions. (December 2022)
- Information Security team to undertake cyber-attack scenario testing amongst each directorate to test resilience against increasing cyber risks in business continuity plans. (September 2022)
- Commission an independent external assessment of the Orbis Internal Audit Service against Public Sector Internal Audit Standards and put in place a formal plan to address any actions arising. (March 2023)
- Undertake an assurance review against the CIPFA Financial Management Code; reporting through to the Audit Committee in the autumn. (October 2022)
- Review the current declarations of interest system and arrangements to inform the development and design of the new system that will be implemented as part of the MBOS implementation. (March 2023)

Children's Services

- Develop a new Special Educational Needs and Disabilities (SEND) strategy responding to the SEND Green Paper and addressing the gaps identified in the JSNA. (October 2022)
- Develop plans for response to Schools White Paper, in consultation for schools and addressing proposals for academisation of all schools by 2030. (December 2022)
- Launch the revised Lone Working Policy and roll out safety devices for staff. (May 2022)
- Launch Connecting Families (previously known as East Sussex's No Wrong Door project). The programme will be launched in September 2022.
- Review and publish a new Children and Young People Plan. (December 2022)

Communities, Economy and Transport

- Review of progress and governance of the highway's re-procurement project (Ongoing until contract award) Progress remains on track. Progress and governance is overseen by the Re-procurement Board that meets regularly.
- Review of highways cultural compliance actions identified by Internal Audit (March 2022) – all actions complete/ongoing annually and awaiting follow-up audit. All actions complete. Follow-up audit has been rescheduled to Q3 2022/2023
- Post project appraisal for Newhaven Port Access Road (TBC) – reliant on completion and opening to traffic of all related infrastructure (port roads) and requirements of Department for Transport. Ongoing. A monitoring and evaluation plan is in place and post project appraisals are required 12 months and 5 years post opening (February 2022)
- Audit of grants and loans governance and process (March 2021) – scope of audit agreed in February 2022, and full audit to be completed in 2022/2023
- Review of our effectiveness as a statutory consultee on planning applications (March 2021) – scoping complete, including determination of planning outcomes, review will commence this financial year
- Travel Plan Audit Fees – audit to ascertain whether East Sussex County Council (ESCC) receive all the payments due as part of new development

Adult Social Care (ASC) and Health

- ASC Development Programme - in response to key national ASC reforms, such as People at the Heart of Care and Build Back Better proposals, ESCC will be maximising the opportunities presented by these through the formation of an ASC Development Programme. (September 2022)
- ASC Strategy and preparation for the new CQC inspection regime - we will have a CQC Assurance Manager in post to lead the work to prepare for changes to the Care Quality Commission's duties to regulate and inspect local authority providers of ASC services. (July 2022)
- Care Home Resilience Plan - during 2022/23 the East Sussex Care Homes Group will support delivery of transformation work including multi-disciplinary working arrangements across health and social care, improved access to primary care and community services and digital initiatives to improve information access and flow
- Health and Social Care integration and new Integration White Paper and community projects implement the new Integration White Paper Guidance, and by December 2022, agree our future roadmap and next steps for delivering increased levels of integrated care and improved population health, including partnership actions with the local NHS aimed at improving the social and economic wellbeing of our communities.
- Winter planning 2022/23 - Whole System Winter Planning will be completed for 2022/23 that meets all requirements and will be carried out jointly with health partners (October 2022)

- Public Health Core Offer and Covid-19 recovery - we will maintain capacity and capability that enables us to maintain resilience to respond to anticipated seasonal increases of Covid-19 alongside an ongoing focus on addressing disparities in health and collaborating with partners to address the wider determinates of health alongside our NHS partners. A revised strategy for Public Health that reflects these priorities will be developed (September 2022)

Governance Services

- Develop and deploy enhanced information governance procedures relating to the school admission appeals process. This to include the deployment of new technology to support Independent Appeal Panel clerks. Target completion date (January 2023)
- Continue to develop and deploy a training offer for Members where needs are identified. Target completion date – ongoing training and development throughout the year
- Deliver specific Scrutiny Leadership training for Chairs and Vice-Chairs of Audit and Scrutiny Committees. Target completion date (September 2022)
- Provide quarterly scrutiny monitoring reports to Statutory Officers Group, Corporate Management Team, Scrutiny Chairs and Vice-Chairs Group and Governance Committee to support enhanced visibility and effectiveness of scrutiny activity, including scrutiny engagement with the Reconciling Policy, Performance and Resources process. Target completion date – ongoing throughout the year
- Develop an Officer Guide to Governance summarising and explaining the main strands of governance within the Council to help raise awareness and promote good practice (October 2022)

Report to: Governance Committee

Date of meeting: 19 July 2022

By: Chief Finance Officer

Title: Amendment to the Constitution - Financial Regulation changes

Purpose: To consider amendments required to support the financial governance of the organisation

RECOMMENDATIONS:

To recommend the County Council to approve the Constitution and Financial Regulations being updated as set out in Appendix 1 and that the Constitution be amended accordingly.

1. Supporting Information

1.1 In order to ensure that sound systems of financial management are in place the self-assessment on risk requires that the financial regulations are reviewed every 3 years or in the event of a significant change. The regulations were last updated in May 2019 and this report therefore is the outcome of the 3 year review. Changes to State Aid and the Subsidy Control Act that are likely to come into force in the Autumn may require further changes to regulation as well the potential impact of the implementation of Oracle Fusion.

1.2 The most significant changes are for the provision of discretionary grants. Specific budgets for such grants no longer exist and currently most departments do not have a specific limit for the provision of discretionary grants, or it is low at £1,000, when compared to current practice (in Communities, Economy and Transport and Children's Services particularly). The proposed change is for a £24,999 limit to be set for the provision of discretionary uncompetitive grants as a general delegation before a competitive process is required and External Funding Protocol should be followed. This will ensure consistency across all departments and consistency with procurement limits for letting contracts without competitive dialogue.

1.3 The other main change is for payments in advance (non-schools) under £500, it is proposed that no financial sign off is required under £500, which mainly constitute training courses, accommodation, conferences and similar where the booking can only be secured with payment.

1.4 Additionally, the Community Infrastructure Levy (CIL), which by use of the definition 'Levy', is legally considered a grant, has required words to be added to clarify that it is not covered by the External Funding Protocol. Separate governance arrangements are in place for CIL bidding, which shall be prepared in accordance with the Section 106 (s106) and Community Infrastructure Levy (CIL) Working Group Governance and Prioritisation arrangements.

1.5 The proposed changes are summarised in Appendix 1.

2. Conclusion and Recommendation

2.1 To ensure that sound systems of financial management are in place, the self-assessment on risk requires that the financial regulations are reviewed every 3 years. The review has been undertaken and the proposed changes are set out in the report. The Governance Committee is recommended to approve the proposed amendments to the Constitution and the Financial Regulations.

IAN GUTSELL

Chief Finance Officer

Contact Officer: Rachel Jarvis

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Local Member: All

Background Documents: None

Appendix 1

Section of the Constitution	Current Text	Proposed Text (new in bold or struck through where proposed to remove)	Reason for Update
Part 4 – Rules of Procedure			
<p>7. Financial Procedure Rules</p> <p>A.13.6 Payment of Accounts (page 97)</p>	<p>For non-Schools: All payments in advance over £25,000 can only be made with prior approval of the Chief Finance Officer. Payments in advance between £15,000 and £25,000 shall be authorised by a Head of Finance or above. Payments in advance of less than £15,000 shall be authorised by Finance Manager or above.</p>	<p>For non-Schools: All payments in advance over £25,000 can only be made with prior approval of the Chief Finance Officer. Payments in advance between £15,000 and £24,999 shall be authorised by a Head of Finance or above. Payments in advance between £500 and £14,999 shall be authorised by Finance Manager or above. Payments in advance less than £500 do not require finance approval where booking of training courses, accommodation, conferences and similar can only be secured with payment.</p>	<p>To facilitate and expedite the approval of small payments</p>

A.3.7 Accounting Arrangements (page 83)	Bids for external funding shall be prepared in accordance with guidelines issued by, or in consultation with, the Chief Finance Officer and the External Funding Protocol. Where required, before applications are submitted to any government or other body, they shall be sent to the Chief Finance Officer for examination and to confirm that financial implications have been fully assessed.	With the exception of Community Infrastructure Levy (CIL) bids for external funding shall be prepared in accordance with guidelines issued by, or in consultation with, the Chief Finance Officer and the External Funding Protocol. Where required, before applications are submitted to any government or other body, they shall be sent to the Chief Finance Officer for examination and to confirm that financial implications have been fully assessed. Bids for CIL shall be prepared in accordance with the Section 106 (s106) and Community Infrastructure Levy (CIL) Working Group Governance and Prioritisation arrangements.	To reflect new CIL arrangements and that legally CIL is considered a grant but is not covered by the External Funding Protocol as separate governance arrangements are in place. [In conjunction with this an amendment is to be made to update the External Funding Protocol to provide for the exception of CIL]
Part 3 – Responsibility for Functions			
Table 1 - Cabinet responsibilities and functions – Paragraph 2 (page 3)	To co-ordinate the work of the Council in bidding for Government challenge funding and European Union funding.	Remove	Grant processes described are no longer in use. Therefore remove reference.
Table 3 – Responsibility for executive functions exercised by Cabinet	[d] approving bids for funds from external bodies	Remove	Not in line with current practice

<p>Members – Function (page 11)</p> <p>Table 6 - Scheme of Delegations to Officers (for Chief Executive and all Directors) D. General Paragraph 5 (page 57)</p>	<p>To approve full applications by the County Council to the National Lottery Distributing Bodies, if applications are pursued in accordance with the County Council's Bidding Protocol.</p>	<p>To approve full applications by the County Council to the National Lottery Distributing Bodies, if applications are pursued in accordance with the County Council's Bidding Protocol. funders in accordance with County Council's Corporate Funding Protocol.</p>	<p>Out of date</p>
<p>Add a Paragraph 10 (page 52)</p>	<p>None</p>	<p>Within their area of responsibility to make a discretionary grant to an organisation of up to £24,999 in any one financial year (in line with Procurement and Contract Standing Orders: Constitution Part 4, Table 2.7a, page 107) where there is no competitive process. In line with Procurement, discretionary grants over £25,000 should be subject to a competitive process as per the Corporate Funding Protocol. For grants that are passported (i.e.</p>	<p>To allow every department to consistently have this Delegation. To align to revised procurement limits whereby a competitive process is not required under £25,000 annually.</p>

<p>A. Chief Executive Paragraph 7 (page 58)</p>	<p>To make grants from the allocation for discretionary grants agreed by the Cabinet up to a total, for any one organisation in any period of three years, of £1,000 except where:</p> <p>(a) the organisation has been refused a grant by the cabinet unless the cabinet has specifically agreed that a grant from the discretionary allocation may be given;</p> <p>(b) the organisation is at the time in receipt of a grant from the Cabinet;</p> <p>or</p> <p>(c) the organisation has received a grant from the allocation for the past three years.</p>	<p>grant is received by the Council and passed on to local organisations) without a competitive process normal Departmental Delegations apply.</p> <p>Remove</p>	<p>Grants that are passported will have their own grant determinations with which, under normal delegations, officers will be expected to comply. This will also facilitate timely distribution (i.e. covid provider payments, COMF).</p> <p>Now a general delegation (above) that aligns to revised procurement limits and supports current practice. So previous narrative is removed.</p>
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<p>E. Director of Adult Social Care</p> <p>Paragraph 4 (page 81)</p>	<p>To make grants from the allocation for discretionary grants agreed by the Cabinet up to a total, for any one organisation in any period of three years, of £1,000 except where:</p> <p>(a) the organisation has been refused a grant by the cabinet unless the cabinet has specifically agreed that a grant from the discretionary allocation may be given;</p> <p>(b) the organisation is at the time in receipt of a grant from the Cabinet;</p> <p>or</p> <p>(c) the organisation has received a grant from the allocation for the past three years.</p>	<p>Remove</p>	<p>Now a general delegation (above) that aligns to revised procurement limits and supports current practice.</p>
<p>G. Chief Finance Officer</p> <p>Paragraph 14 (page 87)</p>	<p>To set fees and charges for 2019/20 onwards and to report to Cabinet and the County Council on those set at a level above inflation as part of the quarterly monitoring</p>	<p>To set approve fees and charges for 2019/20 onwards and to report to Cabinet and the County Council on those set at a level above inflation as part of the quarterly monitoring</p>	<p>To reflect that the CFO approves the fees and charges rather than sets them (we are proposing that departments' individual Schemes of Delegation contain a</p>

<p>Paragraph 18 (page 87)</p>	<p>To determine annually the capital risk provision and to approve use of the provision and to approve use of the provision for individual project, in consultation with the Capital Strategic Asset Board. (see A.5.3.10)</p>	<p>To determine annually the capital risk provision and to approve use of the provision and to approve use of the provision for individual project, in consultation with the Capital Strategic Asset Board. (see A.5.3.10)</p>	<p>generic statement to cover the setting of all fees & charges not specifically mentioned)</p> <p>Duplication of wording.</p>
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Report to:	Governance Committee
Date of meeting:	19 July 2022
By:	Chief Finance Officer
Title:	East Sussex Pension Fund – Appointment of Local Pension Board Vice Chair and nomination of ACCESS Joint Committee observers
Purpose:	To approve the appointment of the Local Pension Board Vice Chair and note the nominations of observers to ACCESS Joint Committee meetings

RECOMMENDATIONS

The Governance Committee is recommended to:

- 1) agree the appointment of Lynda Walker as the member representative Vice Chair of the Local Pension Board; and**
 - 2) note the nominations of Ray Martin and Neil Simpson as observer representatives for ACCESS Joint Committee meetings**
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1. Background

1.1 The Local Pension Board of the East Sussex Pension Fund was set up to meet the requirements of the Public Service Pension Act 2013, requiring Funds in the Local Government Pension Scheme to have a Pension Board whose duties are to provide advice to the Administering Authority. The Pension Board is not a decision-making body.

1.2 Under the East Sussex County Council Constitution, appointments to the Pension Board, and the allocation of material roles within it, are reserved to the Governance Committee.

1.3 The Pension Board is seeking the appointment of a member representative Vice Chair in order to comply with the requirements of its Terms of Reference due to the expired term of appointment of the previous Vice Chair.

2. Appointment of Vice Chair

2.1 Under the Terms of Reference for the Local Pension Board there is a requirement for it to have a permanent Independent Chair together with a Vice Chair drawn from both the Employer and Member Representatives. The Chair is currently in place, together with a Vice Chair from the Employer Representatives.

2.2 At the start of the year one of the existing member representative stood down at the end of their term. This Board member was the member representative Vice Chair. Since then, there has been a process run to appoint a new member representative, with approval of the appointment by the Governance Committee on 1 March 2022. As the Pension Board

is now at the required size it has had the opportunity to consider who should take up the vacant post of Vice Chair, with Lynda Walker volunteering to take on this role.

3. Observers at ACCESS Joint Committee

3.1 As part of a Government initiative to improve the efficiency of investing member assets by the Local Government Pension Scheme (LGPS) a number of investment pools were created to allow for efficiencies of scale. The East Sussex Pension Fund became a member of the ACCESS (A Collaboration of Central, Eastern and Southern Shires) Pool.

3.2 ACCESS is made up of 11 LGPS Administering Authorities, which are committed to working together to optimise benefits and efficiencies on behalf of their individual and collective stakeholders, operating with a clear set of objectives and principles that drives the decision making process.

3.3 The formal decision-making body within the ACCESS Pool is the ACCESS Joint Committee. The Joint Committee has been appointed by the 11 Administering Authorities under s102 of the Local Government Act 1972, with delegated authority from the Full Council of each Administering Authority to exercise specific functions in relation to the Pooling of Pension Fund assets.

3.4 As part of a recent review of the governance of ACCESS it has been determined that there is a need for greater role for Scheme Member representatives. The Joint Committee decided that this would be resolved by inviting two members of the Pension Boards from each of the 11 Administering Authorities to observe Joint Committee meetings in rotation. The Pension Board discussed who would be happy to take on this observer role, with Ray Martin (Chair of the Pension Board) and Neil Simpson (Member Representative) being the nominated observers, having suitable backgrounds in pension governance and finance.

4. Conclusion

4.1 The Governance Committee is asked to agree the appointment of Lynda Walker as member representative Vice Chair of the Local Pension Board; and note the nomination of Ray Martin and Neil Simpson as observers to the ACCESS Joint Committee.

IAN GUTSELL
Chief Finance Officer

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