Annual Governance Statement Assurances 2017/18 and Action Plan 2018/19 - Updated April 2018

Status of Compliance Key:

=action needed   =minor actions needed   =no action required   No change= →   Improvements made=↑   Improvement needed = ↓

Core Principle A:

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

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
Behaving with integrity	Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation	• Audit & Standards Committee oversight • Authority Member Role Description • Ethical Framework in place – included in Members' Induction which all new Members attended • Code of Conduct for Members and complaints process • Member Training on Code of Conduct by Councils monitored • Equality Scheme • Staff Code of Conduct • Registers of Interest for Members and Officers • Pay Policy Statement • Payments to Members published • SMB Visits to Stations and Departments	→	**Induction of new Members following elections** **Gender Pay Gap information published**	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles)	• Local Members Code of Conduct approved by the Authority • Member representation on Organisational Development Working Group • Authority approval of Equality scheme • Authority Committees oversee development and implementation of equality and fairness policies	→		
	Leading by example and using the above standard operating principles or values as a framework for decision making and other actions	• Standard authority report template includes corporate considerations, including equalities • Equality Impact Assessments (EIAs) – included in corporate considerations section of Authority reports • Ask the Chief facility on intranet • SMB Sharepoint site • SMB visits to stations and departments	→		
	Demonstrating, communicating and embedding the standard operating principles or	• Register of Staff Interests Policy • Related party disclosure requirements	→	**Whistleblowing Policy updated to take into account Safeguarding**	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively	• National Fraud Initiative • Anti-Fraud, Bribery and Corruption Policy • Equality Scheme • Whistleblowing Policy • Disciplinary Policy • Capability Policy • Harassment and Bullying Policy • Employment Monitoring Information			
Demonstrating strong commitment to ethical values	Seeking to establish, monitor and maintain the organisation's ethical standards and performance	• Audit & Standards Committee • Organisational Development Working Group • Review of Equality Objectives revised for 2017-2022 • Our Strategy • Monitoring complaints	→		
	Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation	• Staff Code of Conduct • Ethical Framework • Whistleblowing Policy	→		
	Developing and maintaining robust policies and procedures which	• Register of Staff Interests Policy • Anti-Fraud, Bribery and	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	place emphasis on agreed ethical values	Corruption Policy • Equality Scheme • Whistleblowing Policy • Disciplinary Policy • Capability Policy • Harassment and Bullying Policy			
	Ensuring that external providers on behalf of the organisation are required to act with integrity and in compliance with ethical standards expected by the organisation	• Standard terms and conditions include clause relating to Whistleblowing Policy • Standing Orders for Regulation of Contracts • Procurement guidance – contractors also expected to adhere to Ethical Framework	↑	**Review of Standing Orders for Regulation of Contracts completed**	
Respecting the rule of law	Ensuring members and staff demonstrate a strong commitment to the rule of law as well as adhering to relevant laws and regulations	• In-house Head of Legal Services to provide advice • Updates in Service Bulletin • Constitution sets out requirements • Ethical framework training • Training for managers on disciplinary policy	→		**Potential review of constitutional arrangements following PCC Business Case approval**
	Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their	• Member/Officer Protocol • Constitution • Committee Terms of Reference • Scheme of Delegations to	→		**Potential review of constitutional arrangements following PCC**

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	responsibilities in accordance with legislative and regulatory requirements	Officers • Members Role Description • Appraisals for Statutory Officers • Members Training		**CFO Appraisal by Chairman**	**Business Case approval**
	Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders	• Saving More Lives Vision • Our Strategy • Tri-Service Principal Officer meetings • Local Strategic Partnership • Joint Operations and Command Project Board • People & Services Programme Board with West Mercia Police • Place Partnership Ltd. Joint Board • In-house Head of Legal Services to provide advice	→		
	Dealing with breaches of legal and regulatory provisions effectively	• In-house Head of Legal Services to provide advice • Whistleblowing Policy • Anti-Fraud, Bribery and Corruption Policy	→		
	Ensuring corruption and misuse of power are dealt with effectively	• Disciplinary Policy • In-house Head of Legal Services to provide advice • Whistleblowing Policy • Anti-Fraud, Bribery and Corruption Policy	→		

Core Principle B:

Ensuring openness and comprehensive stakeholder engagement

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
Openness	Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness	• Fire Station Open Days and public events • Website – your right to know section • Complaints process • Fire Authority Annual Report • Consultation Process • Publication Scheme • Public Participation at Authority meetings – guidance on website • Protocol for filming / recording meetings • Meetings Schedule • Scheme of Delegation • Transparency Information published on website to meet Government's Transparency requirements • Service Bulletin	→		
	Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes.	• Access to Information Procedure Rules – public interest test • Authority and Committee	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided	meetings in public • Authority reports set out corporate considerations • Officer decisions published • 2020 Vision Programme Board • Publication Scheme and Access to Information advice published on website			
	Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear	• Authority reports set out corporate considerations • Minutes / decisions published • Consultation process and staff engagement on crewing arrangements • Fire Authority Annual Report	→		
	Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of action	• After the Incident Surveys implemented and end of year report • Social Media Policy • Fire Station Open Days and public events	→		
Engaging comprehensively with	Effectively engaging with institutional stakeholders to	• Fire Authority Annual Report	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
institutional stakeholders *NB institutional stakeholders are the other organisations that local government needs to work with to improve services and outcomes (such as commercial partners and suppliers as well as other public or third sector organisations) or organisations to which they are accountable*	ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably	• Local Strategic Partnerships • Memorandums of Understanding • West Midlands Regional Collaborative Statement • Joint Operations and Command Centre Project Board • Place Partnership Ltd Joint Board • Tri-Service Principal Officer meetings • PCC attends Fire Authority meetings as a non-voting member			
	Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively	• National Flood Support • Collaboration with the Police e.g. shared HQ, OCC, sharing buildings, PCSOs training to be retained firefighters • Operational Policy – jointly created policy documents, sharing risk information • Collaborative approach to procurement e.g. Command Support Unit • Local Strategic Partnerships • Safer Roads Partnership in West Mercia	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
		• Community Safety Partnerships and activities • Tri-Service Supervisory Incident Command courses • Joint training and exercises with partners			
	Ensuring that partnerships are based on: • trust • a shared commitment to change • a culture that promotes and accepts challenge among partners and that the added value of partnership working is explicit	• Saving More Lives Vision • Fire Authority Annual Report • Worcestershire Sustainable Community Strategy • Joint Emergency Services Interoperability Programme (JESIP) framework • JESIP Statement of Assurance • Data sharing with partners including NHS, Clinical Commissioning Groups, Age UK, e.g Exeter data • Local Resilience Forum • WODA project	→		
Engaging with individual citizens and service users effectively	Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve communities, individual citizens, service	• Wyre Forest Hub Consultation • Communication Plans where required	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	users and other stakeholders to ensure that service (or other) provisions is contributing towards the achievement of intended outcomes				
	Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement	• Media training for officers • Social Media Policy • Development of Youtube channel • Press releases / media campaigns • Service website • Members Role description • Our Strategy • Our Values	→		
	Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs	• After the Incident Surveys implemented and end of year report • Complaints and comments procedure • Positive Action Sub-Group • Fire Station Open Days and public events • Public Engagement statistics reported through Community Risk dashboard	→		
	Implementing effective feedback mechanisms in order to demonstrate how	• Complaints logged and themes reported to SMB	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	views have been taken into account	and Audit & Standards Committee			
	Balancing feedback from more active stakeholder groups to ensure inclusivity	• Positive Action Sub-Group	→		
	Taking account of the impact of decisions on future generations of tax payers and service users	• Minimum Revenue Provision Policy • Prudential Indicators • Legacy projects as part of 2020 Vision Programme which aim to create a sustainable fire and rescue service	→		

Core Principle C:

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

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
Defining outcomes	Having a clear vision, which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provide the basis for the organisation's overall strategy, planning and other decisions	• Saving More Lives Vision • Our Strategy – Core Purpose • Fire Authority Annual Report • Annual Statement of Assurance • Performance Management Framework	→		
	Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer	• Previous consultations e.g. Wyre Forest Hub Consultation, CRMP	→		
	Delivering defined outcomes on a sustainable basis within the resources that will be available	• 2020 Vision programme • Medium Term Financial Plan • Fire Authority Annual Report	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	Identifying and managing risks to the achievement of outcomes	• Strategic Risk Register • 2020 Vision Programme Board • Programme Management and Support in place • Internal Audit • External Audit • Audit & Standards Committee • Corporate Objective of "Understanding Risk" supports the "Saving More Lives" Vision • Responding based on risk e.g. Service Risks Project, Risk Based Audit Programme	→		
	Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available	• Previous consultations e.g. Wyre Forest Hub Consultation, CRMP	→		
Sustainable economic, social and environmental benefits	Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision	• Fire Authority Annual Report	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints	• Our Strategy – Core Purpose and Resourcing for the Future • Fleet Strategy 2016-2021 • Authority meetings held in public and decisions published • External Audit Plan • ICT Strategy • People Strategy	→		
	Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs	• Medium Term Financial Plan, Council Tax Precept • Authority scrutiny of PCC Business Case	→		
	Ensuring fair access to services	• Our Values – we value diverse communities • Organisational Development Working Group • Ethical Framework • Equality Objectives	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
		• Equality Impact Assessments • Public Sector Equality Duty • Your Right to Know section of website • Targeting vulnerable groups e.g. Home Fire Safety Checks • Positive Action			

Core Principle D:

Determining the interventions necessary to optimise the achievement of the intended outcomes

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
Determining interventions	Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and associated risks. Therefore ensuring best value is achieved however services are provided	• Authority report template requires corporate considerations to be set out for decision makers • Authority Members given professional advice from lead officers i.e. Principal Officers, Treasurer, Head of Legal Services / Monitoring Officer • Procurement process • Quarterly Performance Reports considered by SMB and Policy & Resources Committee • Community Risk Management Plan approval process	→		
	Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited	• Authority report template requires the results of any consultation to be set out for decision makers • Complaints monitored and reported to SMB and Audit & Standards Committee • After the Incident Surveys	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	resources available including people, skills, land and assets and bearing in mind future impacts				
Planning interventions	Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets	• Medium Term Financial Plan and budget development process • Annual internal and external audit plans • Regular budget holder meetings • Budget monitoring and performance monitoring undertaken by SMB and Policy & Resources Committee • Strategy Management and Business Planning Policy • Programme and Project Management Policy • Strategic Risk Register	→		
	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered	• Staff consultation e.g. crewing models • Joint Consultative Committee (JCC) • Middle Management Board • Group Commanders Forum • Station Commanders Forum • Retained Officers in Charge	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
		Meetings • Local Strategic Partnerships • Joint Operations and Command Centre Project Board • Place Partnership Ltd Joint Board • Tri-Service Principal Officer meetings • Collaboration with the Police e.g. shared HQ and OCC, sharing buildings, PCSOs training to be retained firefighters			
	Considering and monitoring risks facing each partner when working collaboratively, including shared risks	• Strategic Risk Register • 2020 Vision Programme Board • Business Continuity Plans • Service Risks Project – shared with partners	→		
	Ensuring arrangements are flexible and agile so that mechanisms for delivering goods and services can be adapted to changing circumstances	• Cultural acceptance of the need to be flexible • Horizon scanning through CFOA, Local Government Association and other networks	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured	• Performance Management Framework • Comprehensive set of KPIs agreed by SMB • Policy & Resources Committee and SMB review performance quarterly • 2020 Vision Programme Board monitors performance of projects • Equality Objectives	→		

	Ensuring capacity exists to generate the information required to review service quality regularly	• Performance & Information Department supports all areas of the service in
		  o Active Incident Monitoring (AIM)
		  o Information Management
		  o Public Services Network
		  o Performance
		  o Planning
		  o Projects
		• ORH independently reviews data
			→		

	Preparing budgets in accordance with objectives, strategies and the medium term financial plan	• Technology One Finance System • Budget Holder meetings • Fire Authority Annual Report • CRMP Annual Action Plan	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
		• Business Planning process • Strategy Management and Business Planning Policy			
	Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	• Medium Term Financial Plan • Capital Budget Programme • Revenue Budget • Reserves Strategy • 2020 Vision Programme • Transformation Funding Bids	→		
Optimising achievement of intended outcomes	Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints	• Medium Term Financial Plan (MTFP) discussed at full Fire Authority meetings • MTFP linked to the CRMP and the Efficiency Plan approved by the Home Office	→		
	Ensuring the budgeting process is all-inclusive, taking into account the full costs of operations over the medium and longer term	• External Audit Plan • Value For Money Conclusion • Resourcing for the Future is a key foundation for Our Strategy	→		
	Ensuring the medium term financial strategy sets the context for on-going decisions on significant delivery issues or	• Community Risk Management Plan • Medium Term Financial Plan	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage				
	Ensuring the achievement of 'social value' through service planning and commissioning	• Procurement process	→		

Core Principle E:

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

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
Developing the entity's capacity	Reviewing operations, performance and use of assets on a regular basis to ensure their effectiveness	• Performance Management Framework • Senior Officer appraisals • Quarterly performance reports to Policy & Resources Committee and SMB • Complaints process • Quality assurance audits • Electronic Incident De-brief Process • Active Incident Monitoring Process • Station Assurance Audits • Practical Skills Audits • IPDR process • Leadership Workshops as part of Cultural Review 2017/18	→		
	Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so	• Performance Management Framework • KPIs set by SMB • Business Planning • Annual performance report and quarterly performance monitoring	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	that defined outcomes are achieved effectively and efficiently	• Risk based planning e.g. CRMP informing budget setting process • CRMP Action Plan • Fire Authority Annual Report			
	Recognising the benefits of partnerships and collaborative working where added value can be achieved	• Fire Authority Annual Report • Local Strategic Partnerships • Memorandums of Understanding • West Midlands Regional Collaborative Statement • Joint Operations and Command Centre Project Board • Place Partnership Ltd Joint Board • Tri-Service Principal Officer meetings	→		
	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	• Our Strategy – Foundations: People • Our Values • Monthly Workforce Planning meetings • Voluntary Redundancy Scheme • Voluntary Early Retirement Scheme	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
		• Secondment Scheme • Budget Strategy Reduction Reserve • Employment Monitoring – Annual Report considered by Policy & Resources Committee • People Strategy			
Developing the capability of the entity's leadership and other individuals *NB Executive / Cabinet and Leader Model not in place*	Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained	• Members' Role Description • Senior Management Job Descriptions • Senior Management Board Terms of Reference and Membership • Terms of Reference for Group Leaders' Meetings • Protocol for Member/Officer Relations • Statutory Officer Appraisals	→		
	Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body	• Scheme of Delegations to Officers in place • Matters reserved for the Authority in Constitution • Committee Structure and Terms of Reference • Standing Orders	→		
NB Executive / Cabinet and Leader Model not in place	Ensuring the leader and the chief executive have clearly defined and	• Members' Role Description • Senior Management Board	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	distinctive roles within a structure whereby the chief executive leads in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and balance for each other's authority	Terms of Reference and Membership • Senior Management Job Descriptions • Terms of Reference for Group Leaders' Meetings • Authority and Committees provide challenge to Principal Officers • Statutory Officer Appraisals			
	Developing the capabilities of members and senior management to achieve effective leadership and to enable the organisation to respond successfully to changing legal and policy demands as well as economic, political and environmental changes and risks by • ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational	• Member Development Strategy • Members' Role Description • Fire specific Member Development Programme • Members' Induction Session and Pack • Members' Bulletin • Monitoring of Member attendance at Code of Conduct Training • In-house Monitoring Officer and Committee Services Team to provide on-going support and advice • Audit & Standards Committee oversee Member Training • Member Training also provided by constituent authorities	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	requirements is available and encouraged • ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and responsibilities and ensuring that they are able to update their knowledge on a continuing basis • ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external	• Local Inductions for staff • Appraisal (IPDR) process for staff • SMB Workshops • Conference attendance • Competency training records and course management system for staff • Leadership training eg ELP • De-brief process provides shared learning through lessons learned • Development Programme for Middle Managers e.g. ILM Level 7 • Leadership workshops as part of Cultural Review 2017/18			
	Ensuring that there are structures in place to encourage public participation	• Public participation scheme for Authority meetings • Wyre Forest Hub Consultation • Complaints Procedure	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
		• Fire Station Open Days and public events			
	Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections	• CFOA Regional Health & Safety Audit – review of recommendations by Audit & Standards Committee and Health & Safety Committee	→		
	Holding staff to account through regular performance reviews which take account of training or development needs	• Appraisal (IPDR) process for staff	→		
	Ensuring arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing	• Occupational Health • Annual Fitness Tests available for all staff • Mind Blue Light Pledge • Critical Incident Support Team • Mediation and Listening Ear Service	→		

Core Principle F:

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

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
Managing risk	Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making	• Community Risk Management Plan (CRMP) • Strategic Risk Register • Risk Management Strategy • Audit & Standards Committee Terms of Reference • Authority Standard Report Template requires any risk issues to be set out • External Audit • Internal Audit • Statement of Assurance	→		
	Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	• CRMP Action Plans • Departmental Risk Registers • Quarterly Risk Register Reviews • Service Risks project – risk presentation for staff and partners • Resilience Direct website to share risk based information with other fire services and Local Resilience Forum	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	Ensuring that responsibilities for managing individual risks are clearly allocated	• Strategic Risk Register • Departmental Risk Registers	→		
Managing performance	Monitoring service delivery effectively including planning, specification, execution and independent post implementation review	• Community Risk Management Plan (CRMP) • CRMP Review 2017/18 • CRMP Action Plans • 2020 Vision Programme Board • Lesson learnt reports for completed projects • Service delivery audits • Skills and performance audits • Internal Audit – Critical Friend Audits • Debrief system • Statement of Assurance	→		
	Making decisions based on a relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook	• Fire Authority and Committee report template – specific reference to implications and risks • Equality Impact Assessment	→		
	Encouraging effective and constructive challenge and	• Members Role description • Member Development	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	debate on policies and objectives to support balanced and effective decision making	Strategy • Policy & Resources Committee • Audit & Standards Committee • Task & Finish Group e.g. Fleet Strategy • SPI Consultation Process			
	Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement	• Quarterly Performance Monitoring reports considered by SMB and Policy & Resources Committee • 2020 Vision project updates to the Fire Authority e.g. committee reports • 20:20 Programme Board	→		
	Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements)	• Constitution – responsibility for functions • Financial Regulations • Budget and precept setting process – Fire Authority • Quarterly financial monitoring by Policy & Resources Committee • Strategy Management and Business Planning Policy • Programme and Project Management Policy	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
Robust internal control	Aligning the risk management strategy and policies on internal control with achieving objectives	• Risk Management Policy and Risk Assessment Process • Business Continuity Policy • Financial Regulations • Anti-Fraud and Corruption Policy	→	**Review of Financial Regulations not yet completed as the review is linked in with the review of Contract Standing Orders**	**Review of Financial Regulations carried over from 2016/17**
	Evaluating and monitoring risk management and internal control on a regular basis	• Quarterly reviews of departmental risk registers • Internal Audit Plan • External Audit Plan	→		
	Ensuring counter fraud and anti-corruption arrangements are in place	• Anti-Fraud and Corruption Policy • Whistleblowing Policy	→		
	Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor	• Worcestershire Internal Audit Shared Services Objectives • Internal Audit Plan • Quarterly Internal Audit reports	→		
	Ensuring an audit committee or equivalent group/function, which is independent of the executive and accountable	• Audit & Standards Committee has delegated decision making authority • Restrictions on membership of Audit &	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	to the governing body: • provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment • that its recommendations are listened to and acted upon	Standards Committee to prevent conflict of interests			
Managing data	Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data	• Information Governance Policy • Data Transfer Policy • Data Protection Policy • Freedom of Information Act and Environmental Information Regulations Policy • Records Management Policy • Information Security Incident Management Policy	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies	• Information Sharing Protocol • Data Transfer Policy			
	Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring	• Information Governance Policy (Data Quality and Version Control) • Information Asset and Retention Register • Quarterly performance monitoring reports to SMB and Policy & Resources Committee	→		
Strong financial management	Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance	• Treasurer / Director of Finance in place • Budget Holder meetings • Fire Authority Annual Report • CRMP • Business Planning process • Strategy Management and Business Planning Policy • Medium Term Financial Plan and budget development process • Budget monitoring and performance monitoring undertaken by SMB and Policy & Resources Committee	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls	• Financial Regulations • Technology One Finance System • Internal Audit recommendations • Standing Orders for the Regulation of Contracts	↑	**Review of Standing Orders for Regulation of Contracts completed**	

Core Principle G:

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

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
Implementing good practice in transparency	Writing and communicating reports for the public and other stakeholders in a fair, balanced and understandable style appropriate to the intended audience and ensuring that they are easy to access and interrogate	• Fire Authority Annual Report • Annual Assurance Statement • Council Tax Information leaflet / webpage • Community Risk Management Plan • Consultation documents • Agendas, minutes and decisions published, including the rationale and considerations on which decisions are based • Head of Legal and Committee Services to advise on Authority and Committee reports	→		
	Striking a balance between providing the right amount of information to satisfy transparency demands and enhance public scrutiny while not being too onerous to provide and for users to understand	• Your Right to Know section of the website • Compliance with the Government's Transparency Code via Transparency webpage • Social media	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
Implementing good practices in reporting	Reporting at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way	• Fire Authority Annual Report • Annual Assurance Statement • Council Tax Information leaflet / webpage	→		
	Ensuring members and senior management own the results reported	• Fire Authority Annual Report • Annual Assurance Statement • Annual Performance report	→		
	Ensuring robust arrangements for assessing the extent to which principles contained in this Framework have been applied and publishing the results on this assessment, including an action plan for improvement and evidence to demonstrate good governance (the annual governance statement)	• Internal Audit and External Audit of the Annual Governance Statement and assurances • Internal Audit of the development Annual Governance Statement – full assurance	→		
	Ensuring that this Framework is applied to jointly managed or shared service organisations as appropriate	• Worcestershire Internal Audit Shared Services is run by steering group comprising the relevant local authorities who abide by the Framework	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	Ensuring the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other, similar organisations	• Statement of Accounts prepared prior to deadline • Audit of Accounts • Statement of Assurance presented at the same time as the Statement of Accounts • Family Group 4 Benchmarking Report	→		
Assurance and effective accountability	Ensuring that recommendations for corrective action made by external audit are acted upon	• Audit & Standards Committee considers external audit reports and adequacy of management response to recommendations	→		
	Ensuring an effective internal audit service with direct access to members is in place, providing assurance with regard to governance arrangements and that recommendations are acted upon	• Worcestershire Internal Audit Shared Service • Internal Auditor reports to Audit & Standards Committee and attends meetings	→		
	Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations	• CFOA West Midlands Regional Health & Safety Audit • Operational Assurance	→	**Preparation is being undertaken in respect of the new inspection regime under Her Majesty's Inspectorate of Constabulary and FRSs**	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2017/18 Actions	2018/19 Actions
	Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement	• Risk Registers include risks associated with failure of suppliers • Where necessary, contracts/agreements require business continuity of third parties.	→		
	Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met	• Local Strategic Partnerships • Memorandums of Understanding • West Midlands Regional Collaborative Statement • Joint Operations and Command Centre Project Board • Place Partnership Ltd Joint Board • Worcestershire Partnership Executive Group Terms of Reference • Shenstone Group Objectives • JESIP Framework and Statement of Assurance	→		