

**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 2022/23 Actions	2023/24 Actions
Managing risk	Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making	<ul style="list-style-type: none"> <li>• Community Risk Management Plan (CRMP)</li> <li>• Strategic Risk Register</li> <li>• Risk Management Strategy</li> <li>• Audit &amp; Standards Committee Terms of Reference</li> <li>• Authority Standard Report Template requires any risk issues to be set out</li> <li>• External Audit</li> <li>• Internal Audit</li> <li>• Statement of Assurance</li> </ul>	→	There were no actions identified for 2022/23	
	Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	<ul style="list-style-type: none"> <li>• Core Strategies – Response, Prevention, Protection</li> <li>• Departmental Risk Registers</li> <li>• Quarterly Risk Register Reviews</li> <li>• Resilience Direct website to share risk based information with other fire services and Local Resilience Forum</li> </ul>	→	There were no actions identified for 2022/23	

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	Ensuring that responsibilities for managing individual risks are clearly allocated	<ul style="list-style-type: none"> <li>• Strategic Risk Register</li> <li>• Departmental Risk Registers</li> <li>• Information Asset Register</li> <li>• Internal &amp; External audit</li> <li>• Health and Safety Committee</li> </ul>	→	There were no actions identified for 2022/23	
Managing performance	Monitoring service delivery effectively including planning, specification, execution and independent post implementation review	<ul style="list-style-type: none"> <li>• Community Risk Management Plan (CRMP)</li> <li>• Core Strategies – Response, Prevention, Protection</li> <li>• Change Portfolio Board</li> <li>• Lesson learnt reports for completed projects</li> <li>• Service delivery audits</li> <li>• Skills and performance audits</li> <li>• Internal Audit – Critical Friend Audits</li> <li>• Debrief system</li> <li>• Statement of Assurance</li> </ul>	→	There were no actions identified for 2022/23	
	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	<ul style="list-style-type: none"> <li>• Fire Authority and Committee report template – specific reference to implications and risks</li> <li>• Equality Impact Assessment</li> </ul>	→	There were no actions identified for 2022/23	

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	Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision making	<ul style="list-style-type: none"> <li>• Members Role description</li> <li>• Policy &amp; Resources Committee</li> <li>• Audit &amp; Standards Committee</li> <li>• SPI Consultation Process</li> <li>• Women@HWFIREnetwork</li> </ul>	→	There were no actions identified for 2022/23	
	Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement	<ul style="list-style-type: none"> <li>• Quarterly Performance Monitoring reports considered by SLB and Policy &amp; Resources Committee</li> <li>• Change Portfolio Board</li> <li>• Strategic Alliance Board</li> </ul>	→	There were no actions identified for 2022/23	
	Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements)	<ul style="list-style-type: none"> <li>• Constitution – responsibility for functions</li> <li>• Financial Regulations</li> <li>• Budget and precept setting process – Fire Authority</li> <li>• Quarterly financial monitoring by Policy &amp; Resources Committee</li> <li>• Strategy Management and Business Planning Policy</li> </ul>	→	There were no actions identified for 2022/23	
Robust internal control	Aligning the risk management strategy and policies on internal control with achieving objectives	<ul style="list-style-type: none"> <li>• Risk Management Policy and Risk Assessment Process</li> <li>• Business Continuity Policy</li> </ul>	→	There were no actions identified for 2022/23	

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		<ul style="list-style-type: none"> <li>Financial Regulations</li> <li>Anti-Fraud and Corruption Policy</li> </ul>			
	Evaluating and monitoring risk management and internal control on a regular basis	<ul style="list-style-type: none"> <li>Quarterly reviews of departmental risk registers</li> <li>Internal Audit Plan</li> <li>External Audit Plan</li> </ul>	→	There were no actions identified for 2022/23	
	Ensuring counter fraud and anti-corruption arrangements are in place	<ul style="list-style-type: none"> <li>Anti-Fraud and Corruption Policy</li> <li>Whistleblowing Policy</li> </ul>	→	Anti-Fraud and Corruption Policy reviewed	
	Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor	<ul style="list-style-type: none"> <li>Worcestershire Internal Audit Shared Services Objectives</li> <li>Internal Audit Plan</li> <li>Quarterly Internal Audit reports</li> </ul>	→	There were no actions identified for 2022/23	
	<p>Ensuring an audit committee or equivalent group/function, which is independent of the executive and accountable to the governing body:</p> <ul style="list-style-type: none"> <li>provides a further source of effective assurance regarding</li> </ul>	<ul style="list-style-type: none"> <li>Audit &amp; Standards Committee has delegated decision making authority</li> <li>Restrictions on membership of Audit &amp; Standards Committee to prevent conflict of interests</li> </ul>	→	There were no actions identified for 2022/23	

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	<p>arrangements for managing risk and maintaining an effective control environment</p> <ul style="list-style-type: none"> <li>• that its recommendations are listened to and acted upon</li> </ul>				
Managing data	Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data	<ul style="list-style-type: none"> <li>• Information Governance Policy</li> <li>• Information Asset Register</li> <li>• Information Asset Owners</li> <li>• Data Protection Officer</li> <li>• Information Governance Officer</li> <li>• GDPR Audit and Improvement Plan</li> <li>• Data Transfer Policy</li> <li>• Data Protection Policy</li> <li>• Freedom of Information Act and Environmental Information Regulations Policy</li> <li>• Records Management Policy</li> <li>• Information Security Incident Management Policy</li> </ul>	→	. Plans in place to further develop Information Governance Policies	

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	Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies	<ul style="list-style-type: none"> <li>• Information Sharing Protocol</li> <li>• Data Transfer Policy</li> <li>• Information Asset and Retention Register</li> </ul>	→	There were no actions identified for 2020/21	
	Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring	<ul style="list-style-type: none"> <li>• Information Governance Policy (Data Quality and Version Control)</li> <li>• Information Asset and Retention Register</li> <li>• Quarterly performance monitoring reports to SLB and Policy &amp; Resources Committee</li> </ul>	→	There were no actions identified for 2022/23	
Strong financial management	Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance	<ul style="list-style-type: none"> <li>• Treasurer / Director of Finance in place</li> <li>• Budget Holder meetings</li> <li>• Annual Service Plan</li> <li>• Core Strategies – Prevention, Protection, Response</li> <li>• CRMP</li> <li>• Business Planning process</li> <li>• Strategy Management and Business Planning Policy</li> <li>• Medium Term Financial Plan and budget development process</li> <li>• Budget monitoring and performance monitoring</li> </ul>	→	There were no actions identified for 2022/23	

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		undertaken by SLB and Policy & Resources Committee			
	Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls	<ul style="list-style-type: none"> <li>• Financial Regulations</li> <li>• Technology One Finance System</li> <li>• Internal Audit recommendations</li> <li>• Standing Orders for the Regulation of Contracts</li> </ul>	→	There were no actions identified for 2022/23	