

Annual Governance Statement Assurances 2021/22 and Action Plan 2022/23 - Updated March 2022

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 2021/22 Actions	2022/23 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	<ul style="list-style-type: none"> • Audit & Standards Committee oversight • Authority Member Role Description • Ethical Framework in place – included in Members' Induction • Member Equality, Diversity & Inclusion Champions with relevant role description in place • Code of Conduct for Members and complaints process • Member Training on Code of Conduct by Councils monitored • Equality, Diversity and Inclusion plan and Equality Objectives in place • Staff Code of Conduct • Registers of Interest for Members and Officers • Pay Policy Statement • Payments to Members 	→	There were no actions identified for 2021/22	Implementation of the Core Code of Ethics for Fire & Rescue Services

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
		published			
	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)	<ul style="list-style-type: none"> Local Members Code of Conduct approved by the Authority Equality, Diversity and Inclusion Plan and Equality Objectives in place Authority Committees oversee development and implementation of equality and fairness policies Organisational values in place Board approved full adoption of Core of Ethics for FRS 	→	There were no actions identified for 2021/22	Core Code of Ethics FRS implementation
	Leading by example and using the above standard operating principles or values as a framework for decision making and other actions	<ul style="list-style-type: none"> Standard authority report template includes corporate considerations, including equalities Equality Impact Assessments (EIAs) – included in corporate considerations section of Authority reports SMB Sharepoint site SMB visits to stations and departments 	→	There were no actions identified for 2021/22	
	Demonstrating, communicating and	<ul style="list-style-type: none"> Register of Staff Interests Policy 	→		

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively	<ul style="list-style-type: none"> • Related party disclosure requirements • National Fraud Initiative • Anti-Fraud, Bribery and Corruption Policy • Equality, Diversity and Inclusion plan and Equality Objectives in place • Whistleblowing Policy • Disciplinary Policy • Capability Policy • Dignity at Work Policy • Equality Monitoring Information • Ethical Framework and Code of Conduct 		Anti-Fraud and Corruption Policy to be reviewed	Anti-Fraud and Corruption Policy to be reviewed
Demonstrating strong commitment to ethical values	Seeking to establish, monitor and maintain the organisation's ethical standards and performance	<ul style="list-style-type: none"> • Audit & Standards Committee • New Equality Objectives for 2021-2025 • Our Strategy • Monitoring complaints • Equality, Diversity & Inclusion Plan • Equality, Diversity & Inclusion Officer in place 	→	There were no actions identified for 2021/22	
	Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture	<ul style="list-style-type: none"> • Staff Code of Conduct • Ethical Framework • Whistleblowing Policy • Organisational Values in place 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	and operation				
	Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values	<ul style="list-style-type: none"> • Organisational Values in place • Register of Staff Interests Policy • Anti-Fraud, Bribery and Corruption Policy • Equality, Diversity and Inclusion plan and Equality Objectives in place • Whistleblowing Policy • Disciplinary Policy • Capability Policy • Dignity at Work Policy • Safeguarding Adults Policy • Safeguarding Young Person's Policy 	→	Anti-Fraud and Corruption Policy to be reviewed	Anti-Fraud and Corruption Policy to be reviewed
	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	<ul style="list-style-type: none"> • Standing Orders for Regulation of Contracts • Procurement guidance – contractors also expected to adhere to Ethical Framework 	→	There were no actions identified for 2021/22	
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	<ul style="list-style-type: none"> • In-house Head of Legal Services to provide advice • Updates in Service Bulletin • Constitution sets out requirements 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	regulations	<ul style="list-style-type: none"> Ethical framework training Training for managers on disciplinary policy Safeguarding training 			
	Creating the conditions to ensure that the statutory officers, other key post holders and members are able to fulfil their responsibilities in accordance with legislative and regulatory requirements	<ul style="list-style-type: none"> Member/Officer Protocol Constitution Committee Terms of Reference Scheme of Delegations to Officers Members Role Description Members Training 	→	Induction for all new Members following Worcestershire County Council elections - completed	
	Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders	<ul style="list-style-type: none"> Our Strategy HWFRS/SFRS Principal Officer meetings Local Strategic Partnership People & Services Programme Board with West Mercia Police Strategic Fire Alliance Board In-house Head of Legal Services to provide advice CRMP Consultation 	→	There were no actions identified for 2021/22	
	Dealing with breaches of legal and regulatory provisions effectively	<ul style="list-style-type: none"> In-house Head of Legal Services to provide advice Whistleblowing Policy Anti-Fraud, Bribery and Corruption Policy 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
		<ul style="list-style-type: none"> • Safeguarding Policies • Modern Slavery Statement?? 			
	Ensuring corruption and misuse of power are dealt with effectively	<ul style="list-style-type: none"> • Disciplinary Policy • In-house Head of Legal Services to provide advice • Whistleblowing Policy • Anti-Fraud, Bribery and Corruption Policy 	→	There were no actions identified for 2021/22	

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 2021/22 Actions	2022/23 Actions
Openness	Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness	<ul style="list-style-type: none"> • Website – your right to know section • Complaints process • Fire Authority Annual Report • Consultation Process • Publication Scheme • Public Participation at Authority meetings – guidance on website • Authority Meetings streamed on Youtube during lockdown • Protocol for filming / recording meetings • Meetings Schedule • Scheme of Delegation • Transparency Information published on website to meet Government's Transparency requirements • Service Bulletin • • Women@HWFIREnetwork • Recruitment/Promotion Process Scrutiny Panel • Employment Engagement & Well-being Officer in place 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	<p>Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided</p>	<ul style="list-style-type: none"> • Access to Information Procedure Rules – public interest test • Authority and Committee meetings streamed on Youtube • Authority reports set out corporate considerations • Officer decisions published • Publication Scheme and Access to Information advice published on website • Joint Consultative Committee Sharepoint site 	→	<p>There were no actions identified for 2021/22</p>	
	<p>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</p>	<ul style="list-style-type: none"> • Authority reports set out corporate considerations • Minutes / decisions published • CRMP Consultation process • Fire Authority Annual Report 	→	<p>There were no actions identified for 2021/22</p>	
	<p>Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/courses of</p>	<ul style="list-style-type: none"> • After the Incident Surveys implemented and end of year report • Social Media Policy 	→	<p>There were no actions identified for 2021/22</p>	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	action				
Engaging comprehensively with institutional stakeholders <i>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</i>	Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably	<ul style="list-style-type: none"> • Fire Authority Annual Report • Local Strategic Partnerships • Principal Officer meetings HWFRS/SFRS • Fire Strategic Alliance • PCC attends Fire Authority meetings as a non-voting member 	→	There were no actions identified for 2021/22	
	Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively	<ul style="list-style-type: none"> • National Flood Support • Collaboration with the Police e.g. shared use of assets • Operational Policy – jointly created policy documents, sharing risk information • Collaborative approach to procurement • Local Strategic Partnerships • Safer Roads Partnership in West Mercia • Community Safety Partnerships and activities • West Mercia Local 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
		Resilience Forum			
	Ensuring that partnerships are based on: <ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • Fire Authority Annual Report • Joint Emergency Services Interoperability Programme (JESIP) framework • Data sharing with partners including NHS, Clinical Commissioning Groups, Age UK, e.g Exeter data • Local Resilience Forum • Strategic Alliance Board – Strategic Plan 2018-2022 • Joint Consultative Committee • Collaboration Brochure 	→	There were no actions identified for 2021/22	
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 users and other stakeholders to ensure that service (or other) provisions is contributing towards the achievement of intended outcomes	<ul style="list-style-type: none"> • CRMP Consultation Process • Day Crewing Plus Consultation 	→	There were no actions identified for 2021/22	
	Ensuring that communication methods are effective and that members and officers are	<ul style="list-style-type: none"> • Social Media Policy • Fire Authority and Committee meetings streamed live on Youtube 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	clear about their roles with regard to community engagement	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • After the Incident Surveys implemented and end of year report • Complaints and comments procedure • Positive Action • Public Engagement statistics reported through Community Risk dashboard • Customer Feedback following Home Fire Safety Visits (HFSVs) 	→	There were no actions identified for 2021/22	
	Implementing effective feedback mechanisms in order to demonstrate how views have been taken into account	<ul style="list-style-type: none"> • Complaints logged and themes reported to SMB and Audit & Standards Committee 	→	There were no actions identified for 2021/22	
	Balancing feedback from more active stakeholder groups to ensure inclusivity	<ul style="list-style-type: none"> • Positive Action 	→	There were no actions identified for 2021/22	
	Taking account of the impact of decisions on	<ul style="list-style-type: none"> • Minimum Revenue Provision Policy 	→	There were no actions identified	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	future generations of tax payers and service users	<ul style="list-style-type: none"> • Prudential Indicators • Legacy projects as part of 2020 Vision /Strategic Projects Programme which aim to create a sustainable fire and rescue service 		for 2021/22	

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 2021/22 Actions	2022/23 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	<ul style="list-style-type: none"> • Our Strategy – Core Purpose • Fire Authority Annual Report • Annual Statement of Assurance • Performance Management Framework 	→	There were no actions identified for 2021/21	
	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	<ul style="list-style-type: none"> • Previous consultations e.g. Wyre Forest Hub Consultation, CRMP, Day Crewing Plus 	→	There were no actions identified for 2021/22	
	Delivering defined outcomes on a sustainable basis within the resources that will be available	<ul style="list-style-type: none"> • 2020 Vision / Strategic Projects programme • Medium Term Financial Plan • Fire Authority Annual Report 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	Identifying and managing risks to the achievement of outcomes	<ul style="list-style-type: none"> • Strategic Risk Register • Programme 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. CRMP 	→	There were no actions identified for 2021/22	
	Managing service users’ expectations effectively with regard to determining priorities and making the best use of the resources available	<ul style="list-style-type: none"> • CRMP Consultation • Day Crewing Plus Consultation 	→	There were no actions identified for 2021/22	
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	<ul style="list-style-type: none"> • Fire Authority Annual Report • Environmental Sustainability Plan 	→	There were no actions identified for 2021/22	
	Taking a longer-term view with regard to decision making, taking account of risk and acting	<ul style="list-style-type: none"> • Core Strategies for Prevention, Protection and Response • Asset Management 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints	Strategy 2017-2020 <ul style="list-style-type: none"> • Fleet Strategy 2016-2021 • Authority meetings held in public and decisions published • External Audit Plan • ICT Strategy 2017-2020 • People Strategy 2020-2022 • Property Strategy 2018-2023 • Reserves 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	<ul style="list-style-type: none"> • Medium Term Financial Plan, Council Tax Precept 	→	There were no actions identified for 2021/22	
	Ensuring fair access to services	<ul style="list-style-type: none"> • Our Values – we value diverse communities • Ethical Framework • Equality Objectives • Equality Impact Assessments 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
		<ul style="list-style-type: none"> • Public Sector Equality Duty • Your Right to Know section of website • Targeting vulnerable groups e.g. Home Fire Safety Checks • Positive Action • Service Mission and Vision • Safeguarding Training • Safeguarding Guidance 			

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 2021/22 Actions	2022/23 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	<ul style="list-style-type: none"> • 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 	→	There were no actions identified for 2021/22	
	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	<ul style="list-style-type: none"> • 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 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 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	<ul style="list-style-type: none"> • 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 • Strategic Risk Register 	→	There were no actions identified for 2021/22	
	Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered	<ul style="list-style-type: none"> • Joint Consultative Committee (JCC) • Group Commanders Forum • Station Commanders Forum • Retained Officers in Charge Meetings • Local Strategic Partnerships • Principal Officer meetings HWFRS/SFRS • Collaboration with the 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
		Police e.g. shared assets <ul style="list-style-type: none"> • Strategic Fire Alliance Programme Board • • Fleet & Equipment Steering Group • On-Call Steering Group • Training Steering Group • Occupational Health User Consultation • Business Planning Meetings • Women@HWFIRE network 			
	Considering and monitoring risks facing each partner when working collaboratively, including shared risks	<ul style="list-style-type: none"> • Strategic Risk Register • 2020 Vision Programme Board • Business Continuity Plans • Service Risks Project – shared with partners • Strategic Alliance Board • County Risk Registers – linked to the Local Resilience Forum 	→	There were no actions identified for 2021/22	
	Ensuring arrangements are flexible and agile so that mechanisms for delivering goods and services can be adapted to changing circumstances	<ul style="list-style-type: none"> • Cultural acceptance of the need to be flexible • Horizon scanning through CFOA, Local Government Association and other networks 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 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	<ul style="list-style-type: none"> • 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 	→	There were no actions identified for 2021/22	
	Ensuring capacity exists to generate the information required to review service quality regularly	<ul style="list-style-type: none"> • Performance & Information Department supports all areas of the service in <ul style="list-style-type: none"> ○ Active Incident Monitoring (AIM) ○ Information Management ○ Public Services Network ○ Performance ○ Planning ○ Projects • ORH independently reviews data • Regular review of MTFP • Annual Report (with CRMP action plan) • HMICFRS improvement plan 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	Preparing budgets in accordance with objectives, strategies and the medium term financial plan	<ul style="list-style-type: none"> • Technology One Finance System • Budget Holder meetings • Fire Authority Annual Report • CRMP Annual Action Plan • Business Planning process • Strategy Management and Business Planning Policy 	→	There were no actions identified for 2021/22	
	Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy	<ul style="list-style-type: none"> • Medium Term Financial Plan • Capital Budget Programme • Revenue Budget • Reserves Strategy • 2020 Vision / Strategic Projects Programme 	→	There were no actions identified for 2021/22	
Optimising achievement of intended outcomes	Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints	<ul style="list-style-type: none"> • 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 	→	There were no actions identified for 2021/22	
	Ensuring the budgeting process is all-inclusive, taking into account the full costs of operations over the medium and longer term	<ul style="list-style-type: none"> • External Audit Plan • Value For Money Conclusion • Resourcing for the Future is a key foundation for Our Strategy 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	Ensuring the medium term financial strategy sets the context for on-going decisions on significant delivery issues or 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	<ul style="list-style-type: none"> • Community Risk Management Plan • Medium Term Financial Plan 	→	There were no actions identified for 2021/22	
	Ensuring the achievement of 'social value' through service planning and commissioning	<ul style="list-style-type: none"> • Procurement process • Strategic Projects 	→	There were no actions identified for 2021/22	

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 2021/22 Actions	2022/23 Actions
Developing the entity’s capacity	Reviewing operations, performance and use of assets on a regular basis to ensure their effectiveness	<ul style="list-style-type: none"> • 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 • Quality Assurance process for Home Fire Safety Visits (HFSVs) • Practical Skills Audits • IPDR process 	→	There were no actions identified for 2021/22	
	Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so	<ul style="list-style-type: none"> • Performance Management Framework • KPIs set by SMB • Business Planning • Annual performance report and quarterly performance monitoring 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	that defined outcomes are achieved effectively and efficiently	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Fire Authority Annual Report • Local Strategic Partnerships • Fire Alliance Strategic Alliance Programme Board • Principal Officer meetings HWFRS/SFRS • Collaboration Brochure 	→	There were no actions identified for 2021/22	
	Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources	<ul style="list-style-type: none"> • Our Strategy – Foundations: People • Our Values • Workforce Profile Data • Monthly Workforce Planning meetings to project effects of future retirement • Budget Strategy Reduction Reserve • Equality Monitoring – Annual Report considered by Audit & Standards Committee • People Strategy 2020-2022 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
<p>Developing the capability of the entity's leadership and other individuals</p> <p><i>NB Executive / Cabinet and Leader Model not in place</i></p>	<p>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</p>	<ul style="list-style-type: none"> • 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 	→	<p>There were no actions identified for 2021/22</p>	
	<p>Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body</p>	<ul style="list-style-type: none"> • Scheme of Delegations to Officers in place • Matters reserved for the Authority in Constitution • Committee Structure and Terms of Reference • Standing Orders 	→	<p>There were no actions identified for 2021/22</p>	
<p><i>NB Executive / Cabinet and Leader Model not in place</i></p>	<p>Ensuring the leader and the chief executive have clearly defined and 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</p>	<ul style="list-style-type: none"> • Members' Role Description • Senior Management Board Terms of Reference and Membership • Senior Management Job Descriptions • Terms of Reference for Group Leaders' Meetings • Authority and Committees provide challenge to Principal Officers 	→	<p>There were no actions identified for 2021/22</p>	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	<p>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</p> <ul style="list-style-type: none"> • ensuring members and staff have access to appropriate induction tailored to their role and that ongoing training and development matching individual and organisational requirements is available and encouraged • ensuring members and officers have the appropriate skills, knowledge, resources and support to fulfil their roles and 	<ul style="list-style-type: none"> • Members' Role Description • Members' Induction Session and Pack • Monitoring of Member attendance at Code of Conduct Training • In-house Monitoring Officer and Committee Services Officer to provide on-going support and advice • Audit & Standards Committee oversee Member Training • Member Training also provided by constituent authorities • Local Inductions for staff • Appraisal (IPDR) process for staff • SMB Workshops – Trans2 Training • Competency training records and course management system for staff • Leadership development eg Executive Leadership Programme, ILM/CMI qualifications for managers • De-brief process provides shared learning through lessons learned 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	<p>responsibilities and ensuring that they are able to update their knowledge on a continuing basis</p> <ul style="list-style-type: none"> ensuring personal, organisational and system-wide development through shared learning, including lessons learnt from governance weaknesses both internal and external 	<ul style="list-style-type: none"> Promotion Principles 			
	Ensuring that there are structures in place to encourage public participation	<ul style="list-style-type: none"> Public participation scheme for Authority meetings Complaints Procedure 	→	There were no actions identified for 2021/22	
	Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections	<ul style="list-style-type: none"> HMICFRS Report, Improvement Programme and Quarterly Progress Reports 	→	There were no actions identified for 2021/22	
	Holding staff to account through regular	<ul style="list-style-type: none"> Appraisal (IPDR) process for staff 	→	There were no actions identified	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	performance reviews which take account of training or development needs			for 2021/22	
	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	<ul style="list-style-type: none"> • Occupational Health advice • Health Surveillance and Fitness assessments available for all staff • Mental Health at Work Commitment • Welfare Team and Station Buddies • Critical Incident Support Team • Mediation and Listening Ear Team • Service Chaplain 	→	There were no actions identified for 2021/22	

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 2021/22 Actions	2022/23 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"> • 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 	→	There were no actions identified for 2021/22	
	Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	<ul style="list-style-type: none"> • CRMP Action Plans • Departmental Risk Registers • Quarterly Risk Register Reviews • Resilience Direct website to share risk based information with other fire services and Local Resilience Forum 	→	There were no actions identified for 2021/22	
	Ensuring that responsibilities for managing individual risks are clearly allocated	<ul style="list-style-type: none"> • Strategic Risk Register • Departmental Risk Registers • Information Asset Register 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
		<ul style="list-style-type: none"> • Internal & External audit • Health and Safety Committee 			
Managing performance	Monitoring service delivery effectively including planning, specification, execution and independent post implementation review	<ul style="list-style-type: none"> • Community Risk Management Plan (CRMP) • 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 	→	There were no actions identified for 2021/22	
	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"> • Fire Authority and Committee report template – specific reference to implications and risks • Equality Impact Assessment 	→	There were no actions identified for 2021/22	
	Encouraging effective and constructive challenge and debate on policies and objectives to support	<ul style="list-style-type: none"> • Members Role description • Policy & Resources Committee • Audit & Standards 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	balanced and effective decision making	<ul style="list-style-type: none"> Committee SPI Consultation Process • Women@HWFIREnetwork 			
	Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement	<ul style="list-style-type: none"> Quarterly Performance Monitoring reports considered by SMB and Policy & Resources Committee 2020 Programme Board Strategic Alliance Board 	→	There were no actions identified for 2021/22	
	Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements)	<ul style="list-style-type: none"> 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 	→	There were no actions identified for 2021/22	
Robust internal control	Aligning the risk management strategy and policies on internal control with achieving objectives	<ul style="list-style-type: none"> Risk Management Policy and Risk Assessment Process Business Continuity Policy Financial Regulations Anti-Fraud and Corruption Policy 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	Evaluating and monitoring risk management and internal control on a regular basis	<ul style="list-style-type: none"> • Quarterly reviews of departmental risk registers • Internal Audit Plan • External Audit Plan 	→	There were no actions identified for 2021/22	
	Ensuring counter fraud and anti-corruption arrangements are in place	<ul style="list-style-type: none"> • Anti-Fraud and Corruption Policy • Whistleblowing Policy 	→	Anti-Fraud and Corruption Policy to be reviewed	Anti-Fraud and Corruption Policy to be 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"> • Worcestershire Internal Audit Shared Services Objectives • Internal Audit Plan • Quarterly Internal Audit reports 	→	There were no actions identified for 2021/22	
	<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"> • provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control 	<ul style="list-style-type: none"> • Audit & Standards Committee has delegated decision making authority • Restrictions on membership of Audit & Standards Committee to prevent conflict of interests 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	<p>environment</p> <ul style="list-style-type: none"> that its recommendations are listened to and acted upon 				
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"> Information Governance Policy Information Asset Register Information Asset Owners Data Protection Officer Information Governance Officer GDPR Audit and Improvement Plan Data Transfer Policy Data Protection Policy Freedom of Information Act and Environmental Information Regulations Policy Records Management Policy Information Security Incident Management Policy 	↑	<p>Plans in place to further develop Information Governance Policies</p>	
	Ensuring effective arrangements are in place and operating effectively	<ul style="list-style-type: none"> Information Sharing Protocol Data Transfer Policy 	→	There were no actions identified for 2020/21	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	when sharing data with other bodies	<ul style="list-style-type: none"> Information Asset and Retention Register 			
	Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring	<ul style="list-style-type: none"> Information Governance Policy (Data Quality and Version Control) Information Asset and Retention Register Quarterly performance monitoring reports to SMB and Policy & Resources Committee 	→	There were no actions identified for 2021/22	
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"> 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 	→	There were no actions identified for 2021/22	
	Ensuring well-developed financial management is integrated at all levels of	<ul style="list-style-type: none"> Financial Regulations Technology One Finance System 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	planning and control, including management of financial risks and controls	<ul style="list-style-type: none"> • Internal Audit recommendations • Standing Orders for the Regulation of Contracts 			

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 2021/22 Actions	2022/23 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	<ul style="list-style-type: none"> • 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 	→	There were no actions identified for 2021/22	
	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	<ul style="list-style-type: none"> • Your Right to Know section of the website • Compliance with the Government's Transparency Code via Transparency webpage • Social media 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 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	<ul style="list-style-type: none"> • Fire Authority Annual Report • Annual Assurance Statement • Council Tax Information webpage 	→	There were no actions identified for 2021/22	
	Ensuring members and senior management own the results reported	<ul style="list-style-type: none"> • Fire Authority Annual Report • Annual Assurance Statement • Annual Performance report 	→	There were no actions identified for 2021/22	
	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)	<ul style="list-style-type: none"> • Internal Audit and External Audit of the Annual Governance Statement and assurances 	→	There were no actions identified for 2021/22	
	Ensuring that this Framework is applied to jointly managed or shared service organisations as appropriate	<ul style="list-style-type: none"> • Worcestershire Internal Audit Shared Services is run by steering group comprising the relevant local authorities who abide by the Framework 	→	There were no actions identified for 2021/22	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 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	<ul style="list-style-type: none"> • 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 	→	There were no actions identified for 2021/22	
Assurance and effective accountability	Ensuring that recommendations for corrective action made by external audit are acted upon	<ul style="list-style-type: none"> • Audit & Standards Committee considers external audit reports and adequacy of management response to recommendations 	→	There were no actions identified for 2021/22	
	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	<ul style="list-style-type: none"> • Worcestershire Internal Audit Shared Service • Internal Auditor reports to Audit & Standards Committee and attends meetings 	→	There were no actions identified for 2021/22	
	Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations	<ul style="list-style-type: none"> • Operational Assurance • HMICFRS Improvement Plan and Quarterly Progress reports 	→	There were no actions identified for 2021/22	
	Gaining assurance on risks associated with	<ul style="list-style-type: none"> • Risk Registers include risks associated with failure of 	→	There were no actions identified	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2021/22 Actions	2022/23 Actions
	delivering services through third parties and that this is evidenced in the annual governance statement	suppliers <ul style="list-style-type: none"> • Standard contract terms include requirements for suppliers to have business continuity arrangements in place 		for 2021/22	
	Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met	<ul style="list-style-type: none"> • Strategic Fire Alliance Board terms of reference • Local Strategic Partnerships • Worcestershire Partnership Executive Group Terms of Reference • Shenstone Group Objectives • JESIP Framework • Collaboration Brochure 	→	There were no actions identified for 2021/22	