

## 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 2019/20 Actions	2020/21 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 2019/20	
	Implementing robust and integrated risk management arrangements and ensuring that they are working effectively	<ul style="list-style-type: none"><li>• CRMP Action Plans</li><li>• Departmental Risk Registers</li><li>• Quarterly Risk Register Reviews</li><li>• Service Risks project – risk presentation for staff and partners</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 2019/20	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2019/20 Actions	2020/21 Actions
	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 2019/20	
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>• CRMP Action Plans</li> <li>• 2020 Vision Programme 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 2019/20	
	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 2019/20	

Supporting Principle	Behaviours and actions that demonstrate good governance in practice	Evidence of compliance	Status of compliance	Progress on 2019/20 Actions	2020/21 Actions
	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>• Organisational Development &amp; Challenge Group</li> <li>• women@hwfire</li> </ul>	→	There were no actions identified for 2019/20	
	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 SMB and Policy &amp; Resources Committee</li> <li>• 2020 Programme Board</li> <li>• Strategic Alliance Board</li> </ul>	→	There were no actions identified for 2019/20	
	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> <li>• Programme and Project Management Policy</li> </ul>	→	There were no actions identified for 2019/20	

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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> <li>• Financial Regulations</li> <li>• Anti-Fraud and Corruption Policy</li> </ul>	↑	Review of Financial Regulations completed and approved by A&S Committee January 2020	
	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 2019/20	
	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>	→	There were no actions identified for 2019/20	
	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 2019/20	
	Ensuring an audit committee or equivalent group/function, which is independent of the executive and accountable to the governing body:	<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 2019/20	

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	<ul style="list-style-type: none"> <li>provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment</li> <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</li> </ul>	→	GDPR Audit undertaken in January 2019	

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		Incident Management Policy			
	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>	→		
	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 SMB and Policy &amp; Resources Committee</li> </ul>	→		
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>• Fire Authority Annual Report</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 2019/20	

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		undertaken by SMB 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>	↑	Financial Regulations reviewed and approved by A&S Committee January 2020	