

Code of Corporate Governance 2016/17

Report of the Chief Fire Officer

For further information about this report please contact Rod Hammerton, Chief Fire Officer, on 01743 260204 or Ged Edwards, Planning Performance and Communications Manager, on 01743 260208.

1 Purpose of Report

This report gives the Committee an opportunity to make comment on the draft Code of Corporate Governance 2016/17, prior to its going forward to the full Fire Authority for consideration and formal adoption.

2 Recommendations

Members are asked to:

- a) Make comment on the draft Code of Corporate Governance 2016/17, attached as an appendix to this report; and
- b) Forward the draft Code, with amendments (if any), to the Fire Authority for consideration and formal adoption.

3 Background

The Fire Authority's Code of Corporate Governance is based on guidance issued by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives and Senior Managers (SOLACE).

This guidance has been refreshed following publication of a new governance framework for local authorities, police and fire authorities - 'Delivering Good Governance in Local Government: Framework (CIPFA/SOLACE) 2016', published in April, for application for the 2016/17 year.

Compliance with the Governance Code supports the Authority's review of the effectiveness of its system of internal controls as required by the Accounts and Audit Regulations 2015. This in turn informs the Annual Governance Statement which accompanies the Annual Statement of Accounts, approved by this Committee as those charged with governance.

The new framework is based on the International Framework: Good Governance in the Public Sector (CIPFA/IFAC, 2014) as developed by CIPFA and SOLACE supported by a UK wide steering group made up of local government practitioners and stakeholders. The framework includes a new definition of governance which stresses how good governance is essential in enabling an organisation to achieve its goals:

- Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved.
- To deliver good governance in the public sector, both governing bodies and individuals working for the public sector entities must try to achieve their organisation's objectives whilst, at all times, acting in the public interest.
- Acting in the public interest implies primary consideration of the benefits for society, which should result in positive outcomes for service users and other stakeholders.

4 Annual Review

During 2016/17 authorities are required to formally adopt the new framework and, in order to do this, the Authority's Code of Corporate Governance has been reworded to reflect the key changes in the guidance. The Code helps to demonstrate how the Authority's values, constitution and policies align with the new principles of governance.

The Authority will refer to this revised Code of Corporate Governance when publishing its Annual Governance Statement for 2016/17.

A draft of the new Code is attached as an appendix to this report. Although its layout and contents differ from the previous Code, it maintains the principles of governance that were previously demonstrated. The old Code can be accessed using the links below.

[Code of Corporate Governance 2015/16](#)

The terms of reference of the Audit and Performance Management Committee include a responsibility to review the Code of Corporate Governance. Accordingly, the Committee is asked to consider the draft 2016/17 Code, suggesting changes as appropriate. The draft will then be taken to the Fire Authority, for consideration and formal adoption, at its meeting on 14 June 2017.

5 Financial Implications

There are no direct financial implications arising from this report.

6 Legal Comment

Although the Fire Authority is not legally required to have in place a Code of Corporate Governance, it is considered best practice to do so.

7 Appendix

Shropshire and Wrekin Fire and Rescue Authority
Draft Code of Corporate Governance 2016/17

8 Background Papers

CIPFA /SOLACE Guidance Note – Delivering Good Governance in Local Government – Framework (CIPFA/SOLACE, 2016)

Shropshire Fire and Rescue Service Code of Corporate Governance 2016/17

| Principle 1 - Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the rule of law | |
|---|--|
| <p>Local government organisations are accountable not only for how much they spend, but also for how they use the resources under their stewardship. This includes accountability for outputs, both positive and negative, and for the outcomes they have achieved. In addition, they have an overarching responsibility to serve the public interest in adhering to the requirements of legislation and government policies. It is essential that, as a whole, they can demonstrate the appropriateness of all their actions across all activities and have mechanisms in place to encourage and enforce adherence to ethical values and to respect the rule of law.</p> | |
| 1.1 Behaving with integrity | Supporting Text |
| <p>1.1.1 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</p> | <p>The Authority has a wide range of codes, policies and procedures governing the conduct of members and officers, including:</p> <ul style="list-style-type: none"> Published Core Values Code of Corporate Governance Members' Code of Conduct Employee Code of Conduct Members' Protocol and Officers policy on Gifts and Hospitality Complaints procedures and log Discipline and Grievance policies Anti-Harassment and Bullying Policy Whistle-blowing policy Equality of opportunity in employment, service delivery and engagement with the public policy Freedom of Information and Data Protection Alcohol and Drugs Policy. |

| | |
|---|---|
| <p>1.1.2 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)</p> | <p>The Authority is committed to the principles of good corporate governance and has adopted this Code of Corporate Governance, which is reviewed and audited annually and a compliance report produced by Internal Audit for scrutiny by the Audit and Performance Management Committee.</p> <p>The standards of the Authority are made clear in its Core Values, which are fundamental to all it does. Each Member must complete a register of interests.</p> |
| <p>1.1.3 Leading by example and using the above standard operating principles or values as a framework for decision making and other actions</p> | <p>Both the Member and Employee Codes of Conduct state clearly that they must not be influenced by prejudice, bias or conflicts of interest in any matter relating to the Authority.</p> <p>Each Member must complete a Register of Interests, which is held at Brigade headquarters and is open to public inspection. The Register, which is also accessible via the Service's website is updated as necessary, in accordance with the Members Code of Conduct, and at least annually.</p> |
| <p>1.1.4 Demonstrating, communicating and 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</p> | <p>The Code of Corporate Governance is reviewed annually. Core Values are reviewed annually through the Annual Plan.</p> <p>Officers adhere to Contract Standing Orders and Financial Regulations which are reviewed and updated annually.</p> |
| <p>1.2 Demonstrating strong commitment to ethical values</p> | <p>Supporting Text</p> |
| <p>1.2.1 Seeking to establish, monitor and maintain the organisation's ethical standards and performance</p> | <p>The Fire Authority's systems and processes comply with ethical standards set down in legislation and Government guidance or derived from best practice. Appropriate Members and/or officers regularly review procedures and codes to ensure their relevance and effectiveness.</p> <p>Ethical standards are included within our procurement policies and our environmental management system.</p> |

| | |
|---|---|
| <p>1.2.2 Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and operation</p> | <p>The Employee Engagement Survey (May 2016) created tangible feedback about engagement and behaviour which the Service works with the Unions to improve upon.</p> <p>The Authority achieved the 'Moving towards excellent' level within the National Fire and Rescue Equality Framework, which ensures that it mainstreams equality and diversity into all aspects of its business.</p> <p>The Service has also undertaken an assessment of the 'Service Delivery and Community Engagement' element of the Excellent Framework.</p> <p>The Authority has in place policies, procedures and plans to ensure compliance with relevant legislation and guidance, associated targets for improvement and systems to monitor effectiveness and progress. Officers operate standardised recruitment policies and processes, including employee reference checks and Disclosure and Barring Service checks for designated posts.</p> <p>Ethical standards are included within our procurement policies and our environmental management system.</p> |
| <p>1.2.3 Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values</p> | <p>The Equality and Diversity Steering Group (which has Union representation) discuss issues and initiatives relating to ethics, values and relevant agenda items.</p> <p>The Standards and Human Resources Committee ensures that the core values of the Authority are at the heart of its decision making.</p> <p>There are quarterly meetings between union representatives and senior management, and staff are consulted on policy changes and major service developments.</p> <p>Consultation with staff sits at the core of the Authority's 2020 change management and strategic planning process and Integrated Risk Management Planning, thus ensuring that staff are fully engaged.</p> |

| | |
|--|--|
| | Ethical standards are included within our procurement policies and our environmental management system. |
| 1.2.4 Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with ethical standards expected by the organisation | Ethical standards are included within our procurement policies and our environmental management system. |
| 1.3 Respecting the rule of law | Supporting Text |
| 1.3.1 Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations | <p>The Authority has two statutory officers; the Monitoring Officer whose duties include ensuring the legality and fairness of decision making, and a Treasurer who as the most senior Finance professional is responsible for the proper administration of the financial affairs of the Authority. In addition the Service has a Deputy Monitoring Officer and deputy S151 Officer.</p> <p>The Monitoring Officer or the Deputy Monitoring Officer attends all meetings of the full Authority and reviews reports to the Authority and its Committees prior to publication.</p> <p>Relevant legal obligations are communicated to staff through policy and relevant training e.g. in recruitment and driving</p> <p>Internal and External Audit also provide assurance that proper probity exists and legal obligations are met</p> |
| 1.3.2 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 | <p>The general roles, rights and obligations of Members are contained in the Protocol on Member / Officer Relations and the Code of Conduct</p> <p>The more specific roles of Members, Members with special responsibilities and of Member Champions are set out in the role descriptions.</p> |

| | |
|--|--|
| | <p>There is also a Role Description for the Fire Authority's Independent Person, who will be consulted on the decision to investigate complaints and before a decision on an investigated complaint is made. The Independent Person may also be consulted on other standards matters, including by the Member, who is subject to an allegation.</p> <p>Financial Regulations Standing Orders set out specific financial and other duties / functions of the Fire Authority, its committees, the Chief Fire Officer, Monitoring Officer and Treasurer. Delegations to specific officers are documented in the Scheme of Delegation to Officers.</p> <p>Job descriptions are in place for all senior officers, which clearly state their respective roles and responsibilities including political restrictions placed upon them.</p> <p>Pay Policy Statement is reviewed by the full CFA and published annually as required by the Local Government Act 2011.</p> <p>The Authority has service level agreements, detailing the roles and responsibilities of its Clerk, Monitoring Officer and Solicitor, and a Protocol for the Role of Monitoring Officer. It also has a service level agreement, setting out the role of its Treasurer and Section 151 Officer.</p> <p>Details of allowances payable to Members of the Authority are laid down in the Scheme for the Payment of Members' Allowances.</p> |
| <p>1.3.3 Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders</p> | <p>The Authority is committed to openness in all of its dealings and to this end has adopted a procedure for public participation at its meetings and those of its committees, which the public may attend. The procedure is set out in its Standing Orders for the Regulation of Proceedings and Business. It also has in place a policy relating to filming, photographing, recording and using social networks at its meetings.</p> |

| | |
|---|--|
| | <p>Its agendas and reports are available to the public and publicised on its website and intranet in advance of meetings. The Fire Authority also has very clear rules governing access to information and the grounds on which information should be excluded from the public domain. All meetings of the Fire Authority and its Committees are held in public. The public will only be excluded if information to be considered is classed as exempt under Schedule 12A of the Local Government Act and the public interest in maintaining an exemption outweighs the public interest in disclosing the information, or where a Government Minister has directed that information is to be classed as confidential.</p> <p>Rules concerning exempt information are clearly laid down in the Fire Authority's constitution with a presumption that items will remain open to the public unless they meet specific criteria.</p> |
| <p>1.3.4 Dealing with breaches of legal and regulatory provisions effectively</p> | <p>The Authority has appointed a Monitoring Officer and Deputy Monitoring Officer, whose duties include ensuring the legality and fairness of decision making. The Monitoring Officer is the Assistant Director: Governance, Procurement and Commissioning and his Deputy, the Legal Services Manager.</p> <p>The Monitoring Officer, or his Deputy, attends all meetings of the full Authority and reviews reports to the Authority and its committees prior to publication. They provide advice and guidance on new legal developments and have access to specialist legal officers.</p> <p>The ACFO is the Senior Information Risk Owner (SIRO) for the Service and logs and monitors relevant breaches for action and learning. These are appropriately discussed at the Systems Governance Group.</p> |
| <p>1.3.5 Ensuring corruption and misuse of power are dealt with effectively</p> | <p>Officers and members of the Authority should lead by example and ensure adherence to legal requirements, rules, procedures and practices.</p> |

| | |
|--|---|
| | <p>All individuals coming into contact with the Authority should act with integrity and without thought or actions involving fraud, bribery and corruption.</p> <p>The Authority encourages a culture of honesty and opposition to fraud, bribery and corruption.</p> |
|--|---|

Principle 2 - Ensuring openness and comprehensive stakeholder engagement

Local government is run for the public good, organisations therefore should ensure openness in their activities. Clear, trusted channels of communication and consultation should be used to engage effectively with all groups of stakeholders, such as individual citizens and service users, as well as institutional stakeholders.

| | |
|---------------------|------------------------|
| 2.1 Openness | Supporting Text |
|---------------------|------------------------|

| | |
|--|--|
| <p>2.1.1 Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness</p> | <p>The Core Values are communicated in the Authority's plans. The complaints procedure is used and monitored.</p> <p>The Service has an active social media presence engaging in dialogue around key issues such as diversity in recruitment.</p> <p>All Authority meeting papers are published on the website along with other data transparency requirements.</p> <p>The employee engagement survey enabled staff to voice their opinions and allowed the Service to identify where future work should be targeted.</p> <p>Considerable public consultation is undertaken when considering changes and assessing risk.</p> |
|--|--|

| | |
|---|---|
| <p>2.1.2 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> | <p>The Authority is committed to openness in all of its dealings and to this end has adopted a procedure for public participation at its meetings and those of its committees, which the public may attend. The procedure is set out in its Standing Orders for the Regulation of Proceedings and Business. It also has in place a policy relating to filming, photographing, recording and using social networks at its meetings.</p> <p>Agendas and reports are available to the public and publicised on its website and intranet in advance of meetings. The Fire Authority also has very clear rules governing access to information and the grounds on which information should be excluded from the public domain.</p> <p>All meetings of the Fire Authority and its Committees are held in public. The public will only be excluded if information to be considered is classed as exempt under Schedule 12A of the Local Government Act.</p> <p>Rules concerning exempt information are clearly laid down in the Fire Authority's constitution with a presumption that items will remain open to the public unless they meet specific criteria.</p> |
| <p>2.1.3 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> | <p>There is a standard format for all committee reports, which includes sections for legal comment and financial implications, prompting the writer to seek advice in these areas.</p> <p>Prior to publication Authority and Committee reports are assessed by a solicitor representing the Clerk and Monitoring and legal comment added, where appropriate.</p> <p>The Treasurer/Head of Finance reviews those with financial implications.</p> <p>The Treasurer and Monitoring Officer receive the papers for, and attend many of the monthly meetings of the Service Management Team, enabling them also to have input to the decision-making process at this level.</p> |

2.1.4 Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action

Integrated Risk Management Planning

Since 2004, all Fire and Rescue Authorities have been required to produce Integrated Risk Management Plans (IRMPs). In its IRMP each Fire Authority sets out how it will 'identify and assess all foreseeable fire and rescue related risks that could affect its community, including those of a cross-border, multi-authority and/or national nature. The plan has regard to the Community Risk Registers produced by Local Resilience Forums and other local risk 'analysis', as defined in the terms of the Department for Communities and Local Government National Framework document. The Fire Authority's IRMP combines with its financial and transformation plans to set the Service Plan 2015-2020 for Shropshire Fire and Rescue Service.

2020 Programme

The 2020 Programme has been a process of engagement with the staff of Shropshire Fire and Rescue Service, the public of Shropshire and other key stakeholders in the community. The purpose of the Programme is to deliver improvement and change, whilst ensuring that the Service is meeting the needs of the community.

The methods within the Programme, such as engagement and consultation, will continue to be applied and will address the next tranche of work up to 2020 and beyond. The work includes reviews of work patterns, business processes and adoption of any other innovations, which can yield a benefit to the people of Shropshire. The aim is to seek improvements in both the frontline and support elements of the Service. Significant changes will be fed into the IRMP or other parts of the Service Plan, as the annual reviews take place.

Service priorities will be communicated to all staff to ensure that they are aware of them and can take responsibility for their own contribution to the range and quality of the service they provide. These are based on current and future risks and resource requirements. The detailed actions to meet the priorities are contained within the IRMP Action Plan.

| 2.2 Engaging comprehensively with institutional stakeholders | Supporting Text |
|---|---|
| <p>2.2.1 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</p> | <p>Each partnership entered into is supported by a partnership agreement, which sets out clearly and succinctly what the partnership aims to achieve and what each of the partners will do. The agreement also states to which of the Fire Authority's strategic aims the partnership contributes.</p> <p>Officers have developed a method of assessing partnerships to ensure that officers, Members and partners are clear in the aims and purpose of any partnership working and know their respective responsibilities and commitments. Partnership agreements formally set out the aims of the partnership, expectations, roles and reporting requirements.</p> |
| <p>2.2.2 Developing formal and informal partnerships to allow for resources to be used more efficiently and outcomes achieved more effectively</p> | <p>Each formal partnership is supported by a partnership agreement, which sets out clearly and succinctly what the partnership aims to achieve and what each of the partners will do and to which of the Fire Authority's strategic aims the partnership contributes.</p> <p>The Authority also engages in collaborations in some areas which tend to have less formal arrangements to enable opportunities to be seized.</p> <p>Officers have developed a method of assessing partnerships to ensure that officers, Members and partners are clear in the aims and purpose of any partnership working and know their respective responsibilities and commitments. Partnership agreements formally set out the aims of the partnership, expectations, roles and reporting requirements.</p> |

| | |
|--|--|
| <p>2.2.3 Ensuring that partnerships are based on:</p> <ul style="list-style-type: none"> • Trust • a shared commitment to change • a culture that promotes and accepts challenge among partners <p>and that the added value of partnership working is explicit</p> | <p>Each partnership is supported by a partnership agreement, which sets out clearly and succinctly what the partnership aims to achieve and what each of the partners will do. The agreement also states to which of the Fire Authority’s strategic aims the partnership contributes.</p> <p>Officers have developed a method of assessing partnerships to ensure that officers, Members and partners are clear in the aims and purpose of any partnership working and know their respective responsibilities and commitments. Partnership agreements formally set out the aims of the partnership, expectations, roles and reporting requirements.</p> |
| <p>2.3 Engaging with individual citizens and service users effectively</p> | <p>Supporting Text</p> |
| <p>2.3.1 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) provision is contributing towards the achievement of intended outcomes</p> | <p>The Authority is required to consult with ‘persons subject to non-domestic rates’ as part of its budget setting strategy – Local Government Finance Act 1992. The Authority consults with the public about its budget on the website and through social media.</p> <p>The Authority consults with all relevant stakeholders on all relevant matters pertaining to its proposals for change within its Integrated Risk Management Plan.</p> <p>The Service uses its EQIA process to inform on its consultation with relevant protected groups who may be impacted by changes to current policies.</p> <p>IRMP is subject to a full consultation programme and stakeholders are listed in the five year Service Plan.</p> |
| <p>2.3.2 Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement</p> | <p>The Service employs a range of methods to communicate and engage with external and internal audiences in line with its Corporate Communications Strategy and annual Communications Action Plan.</p> |

| | |
|--|--|
| | <p>An inter-active, online survey platform (SurveyGizmo) is used to consult and engage staff. These survey and consultation projects are actively supported and promoted by means of the Service's intranet, internal newsletter and email. An average of 40 internal, issue-specific staff surveys of different kinds are conducted each year.</p> <p>A range of online and "conventional" communication methods are used to inform and engage the public other external audiences. These methods include:</p> <ul style="list-style-type: none"> • Press releases and face-to-face interviews • Social Media activity across all platforms • External Surveys accessible via social media (e.g. Facebook) • Service website • Live Events: Open Days, Recruitment Events, Campaign Events <p>The Service has held positive action taster sessions to inform the public about the role of an on call firefighter and wholetime posts</p> |
| <p>2.3.3 Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs</p> | <p>IRMP is subject to a full consultation programme and stakeholders are listed in the five year Service Plan.</p> <p>The Service sits on the Better Care Fund Shropshire. This has provided access to all of the following groups:</p> <p>Safe and Well Project (linking to the NHS Service Transformation Project) for Shropshire, Telford and Mid Wales.</p> <p>Shropshire Prevention Leads Group The Health and Wellbeing Board Health and Wellbeing Board Delivery Group Healthy Lives Steering Group Social Prescribing in Shropshire Shropshire Telford Suicide Forum Domestic Abuse Forums Telford and Shropshire DAAT Board SC and TW SSCB (Children's) Safeguarding Board Shropshire</p> |

| | |
|--|--|
| | <p>KASIB (Adults) Safeguarding Board Shropshire KASIB Development Delivery sub group. Shropshire Prevent (Counter terror) Strategy Group</p> <p>Other: Shropshire, Telford and Wrekin Dementia Action Alliance Fairness, Respect Equalities Shropshire (FRESH) Asian Fire Service Association (AFSA) MIND – Blue light pledge</p> |
| 2.3.4 Implementing effective feedback mechanisms in order to demonstrate how views have been taken into account | See comments for 2.3.2 and 2.3.3 |
| 2.3.5 Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity | The Service consults with a large range of stakeholders from constituent authorities to small local groups and individual members of the public. These group are outlined in the five year Service Plan. In addition to that we use the local Fairness Respect Equality Shropshire (FRESH), Rainbow Film Festival groups and national Asian Fire Service Association (AFSA) group where necessary. |
| 2.3.6 Taking account of the impact of decisions on future generations of tax payers and service users | The long term financial consequences of capital projects are considered when making strategic financial decisions. Where possible, authority reserves and balances have been used to fund capital projects to avoid debt charges for up to 50 years. |

Principle 3 - Defining outcomes in terms of sustainable economic, social, and environmental benefits

The long-term nature and impact of many of local government’s responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the organisation’s purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.

| 3.1 Defining outcomes | Supporting Text |
|--|---|
| <p>3.1.1 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</p> | <p>The fundamental purpose of the Fire Authority is to provide and maintain a fire and rescue service capable of fulfilling the statutory requirements of the Fire and Rescue Services Act 2004.</p> <p>Our Vision is most readily identifiable through our logo and strapline "Putting Shropshire's Safety First" which is displayed on all letter headings, compliments slips, corporate documents, vehicles and buildings.</p> <p>The Service Plan defines our purpose, aims, measures and targets While the Annual Plan sets our immediate priorities and what actions we are going to take to deliver the Service Plan</p> |
| <p>3.1.2 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</p> | <p>The Service uses Performance Measures to set out the expected outcomes. These are in the form of ambitious reductions in the numbers of fire related incidents and injuries to both the public and our staff</p> |
| <p>3.1.3 Delivering defined outcomes on a sustainable basis within the resources that will be available</p> | <p>The Service made the decision in 2015 to include the integrated Risk Management Plan (IRMP), the Medium Term Financial Plan and the Service Transformation Plan in one overarching document (the Service Plan 2015-2020). In doing so it brought about a greater level of consideration and interrelation between the need to deliver a high quality service that actively manages community risk and the need to recognise and operate within the existing financial constraints.</p> |
| <p>3.1.4 Identifying and managing risks to the achievement of outcomes</p> | <p>As part of the strategic planning process a review of the risk register is undertaken along with the ear marked reserves to cover against any foreseeable risks.</p> |

| | |
|---|--|
| <p>3.1.5 Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available</p> | <p>The Authority's strategic planning process demonstrates the effects of today's decisions on medium to long term budgets. Prudent funding assumptions are used to ensure that an honest picture of the financial position can be shown to members and the public. This means that the Authority's consultation processes are meaningful and useful.</p> |
| <p>3.2 Sustainable economic, social and environmental benefits</p> | <p>Supporting Text</p> |
| <p>3.2.1 Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision</p> | <p>The Service has a Sustainability and Environmental Policy.</p> <p>Initial impact assessments and financial comments are included in all policy and decision documents.</p> <p>These are supported by a full environmental management system, which includes sustainability assessments.</p> |
| <p>3.2.2 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</p> | <p>Members will consider the medium and long term effects of any strategic financial decision that is made in the short term. Strategic planning models are available to demonstrate how planning decisions will affect a number of years.</p> <p>The combination of the IRMP and the MTFP encourage the service to take a longer term view and to factor in the potential effects of both a change in risk profile and a change in financial resources. Committee reports will demonstrate that the Fire Authority has consistently taken an approach that is best for the service.</p> <p>The more formal planning process is also supported by the StraP Working Group which allows Members and officers to explore the more uncertain aspects of the future and consider very early on what mitigation or development may need to be considered.</p> |

| | |
|--|--|
| <p>3.2.3 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</p> | <p>IRMP is subject to a wide ranging consultation process the outcome of which forms part of the five year service plan.</p> <p>The economic, environment and social issues would be discussed at meetings that are accessible to the public.</p> |
| <p>3.2.4 Ensuring fair access to services</p> | <p>E&D support with hard to reach and vulnerable communities</p> |
| <p>Principle 4 - Determining the interventions necessary to optimise the achievement of the intended outcomes</p> | |
| <p>Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions (courses of action). Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved. They need robust decision- making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed frequently to ensure that achievement of outcomes is optimised.</p> | |
| <p>4.1 Determining interventions</p> | <p>Supporting Text</p> |
| <p>4.1.1 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</p> | <p>The Senior Management Team (SMT) consider reports and supporting information in their decision making provided by the specialists within the Service. SMT consists of the most senior members of all teams with a mix of operational and non-operational remits to properly consider issues in the round.</p> <p>The StraP group consider and debate issue and options to challenge Officers to provide all appropriate and necessary information for decision making before reports are prepared for the full Authority.</p> <p>There is no separate cabinet or scrutiny function and so all Members are sighted on all matters through their attendance at meetings, or by receipt of meeting papers and minutes.</p> |

| | |
|--|---|
| <p>4.1.2 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 resources available including people, skills, land and assets and bearing in mind future impacts</p> | <p>Proposals relating to significant changes to the current resourcing of the Service are consulted upon with all relevant stakeholders. This specifically includes those stakeholders potentially impacted by that change e.g. closure of fire stations, removal/relocation of fire appliances and changes to response standards.</p> <p>Improvements in targeting particular vulnerable groups are discussed and delivered through collaborative working with other organisations and strategic planning groups around the county, thereby ensuring that customer needs are placed at the centre of the decision making e.g. Change from 'Home Fire Safety Checks' to 'Safe and Well' visits.</p> |
| <p>4.2 Planning interventions</p> | <p>Supporting Text</p> |
| <p>4.2.1 Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets</p> | <p>The Authority has a well-defined strategic planning process which is agreed by the CFA at its annual meeting. The report sets out timescales for developing the annual plan, department plans and service targets. The report gives an overview of the planning documents that are produced and what information will be reported to each committee throughout the year.</p> |
| <p>4.2.2 Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered</p> | <p>The service uses a change model that relies heavily on stakeholder engagement. This can be evidenced by how the IRMP objectives move through the engagement and consultation phase, into an FRA decision on direction and back to an engaged model of delivery. This can also be evidenced through the co-ordinated manner in which the Service Transformation Board oversee all medium and largescale projects.</p> <p>The Service also proactively engages with a broader group of stakeholders to identify where synergies exist between its objectives and others with a duty for community inclusivity, health and welfare.</p> |

| | |
|---|---|
| <p>4.2.3 Considering and monitoring risks facing each partner when working collaboratively, including shared risks</p> | <p>Each partnership entered into is supported by a partnership agreement, which sets out clearly and succinctly what the partnership aims to achieve and what each of the partners will do. The agreement also states to which of the Fire Authority's strategic aims the partnership contributes.</p> <p>Officers have developed a method of assessing partnerships to ensure that officers, Members and partners are clear in the aims and purpose of any partnership working and know their respective responsibilities and commitments. Partnership agreements formally set out the aims of the partnership, expectations, roles and reporting requirements.</p> <p>Partnership register contains details on financial, legal reputational and resource based risks.</p> |
| <p>4.2.4 Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances</p> | <p>SFRS continues to use the NHS Exeter Data to target vulnerability. The visits are focused on 85 year plus residents living alone 15 minutes plus from a fire station. Agreement has been reached between T&W to provide HFSV to those receiving an annual Care Package Review. This will also be replicated in Shropshire. Lone Working is expanding in RDS areas with employees increasing from 6 in 2016 to 35 as of 31/3/17.</p> <p>The Prevention Team is linked to both local authorities and public health and housing partners to provide referral pathways. This has been very useful in hoarding cases.</p> <p>Reinforcement agreements for operational incidents are in place with all bordering Fire and Rescue Services through a legal framework as part of the Fire and Rescue Services Act 2004.</p> <p>Outside of the Section 13, 16 Agreements the Service also has access to and provides resources to other FRS nationally through the NCAF Arrangements.</p> |

| | |
|---|--|
| <p>4.2.5 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</p> | <p>KPIs are developed as part of the annual strategic planning process. They are agreed by S&R in March each year and progress is monitored by SMT monthly and APMC quarterly.</p> |
| <p>4.2.6 Ensuring capacity exists to generate the information required to review service quality regularly</p> | <p>There is an operational monitoring and debriefing process which includes improvements and lessons learnt. This looks at identifying the quality of service delivered at the operational level, using expected minimum standards as the indicator, against which gaps (and best practice) are identified and, where necessary disseminated wider.</p> <p>A new quality performance measure has been established for fires confined to room of origin. This judges the speed of response and how successful the Service's education strategy is in terms of the 'get out stay out' message, as well as the effectiveness of fire safety campaigns regarding the importance of locations of fire alarms.</p> |
| <p>4.2.7 Preparing budgets in accordance with objectives, strategies and the medium term financial plan</p> | <p>The budget setting process is one element of the strategic planning process and ensures that the Service's plans are quantified. The Authority takes a strategic view of the Service's financial requirements and these requirements are managed within the resources available over the planning period.</p> |
| <p>4.2.8 Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy</p> | <p>Strategic financial planning for the Authority includes a planning tool which models varying revenue and capital scenarios. This allows members and officers to flex the amounts and timings of its service decision within the funding streams available.</p> |
| <p>4.3 Optimising achievement of intended outcomes</p> | <p>Supporting Text</p> |
| <p>4.3.1 Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints</p> | <p>The medium term strategy is designed to quantify the plans within the Service, and will incorporate Workforce Planning, IRMP, Asset Management and Fleet Planning, and Service Transformation. In some of these areas, such as IRMP, cuts have been necessary to remain within the funding available. In others, such as Assets and Fleet and STB, the Authority's reserves strategy has ensured that funds are available to pay for replacements and improvements without the need for additional costs within the revenue budget.</p> |

| | |
|--|--|
| <p>4.3.2 Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term</p> | <p>The budget setting process includes an annual review of the base budget and any committed costs to ensure that current operations are accounted for correctly. It also considers the full revenue cost of any new capital schemes, including borrowing costs, any ongoing running costs, and where applicable, replacement costs, into the longer term. Officers are also instructed to consider the longer term effects of any decision making in the short term.</p> |
| <p>4.3.3 Ensuring the medium term financial strategy sets the context for ongoing 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</p> | <p>The use of short to medium term planning ensures that officers and members can consider the impact of any decisions or events both now and over the foreseeable planning period. The longer term planning estimates cannot be used with any certainty in the current climate and should not be used to base any future decisions on. However, as an estimate, it can give an indication of what may need to be considered in the long term, and may be used to formulate options.</p> |
| <p>4.3.4 Ensuring the achievement of 'social value' through service planning and commissioning</p> | <p>The Better Care Fund Shropshire is an excellent example of where the Service works with other agencies to make sure our combined staffing is used to best effect across multiple service agendas. This has provided access to all the below groups;</p> <ul style="list-style-type: none"> • Safe and Well Project is linking to the NHS Service Transformation project for Shropshire, Telford and Mid Wales • Safer Stronger Communities have allocated 5k to the SFRS Safe and Well project. This links into the Telford Healthy Lives project • Age UK are also part of the group and have been commissioned by Shropshire Council to support the safe and well health delivery. The BCF and SFRS made the joint funding bid which was successful. • Shropshire Prevention Leads Group • The Health and Wellbeing Board • Health and Wellbeing Board Delivery Group • Healthy Lives Steering Group • Social Prescribing in Shropshire • Shropshire Telford Suicide Forum |

| | |
|--|--|
| | <ul style="list-style-type: none"> • Domestic Abuse Forums Telford and Shropshire • DAAT Board SC and TW • SSCB (Children’s) Safeguarding Board Shropshire • KASIB (Adults) Safeguarding Board Shropshire • KASIB Development Delivery sub group. • Shropshire Prevent (Counter terror) Strategy Group <p>Telford and Wrekin Council now commission the Service to use its Fire Control facility for its Out of Hours calls service.</p> |
|--|--|

Principle 5 - Developing the entity’s capacity, including the capability of its leadership and the individuals within it

Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mindset, to operate efficiently and effectively and achieve intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an organisation operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of individual staff members. Leadership in local government is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.

| | |
|---|------------------------|
| 5.1 Developing the entity’s capacity | Supporting Text |
|---|------------------------|

| | |
|--|---|
| <p>5.1.1 Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness</p> | <p>The Service has clearly defined its aims and the activities it will carry out to achieve those. The effectiveness of activities are reviewed through debriefing and performance review meetings.</p> <p>Asset management plans have been developed to ensure the provision, availability and reliability of assets to support the identified activities. Asset provision is reviewed when potential improvements or efficiencies are identified through the debriefing or review processes.</p> <p>The Service reviews its performance through debriefing, operational monitoring and Key Performance indicators against its corporate aims.</p> |
|--|---|

| | |
|---|---|
| | It develops asset management plans to ensure it provides assets to meet identified needs. |
| 5.1.2 Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that defined outcomes are achieved effectively and efficiently | <p>The Service continues to use comparative data where it is available within the sector.</p> <p>This includes information on H&S and the recent “Basket of Goods” analysis carried out by the Home Office.</p> |
| 5.1.3 Recognising the benefits of partnerships and collaborative working where added value can be achieved | <p>Reinforcement agreements for operational incidents are in place with all bordering Fire and Rescue Services through a legal framework as part of the Fire and Rescue Services Act 2004.</p> <p>Outside of the Section 13, 16 Agreements the Service also has access to and provides resources to other FRS nationally through the NCAF Arrangements.</p> <p>The Service works through a number of collaborative forums to manage and deliver this work. The most senior of these is the Regional Chiefs and Chairs Meeting but includes many others under the banner of the Chief Fire Officers Association (CFOA) soon to become the National Fire Chiefs Council (NFCC), for example the Operations Committee and the HR Working Group.</p> <p>The Service also engages with other Fire and Police Partners through the West Mercia and Warwickshire Police and Fire Collaborative Partnership, which is in the early stages of finding which collaborations fit at this level.</p> <p>Many other examples of operational collaboration between local partners, particularly with regards to protecting vulnerable people, are evident through partnerships such as MARAC and the Health and Wellbeing Boards.</p> |

| | |
|--|--|
| <p>5.1.4 Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources</p> | <p>A People Strategy is in place to ensure that activity and resources are focused on identified priorities</p> <p>Regular establishment meetings including retirement planning and forecasting.</p> <p>A four year core module training programme is in place to ensure workforce competence</p> <p>A new HR Dashboard is being developed to give real-time access to information and trends to improve the ability to forecast and plan.</p> |
| <p>5.2 Developing the capability of the entity's leadership and other individuals</p> | <p>Supporting Text</p> |
| <p>5.2.1 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> | <p>The Authority's Protocol on Member / Officer Relations sets the tone for member / officer relations generally. The Chair, Vice Chair and the Leaders of the Opposition Groups attend a Chair's Briefing with the senior officers once a month.</p> <p>There are agreed role descriptions for each chair and vice chair position.</p> <p>The Chief Fire Officer's annual appraisal is carried out by the Chair and the Vice Chair, where the CFO's job description is reviewed and objectives set.</p> |
| <p>5.2.2 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> | <p>Financial Regulations Standing Orders 2.1 and 2.2 set out the specific matters reserved for the collective decision of the Authority.</p> <p>Delegations to specific officers are documented in the Scheme of Delegation to Officers and the Financial Regulations Standing Order.</p> <p>Each of the Authority's Committees has terms of reference which clearly state their powers and any authority delegated to them.</p> |

| | |
|--|---|
| <p>5.2.3 Ensuring the leader and the chief executive have clearly defined and distinctive leadership 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 a balance for each other's authority</p> | <p>The Chief Fire Officer's job description and the Scheme of Delegation to Officers state that the CFO is responsible and directly accountable to the Authority for all aspects of operational management.</p> <p>The role of the Chair is specified in the Member Handbook.</p> <p>The Protocol on Member/Officer relations also supports the understanding of the delineation of roles.</p> |
| <p>5.2.4 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 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 | <p>As members receive comprehensive training and development from their constituent authorities, the Fire Authority provides an induction for new members which focusses specifically on the Fire Service, in order to avoid duplication of resources. In addition members regularly receive presentations and development sessions on various topics to ensure that they knowledge is kept up to date.</p> <p>Specialist training is provided to members of Committees, to improve knowledge on technical issues and update members on new developments.</p> <p>There is a tailored induction and a programme of organised training for officers. Further learning will be identified through skills assessments and appraisals.</p> <p>All Brigade Managers have attended the Executive Leadership Programme run at Warwick University.</p> <p>Group Managers undertake the Level 7 Diploma in Strategic Management (outline attached). Middle Managers are undertaking a Level 5 Diploma in Leadership and Management through University of Worcester. Supervisory managers complete a non-accredited programme covering a number of the IPDS modules.</p> |

| | |
|--|--|
| | <p>There is an appraisal system in place for officers, part of which is to consider training and development needs. The Development Officer and Training and Development Centre organise and deliver a wide range of professional and personal development courses including management development.</p> <p>There is also regular 1-2-1 supervision for staff by their line managers.</p> <p>Members of staff in specialist roles such as finance and human resources maintain their Continuous Professional Development as required by their own professional body</p> <p>A debrief process exists for operational incidents and exercises.</p> <p>SIRO breaches log and shared experience at SGG</p> <p>Officers use Internal Audit in a constructive manner to invite scrutiny in any areas of concern as well as maintaining regular audit of key areas such as finance and payroll.</p> |
| <p>5.2.5 Ensuring that there are structures in place to encourage public participation</p> | <p>This process starts with the IRMP and continues into the transparency associated with the governance model but the Authority has many ways of encouraging and promoting public participation, both in the community and as part of the democratic process.</p> |
| <p>5.2.6 Taking steps to consider the leadership's own effectiveness and ensuring leaders are open to constructive feedback from peer review and inspections</p> | <p>The Authority and each Committee has a work plan for the year, with an end of year report brought to show activity against that work plan.</p> <p>External Audit's annual Value for Money conclusion considers and gives an assessment on economy, efficiency and effectiveness.</p> <p>Staff engagement survey provides feedback from those employed with the Service</p> |

| | |
|--|--|
| | <p>The Authority has taken full advantage of the LGA Fire Peer Review process in the past and will continue to do so alongside the renewed inspection regime that is anticipated in 2017. As of April 2017 the Area Manager cadre was restructured specifically to provide more focus and capacity in this area.</p> |
| <p>5.2.7 Holding staff to account through regular performance reviews which take account of training or development needs</p> | <p>The CFO has an annual appraisal with the Chair and Vice Chair of the Authority.</p> <p>For all other staff an annual appraisal provides a one to one opportunity for managers and staff to contribute to the production of mutually agreed personal development plans.</p> |
| <p>5.2.8 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</p> | <p>Occupational Health services are available to all Authority employees including the services of a nurse, suitably qualified OH physician and counsellors.</p> <p>Staff conditioned to the Grey Book also have an annual fitness assessment and a general medical every three years.</p> <p>The People Strategy 2016-2020 introduced a new requirement for the Service to develop and implement a Health and Well-being action plan.</p> <p>The Service has signed up to the MIND Blue light pledge and action plan.</p> <p>Building Personal Resilience training was offered to staff affected by recent shift changes in Fire Control to allow them to build their own skills to cope effectively with change.</p> |

Principle 6 - Managing risks and performance through robust internal control and strong public financial management

Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and are crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities.

A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery and accountability.

It is also essential that a culture and structure for scrutiny are in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful service delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.

| 6.1 Managing risk | Supporting Text |
|---|--|
| 6.1.1 Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making | The Service has an established RMG which is responsible for ensuring the Authority has an effective risk management process in place. Risk management reports are taken to APMC and the review of the corporate risk /programme risk registers are standing agenda items at SMT/STB meetings. |
| 6.1.2 Implementing robust and integrated risk management arrangements and ensuring that they are working effectively | <p>The risk management process is subject to an annual assessment by Internal Audit. The process is underpinned by the monitoring of the corporate, departmental and programme risk registers.</p> <p>Statements of Assurance are completed in line with the development of the Annual Plan and supporting Departmental Plans. The statements of assurance are signed off by the departmental head and lead executive officer and include departmental risks. Progress is monitored by RMG and RMG minutes are forwarded to SMT. RMG also includes the Chair and Vice Chair of APMC as well as Service Officers. The corporate risk register is monitored by APMC quarterly.</p> |

| | |
|---|--|
| | <p>Officers and Members also receive risk training from the Service's insurance provider Zurich.</p> <p>All Operational Incidents are debriefed in line with the Service Policy. Any Incident attended by a Flexible Duty Officer is also subject to Operational Monitoring procedures, all findings, both those of merit and development needs, are recorded and managed through an action plan. Where necessary Significant Event Investigation can be instigated by the Principal Officer to provide a formal comprehensive report into specific events or incidents.</p> |
| 6.1.3 Ensuring that responsibilities for managing individual risks are clearly allocated | All risks on the corporate risk register are assigned a risk owner. Departmental risks are updated by the Head of Department and signed off by the Executive Lead through statements of assurance. |
| 6.2 Managing performance | Supporting Text |
| 6.2.1 Monitoring service delivery effectively including planning, specification, execution and independent post implementation review | <p>An established performance management process exists, which provides reports to meetings of the SMT and the APMC on the Service's performance against service targets.</p> <p>The Authority has agreed seven service targets in order to monitor service delivery. In addition there are supporting objectives, which are managed through departmental plans.</p> <p>Major projects are monitored through STB with reviews carried out and system user feed feedback captured for lessons learned purposes.</p> |
| 6.2.2 Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook | There is a standard format for all committee reports, which includes background to the report and any recommendations for decision together with reasons behind those recommendations. All reports contain a section for legal comment and financial implications and list the background papers, which are integral to understanding the report. EQIAs are completed where appropriate. |

| | |
|--|---|
| <p>6.2.3 Ensuring an effective scrutiny or oversight function is in place which provides constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible.</p> | <p>SMT offers oversight on policy and performance and STB oversees all major delivery projects within a programme of change. Both groups are made up of executive officers and departmental leads. Minutes and actions are taken at both meetings to capture discussions and decisions.</p> <p>Strategy and Resources Committee offers oversight on strategic direction, Value for Money and monitoring of budget and financial performance. Audit and Performance Management Committee provide independent assurance and independent scrutiny.</p> |
| <p>6.2.4 Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement</p> | <p>SMT meets every month and STB every 2 months. Management reports and progress reports against major projects are reported. Progress on the Capital Programme is reported to S&R Committee. Programme Benefits are reported to APMC.</p> |
| <p>6.2.5 Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (e.g. financial statements)</p> | <p>A robust and structured budget setting and management system is in place and is well documented through Authority and senior management reporting. Officers ensure that the budget that is set at the beginning of the financial year is consistent through to the Statement of Accounts.</p> |
| <p>6.3 Robust internal control</p> | <p>Supporting Text</p> |
| <p>6.3.1 Aligning the risk management strategy and policies on internal control with achieving objectives</p> | <p>Statements of Assurance are completed in line with the development of the Annual Plan and supporting Departmental Plans. The Statements of Assurance are signed off by the departmental head and lead executive officer and include departmental risks and areas for improvement. Progress is monitored by RMG and RMG minutes are reported to SMT.</p> |
| <p>6.3.2 Evaluating and monitoring risk management and internal control on a regular basis</p> | <p>The Risk Management Brigade Order and the Risk Management Protocol are reviewed annually.</p> <p>The Annual Governance Statement is reviewed annually and the accompanying improvement plan is reviewed quarterly.</p> |

| | |
|--|---|
| <p>6.3.3 Ensuring effective counter fraud and anti-corruption arrangements are in place</p> | <p>A comprehensive Anti-Fraud, Bribery and Corruption Strategy and Fraud Plan is in place and is reviewed every financial year. This is approved by members and widely circulated amongst staff.</p> |
| <p>6.3.4 Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor</p> | <p>The Risk Management and Statements of Assurance processes are reviewed annually by Internal Audit. Any recommendations/actions are monitored by RMG and reported to APMC every six months.</p> |
| <p>6.3.5 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 environment • that its recommendations are listened to and acted upon | <p>The terms of reference for APMC includes scrutiny of the corporate risk register and the AGS improvement plan on a quarterly basis. The Chair of APMC who is also the Member champion, along with the Vice Chair of APMC sit on RMG.</p> |
| <p>6.4 Managing data</p> | <p>Supporting Text</p> |
| <p>6.4.1 Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data</p> | <p>An all-round approach of electronic safeguards through permissions, training for staff; and established agreements for sharing data with other agencies covers risks from an electronic, personnel and legislative angle.</p> <p>All staff have completed the Protecting Information On-Line Course.</p> |
| <p>6.4.2 Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies</p> | <p>Data sharing protocols and regular scrutiny by SMT, as well as monitoring through the Statements of Assurance ensures that arrangements in place are monitored.</p> <p>All staff have completed the Protecting Information On-Line Course.</p> |

| | |
|---|---|
| <p>6.4.3 Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring</p> | <p>The Service has developed a data warehouse that supports the monitoring and improvement of data quality. It acts as a central repository that stores data from key departmental systems. Departmental systems have assigned System Owners and System Administrators who are responsible for ensuring data quality standards.</p> <p>The data warehouse also allows System Administrators to more easily query data from their systems, and check the data for problems. As the data warehouse pulls in data from multiple sources then the data from different systems can be compared.</p> <p>The process of developing the data warehouse itself helped data and system owners understand how their data might be used, determine definitions for reporting and identify any data entry or data quality issues which they needed to resolve before reports could be created.</p> |
| <p>6.5 Strong public financial management</p> | <p>Supporting Text</p> |
| <p>6.5.1 Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance</p> | <p>The use of short to medium term planning ensures that officers and members can consider the impact of any decisions or events both now and over the foreseeable planning period. Plans will be put in place for current organisational requirements, but reserves and precept strategies will ensure that future financial commitments can also be met.</p> |
| <p>6.5.2 Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls</p> | <p>A robust and structured budget setting and management system is in place and is well documented through Authority and senior management reporting. In addition, project management processes include financial implications and monitoring. In terms of financial risks and control, the corporate and departmental risk registers and the Authority's reserves are aligned.</p> |

Principle 7 - Implementing good practices in transparency, reporting, and audit to deliver effective accountability

Accountability is about ensuring that those making decisions and delivering services are answerable for them. Effective accountability is concerned not only with reporting on actions completed, but also ensuring that stakeholders are able to understand and respond as the organisation plans and carries out its activities in a transparent manner. Both external and internal audit contribute to effective accountability.

| 7.1 Implementing good practice in transparency | Supporting Text |
|--|---|
| <p>7.1.1 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</p> | <p>The Fire Authority and its Committees each has an annual work plan which sets out the reports required for each meeting and the officers involved in producing them. The information provided by officers in these reports is to a standard format and is relevant, timely and clear, thus facilitating the decision making process.</p> <p>Prior to publication, Authority and Committee papers are assessed by Legal Services and the Head of Finance, for legal and financial comment.</p> <p>Agendas and reports are available to the public and publicised on its website and intranet in advance of meetings.</p> <p>Meetings are minuted to a standard format and include a summary of debate, motions, results and decisions resolved.</p> <p>Officers at all levels have been offered Plain English and Grammar Check skills courses and Report Writing forms part of the Management Development Programme.</p> |

| | |
|--|---|
| <p>7.1.2 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</p> | <p>The Information Officer (Planning and Programmes Officer) ensures that the requirements of the Transparency Scheme and the Publication Scheme are met.</p> <p>The Authority and Monitoring Officers preference is that as far as possible information should be considered in public session with exempt reports kept to a minimum.</p> <p>To avoid conflicts of interest, the Fire Authority requires that, having disclosed a pecuniary interest in a matter, a Member should leave the room whilst the matter is discussed.</p> <p>Specialist officers are available at public meetings to expand the information contained within reports.</p> <p>Reports are written in a clear consistent manner and the use of technical terms and acronyms is kept to a minimum.</p> |
| <p>7.2 Implementing good practice in reporting</p> | <p>Supporting Text</p> |
| <p>7.2.1 Reporting at least annually on performance, value for money and stewardship of resources to stakeholders in a timely and understandable way</p> | <p>The Authority and its Committees receive quarterly reporting on operational and financial performance. Value for money is also reported, both on performance reports as a performance indicator, and by external auditors as part of their Audit Findings Report.</p> <p>Reports detailing Use of Assets are taken to Strategy and Resources Committee.</p> |
| <p>7.2.2 Ensuring members and senior management own the results reported</p> | <p>Each report has a main author named on the front of the report as a point of contact for further information. The author will present the report at the meeting and take questions from Members.</p> |

| | |
|--|--|
| <p>7.2.3 Ensuring robust arrangements for assessing the extent to which the 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)</p> | <p>Internal Audit carry out an annual review and produce a report on the Annual Governance Statement. Any recommendations/actions falling out of the review will be monitored by RMG and progress reported to APMC every six months.</p> <p>Any high level actions that carry a significant risk would be included within the AGS improvement plan and reported to APMC on a quarterly basis.</p> |
| <p>7.2.4 Ensuring that this Framework is applied to jointly managed or shared service organisations as appropriate</p> | <p>This code is applicable to Shropshire Fire Risk Management Services Limited.</p> |
| <p>7.2.5 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</p> | <p>The Statement of Accounts contains a Narrative Report, which details the Authority's performance over the financial year. This is consistent with budgets set and reported upon during the year. The backward looking Annual Report also includes financial information, which is consistent with other financial reporting.</p> |
| <p>7.3 Assurance and effective accountability</p> | <p>Supporting Text</p> |
| <p>7.3.1 Ensuring that recommendations for corrective action made by external audit are acted upon</p> | <p>On completion of the external audit on the Statement of Accounts, the external auditor produces an audit findings report. Where recommendations are made within the report, these are incorporated into the following year's closedown process.</p> |
| <p>7.3.2 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</p> | <p>The Authority's internal audit function is carried out by Audit Services at Shropshire Council. The audit plan is based on a risk assessment carried out by officers and auditors. Timely audit reports are issued and any recommendations acted upon and monitored by RMG. Audit Services provide an annual assurance based on the audits carried out and this feeds into the AGS. There is an arrangement in place whereby both internal and external audit can meet with members without officers present, to discuss any relevant issues.</p> |

| | |
|---|---|
| 7.3.3 Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations | The Service has previously taken full advantage of the LGA Fire Peer Review process and will continue to do so within the renewed inspection framework. |
| 7.3.4 Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement | The Service risk assesses contracts and contract providers to establish appropriate contract and risk management strategies. |
| 7.3.5 Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met | <p>Each partnership entered into is supported by a partnership agreement, which sets out clearly and succinctly what the partnership aims to achieve and what each of the partners will do. The agreement also states to which of the Fire Authority's strategic aims the partnership contributes.</p> <p>Officers have developed a method of assessing partnerships to ensure that officers, Members and partners are clear in the aims and purpose of any partnership working and know their respective responsibilities and commitments. Partnership agreements formally set out the aims of the partnership, expectations, roles and reporting requirements.</p> <p>Included on the partnership agreement template is a section that requires each partner to provide named individuals for complaints.</p> |

Abbreviations

| | | | |
|------|--|-------|---|
| ACFO | Assistant Chief Fire Officer | RDS | Retained Duty System |
| AGS | Annual Governance Statement | RMG | Risk Management Group |
| APMC | Audit and Performance Management Committee | S&R | Strategy and Resources Committee |
| CFO | Chief Fire Officer | SGG | Systems Governance Group |
| EQIA | Equality Impact Assessment | SIRO | Senior Information Risk Officer |
| FRS | Fire and Rescue Service | SMT | Service Management Team |
| HFSV | Home Fire Safety Visit | STB | Service Transformation Board |
| IRMP | Integrated Risk Management Plan | StraP | Strategic Risk and Planning Working Group |